# Territory Records (Records Disposal Schedule – Sewerage Management Records) Approval 2014 (No 1)

Notifiable instrument NI2014—290

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 – Sewerage Management Records) Approval 2014 (No 1)

### 2. Approval

I approve the Records Disposal Schedule – Sewerage Management Records.

### 3. Commencement

This instrument commences on the day after notification.

### 4. Revocation

I revoke Notifiable Instrument:

NI2011-95 notified 8 March 2011

Danielle Wickman Director of Territory Records 20 June 2014



# **Records Disposal Schedule**

# **Sewerage Management Records**

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### INTRODUCTION

The *Records Disposal Schedule – Sewerage Management Records* is the official authority for the disposal of these ACT Government Records.

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 other Territory Records Disposal Schedules.

### **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 such as a records disposal freeze. Current records disposal freezes can be found at the Territory Records Office Internet site <a href="http://www.territoryrecords.act.gov.au/recordsadvice">http://www.territoryrecords.act.gov.au/recordsadvice</a>.

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 WHOLE OF GOVERNMENT THESAURUS

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 or if there is a current records disposal freeze in effect.

The *Records Disposal Schedule – Sewerage Management 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 Whole of Government Thesaurus originally based on the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all ACT Government 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.

### Whole of Government Thesaurus

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA 2010), a thesaurus which incorporated 16 common functions. All other functions within the Whole of Government Thesaurus are considered functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the Director of Territory Records for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

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 original 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 - Sewerage Management Records:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Records Disposal Schedules;
- 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, and
- 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 record classes covered by this Records Disposal Schedule:

ACTEW/AGL Partnership Facilitation Act 2000

ACT Self Government Act 1988

Corporations Act 2001 (Commonwealth)

Emergency Management Act 1999

**Environment Protection Act 1997** 

Evidence Act 1971

Executive Document Release Act 2001

Financial Management Act 1996

Freedom of Information Act 1989

Land (Planning and Environment) Act 1991

Occupational Health and Safety Act 1989

Privacy Act 1998 (Commonwealth)

Public Health Act 1997

Public Interest Disclosure Act 1994

Public Sector Management Act 1994

Seat of Government Acceptance Act 1909 (Commonwealth)

Territory Owned Corporations Act 1990

Territory Records Act 2002

Trade Practices Act 1974 (Commonwealth)

Utilities Act 2000

Utilities (Water Conservation) Regulation 2006

Water and Sewerage Act 2000

Water and Sewerage Regulation 2001

Water Resources Act 2007

Water Resources Regulation 2007

### **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.

### 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.

### 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.

### 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.



### SEWERAGE MANAGEMENT

The function of managing the Territory's liquid waste systems to treat and/or reuse waste. Includes designing, constructing, maintaining and managing the operations of the region's systems and ancillary assets, (e.g. treatment plants, reticulation networks, pump stations, trunk and outfall sewers, etc.), physical, chemical and biological treatment activities, testing and maintaining plant infrastructure and connecting and disconnecting sewerage mains. Also includes implementing industry quality standards, conducting research.

### Advice

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

### 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.

### Arrangements

The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space.

### 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 the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

### Authorisation

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

### **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.

### **Construction**

The process of making or building something.

### 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.

### **Customer Service**

The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency.

### **Enquiries**

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

### 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 the given situation. Includes systems analysis and ongoing monitoring.

### *Inquiries*

The activities associated with liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by people or bodies that have been empowered to inquire and report on a subject, such as Royal Commissions, Judicial Commissions, Boards of Inquiry, Legislative Assembly and Ombudsman's inquiries. Includes the agency's participation in the inquiry by providing evidence in the form of records submissions or staff.

### **Inspections**

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

### Installation

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

### Leasing-out

The activities involved in leasing-out items, equipment, accommodation, premises or real estate to another agency, organisation, group 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.

### 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.

### Maintenance

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external conditions of premises, equipment, vehicles etc.

### 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.

### **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.

### **Public Reaction**

The process of handling public reaction to an agency's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

### 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.

### 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 business activities in general. Includes following up enquiries relating to 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.

### Security

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

### Service Providers

The activity of managing those agencies or organisations involved in the provision of services to the Department or to the local community in association with the Department. Includes Departmental negotiations and liaison with service providers over the provision of energy, sewerage services, traffic and transport services (e.g., air, bus, ferry, light rail, monorail, and taxi services) and water services. Also includes liaison and negotiations relating to routes, frequency of services, timetables of transport services.

