# Territory Records (Records Disposal Schedule – Advocacy Services Records) Approval 2015 (No 1)

Notifiable instrument NI2015-357

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 – Advocacy Services Records) Approval 2015 (No 1)\*

### 2. Approval

I approve the Records Disposal Schedule – Territory Administrative Records Disposal Schedules – Advocacy Services Records.

### 3. Commencement

This instrument commences on the day after notification.

### 4. Revocation

I revoke Notifiable Instrument NI2003-457.

Danielle Wickman Director of Territory Records 3 July 2015



# **Records Disposal Schedule**

# **Advocacy Services Records**

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### INTRODUCTION

The *Records Disposal Schedule - Advocacy Services Records* is the official authority for the disposal of these ACT Government records.

It is one of a series of Whole of Government 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 Advocacy Services 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 or if there is a current records disposal freeze in effect.

The Records Disposal Schedule - Advocacy 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 Advocacy Services 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 incorporating 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 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 - Advocacy Services 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 records classes covered by this Records Disposal Schedule:

ACT Civil and Administrative Tribunal Act 2008

Children and Young People Act 2008

Corrections Management Act 2007

Crimes Act 1900

Evidence Act 2011

Disability Services Act 1991

Domestic Violence Agencies Act 1986

Domestic Violence and Protection Orders Act 2008

Freedom of Information Act 1989

Guardianship and Management of Property Act 1991

Housing Assistance Act 2007

Information Privacy Act 2014

Magistrates Court Act 1930

Mental Health (Treatment and Care) Act 1994

Official Visitor Act 2012

Powers of Attorney Act 2006

Public Advocate Act 2005

Public Trustee Act 1985

Spent Convictions Act 2000

Supreme Court Act 1933

Territory Records Act 2002

Victim of Crimes Act 1994

Victims of Crime (Financial Assistance) Act 1983

### **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**

### ADVOCACY SERVICES

The function of representing and supporting the best interests of children, young people, victims of crime and other vulnerable people who are not able to pursue or protect their own interests and/or have had their freedoms removed. This incorporates people with impaired decision-making capacity, including those with a physical, mental, psychological or intellectual condition who are not able to protect, promote or defend their own welfare and justice. Actions, interventions and initiatives are intended to encourage, influence and create change so that the rights for individuals or whole client groups are attained and upheld. Includes identifying and addressing issues of systemic concern; appointing, or acting as, guardians and managers; providing protection from abuse, exploitation and neglect; improving the rights and recovery of victims of crime; providing representation to an agency, court or tribunal; monitoring of service provision and assessing risk; responding to requests for assistance or advice; and investigating, reporting and making recommendations. Also includes supporting the establishment of organisations, services and programs that support vulnerable people.

### 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 judgment. 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. Includes contracts, memoranda of understanding (MOU), deeds, leases, licences and mortgages.

### Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

### Arrangements

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

### Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of an agency, company or other organisation 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 of permission to undertake a requested action.

### Case Management

The activity of managing an incident, person, organisation or client on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

### Claims

The activities of administering applications for recompense or protection. Includes an insurance policy as compensation for injury, death, or denial of rights of a person; damage to or destruction of property; disputes over rights and ownership; and stolen or lost property. Also includes protection orders issued by courts.

### **Committees**

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas, etc. of committees and task forces.

### 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.

### Control

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes mechanisms for other information resources and systems.

### 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, programs and activities.

### **Evaluation**

The process of determining the suitability of potential or existing programs or projects (e.g. IT infrastructure, capital works), items of equipment, systems or services in relation to meeting the needs of the given situation. Includes analysis, forecasting, modelling and ongoing monitoring.

### **Greetings**

The activities associated with preparing, sending and receiving letters of appreciation or condolences. Includes lists for Christmas cards.

### **Grievances**

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion, or higher duties.

### **Implementation**

The activities associated with carrying out or putting into action plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met.

### **Inspections**

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

### *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.

### **Investigations**

The activities involved in a formal search, examination and/or scrutiny undertaken as result of an accident, an incident, a complaint, an observation, a breach or non-compliance. Includes evidence collected, produced documents, photographs, statements, notes, decisions and final reports.

### 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.

### Liaison

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

### Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions e.g. subpoenas and discovery orders.

### Media Relations

The activities associated with establishing a relationship with the media. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

### 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 an 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.

### Representations

The activities involved in preparing responses to questions raised in the Legislative Assembly by Members of Legislative Assembly on behalf of their constituents. Also includes community-based representations and representations directed to the Minister seeking a formal response.

### Representatives

The activities associated with the nomination, appointment or registration of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, 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, principals, 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.

### Reviews (decisions)

The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

### Risk Management

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

### 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. 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

### **ADVOCACY SERVICES**

The function of representing and supporting the best interests of children, young people, victims of crime and other vulnerable people who are not able to pursue or protect their own interests and/or have had their freedoms removed. This incorporates people with impaired decision-making capacity, including those with a physical, mental, psychological or intellectual condition who are not able to protect, promote or defend their own welfare and justice. Actions, interventions and initiatives are intended to encourage, influence and create change so that the rights for individuals or whole client groups are attained and upheld. Includes identifying and addressing issues of systemic concern; appointing, or acting as, guardians and managers; providing protection from abuse, exploitation and neglect; improving the rights and recovery of victims of crime; providing representation to an agency, court or tribunal; monitoring of service provision and assessing risk; responding to requests for assistance or advice; and investigating, reporting and making recommendations. Also includes supporting the establishment of organisations, services and programs that support vulnerable people.

[For establishing rapport with the community, including raising and maintaining an agency's broader public profile, use COMMUNITY RELATIONS.

For patient/client health care and treatment by a health service provider, use HEALTH TREATMENT AND CARE.

For the provision of financial services under Enduring Powers of Attorney or Order of the Guardianship and Management of Property, use PUBLIC TRUSTEE SERVICES – Financial Management.

For the determination and evaluation of agency performance against broader Territory goals, use STRATEGIC MANAGEMENT – Performance Management.]

### Addresses (presentations)

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

Entry No. 020.004.001

### Description of Records

Records documenting addresses made by senior agency officers at major or significant public events.

[For the final versions of addresses presented by the Chief Minister or portfolio Minister, use GOVERNMENT RELATIONS - Addresses (presentations) or COMMUNITY RELATIONS - Addresses (presentations).]

