Australian Capital Territory

# Territory Records (Records Disposal Schedule – Strategy & Governance Records) Approval 2017 (No 1)

# Notifiable instrument NI2017-89

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 – Strategy & Governance Records) Approval 2017 (No 1).

# 2 Commencement

This instrument commences on 27 February 2017.

# 3 Approval

I approve the Records Disposal Schedule – Strategy & Governance Records.

# 4 Revocation

This instrument revokes:

Territory Records (Records Disposal Schedule - Territory Administrative Records Disposal Schedules - Strategic Management Records) Approval 2009 (No 1) NI2009-453.

Danielle Wickman Director of Territory Records 16 February 2017



# **Records Disposal Schedule**

# **Strategy & Governance Records**

# **Table of Contents**

INTRODUCTION	5
PURPOSE	5
SCOPE	5
AUTHORITY	5
STRUCTURE AND RELATIONSHIP TO THE WHOLE OF GOVERNMENT	
THESAURUS	
Whole of Government Thesaurus	
GUIDELINES FOR USE	
Coverage of authority	
Layout of the schedule	
FORMAT OF RECORD.	
Electronic records	8
DESTRUCTION OF RECORDS	
UPDATING THE RECORDS DISPOSAL SCHEDULE	
ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE	
RELATED LEGISLATION	
DEFINITIONS	
Agency	
Appraisal	
Business Classification Scheme	
Principal Officer	
Records	
Records of an Agency	
Records Disposal Schedule	
Records Management Program Recordkeeping Systems	
Scope Note	
Sentencing	
Territory Archives	11
BUSINESS CLASSIFICATION SCHEME	12
STRATEGY & GOVERNANCE	13
RECORDS DISPOSAL SCHEDULE	16
STRATEGY & GOVERNANCE	17
Acquisition	
Acquisition (Continued)	
Acquisition (Continued)	
Audit Audit (Continued)	
Authorisation & Delegation	
Compliance	
Contract Management	
Legislation	24

Organisational Structure	25
Organisational Structure (Continued)	
Performance Management	27
Performance Management (Continued)	
Planning	
Planning (Continued)	
Policies & Procedures	
Position Management	
Reporting & Statements	
Risk Management & Insurance	
Risk Management & Insurance (Continued)	
Standards	
RETAIN AS TERRITORY ARCHIVES	
STRATEGY & GOVERNANCE	
Acquisition	
Acquisition (Continued)	
Audit	
Legislation	
Organisational Structure	
Performance Management	
Planning	
Policies & Procedures	
Risk Management & Insurance	

# **INTRODUCTION**

The *Records Disposal Schedule - Strategy & Governance 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 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 WHOLE OF GOVERNMENT THESAURUS

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

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. An agency must take all reasonable steps to ensure that no legal action is contemplated in relation to its records and 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.

# Records Disposal Schedule – Strategy & Governance Records February 2017

The *Records Disposal Schedule - Strategy & Governance 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 Whole of Government Thesaurus. The Records Disposal Schedule is designed to be applicable to all records relating to the function described in this schedule regardless of titling conventions used, so that records, which have not been classified and 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 former Territory Version of Keyword AAA (TVKAAA) (2010). In the Whole of Government Thesaurus all functions are considered to be functions performed by the ACT Government and have been included following consultation with stakeholder 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 classifying and titling of their 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 (Records, Information and Data) Standard 2016.* Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Whole of Government Thesaurus. 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 - Strategy & Governance Records:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Whole of Government 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:

Criminal Code 2002 Evidence Act 2011 Financial Management Act 1996 Freedom of Information Act 1989 Government Procurement Act 2001 Information Privacy Act 2014 Limitations Act 1985 Privacy Act 1988 (Cwlth) Public Interest Disclosure Act 2012 Public Sector Management Act 1994 Territory Records Act 2002 Workplace Privacy Act 2011

# **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 created and 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** 

# STRATEGY & GOVERNANCE

The function of establishing the strategic direction and governance framework for ACT Government and its organisations, and overseeing the management of their operations through systematic planning, controlling and managing the overall structures, framework and direction of the organisations to meet government goals, objectives and priorities and ensure overall performance and conformance in the delivery of goods, services or programs. Includes the preparation of corporate and business plans and strategies, controlling and managing organisation structures, performance monitoring and reporting, risk management, auditing and objectives to ensure continuous improvement, performance and quality assurance.

# **Acquisition**

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

#### Audit

The activities associated with officially checking the activities, processes, services and operations of organisations, companies or other entities to ensure conformance with agreed or legislated standards, policies, procedures, or other requirements. Includes internal or external financial, recordkeeping, skills, systems, operational, quality assurance or compliance audits.

# Authorisation & Delegation

The activities associated with delegating power to authorise an action and the seeking or granting permission to undertake a requested action.

*Note:* For routine approvals supporting a more specific process, (e.g. Budgeting for budget approvals; or Procurement for approvals to purchase goods or services), use the relevant activity.