### Service Provision

The activities relating to services provided by an agency on a long term basis or by other agencies. Includes requests and applications for services, assessment of eligibility and entitlements, liaison with other agencies regarding the provision of services. Also includes activities to lobby for services and to increase service provision. Also includes the installation, operation and removal of temporary facilities in parks and reserves, such as water, electricity, temporary toilets, etc. for special outdoor events.

### **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. 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.

### **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.

# RECORDS DISPOSAL SCHEDULE

### SEWERAGE MANAGEMENT

The function of managing the Territory's liquid waste systems to treat and/or reuse waste. Includes designing, constructing, maintaining and managing the operations of the region's systems and ancillary assets, (e.g. treatment plants, reticulation networks, pump stations, trunk and outfall sewers, etc.), physical, chemical and biological treatment activities, testing and maintaining plant infrastructure and connecting and disconnecting sewerage mains. Also includes implementing industry quality standards, conducting research.

### 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 legal advice, use LEGAL SERVICES - Advice.]

Entry No.	Description of Records	Disposal Action
185.005.001	Receipt of advice that resulted in major changes to the organisation or management. Includes advice provided by consultants.	Destroy 7 years after last action
185.005.002	Receipt and provision of all other advice. Includes advice provided by consultants.	Destroy 2 years after last action

### **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.]

Entry No.	Description of Records	Disposal Action
185.006.001	Records relating to the establishment, maintenance and review of agreements and	Destroy 7 years after last action
	contracts.	

### Arrangements

The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements, etc. Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space.

Entry No.	Description of Records	Disposal Action
185.011.001	Records detailing arrangements made to support	Destroy 2 years after
	the Sewerage Management function.	last action

### 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 the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Entry No. 185.013.001	Description of Records  Final audit reports relating to operational audits of the Sewerage Management function that result in substantial changes to policy or have a significant impact on operations.	Disposal Action Retain as Territory Archives
185.013.002	Other final audit reports relating to operational audits of the Sewerage Management function.	Destroy 7 years after last action
185.013.003	Working papers relating to operational audits of the Sewerage Management function.	Destroy 2 years after last action

### Authorisation

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

Entry No. 185.014.001 

### Description of Records

Disposal Action

Records documenting delegations. authorisations or the granting of permission to last action undertake activities related to the management

of the Territory's liquid waste systems and

infrastructure.

Destroy 7 years after

### **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 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. 1

### Entry No. 185.020.001

### **Description of Records**

### **Disposal Action**

Records documenting high-level corporate committees with overall responsibility for making major decisions in the area of liquid waste management. Includes:

Retain as Territory Archives

- documents establishing the committee;
- final versions of minutes;
- reports;
- recommendations;
- supporting documents such as briefing and discussion papers.

185.020.002  Records documenting external or inter-agency Destroy 7 years after committees formed to consider liquid waste management issues. Includes:

last action

- documents establishing the committee;
- appointment of members;
- minutes;
- supporting documents such as briefing and discussion papers.

### **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.

# *Entry No.* 185.021.001

### Description of Records

Records documenting compliance with mandatory standards, specifications and statutory requirements relating to the management of liquid waste networks and ancillary assets.

### Disposal Action

Destroy 7 years after last action

### **Conferences**

The activities involved in arranging or attending conferences held either by the agency or by other agencies or organisations. Includes registrations, publicity, and reports of participants, etc.

# *Entry No.* 185.022.001

### **Description of Records**

Records documenting involvement with conferences relating to liquid waste management programs and strategies arranged by the agency. Includes:

### Disposal Action

Destroy 3 years after last action

- program development;
- invitation to speakers;
- promotion activities;
- registrations; and venue bookings;
- reports commenting on conferences;
- reports assessing conferences.

185.022.002

Records documenting attendance of staff at conferences relating to liquid waste management programs and strategies. Includes conference promotion material, programs and registration forms.

Destroy 6 months after last action

### Construction

The process of making or building something.

# Entry No. 185.024.001

### **Description of Records**

Records relating to the construction of historical and significant sewerage works and structures including the determination of specifications and conditions that are considered to be:

### **Disposal Action**

Retain as Territory Archives

- of local, state or national significance, including registration by the National Trust of Australia; or
- which are considered unique, examples of design styles or have won design awards.