### Disposal Action

Retain as Territory Archives

### Addresses (presentations) (Continued)

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

| Entry No.   | Description of Records                       | Disposal Action       |
|-------------|--|-----------------------|
| 020.004.002 | Records documenting addresses delivered      | Destroy 2 years after |
|             | in the routine promotion of the services,    | action completed      |
|             | events or products relating to the statutory |                       |
|             | advocacy services function.                  |                       |

### Advice

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

[For advice provided to the Chief Minister or portfolio Minister, use GOVERNMENT RELATIONS – Advice.

For interpretations of an agency's legislation, use LEGAL SERVICES – Advice.

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

For proposals of new or amended agency legislation, use LEGAL SERVICES – Advice.1

| Entry No.   | Description of Records                   |
|-------------|--|
| 020.005.001 | Receipt and provision of advice that     |
|             | results in major changes relating to the |

advocacy services function, including specialist or technical advice provided by consultants and independent regulators. Includes:

- economic management;
- policy issues; and
- recommendations for reform.

### 020.005.002

Receipt and provision of advice in support Destroy 7 years after of the advocacy services function. last action Includes advice provided by consultants.

Disposal Action Retain as Territory

Archives

### Advice (Continued)

### **Description of Records** Entry No.

020.005.003 Working papers documenting the development of advice relating to the

advocacy services function.

### **Disposal Action**

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. 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. 020.006.001

### Description of Records

Records documenting significant agreements made between an agency and Archives external third parties which have implications for major liabilities or obligations. Includes:

- negotiations;
- establishment;
- reviews;
- maintenance; and
- final agreements.

### 020.006.002

Records documenting agreements made between an agency and third parties in relation to the provision of advocacy services (e.g. memoranda of understanding). Includes:

- negotiations;
- establishment;
- reviews;
- maintenance; and
- final agreements.

### **Disposal Action**

Retain as Territory

Destroy 7 years after expiry or other termination of the agreement

### Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

[For requests to access records under the Freedom of Information Act 1989 or the Territory Records Act 2002, use INFORMATION MANAGEMENT – Case Management.

For appeals made by individual employees, use PERSONNEL – appeals (decisions).]

### Entry No. 020.009.001

### Description of Records

participant in negotiations.

varied or revoked.

Records documenting significant appeals Retain as Territory relating to the advocacy services function Archives made to a central arbitration or determining body (e.g. Administrative and Civil Appeal Tribunal) against a decision or an order where an agency is a major

020.009.002  Records documenting routine appeals relating to the advocacy services function against a decision or an order where an agency has provided input into the negotiations. Includes decisions made by a later central arbitration or determining body (e.g. Administrative and Civil Appeal Tribunal) in relation to approved service providers where the decision is confirmed,

### **Disposal Action**

Destroy 25 years after date of birth or 7 years after last action, whichever is

### Arrangements

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

# Entry No. 020.011.001

### **Description of Records**

Records detailing arrangements for guest speakers at conferences arranged by an agency and the administrative arrangements supporting the conduct of training for service providers. Includes:

- venue bookings;
- hire of equipment; and
- catering.

[For making travel arrangements for staff, use PERSONNEL – Arrangement.

For the payment of accounts supporting the running events, use FINANCIAL MANAGEMENT – Accounting or FINANCIAL MANAGEMENT – Payments.]

### Audit

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

# Entry No. 020.013.001

### **Description of Records**

Final reports of an external audit (e.g. Destroy 15 years conducted by an external authority such as after action the ACT Auditor General's Office) where: completed

- the audit report is qualified by the Auditor General; or
- there are major or significant changes to practices.

# Destroy 3 year after action completed

Disposal Action

Disposal Action

### Audit (Continued)

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

### Entry No. 020.013.002

### Description of Records

Records documenting the planning and conduct of internal audits relating to the advocacy services function. Includes:

- liaison;
- opening and exit interviews;
- reports;
- comments: and
- schedules.

### Disposal Action

Destroy 7 years after last action

### Authorisation

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

### Entry No. 020.014.001

### Description of Records

Delegations of powers to agency staff to authorise actions on behalf of clients relating to the advocacy services function. is superseded Includes delegations for the provision of:

- health care treatments:
- housing placements; and
- legal matters.

### 020.014.002

Records documenting the approval of services providers. Includes:

- suitability against assessment criteria;
- approvals; and
- suspensions or cancellations of approvals.

[For monitoring of services, use ADVOCACY SERVICES – Evaluation.]

### Disposal Action

Destroy 7 years after delegation expires or

Destroy 7 years after the approval ceases

### **Authorisation (Continued)**

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

| Entry No.   | Description of Records                       | Disposal Action       |
|-------------|--|-----------------------|
| 020.014.003 | Delegations of powers to agency staff to     | Destroy 3 years after |
|             | authorise administrative actions relating to | delegation expires or |
|             | the advocacy services function.              | is superseded         |

### Case Management

The activity of managing an incident, person, organisation or client on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

[For internal and external advice, use ADVOCACY SERVICES – Advice.

For investigations into maters of major public interest, use ADVOCACY SERVICES – Inquiries.

For investigations of systemic issues regarding advocacy issues or practices, use ADVOCACY SERVICES – Investigations.

For internal reviews of actions or decisions, use ADVOCACY SERVICES – Reviews (decisions).]

| Entry No.   | Description of Records                     | Disposal Action     |
|-------------|--|---------------------|
| 020.016.001 | Records documenting cases relating to the  | Retain as Territory |
|             | advocacy services function which result in | Archives            |
|             | major changes to policy or procedure; are  |                     |
|             | high profile, controversial or subject to  |                     |

social or political interest; or are precedent

setting. Includes:

- expert reports;
- correspondence; and
- determinations.

### Case Management (Continued)

The activity of managing an incident, person, organisation or client on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

[For internal and external advice, use ADVOCACY SERVICES – Advice.

For investigations into maters of major public interest, use ADVOCACY SERVICES – Inquiries.

For investigations of systemic issues regarding advocacy issues or practices, use ADVOCACY SERVICES – Investigations.

For internal reviews of actions or decisions, use ADVOCACY SERVICES - Reviews (decisions).]

### Entry No. 020.016.002

### Description of Records

Records documenting Public Advocate involvement with a client, managed on a case basis, where the client is less than 18 7 years after last years old. Includes:

- file notes;
- medical reports;
- case plans;
- consent forms (relating to Authorities in Order);
- reports from other professionals
- legal advice; and
- correspondence.