# *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.

# **Contract Management**

The activities associated with managing the performance of work or the provision of services by external consultants and contractors following their initial engagement. Includes instructions to contracted personnel, progress reports, monitoring of expenditure against budgets, and performance reviews.

# Legislation

The activities associated with proposing, developing and reviewing legislation, including Acts, Regulations, Bills, subsections of Acts etc.

# **Organisational Structure**

The activities associated with establishing, reviewing and modifying the overall structure of the organisation to meet organisation goals and objectives. Includes the preparation of organisational charts and the management of restructures as a result of Machinery of Government (MoG) changes.

# **Performance Management**

The activities associated with the management of employees, services, programs, and organisations to ensure that goals and objectives are achieved efficiently effectively and accountably. Includes identifying, evaluating and developing tools and processes for measuring performance and providing recognition and feedback to employees, workgroups or organisations. Also includes catering for employees work needs and offering career guidance.

# Planning

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

*Note:* Use the relevant activity where strategies and plans are developed to support a more specific process, (e.g. use Maintenance for maintenance plans, or Risk Management & Insurance for risk management plans and strategies).

# **Policies & Procedures**

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

# **Position Management**

The activities associated with evaluating, establishing, managing, reviewing, modifying and inactivating positions within the organisation, including managing vacancies, position variations, job evaluations, and the classification and grading of positions.

# **Reporting & Statements**

The activities associated with drafting, preparing and providing reports including in the form of informal or formal statements, statistics, returns, submissions or similar reports.

*Note:* Where reports support a more specific activity, use the relevant classification, (e.g. use Borrowing & Investment, for reports on organisation investments, or use Budgeting for reporting on budget expenditure.

#### **Risk Management & Insurance**

The activities associated with managing organisation risks. Includes business continuity, disaster, fraud control and other risk management plans, risk assessments, analysis, treatment and control measures, risk registers, and the taking out of insurance to cover risks, including handling subsequent claims made against insurance policies.

# **Standards**

The activities associated with developing and/or implementing industry or organisation specific benchmarks for services and processes to enhance the quality and efficiency of an organisation, business or industry.

**RECORDS DISPOSAL SCHEDULE** 

# STRATEGY & GOVERNANCE

The function of establishing the strategic direction and governance framework for ACT Government and its organisations, and overseeing the management of their operations through systematic planning, controlling and managing the overall structures, framework and direction of the organisations to meet government goals, objectives and priorities and ensure overall performance and conformance in the delivery of goods, services or programs. Includes the preparation of corporate and business plans and strategies, controlling and managing organisation structures, performance monitoring and reporting, risk management, auditing and objectives to ensure continuous improvement, performance and quality assurance.

#### **Acquisition**

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.

For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.

For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]

*Entry No.* 196.003.001

#### **Description of Records**

# Records documenting the evaluation of potential programs, services and projects for their suitability and the development of significant procurement agreements with implications for major financial liabilities or financial obligations or that are of significance to the Territory and support government priorities, policies and economic reforms in the community. Includes:

- budget bids;
- tender documentation and tenders;
- post-offer negotiations and due diligence checks;
- modelling and/or forecasting;
- working papers;
- negotiations;
- establishments;
- reviews;
- final versions.

# **Disposal** Action

Retain as Territory Archives

# Acquisition (Continued)

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.

*For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.* 

For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]

<i>Entry No.</i> 196.003.002	Description of RecordsDisposal ActionRecords documenting the activities involved in the acquisition of items or services relating to strategy & governance matters. Includes;Destroy 12 years after last action
	<ul> <li>authorisation to acquire goods, services, equipment, etc.;</li> <li>requisitions and order forms;</li> <li>tender documentation and tenders;</li> <li>agreements that <u>do not</u> support government priorities, policies and economic reforms made relating to Strategy &amp; Governance;</li> <li>negotiations, establishment, maintenance and review of agreements;</li> <li>simple contracts and agreements and contracts under seal;</li> <li>post-offer negotiations and due diligence checks;</li> </ul>

# Acquisition (Continued)

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.

*For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.* 

For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]

Entry No.	Description of Records	Disposal Action
196.003.002 Cont.	<ul> <li>minutes of meetings with main stakeholders, includes meetings with external agencies;</li> <li>performance and evaluation reports;</li> <li>evaluation of potential programs and services that are considered minor or have not major impacts on government priorities, policies or economic reforms;</li> <li>review of related programs and operations, including documents establishing the review, final reports, action plans;</li> <li>tender and contract registers;</li> <li>unsuccessful tenders or where there is no suitable bidder or tender process discontinued;</li> <li>working papers.</li> </ul>	Destroy 12 years after last action

# Audit

The activities associated with officially checking the activities, processes, services and operations of organisations, companies or other entities to ensure conformance with agreed or legislated standards, policies, procedures, or other requirements. Includes internal or external financial, recordkeeping, skills, systems, operational, quality assurance or compliance audits.