### Works include:

- pipelines;
- pumping stations;
- sewerage systems;
- drainage systems.

### Records include:

- feasibility studies;
- environmental impact statements;
- certified plans and maps, surveys;
- specifications;
- photographs;
- engineer's drawings;
- pipe layouts;
- system design;
- processing plant locations and design diagrams;
- connection plans;
- successful tenders;
- engineers' drawings of fittings, valves, boosters, hydrants etc;
- work as executed plans;

### Construction (Continued)

The process of making or building something.

### Description of Records Entry No.

Disposal Action

- building plans;
- master plans;
- concept plans;
- certificates;
- records of conversation;
- project management records;
- development applications.

[See Contracting-out for copies of contractors permits, licences, certificates and accreditations

See Submissions for successful funding submissions]

185.024.002  Records documenting construction activities not proceeded with.

Destroy 7 years after last action

### **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.

### Entry No. 185.025.001

### **Description of Records**

Records documenting contract management relating to the Sewerage Management function. last action Includes:

### **Disposal Action**

Destroy 7 years after

- minutes of meetings with main stakeholders;
- performance and evaluation reports.

### Customer service

The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency.

Entry No.	Description of Records	Disposal Action
185.030.001	Records documenting the management of customer services provided to the public. Includes planning, monitoring and evaluation of services e.g. carrying out customer surveys.	Destroy 2 years after last action
	[See Public Reaction for responding to customer complaints.]	

### **Enquiries**

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

Entry No. 185.040.001	Description of Records  Records relating to enquiries for information about the Sewerage Management function requiring a detailed response.	Disposal Action  Destroy 7 years after last action
185.040.002	Records relating to enquiries about the Sewerage Management function requiring a routine response or general information.	Destroy 2 years after last action

### **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 the given situation. Includes systems analysis and ongoing monitoring.

Entry No.	Description of Records	Disposal Action
185.042.001	Records documenting the evaluation and review	Destroy 7 years after
	of individual programs, campaigns and events	last action
	supporting the Sewerage Management function.	

### Fees and charges determination

The activities associated with determining fees and charges.

[For the payment or collection of fees and charges, use FINANCIAL MANAGETMENT]

Entry No.	Description of Records	Disposal Action
185.201.001	Records documenting the determination of fees	Retain as Territory
	and charges.	Archives

### **Inquiries**

The activities associated with liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by people or bodies that have been empowered to inquire and report on a subject, such as Royal Commissions, Judicial Commissions, Boards of Inquiry, Legislative Assembly and Ombudsman's inquiries. Includes the agency's participation in the inquiry by providing evidence in the form of records submissions or staff.

[For legal support or opinions provided during an investigation, use LEGAL SERVICES - Inquiries.]

Entry No.	Description of Records	Disposal Action
185.056.001	Records documenting the agency's	Retain as Territory
	contribution and involvement into an inquiry	Archives
	directly relating to its own activities under the	
	Sewerage Management function. Includes:	

- agency statements;
- submissions;
- responses to final reports;
- transcripts or oral evidence given by agency officers.

### **Inspections**

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

# Entry No. 185.057.001

### **Description of Records**

Records documenting inspections of liquid waste networks. Includes:

Disposal Action

Retain as Territory Archives

- notification of inspection;
- inspection reports;
- proposals.

[See OCCUPATIONAL HEALTH & SAFETY (OH&S) - Inspections for records relating to workplace health and safety inspections.]

### Installation

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

Entry No.	Description of Records	Disposal Action
185.058.001	Records documenting installation and	Retain as Territory
	configuration equipment and devices such as	Archives
	pumps, backflow prevention devices, valves,	
	anemometers, centrifuges etc.	

### Joint ventures

The activities involved in managing joint operations between the agency and other agencies, or with the government, where there is a contract, joint contribution of funds and/or time. Includes private sector ventures with public sector organisations, and coresearch or collaboration between inter-departmental units, departments or agencies.

Entry No.	Description of Records	Disposal Action
185.062.001	Records documenting formal arrangements with other organisations to undertake joint	Retain as Territory Archives
	activities relating to the Sewerage Managemen	t
	function.	

### Leasing out

The activities involved in leasing-out items, equipment, accommodation, premises or real estate to another agency 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.

Entry No.	Descripti
185.064.001	Records of

*ion of Records*documenting arrangements for leasing- Destroy 7 years after

out equipment such as standpipes to builders. last action

Includes negotiations.

