

Australian Capital Territory

# **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)**

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## **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

\*Name amended under Legislation Act, s 60



# **Records Disposal Schedule**

## **Advocacy Services Records**

# Table of Contents

<b>INTRODUCTION</b> .....	<b>6</b>
<b>PURPOSE</b> .....	<b>6</b>
<b>SCOPE</b> .....	<b>6</b>
<b>AUTHORITY</b> .....	<b>6</b>
<b>STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA</b> .....	<b>6</b>
<i>Whole of Government Thesaurus</i> .....	7
<b>GUIDELINES FOR USE</b> .....	<b>7</b>
<i>Coverage of authority</i> .....	7
<i>Layout of the schedule</i> .....	8
<b>FORMAT OF RECORD</b> .....	<b>9</b>
<i>Electronic records</i> .....	9
<b>DESTRUCTION OF RECORDS</b> .....	<b>9</b>
<b>UPDATING THE RECORDS DISPOSAL SCHEDULE</b> .....	<b>9</b>
<b>ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE</b> .....	<b>9</b>
<b>DEFINITIONS</b> .....	<b>11</b>
<i>Agency</i> .....	11
<i>Appraisal</i> .....	11
<i>Business Classification Scheme</i> .....	11
<i>Principal Officer</i> .....	11
<i>Records</i> .....	11
<i>Records of an Agency</i> .....	11
<i>Records Disposal Schedule</i> .....	11
<i>Records Management Program</i> .....	12
<i>Recordkeeping Systems</i> .....	12
<i>Scope Note</i> .....	12
<i>Sentencing</i> .....	12
<i>Territory Archives</i> .....	12
<b>BUSINESS CLASSIFICATION SCHEME</b> .....	<b>13</b>
<i>ADVOCACY SERVICES</i> .....	14
<b>RECORDS DISPOSAL SCHEDULE</b> .....	<b>20</b>
<i>ADVOCACY SERVICES</i> .....	21
<i>Addresses (presentations)</i> .....	21
<i>Addresses (presentations) (Continued)</i> .....	22
<i>Advice</i> .....	22
<i>Advice (Continued)</i> .....	23
<i>Agreements</i> .....	23
<i>Appeals (decisions)</i> .....	24

<i>Arrangements</i> .....	25
<i>Audit</i> .....	25
<i>Audit (Continued)</i> .....	26
<i>Authorisation</i> .....	26
<i>Authorisation (Continued)</i> .....	27
<i>Case Management</i> .....	27
<i>Case Management (Continued)</i> .....	28
<i>Case Management (Continued)</i> .....	29
<i>Claims</i> .....	30
<i>Committees</i> .....	31
<i>Compliance</i> .....	32
<i>Contracting out</i> .....	33
<i>Control</i> .....	33
<i>Distribution</i> .....	33
<i>Enquiries</i> .....	34
<i>Evaluation</i> .....	34
<i>Greetings</i> .....	35
<i>Grievances</i> .....	35
<i>Grievances (Continued)</i> .....	36
<i>Implementation</i> .....	36
<i>Inquiries</i> .....	37
<i>Inspections</i> .....	38
<i>Investigations</i> .....	38
<i>Investigations (Continued)</i> .....	39
<i>Joint Ventures</i> .....	40
<i>Liaison</i> .....	41
<i>Litigation</i> .....	42
<i>Media Relations</i> .....	43
<i>Meetings</i> .....	44
<i>Planning</i> .....	45
<i>Policy</i> .....	45
<i>Procedures</i> .....	46
<i>Public Reaction</i> .....	46
<i>Reporting</i> .....	47
<i>Representations</i> .....	48
<i>Representations (Continued)</i> .....	49
<i>Representatives</i> .....	50
<i>Research</i> .....	51
<i>Reviewing</i> .....	51
<i>Reviewing (Continued)</i> .....	52
<i>Reviews (decisions)</i> .....	52
<i>Reviews (decisions) (Continued)</i> .....	53
<i>Risk Management</i> .....	53
<i>Service Provision</i> .....	53
<i>Service Provision (Continued)</i> .....	54
<i>Standards</i> .....	54
<i>Submissions</i> .....	55
<i>Tendering</i> .....	56
<i>Tendering (Continued)</i> .....	57
<i>Training</i> .....	58