<i>Entry No.</i> 196.013.001	Description of Records Final audit reports relating to ACT Government functions, including operational audits of hospital, medical or emergency services equipment and stores, and emergency vehicles, which resulted in substantial changes to policy or procedures or have a significant impact on the Territory or its operations. Includes final reports from audits conducted by the ACT Auditor General's Office and recommendations and implementation plans.	
196.013.002	Records documenting the planning and conduct of internal and external audits relating to the relating to ACT Government functions, including telecommunications compliance records and audits of cabling installations, the Territory fleet, finances and hospital, medical equipment and stores or emergency services vehicles that did not result in substantial changes to policy or procedures or have a significant impact on the Territory or its operations. Includes: • final internal and external audit	Destroy 10 years after action completed
	<ul> <li>reports;</li> <li>final reports from audits conducted by the ACT Auditor General's Office;</li> <li>non-compliance complaints;</li> <li>liaison and consultation papers;</li> <li>notification to complainant that matter is to be investigated;</li> <li>draft investigation report and recommendations;</li> <li>complaint referrals;</li> <li>remedial directions;</li> <li>liaison with the auditing body;</li> </ul>	

# Audit (Continued)

The activities associated with officially checking the activities, processes, services and operations of organisations, companies or other entities to ensure conformance with agreed or legislated standards, policies, procedures, or other requirements. Includes internal or external financial, recordkeeping, skills, systems, operational, quality assurance or compliance audits.

# Entry No.

# **Description of Records**

196.013.002 Cont.

- minutes of meetings;
- notes taken at opening and exit interviews;
- draft reports;
- comments;
- declarations nominating accounts exempted from normal disclosure;
- working papers.

# **Disposal** Action

Destroy 10 years after action completed

# Authorisation & Delegation

The activities associated with delegating power to authorise an action and the seeking or granting permission to undertake a requested action.

*Note:* For routine approvals supporting a more specific process, (e.g. Budgeting for budget approvals; or Acquisition for approvals to purchase goods or services), use the relevant activity.

Entry No.	Description of Records	Disposal Action
196.290.001	Delegations of power to agency staff to authorise administrative action relating to revenue assessments and related actions.	Destroy 25 years after delegation expires or is superseded
196.290.002	Delegations of power to agency staff to authorise financial activities and transactions (e.g. delegation to approve expenditure or appointment of an officer to countersign cheques).	Destroy 10 years after delegation superseded
196.290.003	Delegations of power and authorisations to agency staff to authorise administrative action relating to the Territory's functions, including administrative actions relating to authorisations to collect group certificates, compensation, establishment, fleet management, records and information management, work health & safety and property management.	

# *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. 196.021.001 

# **Description of Records**

Records documenting agency compliance Destroy 7 years after with mandatory or optional standards or with statutory requirements. Includes registration of:

- Australian Business Number (ABN):
- Australian Company Number (ACN);
- Data Universal Numbering System Number (DUNS);
- breaches of rules for emergency vehicles when attending incidents, including:
  - o traffic infringements
  - o parking fines
  - o correspondence with relevant authorities;
- breaches of the agency's rules and/or driving, traffic, aeronautical or marine laws, emergency vehicles not attending incidents, Including:
  - o copies of infringement notices
  - o correspondence with relevant authorities
  - o other supporting documentation.

[For cases where legal advice is sought, use SOLICITOR & LEGAL SERVICES -Advice.

For cases that proceed to litigation, use SOLICITOR & LEGAL SERVICES -Litigation.

For disciplinary action arising from infringements by employees, use HUMAN **RESOURCES** - Performance Management.]

# **Disposal** Action

last action

# **Contract Management**

The activities associated with managing the performance of work or the provision of services by external consultants and contractors following their initial engagement. Includes instructions to contracted personnel, progress reports, monitoring of expenditure against budgets, and performance reviews.

[For the initial selection and appointment of consultants and contractors, including tendering, selection, the establishment of contracts and terms of engagement, use Acquisition

For material developed by contractors and consultants in accordance with their terms of engagement, use the relevant activity (e.g. use Marketing & Publication, for marketing plans prepared for the organisation by consultants).]

*Entry No.* 196.276.001

# **Description of Records**

Records documenting contract management. Includes:

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

# **Disposal** Action

Destroy 7 years after completion or other termination of agreement or contract

# Legislation

The activities associated with proposing, developing and reviewing legislation, including Acts, Regulations, Bills, subsections of Acts etc.

[For advice and submissions in response to legislation proposed by or relating to other agencies, use GOVERNMENT & STAKEHOLDER RELATIONS – Government & Assembly Matters.