### 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.

# *Entry No.* 185.067.001

### **Description of Records**

Records of participation in industry groups relevant to the management of liquid waste network systems. Includes the exchange of information.

[See INFORMATION MANAGEMENT - Acquisition for subscriptions to publications of professional bodies where the subscriber does not have to be a member of an organisation.

See GOVERNMENT RELATIONS for liaison activities between governments.]

### **Disposal Action**

Destroy 2 years after last action

### **Maintenance**

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external conditions of premises, equipment, vehicles etc.

# *Entry No.* 185.069.001

### **Description of Records**

Records documenting planned maintenance activities including structural repairs and renovations made to liquid waste networks and infrastructure such as trunk sewers, sludge disposals, pump stations, disinfection systems in replaced facilities, spillways and fine screens. Includes:

**Disposal Action** 

Archives

Retain as Territory

- capital works approvals;
- drawings;
- job work packs;
- records of conversations;
- reports;
- scope of work.

[See Contracting-out for copies of contractors permits, licences, certificates and accreditations.

See OCCUPATIONAL HEALTH & SAFETY - Health promotion for material safety data sheets.]

### **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
185.072.001	Final versions of minutes, agenda and supporting documents tabled at external meetings relating to the Sewerage Management function. Includes agendas, minutes, briefing papers, etc.	Destroy 7 years after last action
185.072.002	Working papers documenting the conduct and administration of meetings associated with the Sewerage Management function. Includes:	Destroy 2 years after last action

- draft agenda;
- notice of meeting;
- draft minutes.

### **Planning**

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

Entry No.	Description of Records	Disposal Action
185.079.001	Records relating to planning of the liquid waste	Destroy 7 years after
	management activities. Includes the process of	last action
	formulating ways in which objectives can be	
	achieved and determinations 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, as the basis from which the agency's operating procedures are determined.

Entry No.	Description of Records	Disposal Action
185.080.001	Records relating to the establishment and development of policy in relation to liquid waste management activities. Includes policy proposals, research papers, results of consultations, supporting reports and final documents.	Retain as Territory Archives
185.080.002	Ancillary records supporting the development of the organisation's policy concerning the sewerage management function. Includes working papers and drafts.	Destroy 2 years after last action

### **Procedures**

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

Entry No.	Description of Records	Disposal Action
185.082.001	Master set of agency manuals, handbooks, directives, etc., detailing procedures. Includes emergency procedures.	Destroy 7 years after last action
185.082.002	Records documenting the development of agency procedures supporting the sewerage management functions.	Destroy 2 years after last action

### Public Reaction

The process of handling public reaction to an agency's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

Entry No.	Description of Records	Disposal Action
185.084.001	Records documenting public reaction to the provision of liquid waste services that caused significant public or political interest or resulted in significant changes to policies, procedures, establishes a precedent or required a significant investigation.	Retain as Territory Archives
	[For suggestions received from the public, use COMMUNITY RELATIONS - Suggestions.]	
185.084.002	Feedback received that may be subject to legal action. Includes responses to complaints.	Destroy 7 years after last action
185.084.003	Feedback received that is not subject to legal action. Includes responses to complaints, letters of recognition, notes of gratitude and thank you letters.	Destroy 2 years 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
185.088.001	Final versions of reports, including reports submitted to external agencies, in relation to the Sewerage Management function.	Destroy 7 years after last action
185.088.002	Periodic or ad hoc internal reports documenting the status and/or administration of the Sewerage Management function and records relating to preparation of reports, including routine administrative matters.	Destroy 2 years 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.

Entry No.	Description of Records	Disposal Action
185.090.001	Records documenting the nomination,	Retain as Territory
	appointment, resignation from and/or	Archives
	termination of agency representatives on bodies	
	considering matters relating to the management	t
	of the Territory's liquid waste resources.	

[For appointments on community organisations, use COMMUNITY RELATIONS - Representatives.