### 020.016.003

Records documenting Public Advocate involvement with a client, managed on a case basis, where the client is over 18 years old. Includes:

- file notes:
- medical reports;
- case plans;
- consent forms (relating to Authorities in Order);
- reports from other professionals
- legal advice; and
- correspondence.

### Disposal Action

Destroy 25 years after date of birth or action, whichever is later

Destroy 7 years after last action

### Case Management (Continued)

The activity of managing an incident, person, organisation or client on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

[For internal and external advice, use ADVOCACY SERVICES – Advice.

For investigations into maters of major public interest, use ADVOCACY SERVICES – Inquiries.

For investigations of systemic issues regarding advocacy issues or practices, use ADVOCACY SERVICES – Investigations.

For internal reviews of actions or decisions, use ADVOCACY SERVICES – Reviews (decisions).]

# Entry No. 020.016.004

### **Description of Records**

Records documenting victim support involvement with a client, managed on a case basis, where the client is under 18 years old. Includes:

- referrals;
- client evaluations;
- applications;
- case plans;
- reports;
- reports from other professionals;
- legal advice; and
- correspondence.

## 020.016.005

Records documenting victim support involvement with a client, managed on a case basis, where the client is over 18 years old. Includes:

- referrals;
- client evaluations;
- applications;
- case plans;
- reports;
- reports from other professionals;
- legal advice; and
- correspondence.

### **Disposal Action**

Destroy 25 years after date of birth or 7 years after last action, whichever is later

Destroy 12 years after last action

### **Claims**

The activities of administering applications for recompense or protection. Includes an insurance policy as compensation for injury, death, or denial of rights of a person; damage to or destruction of property; disputes over rights and ownership; and stolen or lost property. Also includes protection orders issued by courts.

| Entry No. 020.019.001 | Description of Records  Records documenting applications for domestic violence, personal or workplace protection orders. | <b>Disposal Action</b> Destroy 7 years after action completed                                     |
|-----------------------|--|---|
| 020.019.002           | Records documenting applications for claims for compensation submitted by clients over 18 years of age.                  | Destroy 7 years after finalisation or withdrawal of claim   |
| 020.019.003           | Records documenting applications for claims for compensation submitted by clients less than 18 years of age.             | Destroy 25 years<br>after date of birth or<br>7 years after last<br>action, whichever is<br>later |

### **Committees**

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas, etc. of committees and task forces.

[For agency representatives to external committees, use STATUTORY ADVOCACY 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. 1

### Entry No. 020.020.001

### **Description of Records**

Records documenting high level external Retain as Territory or internal committees (e.g. Management Assessment Panel, Care Coordination Office) formed to manage or advise where an agency provides Secretariat, is the Territory's main representative or plays a significant role. Includes:

- establishing the committee;
- terms of reference;
- appointment of members;
- minutes;
- reports;
- recommendations; and
- briefing and discussion papers.

020.020.002  Records documenting internal or external Destroy 7 years after committees formed to consider matters relating to the advocacy services function. Includes:

last action

**Disposal Action** 

Archives

- establishing the committee;
- terms of reference:
- appointment of members;
- minutes;
- reports;
- recommendations;
- briefing and discussion papers; and
- working 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.   | Description of Records   | Disposal Action   |
|-------------|--|---|
| 020.021.001 | Records documenting Ministerial reporting by Official Visitors of non-compliant visitable places.  | Destroy 15 years after last action  |
| 020.021.002 | Records documenting agency compliance with mandatory or operational standards or with statutory requirements relating to the advocacy services function.   | Destroy 7 years after action is completed   |
| 020.021.003 | Records documenting compliance reporting of abuse or neglect of children and young people by an approved carer. Includes:  • reports; • interviews; and • reviews.   | Destroy 25 years<br>after date of birth or<br>7 years after last<br>action, whichever is<br>later |
| 020.021.004 | Records documenting compliance reporting of abuse or neglect of persons over the age of 18 years by a service provider, organisation or private guardian. Includes:  • reports; • interviews; and • reviews. | Destroy 7 years after action completed  |
| 020.021.005 | Records documenting compliance<br>monitoring of services and service<br>providers relating to the advocacy services<br>function.   | Destroy 7 years after action completed  |

### 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. 020.025.001

### **Description of Records**

Records documenting contract management to approved service providers relating to the advocacy services termination of function. Includes:

**Disposal Action** Destroy 7 years after completion or other

contract

- minutes of meetings with main stakeholders;
- annual reviews: and
- dispute resolution.

[For the suspension or cancellation of approved service providers, ADVOCACY SERVICES – Authorisation.

For the inspection of service providers for compliance of service provision, use ADVOCACY SERVICES – Inspections.]

### Control

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes mechanisms for other information resources and systems.

| Entry No.   | Description of Records                    | Disposal Action     |
|-------------|---|---------------------|
| 020.026.001 | Control registers. Includes registers for | Retain as Territory |
|             | approved services providers and services  | Archives            |
|             | to victims.                               |                     |

### Distribution

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

| Entry No.   | Description of Records                        | Disposal Action      |
|-------------|---|----------------------|
| 020.036.001 | Records documenting mailouts (e.g.            | Destroy 1 year after |
|             | newsletters or promotions) and mailing        | last action          |
|             | lists, including email distribution lists and |                      |
|             | postal address lists.                         |                      |

### **Enquiries**

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

| Entry No.   |
|-------------|
| 020.040.001 |
|             |

### Description of Records

Records documenting the handling of public enquiries relating to advocacy programs and services. Includes enquiries received by designated public telephone services (e.g. Advice Line).

[For enquiries regarding judicial hearings – JUDICIAL HEARINGS MANAGEMENT – Enquiries.

For complaints, use ADVOCACY SERVICES – Grievances.]

### Disposal Action

Destroy 3 year after last action

### Evaluation

The process of determining the suitability of potential or existing programs or projects (e.g. IT infrastructure, capital works), items of equipment, systems or services in relation to meeting the needs of the given situation. Includes analysis, forecasting, modelling and ongoing monitoring.

| Entry No.   | Description of Records  | Disposal Action                        |
|-------------|---|--|
| 020.042.001 | Records documenting the evaluation of programs and/or services that result in significant changes supporting the advocacy services function.  | Retain as Territory<br>Archives        |
| 020.042.002 | Records documenting the evaluation of potential or existing programs and/or services supporting the advocacy services function. Includes ongoing evaluation, monitoring and/or reviewing by an external body (e.g. Victims Assistance Board). | Destroy 7 years after action completed |
| 020.042.003 | Records documenting the ongoing monitoring of programs and/or services supporting the advocacy services function.   | Destroy 2 years after action completed |

### **Greetings**

The activities associated with preparing, sending and receiving letters of appreciation or condolences. Includes lists for Christmas cards.