*For legal advice concerning the interpretation of legislation, use SOLICITOR & LEGAL SERVICES - Advice.]* 

Entry No.	Description of Records	Disposal Action
196.066.001	Records documenting the development of proposals for new legislation and amendments to existing legislation administered by the agency and the passage of the legislation through the Legislative Assembly, including the receipt and provision of specialist or technical advice provided by consultants and independent regulators, submissions and advice prepared for the agency's executive, corporate management board or the Minister or Chief Minister. Also includes:	Retain as Territory Archives
	<ul> <li>preliminary drafting instructions;</li> <li>proposed bills;</li> <li>records documenting consultation with relevant government agencies;</li> <li>preparation of the Explanatory Memorandum;</li> <li>Second Reading Speech.</li> </ul>	
	[For submissions to the portfolio Minister and to Cabinet relating to legislative proposals, use GOVERNMENT & STAKEHOLDER RELATIONS - Government & Assembly Matters.	
	For legal advice received on the interpretation of legislation, use SOLICITOR & LEGAL SERVICES - Advice.]	

# **Organisational Structure**

The activities associated with establishing, reviewing and modifying the overall structure of the organisation to meet organisation goals and objectives. Includes the preparation of organisational charts and the management of restructures as a result of Machinery of Government (MoG) changes.

[For evaluating, establishing, managing and reviewing employment positions within the organisation, including managing vacancies, position variations, job evaluations, and the classification and grading of positions, use HUMAN RESOURCES – Position Management.]

<i>Entry No.</i> 196.320.001	<i>Description of Records</i> Agency-wide organisational charts produced after major restructure (e.g. a machinery of government change or an extensive internal restructure held by the area of the agency responsible for the establishment function).	<i>Disposal Action</i> Retain as Territory Archives
	<ul> <li>Records documenting the establishment and development of an agency's structure. Includes:</li> <li>copies of instruments giving effect to the machinery of government changes and details provided to facilitate administrative rearrangements relating to the transfer of functions and employees to other agencies;</li> <li>records documenting an internal restructure;</li> <li>receipt and provision of advice;</li> <li>authorisations for administrative actions;</li> <li>records of internal and external committees or meetings formed on held to consider matters relating to the structure of an organisation;</li> <li>records documenting the evaluation of positions and assigned duties of employees against existing or planned organisational structures to support corporate requirements and resource needs;</li> </ul>	

# **Organisational Structure (Continued)**

The activities associated with establishing, reviewing and modifying the overall structure of the organisation to meet organisation goals and objectives. Includes the preparation of organisational charts and the management of restructures as a result of Machinery of Government (MoG) changes.

[For evaluating, establishing, managing and reviewing employment positions within the organisation, including managing vacancies, position variations, job evaluations, and the classification and grading of positions, use HUMAN RESOURCES – Position Management.]

Entry No.	Description of Records	Disposal Action
196.320.002 Cont.	<ul> <li>final versions of agency-wide establishment plans;</li> <li>final versions of a section or business unit's establishment plans, including state, regional or overseas office;</li> <li>working papers used in developing all establishment plans;</li> <li>final versions of formal internal reports and reports made to external agencies relating to the establishment function;</li> <li>final versions of periodic reports on general administrative matters used to monitor and document recurring activities;</li> <li>working papers documenting the development of all reports. Includes drafts and comments received;</li> <li>records documenting a review and reassessment of agency organisational structures against identified corporate requirements;</li> <li>agency adoption of new work level standards;</li> <li>records documenting a review of agency programs and operations and the reassessment of agency organisational structures against identified corporate</li> </ul>	Destroy 10 years after last action

# **Performance Management**

The activities associated with the management of employees, services, programs and organisations to ensure that goals and objectives are achieved efficiently, effectively and accountably. Includes identifying, evaluating and developing tools and processes for measuring performance and providing recognition and feedback to employees, workgroups or organisations. Also includes catering for employees work needs and offering career guidance.

[For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.]

Entry No. 196.078.001

## **Description of Records**

001 Records documenting the evaluation of potential or review of existing programs, services and projects (e.g. major infrastructure projects) that are of significance to the Territory which support government priorities, result in significant findings, actions or changes to policies and economic reforms or that had major impact on government recordkeeping and the management of properties of territory significance. Includes: **Disposal Action** 

Retain as Territory Archives

- budget bids;
- modelling and/or forecasting;
- documents establishing the review;
- the action plans;
- final versions of unpublished formal reports;
- final versions of formal internal reports and reports made to external agencies;
- working papers.

# **Performance Management (Continued)**

The activities associated with the management of employees, services, programs and organisations to ensure that goals and objectives are achieved efficiently, effectively and accountably. Includes identifying, evaluating and developing tools and processes for measuring performance and providing recognition and feedback to employees, workgroups or organisations. Also includes catering for employees work needs and offering career guidance.

[For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.]