For appointments on government bodies, use GOVERNMENT RELATIONS - 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 business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

Entry No.	Description of Records	Disposal Action
185.091.001	Records documenting research that results in major changes to training or the design of the built environment. Records could include surveys, interviews, observations, etc.	Retain as Territory Archives
185.091.002	Records documenting specific projects managed by the organisation that are not regarded as significant and have only a minor impact on policy. Records could include profile, investigators' reports, interviews, summary of findings, final reports, etc.	Destroy 7 years after last action
185.091.003	Working papers and administrative records of projects managed by the organisation that have minor impact on policy or legislation.	• •

### 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
185.093.001	Records relating to reviewing Sewerage Management processes, policy, procedures, standards and systems that result in major changes to those processes, etc.	Retain as Territory Archives
185.093.002	Records relating to reviewing Sewerage Management processes, policy, procedures, standards and systems that do not result in major changes to those processes, etc.	Destroy 7 years after last action

### 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.

### Entry No. 185.095.001

### Description of Records

Records documenting the analysis of risk and Destroy 7 years after development of associated risk management plans with respect to planning, design, construction, maintenance and operation of

liquid waste infrastructure.

### Disposal Action

last action

### Security

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

[For disciplinary action resulting from a breach involving ACTPS employees, use PERSONNEL - Discipline.

For breaches involving information, use INFORMATION MANAGEMENT - Security.

For breaches involving equipment, use EQUIPMENT & STORES - Security.

For breaches involving technology, use TECHNOLOGY & TELECOMMUNICATIONS - Security.]

### Entry No. 185.097.001

### Description of Records

Records documenting major security breaches Retain as Territory or incidents involving liquid waste infrastructure (e.g. which result in the laying of charges, or where sabotage is strongly

suspected). Includes:

- break-ins;
- unauthorised access or entry/trespass;
- intrusions into restricted areas;
- terrorism;
- intentional damage;
- bomb threats;
- fires;
- records of investigations;
- liaison with law-enforcement agencies.

185.097.002 

Records documenting minor security breaches Destroy 7 years after or incidents involving liquid waste infrastructure (e.g. which do not result in the laying of charges, or where sabotage is not suspected).

last action

**Disposal Action** 

**Archives** 

### Service Providers

The activity of managing those agencies or organisations involved in the provision of services to the Department or to the local community in association with the Department. Includes Departmental negotiations and liaison with service providers over the provision of energy, sewerage services, traffic and transport services (e.g., air, bus, ferry, light rail, monorail, and taxi services) and water services. Also includes liaison and negotiations relating to routes, frequency of services, timetables of transport services.

### Entry No. Description of Records Disposal Action

185.168.001

Records documenting the agency's management Destroy 7 years after of and involvement with providers of services last action relating to the management of the Territory's

liquid waste network.

### Service Provision

The activities relating to services provided by an agency on a long term basis or by other agencies. Includes requests and applications for services, assessment of eligibility and entitlements, liaison with other agencies regarding the provision of services. Also includes activities to lobby for services and to increase service provision. Also includes the installation, operation and removal of temporary facilities in parks and reserves, such as water, electricity, temporary toilets, etc. for special outdoor events.

### Entry No. Description of Records

185.169.001

Records on liquid waste management services provided by an agency on a long term basis or by other agencies. Includes requests and applications for services, assessment of eligibility and entitlements, liaison with other agencies regarding the provision of services. Also includes activities to lobby for services and to increase service provision. Also includes the installation, operation and removal of

temporary facilities in parks and reserves.

### Disposal Action

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.

Entry No.	Description of Records	Disposal Action
185.100.001	Records documenting the organisation's	Destroy 7 years after
	participation in the development of standards.	last action

### **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.

[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.]

Entry No.	Description of Records	Disposal Action
185.102.001	Records documenting the development of successful agency submissions relating to liquid waste management made to the Chief Minister, Minister and government bodies, including working papers and final versions.	Retain as Territory Archives
185.102.002	Records documenting the development of successful internal submissions and submissions made to external agencies relating to liquid waste management. Includes drafts and comments received and final versions.	Destroy 7 years after last action
185.102.003	Records documenting the development of agency submissions that were unsuccessful.	Destroy 2 years after last action

### **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.

### Entry No.

### **Description of Records**

### Disposal Action

# 185.104.001

Final versions of signed contracts under seal Retain as with government bodies or private organisations Archives that

Retain as Territory Archives

- have major significance to the agency;
- have implications for major liabilities or obligations for the agency;
- establish a precedent;
- involved significant political or public interest.

## 185.104.002

Final versions of signed contracts under seal resulting from tenders that do not:

Destroy 12 years after last action

- have major significance to the agency;
- have implications for major liabilities or obligations for the agency;
- establish a precedent;
- involved significant political or public interest.