<b>RETAIN AS TERRITORY ARCHIVES.....</b>	<b>59</b>
<i>ADVOCACY SERVICES.....</i>	<i>60</i>
<i>Addresses (presentations).....</i>	<i>60</i>
<i>Advice.....</i>	<i>61</i>
<i>Agreements.....</i>	<i>61</i>
<i>Appeals (decisions).....</i>	<i>62</i>
<i>Case Management.....</i>	<i>62</i>
<i>Committees.....</i>	<i>63</i>
<i>Control.....</i>	<i>63</i>
<i>Evaluation.....</i>	<i>64</i>
<i>Inquiries.....</i>	<i>64</i>
<i>Investigations.....</i>	<i>65</i>
<i>Media Relations.....</i>	<i>65</i>
<i>Planning.....</i>	<i>66</i>
<i>Policy.....</i>	<i>66</i>
<i>Procedures.....</i>	<i>66</i>
<i>Public Reaction.....</i>	<i>67</i>
<i>Reporting.....</i>	<i>67</i>
<i>Representations.....</i>	<i>68</i>
<i>Representatives.....</i>	<i>69</i>
<i>Reviewing.....</i>	<i>69</i>
<i>Standards.....</i>	<i>70</i>
<i>Submissions.....</i>	<i>70</i>

## **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 co-research 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**





**Advice (Continued)**

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.005.003 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development of advice relating to the advocacy services function.	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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.006.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting significant agreements made between an agency and external third parties which have implications for major liabilities or obligations. Includes: <ul style="list-style-type: none"> <li>• negotiations;</li> <li>• establishment;</li> <li>• reviews;</li> <li>• maintenance; and</li> <li>• final agreements.</li> </ul>	Retain as Territory Archives
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: <ul style="list-style-type: none"> <li>• negotiations;</li> <li>• establishment;</li> <li>• reviews;</li> <li>• maintenance; and</li> <li>• final agreements.</li> </ul>	Destroy 7 years after expiry or other termination of the agreement







**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.

<i><b>Entry No.</b></i>	<i><b>Description of Records</b></i>	<i><b>Disposal Action</b></i>
020.013.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the planning and conduct of internal audits relating to the advocacy services function. Includes: <ul style="list-style-type: none"> <li>● liaison;</li> <li>● opening and exit interviews;</li> <li>● reports;</li> <li>● comments; and</li> <li>● schedules.</li> </ul>	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.

<i><b>Entry No.</b></i>	<i><b>Description of Records</b></i>	<i><b>Disposal Action</b></i>
020.014.001 ■■■■■■■■■■■■■■■■■■■■	Delegations of powers to agency staff to authorise actions on behalf of clients relating to the advocacy services function. Includes delegations for the provision of: <ul style="list-style-type: none"> <li>● health care treatments;</li> <li>● housing placements; and</li> <li>● legal matters.</li> </ul>	Destroy 7 years after delegation expires or is superseded
020.014.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the approval of services providers. Includes: <ul style="list-style-type: none"> <li>● suitability against assessment criteria;</li> <li>● approvals; and</li> <li>● suspensions or cancellations of approvals.</li> </ul>	Destroy 7 years after the approval ceases

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















### **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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
020.025.001 ■■■■■■■■■■■■■■■■■■■■	<p>Records documenting contract management to approved service providers relating to the advocacy services function. Includes:</p> <ul style="list-style-type: none"><li>• minutes of meetings with main stakeholders;</li><li>• annual reviews; and</li><li>• dispute resolution.</li></ul> <p><i>[For the suspension or cancellation of approved service providers, ADVOCACY SERVICES – Authorisation.</i></p> <p><i>For the inspection of service providers for compliance of service provision, use ADVOCACY SERVICES – Inspections.]</i></p>	Destroy 7 years after completion or other termination of contract

### **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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
020.026.001 ■■■■■■■■■■■■■■■■■■■■	Control registers. Includes registers for approved services providers and services to victims.	Retain as Territory Archives

### **Distribution**

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

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

## ***Enquiries***

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

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
020.040.001 ■■■■■■■■■■■■■■■■■■■■	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).  <i>[For enquiries regarding judicial hearings – JUDICIAL HEARINGS MANAGEMENT – Enquiries.</i>  <i>For complaints, use ADVOCACY SERVICES – Grievances.]</i>	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.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
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 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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.050.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the preparation, dispatch and receipt of letters, including: <ul style="list-style-type: none"><li>• introductions;</li><li>• appreciations;</li><li>• condolences; and</li><li>• greeting cards.</li></ul> <p><i>[For mailing lists, use ADVOCACY SERVICES – Distribution.</i></p> <p><i>For complaints received, use ADVOCACY SERVICES – grievances.]</i></p>	Destroy 6 months after last action