### Entry No. 020.050.001

### **Description of Records**

**Disposal Action** 

Records documenting the preparation, dispatch and receipt of letters, including: Destroy 6 months after last action

- introductions;
- appreciations;
- condolences; and
- greeting cards.

[For mailing lists, use ADVOCACY] SERVICES – Distribution.

For complaints received, use ADVOCACY SERVICES – grievances.]

### **Grievances**

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion, or higher duties.

[For complaints made by staff, use PERSONNEL – Grievances.

For investigations as a result of a grievance, use ADVOCACY SERVICES – Investigations.

For advice on legal aspects of handling grievances, use LEGAL SERVICES – Grievances.

For the inspection of services or sites, use ADVOCACY SERVICES – Inspections.]

### Entry No. 020.051.001

### **Description of Records**

Records documenting formal grievances submitted by an individual or group less than 18 years of age, including grievances 7 years after action made to an advocacy body (e.g. Official Visitors). Includes:

Disposal Action

Destroy 25 years after date of birth or completed, whichever is later

- notes of meetings;
- reports; and
- recommendations.

### **Grievances** (Continued)

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion, or higher duties.

[For complaints made by staff, use PERSONNEL – Grievances.

For investigations as a result of a grievance, use ADVOCACY SERVICES – Investigations.

For the inspection of services or sites, use ADVOCACY SERVICES – Inspections.]

# Entry No. 020.051.002

### Description of Records

Records documenting formal grievances submitted by an individual or group over 18 years of age, including grievances made to an advocacy body (e.g. Official Visitors). Includes:

- notes of meetings;
- reports; and
- recommendations.

### Disposal Action

Destroy 7 years after action completed

### *Implementation*

The activities associated with carrying out or putting into action plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met.

| Entry No.   | Description of Records   | Disposal Action                        |
|-------------|--|--|
| 020.053.001 | Records documenting the implementation of programs (e.g. educational programs) relating to the advocacy services function. | the program is                         |
|             | [For the monitoring and evaluation of programs, use ADVOCACY SERVICES – Evaluation.]                                       |  |
| 020.053.002 | Records documenting the implementation of plans, policies and procedures developed for the advocacy services function.     | Destroy 3 years after action completed |

# *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. 020.056.001

# **Description of Records**

Records documenting the agency's contribution and involvement to inquiries relating directly to its own activities in the provision of the advocacy services and programs. Includes:

- submissions;
- briefing papers;
- reports;
- attendance records;
- transcripts of oral evidence given by agency staff; and
- working papers.

020.056.002  Records relating to inquiries into the agency's provision of advocacy programs last action and services where the agency made a routine or minor contribution. Includes:

Destroy 5 years after

**Disposal Action** 

Archives

Retain as Territory

- agency statements and submissions;
- legal support;
- responses to final reports; and
- working papers.

# **Inspections**

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

# Entry No. 020.057.001

# **Description of Records**

Records documenting routine inspections Destroy 3 years after of private service providers and government facilities to ensure compliance with standards and suitability for purpose.

[For ongoing monitoring resulting from a breach in compliance, use ADVOCACY SERVICES – Compliance.]

# **Disposal Action**

**Disposal Action** 

Archives

Retain as Territory

last action

# **Investigations**

The activities involved in a formal search, examination and/or scrutiny undertaken as result of an accident, an incident, a complaint, an observation, a breach or noncompliance. Includes evidence collected, produced documents, photographs, statements, notes, decisions and final reports.

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

For investigations into alleged privacy breaches relating to records, use INFORMATION MANAGEMENT – Privacy.]

# Entry No. 020.202.001

# Description of Records

Records documenting investigations into matters of major public interest or systemic issues into advocacy where there has not been a specific complaint (e.g. own motion investigations). Includes:

- agency statements;
- submissions;
- research; and
- reports.

[For media releases regarding public interest investigations, use ADVOCACY SERVICES – Media Relations.

For advice and recommendations regarding major investigations provided to the Chief Minister or portfolio Minister, use GOVERNMENT RELATIONS -Advice.]

# **Investigations** (Continued)

The activities involved in a formal search, examination and/or scrutiny undertaken as result of an accident, an incident, a complaint, an observation, a breach or non-compliance. Includes evidence collected, produced documents, photographs, statements, notes, decisions and final reports.

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

For investigations into alleged privacy breaches relating to records, use INFORMATION MANAGEMENT – Privacy.]

# Entry No. 020.202.002

# **Description of Records**

Records documenting investigations into infringements or breaches of mandatory standards, rules or statutory requirements that relate to the provision of advocacy programs and services that do proceed to litigation.

[For infringements by staff, use PERSONNEL - Infringements.

For reports by the public or mandatory reporters about the concern for a child, use CHILD CARE AND PROTECTION PROGRAMS – Investigations.]

020.202.003

Records documenting investigations into infringements or breaches of mandatory standards, rules or statutory requirements that relate to the provision of advocacy programs and services that do not proceed to litigation. Includes investigations where preliminary enquiries commenced but a full investigation did not occur.

[For infringements by staff, use PERSONNEL - Infringements.

For reports by the public or mandatory reporters about the concern for a child, use CHILD CARE AND PROTECTION PROGRAMS – Investigations.]

# **Disposal Action**

Destroy 15 years after last action

Destroy 7 years after last action

# 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  |
|-------------|--|--|
| 020.062.001 | Final versions of joint venture agreements and contracts undertaken to support the advocacy services function.   | Destroy 7 years after<br>agreement is<br>superseded or<br>terminated |
| 020.062.002 | Records documenting the management of joint ventures undertaken to support the advocacy services function. Includes records relating to the establishment, maintenance and review of joint venture agreements and contracts. | Destroy 7 years after last action                                    |

# Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related field, other agencies, 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.

[For the administering of formal relationships with Ministers, Members of the Legislative Assembly and other governments, use GOVERNMENT RELATIONS.]