185.104.003

Records documenting the development, issue and evaluation of tenders, including simple contracts and agreements, unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Records may include:

Destroy 7 years after last action

- draft contract;
- due diligence checks;
- evaluation and final reports;
- Expression of Interest;
- post-offer negotiations;
- public notices;
- recommendations;
- Request for Proposals;
- Request for Tender (RFT);
- Statement of Requirements.

185.104.004

Contract and Tender registers

Destroy 7 years after last action

# **RETAIN AS TERRITORY ARCHIVES**

### SEWERAGE MANAGEMENT

The function of managing the Territory's liquid waste systems to treat and/or reuse waste. Includes designing, constructing, maintaining and managing the operations of the region's systems and ancillary assets, (e.g. treatment plants, reticulation networks, pump stations, trunk and outfall sewers, etc.), physical, chemical and biological treatment activities, testing and maintaining plant infrastructure and connecting and disconnecting sewerage mains. Also includes implementing industry quality standards, conducting research.

### 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 the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Entry No.
185.013.001

### **Description of Records**

Final audit reports relating to operational audits Retain as Territory of the Sewerage Management function that result in substantial changes to policy or have a

significant impact on operations.

### **Disposal Action**

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 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. 1

### Entry No. 185.020.001

### **Description of Records**

Records documenting high-level corporate committees with overall responsibility for making major decisions in the area of liquid waste management. Includes:

### **Disposal Action**

- documents establishing the committee;
- final versions of minutes;
- reports;
- recommendations;
- supporting documents such as briefing and discussion papers.

### **Construction**

The process of making or building something.

# Entry No. 185.024.001

### **Description of Records**

Records relating to the construction of historical and significant sewerage works and structures including the determination of specifications and conditions that are considered to be:

### **Disposal Action**

Retain as Territory Archives

- of local, state or national significance, including registration by the National Trust of Australia; or
- which are considered unique, examples of design styles or have won design awards.

### Works include:

- pipelines;
- pumping stations;
- sewerage systems;
- drainage systems.

### Records include:

- feasibility studies;
- environmental impact statements;
- certified plans and maps, surveys;
- specifications;
- photographs;
- engineer's drawings;
- pipe layouts;
- system design;
- processing plant locations and design diagrams;
- connection plans;
- successful tenders:
- engineers' drawings of fittings, valves, boosters, hydrants etc;
- work as executed plans;

### Construction (Continued)

The process of making or building something.

### Entry No. Description of Records

Disposal Action

- building plans;
- master plans;
- concept plans;
- certificates;
- records of conversation;
- project management records;
- development applications.

[See Contracting-out for copies of contractors permits, licences, certificates and accreditations

See Submissions for successful funding submissions]

### Fees and charges determination

The activities associated with determining fees and charges.

[For the payment or collection of fees and charges, use FINANCIAL MANAGETMENT]

Entry No.	Description of Records	Disposal Action
185.201.001	Records documenting the determination of fees	Retain as Territory
	and charges.	Archives

### **Inspections**

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

Entry No.	Description of Records	Disposal Action
185.057.001	Records documenting routine and reactive	Retain as Territory
	inspections of liquid waste networks. Includes:	Archives

- notification of inspection;
- inspection reports;
- proposals.

[See OCCUPATIONAL HEALTH & SAFETY (OH&S) - Inspections for records relating to workplace health and safety inspections.]

### **Inquiries**

The activities associated with liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by people or bodies that have been empowered to inquire and report on a subject, such as Royal Commissions, Judicial Commissions, Boards of Inquiry, Legislative Assembly and Ombudsman's inquiries. Includes the agency's participation in the inquiry by providing evidence in the form of records submissions or staff.

[For legal support or opinions provided during an investigation, use LEGAL SERVICES - Inquiries.]

# *Entry No.* 185.056.001

### **Description of Records**

Records documenting the agency's contribution and involvement into an inquiry directly relating to its own activities under the Sewerage Management function. Includes:

Disposal Action

Retain as Territory Archives

- agency statements;
- submissions;
- responses to final reports;
- transcripts or oral evidence given by agency officers.

### **Inspections**

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

# *Entry No.* 185.057.001

### **Description of Records**

Records documenting routine and reactive inspections of liquid waste networks. Includes:

### Disposal Action

Retain as Territory Archives

- notification of inspection;
- inspection reports;
- proposals.