## **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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.051.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting formal grievances submitted by an individual or group less than 18 years of age, including grievances made to an advocacy body (e.g. Official Visitors). Includes: <ul style="list-style-type: none"><li>• notes of meetings;</li><li>• reports; and</li><li>• recommendations.</li></ul>	Destroy 25 years after date of birth or 7 years after action completed, whichever is later

### *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.]*

<i><b>Entry No.</b></i>	<i><b>Description of Records</b></i>	<i><b>Disposal Action</b></i>
020.051.002 ■■■■■■■■■■■■■■■■■■■■	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: <ul style="list-style-type: none"> <li>• notes of meetings;</li> <li>• reports; and</li> <li>• recommendations.</li> </ul>	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.

<i><b>Entry No.</b></i>	<i><b>Description of Records</b></i>	<i><b>Disposal Action</b></i>
020.053.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the implementation of programs (e.g. educational programs) relating to the advocacy services function. <p><i>[For the monitoring and evaluation of programs, use ADVOCACY SERVICES – Evaluation.]</i></p>	Destroy 7 years after the program is superseded
020.053.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the implementation of plans, policies and procedures developed for the advocacy services function.	Destroy 3 years after action completed





### ***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.]*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
020.202.002 ■■■■■■■■■■■■■■■■■■■■	<p>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.</p> <p><i>[For infringements by staff, use PERSONNEL - Infringements.</i></p> <p><i>For reports by the public or mandatory reporters about the concern for a child, use CHILD CARE AND PROTECTION PROGRAMS – Investigations.]</i></p>	Destroy 15 years after last action
020.202.003 ■■■■■■■■■■■■■■■■■■■■	<p>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.</p> <p><i>[For infringements by staff, use PERSONNEL - Infringements.</i></p> <p><i>For reports by the public or mandatory reporters about the concern for a child, use CHILD CARE AND PROTECTION PROGRAMS – Investigations.]</i></p>	Destroy 7 years after last action













## 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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
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 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: <ul style="list-style-type: none"> <li>• draft plans;</li> <li>• reports analysing issues; and</li> <li>• comments.</li> </ul>	Destroy 1 year after adoption of final plan

## Policy

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

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.080.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of policies supporting the advocacy services function.	Retain as Territory Archives
020.080.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development, content, establishment and application of policies supporting the advocacy services function. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• results of consultations and comments on proposals;</li> <li>• supporting reports; and</li> <li>• significant drafts.</li> </ul>	Destroy 5 years after policy is superseded













## **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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
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 carried out to support the advocacy services function, including methods into ways of providing or improving programs and services. Includes: <ul style="list-style-type: none"><li>• industry and professional insights;</li><li>• data collections; and</li><li>• research data interpretations.</li></ul>	Destroy 10 years after last action
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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.093.001 ■■■■■■■■■■■■■■■■■■■■	Final reports of review for programs, operations or actions supporting the advocacy services function.	Retain as Territory Archives

















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### **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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.202.001 ■■■■■■■■■■■■■■■■■■■■	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: <ul style="list-style-type: none"><li>• agency statements;</li><li>• submissions;</li><li>• research; and</li><li>• reports.</li></ul> <p><i>[For media releases regarding public interest investigations, use ADVOCACY SERVICES – Media Relations.]</i></p> <p><i>[For advice and recommendations regarding major investigations provided to the Chief Minister or portfolio Minister, use GOVERNMENT RELATIONS – Advice.]</i></p>	Retain as Territory Archives

### **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).]*

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



### **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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.084.001 ■■■■■■■■■■■■■■■■■■■■	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).  <i>[For suggestions received from the public, use COMMUNITY RELATIONS - Suggestions.]</i>	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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.088.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of significant reports relating to the management of advocacy services in the Territory.	Retain as Territory Archives





## **Standards**

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

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
020.100.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development of standards relating to the advocacy services function. Includes: <ul style="list-style-type: none"> <li>• research;</li> <li>• supporting documents;</li> <li>• consultation; and</li> <li>• final standards.</li> </ul>	Retain as Territory Archives

## **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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
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 Archives