*Entry No.* 020.067.001

# **Description of Records**

**Disposal Action** 

Records documenting liaison activities Destroy 3 years after undertaken with professional associations, last action private sector organisations and community groups relating to the advocacy services function. Includes:

- collaboration on projects;
- exchanges of information;
- newsletters;
- consent to participate in trial programs; and
- activities of a member of an organisation.

[For mailing lists (e.g. email distribution lists) and/or mailouts, use ADVOCACY SERVICES – Distribution.

For subscriptions to publications of professional bodies where the subscriber does not have to be a member of an organisation, use INFORMATION MANAGEMENT – Acquisitions.]

# Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions e.g. subpoenas and discovery orders.

[For advice received from an internal or external legal provider, use LEGAL SERVICES - Advice.

For requests to access records under the Freedom of Information Act 1989 or the Territory Records Act 2002, use INFORMATION MANAGEMENT – Case Management.

For subpoenas and discovery orders, use INFORMATION MANAGEMENT – Enquiries.]

# Entry No. 020.068.001

# Description of Records

Records documenting the coordination of Destroy 25 years legal matters relating to clients less than 18 years of age in need of advocacy support. Includes:

- court proceedings;
- attendance at judicial hearings;
- annual reviews;
- interstate transfer of court orders:
- supporting legal documents.

# 020.068.002

Records documenting the coordination of Destroy 7 years after legal matters relating to clients over 18 years of age in need of advocacy support. Includes:

- court proceedings;
- attendance at judicial hearings;
- annual reviews:
- interstate transfer of court orders; and
- supporting legal documents.

# Disposal Action

after date of birth or 7 years after last action, whichever is later

action completed

# Media Relations

The activities associated with establishing a relationship with the media. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

[For administrative arrangements of issuing media releases in the portfolio, Minister or Chief Minister's name, use GOVERNMENT RELATIONS – Media Relations.

For Public presentations or addresses, use ADVOCACY SERVICES – Addresses (presentations.]

| Entry No.   | Description of Records   | Disposal Action                        |
|-------------|--|--|
| 020.071.001 | Master set of agency media releases relating to the advocacy services function.                                      | Retain as Territory<br>Archives        |
| 020.071.002 | Records documenting administrative arrangements with the media relating to the advocacy services function. Includes: | Destroy 2 years after action completed |
|             | • the issuing of media releases;   |  |

 organising interviews; and
 providing information and assistance to support media

coverage.

# 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. 020.072.001

# Description of Records

Records documenting meetings held in collaboration with other government jurisdictions and/or advocacy related bodies where the agency is a participant. Includes:

- agendas;
- meeting papers; and
- minutes.

[For nominations and appointments of agency representatives, use ADVOCACY SERVICES – Representatives.

For staff travel arrangements to attend meetings, use PERSONNEL – Arrangements.]

# 020.072.002

Records documenting the conduct and administration of routine meetings, including meetings with external agencies, relating to the advocacy services function. Includes:

- agenda;
- notices of meetings and draft minutes:
- final versions of minutes; and
- supporting documents tabled at meetings; and
- working papers.

# Disposal Action

Destroy 10 years after action completed

Destroy 3 years after action completed

# **Planning**

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

[For strategic, corporate or business plans, use STRATEGIC MANAGEMENT – Planning.]

| Entry No.   | Description of Records  | Disposal Action                                   |
|-------------|---|---|
| 020.079.001 | Final versions of plans for major or significant projects, programs or operational activities relating to the advocacy services function.                   | Retain as Territory<br>Archives                   |
| 020.079.002 | Final versions of plans for projects, programs and operational activities of lesser significance relating to the advocacy services function.                | Destroy 5 years after action completed            |
| 020.079.003 | Working papers documenting the development of plans for projects, programs and operational activities relating to the advocacy services function. Includes: | Destroy 1 year after<br>adoption of final<br>plan |
|             | <ul><li> draft plans;</li><li> reports analysing issues; and</li><li> comments.</li></ul>   |   |

# **Policy**

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

| Entry No. 020.080.001 | Description of Records Final versions of policies supporting the advocacy services function.   | Disposal Action Retain as Territory Archives |
|-----------------------|--|--|
| 020.080.002           | Records documenting the development, content, establishment and application of policies supporting the advocacy services function. Includes: | Destroy 5 years after policy is superseded   |
|                       | <ul> <li>policy proposals;</li> </ul>  |  |
|                       | <ul> <li>results of consultations and comments on proposals;</li> </ul>  |  |
|                       | <ul> <li>supporting reports; and</li> </ul>  |  |
|                       | <ul> <li>significant drafts.</li> </ul>  |  |

# **Procedures**

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

| Entry No.   | Description of Records  | Disposal Action                   |
|-------------|---|-----------------------------------|
| 020.082.001 | Master set of agency manuals, handbooks, directives etc detailing procedures supporting the advocacy services function. | Archives                          |
| 020.082.002 | Records documenting the development, content and application of procedures supporting the advocacy services function.   | Destroy 5 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. 020.084.001 | Description of Records  Records documenting public reaction or complaints to the provision of advocacy programs and services that caused significant public or political interest, resulted in significant changes to policies or procedures, established a precedent or required a significant investigation. Also includes responses from oversight agencies, (e.g. the Ombudsman, Office of the Community Advocate (OCA) or Official Visitor). | Disposal Action Retain as Territory Archives |
|-----------------------|---|--|
|                       | [For suggestions received from the public, use COMMUNITY RELATIONS - Suggestions.]  |  |
| 020.084.002           | Records documenting routine public reactions, complaints or compliments received in relation to the provision of advocacy programs and services. Includes agency responses and referrals.   | Destroy 3 years after action completed       |
|                       | [For complaints from clients, use   |  |

ADVOCACY SERVICES – Grievances].

# 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 published reports including Annual Reports, use PUBLICATION – Planning and PUBLICATION - Production.

For submissions of annual reports to the portfolio Minister, use GOVERNMENT RELATIONS – Compliance.