[See OCCUPATIONAL HEALTH & SAFETY (OH&S) - Inspections for records relating to workplace health and safety inspections.]

### **Installation**

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

Entry No.	Description of Records	Disposal Action
185.058.001	Records documenting installation and configuration equipment and devices such as pumps, backflow prevention devices, valves, anemometers, centrifuges etc.	Retain as Territory Archives

### Joint ventures

The activities involved in managing joint operations between the agency and other agencies, or with the government, where there is a contract, joint contribution of funds and/or time. Includes private sector ventures with public sector organisations, and coresearch or collaboration between inter-departmental units, departments or agencies.

Entry No.	Description of Records	Disposal Action
185.062.001	Records documenting formal arrangements with other organisations to undertake joint	Retain as Territory Archives
	activities relating to the Sewerage Managemen	t
	function.	

### **Maintenance**

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external conditions of premises, equipment, vehicles etc.

# *Entry No.* 185.069.001

### **Description of Records**

Records documenting planned maintenance activities including structural repairs and renovations made to liquid waste networks and infrastructure such as trunk sewers, sludge disposals, pump stations, disinfection systems in replaced facilities, spillways and fine screens. Includes:

- capital works approvals;
- drawings;
- job work packs;
- records of conversations;
- reports;
- scope of work.

[See Contracting-out for copies of contractors permits, licences, certificates and accreditations.

See OCCUPATIONAL HEALTH & SAFETY - Health promotion for material safety data sheets.]

### **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 agency's operating procedures are determined.

# Entry No. 185.080.001

### **Description of Records**

Records relating to the establishment and development of policy in relation to liquid waste management activities. Includes policy proposals, research papers, results of consultations, supporting reports and final documents.

### **Disposal Action**

**Disposal Action** 

Archives

Retain as Territory

### Public Reaction

The process of handling public reaction to an agency's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

# Entry No. 185.084.001

### **Description of Records**

Records documenting public reaction to the provision of liquid waste services that caused significant public or political interest or resulted in significant changes to policies, procedures, establishes a precedent or required a significant investigation.

[For suggestions received from the public, use COMMUNITY RELATIONS - Suggestions.]

### Disposal Action

Retain as Territory Archives

### 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.

# Entry No. 185.090.001

### **Description of Records**

Records documenting the nomination, appointment, resignation from and/or termination of agency representatives on bodies considering matters relating to the management of the Territory's liquid waste resources.

[For appointments on community organisations, use COMMUNITY RELATIONS - Representatives.

For appointments on government bodies, use GOVERNMENT RELATIONS - Representatives.]

### **Disposal Action**

### 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.

Entry No.	Description of Records	Disposal Action
185.091.001	Records documenting research that results in	Retain as Territory
	major changes to training or the design of the built environment. Records could include	Archives
	surveys, interviews, observations, 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.

Entry No.	Description of Records	Disposal Action
185.093.001	Records relating to reviewing Sewerage Management processes, policy, procedures, standards and systems that result in major changes to those processes, etc.	Retain as Territory Archives

### Security

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

[For disciplinary action resulting from a breach involving ACTPS employees, use PERSONNEL - Discipline.

For breaches involving information, use INFORMATION MANAGEMENT - Security.

For breaches involving equipment, use EQUIPMENT & STORES - Security.

For breaches involving technology, use TECHNOLOGY & TELECOMMUNICATIONS - Security.]

### Entry No. 185.097.001

### **Description of Records**

Records documenting major security breaches Retain as Territory or incidents involving liquid waste infrastructure (e.g. which result in the laying of charges, or where sabotage is strongly suspected). Includes:

Archives

Disposal Action

- break-ins;
- unauthorised access or entry/trespass;
- intrusions into restricted areas;
- terrorism:
- intentional damage;
- bomb threats;
- fires:
- records of investigations;
- liaison with law-enforcement agencies.

### **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.

[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.]

### Entry No. 185.102.001

### Description of Records

Records documenting the development of successful agency submissions relating to liquid waste management made to the Chief Minister, Minister and government bodies, including working papers and final versions.

### Disposal Action

### **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.

Entry No.
185.104.001

### Description of Records

Final versions of signed contracts under seal with government bodies or private organisations Archives that

### Disposal Action

Retain as Territory

- have major significance to the agency;
- have implications for major liabilities or obligations for the agency;
- establish a precedent;
- involved significant political or public interest.