Entry No. 196.078.002

#### **Description of Records**

Records documenting the research, review, evaluation and ongoing monitoring of an agency's strategic programs, services, operations and organisational structures against identified corporate requirements, including the development of performance indicators, reviews of programs and operations impacting on the management of properties without territory significance and reviews based on the Territory Property Principles. Also includes:

- plans formulated to support specific strategic management activities (e.g. fraud control plan and human resource management plan;
- documents establishing reviews;
- final reports;
- action plans;
- identification of further problems needing rectification;
- input into plans;
- comments received;
- drafts;
- responses to surveys by other agencies or by the central office of an agency;
- agency submissions made to community organisations for the purpose of raising and maintaining the agency's broad public profile;
- working papers.

#### **Disposal Action**

Destroy 7 years after last action

# Planning

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

[For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.

*For whole -of-government occupational health and safety planning, use WORKPLACE AND SAFETY POLICY - Planning.*]

*Note:* Use the relevant activity where strategies and plans are developed to support a more specific process, (e.g. use Maintenance for maintenance plans, or Risk Management & Insurance for risk management plans and strategies.

Entry No. 196.079.001	<b>Description of Records</b> Records documenting high-level corporate committees with overall responsibility for strategic planning and making major decisions in the area of agency policy and agency corporate planning (e.g. executive management boards). Includes:	<b>Disposal Action</b> Retain as Territory Archives
	<ul> <li>documents establishing the committee;</li> <li>appointment of members;</li> <li>final versions of minutes;</li> <li>final versions of agency-wide strategic or corporate plans;</li> <li>reports;</li> <li>recommendations;</li> <li>supporting documents such as briefing papers and discussion papers.</li> </ul>	
196.079.002	Records documenting the development and implementation of plans, policies, strategies, procedures and instructions formulated to support the strategic management and governance of an agency, including records of internal, external or inter-agency meetings or committees formed to consider specific matters relating to strategic management and governance (e.g. audit committee, steering committees and ad hoc committees). Includes: • documents establishing the	Destroy 10 years after last action
	<ul><li>committee;</li><li>agendas;</li></ul>	

# **Planning** (Continued)

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

[For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.

*For whole -of-government occupational health and safety planning, use WORKPLACE AND SAFETY POLICY - Planning.*]

*Note:* Use the relevant activity where strategies and plans are developed to support a more specific process, (e.g. use Maintenance for maintenance plans, or Risk Management & Insurance for risk management plans and strategies.

**Entry No.** 196.079.002 Cont.

#### **Description of Records**

- notices of minutes;
  - draft minutes;
- final versions of minutes;
- reports;
- recommendations;
- supporting documents such as briefing papers and discussion papers final versions;
- work health & safety plans and asbestos management plans;
- draft plans;
- reports analysing issues;
- comments received from other areas of an agency;
- input into plans;
- drafts;
- plans formulated to support the management of specific strategic management activities (e.g. fraud control plan and human resource management plan);
- business plans and unit level work plans;
- working papers

# **Disposal Action**

Destroy 10 years after last action

# **Policies & Procedures**

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

[For policy proposals and guidelines which form legislative instruments, use STRATEGY & GOVERNANCE – Legislation.]

*Entry No.* 196.273.001

**Description of Records** 

196.273.001

Records documenting the development, establishment, implementation, compliance and review of government-wide and agency specific high-level strategic management plans, policies, procedures and strategies. Includes:

**Disposal** Action

Retain as Territory Archives

- policy proposals;
- research papers;
- results of consultations;
- supporting reports;
- major drafts;
- final policy documents.

196.273.002

Records documenting the development, establishment, implementation, monitoring and review of government-wide and agency specific routine or low-level strategic and governance policies and procedures. Includes:

- policy proposals;
- research papers;
- results of consultations;
- comments received;
- supporting reports;
- major drafts;
- final policy documents;
- master sets of:
  - o manuals
  - o handbooks
  - o directives
  - o return to work processes;
- compliance with broad legislative and regulatory requirements;
- working papers.

# **Position Management**

The activities associated with evaluating, establishing, managing, reviewing, modifying and inactivating positions within the organisation, including managing vacancies, position variations, job evaluations, and the classification and grading of positions.

[For establishing, reviewing and restructuring the organisational structure to meet organisation goals, including organisational charts and restructuring as a result of Machinery of Government (MoG) changes, use STRATEGY & GOVERNANCE – Organisational Structure.]

*Entry No.* 196.333.001

# **Description of Records**

Records documenting the creation, variation, abolition, transfer or reclassification of positions, assigned duties and the management of positions that are unoccupied. Includes:

- authorised establishment variation authorities;
- position profiles;
- applications to vary positions and assigned duties;
- selection criteria.

# **Disposal Action**

Destroy 7 years after position or assigned duties have been abolished or altered

# **Reporting & Statements**

The activities associated with drafting, preparing and providing reports including in the form of informal or formal statements, statistics, returns, submissions or similar reports.

*Note:* Where reports support a more specific activity, use the relevant classification, (e.g. use Borrowing & Investment, for reports on organisation investments, or use Budgeting for reporting on budget expenditure.