For Ministerial reporting by Official Visitors of non-compliant visitable places, use ADVOCACY SERVICES – Compliance.]

| Entry No. 020.088.001 | Description of Records Final versions of significant reports relating to the management of advocacy services in the Territory.         | Disposal Action Retain as Territory Archives |
|-----------------------|--|--|
| 020.088.002           | Final versions of formal internal reports and reports made to external agencies relating to the advocacy services function.            | Destroy 7 years after action completed       |
| 020.088.003           | Responses to surveys carried out on advocacy activities.  [For the development of surveys, use ADVOCACY SERVICES – Service Provision.] | Destroy 3 years after last action            |
| 020.088.004           | Working papers documenting the development of all reports. Includes drafts and comments received.                                      | Destroy 6 months after last action           |

# Representations

The activities involved in preparing responses to questions raised in the Legislative Assembly by Members of Legislative Assembly on behalf of their constituents. Also includes community-based representations and representations directed to the Minister seeking a formal response.

[For records documenting the recording of communications sent to or from the Minister including Ministerial Directives (project worksheets) and background material, use INFORMATION MANAGEMENT – Control.]

# Entry No. 020.089.001

# Description of Records

Records documenting responses to approaches received by the minister (Ministerial Representations) from peak industry bodies, leading community interest groups, influential stakeholders and individuals concerning issues of a contentious nature which were subject to major public or political scrutiny or are of major significance to the agency, Territory or the community at large in relation to the advocacy services function. Includes:

- copies of letters received;
- draft responses;
- minutes providing background details for the Minister;
- requests from the Minister's office for changes; and
- final responses.

020.089.002

Records documenting the preparation of Ministerial responses to questions raised in the Legislative Assembly in relation to the advocacy services function. Destroy 5 years after

last action

# Disposal Action

# Representations (Continued)

The activities involved in preparing responses to questions raised in the Legislative Assembly by Members of Legislative Assembly on behalf of their constituents. Also includes community-based representations and representations directed to the Minister seeking a formal response.

[For records documenting the recording of communications sent to or from the Minister including Ministerial Directives (project worksheets) and background material, use INFORMATION MANAGEMENT – Control.]

*Entry No.* 020.089.003

# **Description of Records**

Records documenting responses to approaches received by the minister (Ministerial Representations) from the public of a routine nature concerning issues that were not contentious or subject to major public or political scrutiny or are of no major significance to the agency, Territory or the community at large in relation to the advocacy services function. Includes:

- copies of letters received;
- draft responses;
- minutes providing background details for the Minister;
- requests from the Minister's office for changes; and
- final responses.

# **Disposal Action**

Destroy 2 years after last action

# Representatives

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

# *Entry No.* 020.090.001

# Description of Records

# **Disposal Action**

Records documenting the appointment of Retain as Territory a person to a statutory or official position. Archives Includes:

- nominations;
- legislative instruments;
- declarations of interest; and
- resignations and/or terminations of appointment.

[For persons employed under the Public Sector Management Act 1994, use PERSONNEL - Recruitment.]

020.090.002

Records documenting agency representatives on inter-governmental forums and non-government organisations, working parties, etc. relating to the advocacy services function. Includes:

Destroy 7 years after last action

- nominations;
- appointments:
- declarations of interest; and
- resignations and/or terminations.

# 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 of research, including statistical information, use STATUTORY ADVOCACY SERVICES – Reporting.]

| Entry No.   | Description of Records  | Disposal Action                    |
|-------------|---|------------------------------------|
| 020.091.001 | Statistical data collected to enable research, analysis, monitoring and evaluation of activities associated with victim support and issues related to victim support in the Territory. Includes the method of collection and standardisation of statistics by the agency. | Destroy 25 years after last action |
| 020.091.002 | Records documenting detailed research<br>carried out to support the advocacy<br>services function, including methods into<br>ways of providing or improving programs<br>and services. Includes:   | Destroy 10 years after last action |
|             | <ul><li>industry and professional insights;</li><li>data collections; and</li><li>research data interpretations.</li></ul>  |                                    |
| 020.091.003 | Records documenting routine research carried out to support the advocacy 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     |
|-------------|---------------------------------------|---------------------|
| 020.093.001 | Final reports of review for programs, | Retain as Territory |
|             | operations or actions supporting the  | Archives            |
|             | advocacy services function.           |                     |

# Reviewing (Continued)

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.* 020.093.002

# **Description of Records**

Records documenting the internal review or quality assurance of programs, operations or actions supporting the advocacy services function. Includes:

Disposal Action

action completed

Destroy 3 years after

- documents establishing the review;
- action plans; and
- outcomes of the review; and
- working papers.

[For audits, use ADVOCACY SERVICES – Audit.]

# Reviews (decisions)

The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

| Entry No.   | Description of Records   | Disposal Action   |
|-------------|--|---|
| 020.094.001 | Records documenting reviews of decisions or actions either carried out within the agency or by an external authority (e.g. Administrative and Civil Appeal Tribunal) where the client is over 18 years old.      | Destroy 7 years after last action   |
| 020.094.002 | Records documenting reviews of decisions or actions either carried out within the agency or by an external authority (e.g. Administrative and Civil Appeal Tribunal) where the client is less than 18 years old. | Destroy 25 years<br>after date of birth or<br>7 years after last<br>action, whichever is<br>the later |

# Reviews (decisions) (Continued)

The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

| Entry No.   |
|-------------|
| 020.094.003 |
|             |

# **Description of Records**

Records documenting applications for reviews of decisions or actions taken as part of providing advocacy services that were not proceeded with (e.g. if the application for review is considered frivolous or vexatious).

# **Disposal Action**

Destroy 5 years after last action

# Risk Management

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

| Entry No.   |
|-------------|
| 020.095.001 |
|             |

# Description of Records

Records documenting the identification, assessment and treatment of risk relating to the management of advocacy services in the Territory. Includes action plans.

# Disposal Action

Destroy 7 years after next risk assessment

# 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.   |
|-------------|
| 020.169.001 |
|             |

# Description of Records

Records documenting the development of Destroy 1 year after service charters and directives relating to the provision of advocacy services.

[For the production of service charters and directives, use PUBLICATION -Planning and PUBLICATION -Production. 1

# **Disposal Action**

superseded

# Service Provision (Continued)

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. 020.169.002

# Description of Records

Records documenting the management of Destroy 4 years after services provided by the agency to the public. Includes:

- enquiry desks;
- telephone information services; and
- interpreter services.

[For the evaluation of services and programs, use ADVOCACY SERVICES -Evaluation.

For enquiries received by the public, use ADVOCACY SERVICES – Enquiries.

# **Standards**

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

| Entry No.   |
|-------------|
| 020.100.001 |
|             |

# Description of Records

Records documenting the development of Retain as Territory standards relating to the advocacy services Archives function. Includes:

- research;
- supporting documents;
- consultation; and
- final standards.

020.100.002  Records documenting the adoption and implementation of agency standards related to the advocacy services function.

Destroy 7 years after standard is superseded

**Disposal Action** 

**Disposal Action** 

action completed

# **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                        |
|-------------|---|--|
| 020.102.001 | Final versions of submissions regarding government administrative practices that result in changes to policy relating to the management of advocacy services in the Territory.  | Retain as Territory<br>Archives        |
| 020.102.002 | Final versions of successful agency submissions relating to the advocacy services function made for the purpose of raising and maintaining the agency's broad public profile.   | Destroy 7 years after action completed |
| 020.102.003 | Final versions of unsuccessful agency submissions relating to the advocacy services function made for the purpose of raising and maintaining the agency's broad public profile. | Destroy 3 years after action completed |
| 020.102.004 | Working papers documenting the development of submissions relating to the management of advocacy services in the Territory. Includes draft submissions.                         | Destroy 6 months 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.* 020.104.001

# **Description of Records**

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

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

# Disposal Action

Destroy 12 years after completion or other termination of agreement or contract

# 020.104.002

Final versions of signed contracts under seal resulting from tenders that do <u>not</u>:

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

Destroy 12 years after last action

# Tendering (Continued)

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.* 020.104.003

# Description of Records

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:

- 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); and
- Statement of Requirements.

020.104.004

Contract and Tender registers

Destroy 7 years after last action

Disposal Action

last action

Destroy 7 years after

# **Training**

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

[For training attended by staff, use PERSONNEL – Training.

For conferences attended by staff, use PERSONNEL – Conferences.

For the administrative arrangements of providing training, use ADVOCACY SERVICES – Arrangements.]

# Entry No. 020.105.001

# Description of Records

Master sets of training materials for courses delivered by the agency in relation to the advocacy services function. Includes:

- Programs;
- lecture notes;
- hand-outs; and
- audio visual materials.

[For the drafting and publishing of training materials, use PUBLICATION.]

020.105.002  Records documenting assessments of training Destroy 1 year after courses delivered by the agency in relation to the advocacy services function.

Disposal Action

Destroy 7 years after last action

action completed

# RETAIN AS TERRITORY ARCHIVES

# ADVOCACY SERVICES

The function of representing and supporting the best interests of children, young people, victims of crime and other vulnerable people who are not able to pursue or protect their own interests and/or have had their freedoms removed. This incorporates people with impaired decision-making capacity, including those with a physical, mental, psychological or intellectual condition who are not able to protect, promote or defend their own welfare and justice. Actions, interventions and initiatives are intended to encourage, influence and create change so that the rights for individuals or whole client groups are attained and upheld. Includes identifying and addressing issues of systemic concern; appointing, or acting as, guardians and managers; providing protection from abuse, exploitation and neglect; improving the rights and recovery of victims of crime; providing representation to an agency, court or tribunal; monitoring of service provision and assessing risk; responding to requests for assistance or advice; and investigating, reporting and making recommendations. Also includes supporting the establishment of organisations, services and programs that support vulnerable people.

[For establishing rapport with the community, including raising and maintaining the agency's broader public profile, use COMMUNITY RELATIONS.

For patient/client health care and treatment by a health service provider, use HEALTH TREATMENT AND CARE.

For the provision of financial services under Enduring Powers of Attorney or Order of the Guardianship and Management of Property, use PUBLIC TRUSTEE SERVICES – Financial Management.

For the determination and evaluation of agency performance against broader Territory goals, use STRATEGIC MANAGEMENT – Performance Management.]

# Addresses (presentations)

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

*Entry No.* 020.004.001

# Description of Records

Final versions of addresses made by senior agency officers at major or significant public events.

[For the final versions of addresses presented by the Chief Minister or portfolio Minister, use GOVERNMENT RELATIONS - Addresses (presentations) or COMMUNITY RELATIONS - Addresses (presentations).]

# Disposal Action

# Advice

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

[For advice provided to the Chief Minister or portfolio Minister, use GOVERNMENT RELATIONS – Advice.

For interpretations of the agency's legislation, use LEGAL SERVICES – 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 STRATEGIC MANAGEMENT - Advice.

For proposals of new or amended agency legislation, use LEGAL SERVICES – Advice.]

# Entry No. 020.005.001

# **Description of Records**

# Disposal Action

Receipt and provision of advice that result Retain as Territory in major changes relating to the advocacy Archives services function, including specialist or technical advice provided by consultants and independent regulators. Includes:

- economic management;
- policy issues; and
- recommendations for reform.

# Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing 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. 020.006.001

# Description of Records

Disposal Action

Records documenting significant
agreements made between the agency and Archives
external third parties which have
implications for major liabilities or

• negotiations;

obligations. Includes:

- establishment;
- reviews;
- maintenance: and
- final agreements.

# Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

[For requests to access records under the Freedom of Information Act 1989 or the Territory Records Act 2002, use INFORMATION MANAGEMENT – Case Management.

For appeals made by individual employees, use PERSONNEL – appeals (decisions).]

Entry No. 020.009.001

# **Description of Records**

Disposal Action

Records documenting significant appeals Retain as Territory relating to the advocacy services function Archives

made to a central arbitration or

determining body (e.g. Administrative and Civil Appeal Tribunal) against a decision or an order where the agency is a major

participant in negotiations.

# Case Management

The activity of managing an incident, person, organisation or client on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

[For internal and external advice, ADVOCACY SERVICES – Advice.

For investigations into maters of major public interest, use ADVOCACY SERVICES – Inquiries.

For investigations of systemic issues regarding advocacy issues or practices, use ADVOCACY SERVICES – Investigations.

For internal reviews of actions or decisions, use ADVOCACY SERVICES – Reviews (decisions).]

Entry No. 020.016.001

# **Description of Records**

**Disposal Action** 

Records documenting cases relating to the Retain as Territory advocacy services function which result in Archives major changes to policy or procedure; are high profile, controversial or subject to social or political interest; or are precedent setting. Includes:

- expert reports;
- correspondence; and
- determinations.

### **Committees**

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas, etc. of committees and task forces.

[For agency representatives to external committees, use STATUTORY ADVOCACY 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. 020.020.001

# **Description of Records**

Records documenting high level external or internal committees (e.g. Management Assessment Panel, Care Coordination Office) formed to manage or advise where the agency provides Secretariat, is the Territory's main representative or plays a significant role. Includes:

- establishing the committee;
- terms of reference;
- appointment of members;
- minutes;
- reports;
- recommendations; and
- briefing and discussion papers.