[For the provision of advice to government, use GOVERNMENT & STAKEHOLDER RELATIONS - Government & Assembly Matters.

For agency contributions to government inquiries not relating to their functions, use GOVERNMENT & STAKEHOLDER RELATIONS - Government & Assembly Matters, Strategy & Planning, or Policies Procedures & Guidelines.

*For the Annual Report drafting process, use STRATEGY & GOVERNANCE – Performance Management.* 

For submissions of annual reports to the Portfolio Minister, use STRATEGY & GOVERNANCE – Performance Management.]

*Entry No.* 196.295.001

# **Description of Records**

# **Disposal Action**

Records documenting the development of Destroy 5 years after periodic reports required on a regular basis last action by external government bodies, formal internal and external reports made to agencies to support the strategic direction and governance arrangements of the agency. Includes:

- drafts and comments received;
- final versions surveys;
- final versions of reports or statements;
- working papers.

# Risk Management & Insurance

The activities associated with managing organisation risks. Includes business continuity, disaster, fraud control and other risk management plans, risk assessments, analysis, treatment and control measures, risk registers, and the taking out of insurance to cover risks.

[For workers compensation claims and associated rehabilitation, use HUMAN RESOURCES – Workers Compensation.

For insurance claims against the Territory or its agencies by private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES – Claims.

For insurance claims by the Territory or its agencies against private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES – Claims.]

Entry No.	Description of Records	<b>Disposal Action</b>
196.335.001	Records documenting the application and implementation of counter-disaster plans or business continuity strategies and plans following incidents or disasters, including fire and flood damage to <b>properties of territory significance</b> . Includes a copy of the plan implemented in the disaster recovery process and records documenting the protection and re-establishment of priority lists and resource recovery strategies, data and backup plans and final versions of formal internal reports and reports made to external agencies.	Archives
196.335.002	Records documenting the application and implementation of counter-disaster plans or business continuity strategies and plans following incidents or disasters, including fire and flood damage to <b>properties without territory</b> <b>significance</b> both leased and owned. Includes a copy of the plan implemented in the disaster recovery process and records documenting the protection and re-establishment of priority lists and resource recovery strategies, data and backup plans and final versions of formal internal reports and reports made to external agencies.	disposal of building

The activities associated with managing organisation risks. Includes business continuity, disaster, fraud control and other risk management plans, risk assessments, analysis, treatment and control measures, risk registers, and the taking out of insurance to cover risks.

[For workers compensation claims and associated rehabilitation, use HUMAN RESOURCES – Workers Compensation.

For insurance claims against the Territory and its agencies by private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES – Claims.

For insurance claims by the Territory and its agencies against private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES – Claims.]

Entry No.	Description of Records	<b>Disposal Action</b>
196.335.003	Records documenting risk management of all work health & safety hazards including hazardous substances where risk assessments indicate risk to the employees and where health surveillance and/or monitoring of the employees is necessary. Includes documentation covering each stage of the process and action plans and work health & safety risk registers containing environmental monitoring and health surveillance data.	Destroy 75 years after last action
196.335.004	Records documenting risk management of work health & safety hazards where risk assessments indicate no risk to the employees and where no health surveillance and/or monitoring is required. Includes:	Destroy 30 years after last action
	<ul> <li>documentation covering each stage of the process;</li> <li>treatment schedules;</li> <li>action plans;</li> <li>accident/incident reports and supporting documentation retained for agency work health &amp; safety assessment purposes recording death or serious personal injury, dangerous occurrences and incapacity to Territory employees and the public within the workplace;</li> <li>accident registers.</li> </ul>	

• accident registers.

The activities associated with managing organisation risks. Includes business continuity, disaster, fraud control and other risk management plans, risk assessments, analysis, treatment and control measures, risk registers, and the taking out of insurance to cover risks.

[For workers compensation claims and associated rehabilitation, use HUMAN RESOURCES – Workers Compensation.

For insurance claims against the Territory and its agencies by private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES – Claims.

For insurance claims by the Territory and its agencies against private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES – Claims.]

Entry No. 196.335.005	<b>Description of Records</b> Insurance policies and records documenting the annual renewal of insurance policies covering:	<b>Disposal Action</b> Destroy 7 years after policy expires
	<ul> <li>equipment and stores, including hospital, medical or emergency services equipment and stores;</li> <li>vehicles, including emergency services vehicles;</li> <li>property;</li> <li>personal and household effects;</li> <li>volunteer workers.</li> </ul>	
196.335.006	<ul> <li>Records documenting the conduct of risk assessment activities. Includes:</li> <li>records covering each stage of the process;</li> <li>treatment schedules;</li> <li>action plans;</li> <li>risk registers.</li> </ul>	next risk assessment
196.335.007	Accident/incident reports for Territory employees retained for agency work health & safety assessment purposes that do not record death or serious personal injury, dangerous occurrences and incapacity within the workplace and reports of personal injuries to members of the public aged over 18 years within the workplace.	Destroy 7 years after last action

The activities associated with managing organisation risks. Includes business continuity, disaster, fraud control and other risk management plans, risk assessments, analysis, treatment and control measures, risk registers, and the taking out of insurance to cover risks.

[For workers compensation claims and associated rehabilitation, use HUMAN RESOURCES – Workers Compensation.

For insurance claims against the Territory and its agencies by private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES – Claims.

For insurance claims by the Territory and its agencies against private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES – Claims.]

Entry No.	Description of Records	Disposal Action
196.335.008	Authorisations for administrative action and the delegation of power to the agency to make determinations on compensation claims, including the granting of licences to agencies to self- insure and/or manage their workers' compensation liabilities.	Destroy 7 years after last action
196.335.009	Records documenting the planning, implementation and review of agency risk management programs and operations, including:	Destroy 7 years after last action
	<ul> <li>documents establishing the review;</li> <li>final reports;</li> <li>action plans;</li> <li>counter disaster plans;</li> <li>annual maintenance plans;</li> <li>acquisition and disposal plans;</li> <li>space usage plans;</li> </ul>	

• working papers;

The activities associated with managing organisation risks. Includes business continuity, disaster, fraud control and other risk management plans, risk assessments, analysis, treatment and control measures, risk registers, and the taking out of insurance to cover risks.

[For workers compensation claims and associated rehabilitation, use HUMAN **RESOURCES** – Workers Compensation.

For insurance claims against the Territory and its agencies by private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES -Claims.

For insurance claims by the Territory and its agencies against private individuals, organisations, companies, etc., use GOVERNMENT INSURANCE SERVICES -Claims.]

Entry No.

196.335.009 Cont.

#### **Description of Records**

• internal and external committees Destroy 7 years after and meetings;

**Disposal** Action

last action

- final versions of fraud control plans and human resource management plans;
- input into plans;
- comments received;
- drafts:
- responses to surveys by other • agencies.

# **Standards**

The activities associated with developing and/or implementing industry or organisation specific benchmarks for services and processes to enhance the quality and efficiency of an organisation, business or industry.

[For compliance with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements, use Compliance.]

Entry No.	Description of Records	<b>Disposal</b> Action
196.100.001	Records documenting the implementation	Destroy 7 years
	of industry and agency standards to	after last action
	support the strategic management and	
	governance of an agency.	

**RETAIN AS TERRITORY ARCHIVES** 

# STRATEGY & GOVERNANCE

The function of establishing the strategic direction and governance framework for ACT Government and its organisations, and overseeing the management of their operations through systematic planning, controlling and managing the overall structures, framework and direction of the organisations to meet government goals, objectives and priorities and ensure overall performance and conformance in the delivery of goods, services or programs. Includes the preparation of corporate and business plans and strategies, controlling and managing organisation structures, performance monitoring and reporting, risk management, auditing and objectives to ensure continuous improvement, performance and quality assurance.

# Acquisition

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.

For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.

For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]

*Entry No.* 196.003.001

# **Description of Records**

Records documenting the evaluation of potential programs, services and projects for their suitability and the development of significant procurement agreements with implications for major financial liabilities or financial obligations or that are of significance to the Territory and support government priorities, policies and economic reforms in the community. Includes:

- budget bids;
- tender documentation and tenders, including:
  - o statements of requirements;
  - o requests for proposals;
  - o expressions of interest;
  - o requests for tender (RFT);
  - o draft contracts;

# **Disposal** Action

Retain as Territory Archives

# Acquisition (Continued)

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.

For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.

For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]

196.003.001 Cont.

Entry No.

# **Description of Records**

- post-offer negotiations and due diligence checks;
  - modelling and/or forecasting;
- working papers;
- negotiations;
- establishments;
- reviews;
- final versions.

# **Disposal Action**

Retain as Territory Archives

# Audit

The activities associated with officially checking the activities, processes, services and operations of organisations, companies or other entities to ensure conformance with agreed or legislated standards, policies, procedures, or other requirements. Includes internal or external financial, recordkeeping, skills, systems, operational, quality assurance or compliance audits.

*Entry No.* 196.013.001

# **Description of Records**

Final audit reports relating to operational audits of hospital, medical or emergency services equipment and stores, including emergency vehicles which resulted in substantial changes to policy or procedures or have a significant impact on the Territory or its operations. Includes final reports from audits conducted by the ACT Auditor General's Office.

# **Disposal** Action

Retain as Territory Archives

# Legislation

The activities associated with proposing, developing and reviewing legislation, including Acts, Regulations, Bills, subsections of Acts etc.

[For advice and submissions in response to legislation proposed by or relating to other agencies, use GOVERNMENT & STAKEHOLDER RELATIONS – Government & Assembly Matters.

For legal advice concerning the interpretation of legislation, use SOLICITOR & LEGAL SERVICES - Advice.]