# **Control**

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes mechanisms for other information resources and systems.

| Entry No.   |
|-------------|
| 020.026.001 |
|             |

# Description of Records

Control registers. Includes registers for approved services providers and services to victims.

# Disposal Action

**Disposal Action** 

# **Evaluation**

The process of determining the suitability of potential or existing programs or projects (e.g. IT infrastructure, capital works), items of equipment, systems or services in relation to meeting the needs of the given situation. Includes analysis, forecasting, modelling and ongoing monitoring.

| Entry No.   | Description of Records   | Disposal Action                 |
|-------------|--|---------------------------------|
| 020.042.001 | Records documenting the evaluation of programs and/or services that result in significant changes supporting the advocacy services function. | Retain as Territory<br>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   |
|-------------|--|-------------------|
| 020.056.001 | Records documenting an agency's                | Retain as Territo |
|             | contribution and involvement to inquiries      | Archives          |
|             | relating directly to its own activities in the |                   |
|             | provision of the advocacy services and         |                   |

tory

• submissions;

programs. Includes:

- briefing papers;
- reports;
- attendance records;
- transcripts of oral evidence given by agency staff; and
- working papers.

# **Investigations**

The activities involved in a formal search, examination and/or scrutiny undertaken as result of an accident, an incident, a complaint, an observation, a breach or non-compliance. Includes evidence collected, produced documents, photographs, statements, notes, decisions and final reports.

[For legal support or opinions provided during and investigation, use LEGAL SERVICES – Inquiries.

For investigations into alleged privacy breaches relating to records, use INFORMATION MANAGEMENT – Privacy.]

# Entry No. 020.202.001

# Description of Records

Records documenting investigations into matters of major public interest or systemic issues into advocacy where there has not been a specific complaint (e.g. own motion investigations). Includes:

Disposal Action

Archives

Retain as Territory

- agency statements;
- submissions;
- research: and
- reports.

[For media releases regarding public interest investigations, use ADVOCACY SERVICES – Media Relations.

For advice and recommendations regarding major investigations provided to the Chief Minister or portfolio Minister, use GOVERNMENT RELATIONS – Advice.]

# Media Relations

The activities associated with establishing a relationship with the media. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

[For administrative arrangements of issuing media releases in the portfolio Minister or Chief Minister's name, use GOVERNMENT RELATIONS – Media Relations.

For Public presentations or addresses, use ADVOCACY SERVICES – Addresses (presentations.]

| Entry No.   | Description of Records  | Disposal Action                 |
|-------------|---|---------------------------------|
| 020.071.001 | Master set of agency media releases relating to the advocacy services function. | Retain as Territory<br>Archives |

# **Planning**

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

[For strategic, corporate or business plans, use STRATEGIC MANAGEMENT – Planning.]

| Entry No.   | Description of Records  | Disposal Action                 |
|-------------|---|---------------------------------|
| 020.079.001 | Final versions of plans for major or significant projects, programs or operational activities relating to the advocacy services function. | Retain as Territory<br>Archives |

# **Policy**

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

| Entry No.   | Description of Records                    | Disposal Action     |
|-------------|---|---------------------|
| 020.080.001 | Final versions of policies supporting the | Retain as Territory |
|             | advocacy services function.               | Archives            |

# **Procedures**

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

| Entry No.   | Description of Records                     | Disposal Action     |
|-------------|--|---------------------|
| 020.082.001 | Master set of agency manuals, handbooks,   | Retain as Territory |
|             | directives etc detailing procedures        | Archives            |
|             | supporting the advocacy services function. |                     |

# **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. 020.084.001

# **Description of Records**

Records documenting public reaction or complaints to the provision of advocacy programs and services that caused significant public or political interest, resulted in significant changes to policies or procedures, established a precedent or required a significant investigation. Also includes responses from oversight agencies, (e.g. the Ombudsman, Office of the Community Advocate (OCA) or Official Visitor).

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

# Disposal Action

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 published reports including Annual Reports, use PUBLICATION – Planning and PUBLICATION - Production.

For submissions of annual reports to the portfolio Minister, use GOVERNMENT RELATIONS – Compliance.

For Ministerial reporting by Official Visitors of non-compliant visitable places, ADVOCACY SERVICES – Compliance.]

| Entry No.   |
|-------------|
| 020.088.001 |
|             |

# Description of Records

Final versions of significant reports relating to the management of advocacy services in the Territory.

# Disposal Action

# Representations

The activities involved in preparing responses to questions raised in the Legislative Assembly by Members of Legislative Assembly on behalf of their constituents. Also includes community-based representations and representations directed to the Minister seeking a formal response.

[For records documenting the recording of communications sent to or from the Minister including Ministerial Directives (project worksheets) and background material, use INFORMATION MANAGEMENT – Control.]

*Entry No.* 020.089.001

# **Description of Records**

Records documenting responses to approaches received by the minister (Ministerial Representations) from peak industry bodies, leading community interest groups, influential stakeholders and individuals concerning issues of a contentious nature which were subject to major public or political scrutiny or are of major significance to the agency, Territory or the community at large in relation to the advocacy services function. Includes:

- copies of letters received;
- draft responses;
- minutes providing background details for the Minister;
- requests from the Minister's office for changes; and
- final responses.

# **Disposal Action**

# Representatives

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

# *Entry No.* 020.090.001

# Description of Records

**Disposal Action** 

Records documenting the appointment of Retain as Territory a person to a statutory or official position. Archives Includes:

- nominations;
- legislative instruments;
- declarations of interest; and
- resignations and/or terminations of appointment.

[For persons employed under the Public Sector Management Act 1994, use PERSONNEL - Recruitment.]

# 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.   |
|-------------|
| 020.093.001 |
|             |

# Description of Records

Final reports of review for programs, operations or actions supporting the advocacy services function.

# Disposal 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. 020.100.001

# Description of Records

Disposal Action

Records documenting the development of Retain as Territory standards relating to the advocacy services Archives function. Includes:

- research:
- supporting documents;
- consultation; and
- final standards.

# **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. 020.102.001

# Description of Records

Disposal Action

Final versions of submissions regarding government administrative practices that result in changes to policy relating to the management of advocacy services in the Territory.