Entry No.	Description of Records	Disposal A
<i>Entry No.</i> 196.066.001	Records documenting the development of proposals for new legislation and amendments to existing legislation administered by the agency and the passage of the legislation through the Legislative Assembly, including the receipt and provision of specialist or technical advice provided by consultants and independent regulators, submissions and advice prepared for the agency's executive, corporate management board or the Minister or Chief Minister. Also includes:	Retain as 7 Archives
	<ul> <li>preliminary drafting instructions;</li> <li>proposed bills;</li> <li>records documenting consultation with relevant government agencies;</li> <li>preparation of the Explanatory Memorandum;</li> <li>Second Reading Speech.</li> </ul>	
	[For submissions to the portfolio Minister and to Cabinet relating to legislative proposals, use GOVERNMENT & STAKEHOLDER RELATIONS - Government & Assembly Matters.	
	For legal advice received on the interpretation of legislation, use SOLICITOR & LEGAL SERVICES - Advice.]	

# Action

Territory

# **Organisational Structure**

The activities associated with establishing, reviewing and modifying the overall structure of the organisation to meet organisation goals and objectives. Includes the preparation of organisational charts and the management of restructures as a result of Machinery of Government (MoG) changes.

[For evaluating, establishing, managing and reviewing employment positions within the organisation, including managing vacancies, position variations, job evaluations, and the classification and grading of positions, use HUMAN RESOURCES – Position Management.]

Entry No.	Description of Records	Disposal Action
196.320.001	Agency-wide organisational charts produced after major restructure (e.g. a machinery of government change or an extensive internal restructure held by the area of the agency responsible for the establishment function).	2

# **Performance Management**

The activities associated with the management of employees, services, programs and organisations to ensure that goals and objectives are achieved efficiently, effectively and accountably. Includes identifying, evaluating and developing tools and processes for measuring performance and providing recognition and feedback to employees, workgroups or organisations. Also includes catering for employees work needs and offering career guidance.

[For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.]

Entry No. 196.078.001 

#### **Description of Records**

Records documenting the evaluation of potential Retain as Territory or review of existing programs, services and projects (e.g. major infrastructure projects) that are of significance to the Territory which support government priorities, result in significant findings, actions or changes to policies and economic reforms or that had major impact on government recordkeeping and the management of properties of territory significance. Includes:

- budget bids;
- modelling and/or forecasting; •
- documents establishing the review; •
- the action plans; •
- final versions of unpublished formal • reports;
- final versions of formal internal reports and reports made to external agencies;
- working papers. •

#### **Disposal Action**

Archives

# Planning

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

[For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.

For whole -of-government occupational health and safety planning, use WORKPLACE AND SAFETY POLICY - Planning.]

*Note:* Use the relevant activity where strategies and plans are developed to support a more specific process, (e.g. use Maintenance for maintenance plans, or Risk Management & Insurance for risk management plans and strategies.

**Entry No. Description of Records** 196.079.001 Records documenting high-level corporate committees with overall responsibility for strategic planning and making major decisions in the area of agency policy and agency corporate planning (e.g. executive management boards). Includes: documents establishing the committee; • appointment of members; • final versions of minutes; •

- final versions of agency-wide strategic or corporate plans;
- reports;
- recommendations;
- supporting documents such as briefing papers and discussion papers.

# **Disposal Action**

Retain as Territory Archives

# **Policies & Procedures**

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

[For policy proposals and guidelines which form legislative instruments, use STRATEGY & GOVERNANCE – Legislation.]

*Entry No.* 196.273.001

# **Description of Records**

Records documenting the development, Retain as establishment, implementation, compliance and review of government-wide and agency specific high-level strategic management plans, policies, procedures and strategies. Includes:

# **Disposal** Action

Retain as Territory Archives

- policy proposals;
- research papers;
- results of consultations;
- supporting reports;
- major drafts;
- final policy documents.

# **Risk Management & Insurance**

The activities associated with managing organisation risks. Includes business continuity, disaster, fraud control and other risk management plans, risk assessments, analysis, treatment and control measures, risk registers, and the taking out of insurance to cover risks, including handling subsequent claims made against insurance policies.

[For workers compensation claims and associated rehabilitation, use HUMAN RESOURCES – Workers Compensation.]

Entry No.	Description of Records	<b>Disposal Action</b>
196.335.001	Records documenting the application and implementation of counter-disaster plans or business continuity plans following incidents or disasters, including fire and flood damage to properties of territory significance. Includes a copy of the plan implemented in the disaster recovery process and records documenting the protection and re- establishment of data and backup plans and final versions of formal internal reports and reports made to external agencies.	Archives
196.335.002	Records documenting claims by members of the public which result in major changes to agency policy or procedure; are high profile, controversial or subject to social or political interest; or are precedent setting. Includes:	Retain as Territory Archives

• accident/incident reports.