

Australian Capital Territory

Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) Approval 2004 (No 1)

Notifiable instrument NI2004—476

made under the

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

I approve the Records Disposal Schedule – Gambling and Racing Regulation Records.

David Wardle
Director of Territory Records
10 December 2004



*Records Disposal Schedule
Gambling and Racing Regulation
Records*

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INTRODUCTION

The *Records Disposal Schedule – Gambling and Racing Regulation Records* is the official authority for the disposal of records relating to Gambling and Racing Regulation matters.

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

PURPOSE

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

SCOPE

This Records Disposal Schedule applies to all ACT Government agencies as defined in the Territory Records Act 2002.

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 agencies Records Management program that has been signed off by the Principal Officer of the agency.

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

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

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

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

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. An agency must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence.

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

Territory Version of Keyword AAA

The Territory Version of Keyword AAA is the general administrative thesaurus produced by the Territory Records Office. The structure and terms used in this Records Disposal Schedule are closely related to those used in the Territory Version of Keyword AAA, which is based on functional analysis of business activity.

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This methodology (ie. the analysis of business activity) produces a hierarchical model of an organisation's business activity. The hierarchical model also represents a classification scheme for the records that document functions, activities and transactions.

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

GUIDELINES FOR USE

Coverage of authority

The Records Disposal Schedule – Gambling and Racing Regulation Records:

- covers all Gambling and Racing Regulation records;
- is intended to be used in conjunction with TARDiS;

specifies the minimum period records should be kept (retention periods);

specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and

is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

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

Function

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

Activity

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to this activity. Activities can relate to many functions with the scope notes covering all of these relationships (eg 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,
microfiche,
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 rerecording) does constitute disposal.

DESTRUCTION OF RECORDS

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

UPDATING THE RECORDS DISPOSAL SCHEDULE

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

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

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

RELATED LEGISLATION

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

Casino Control Act 1988
Freedom of Information Act 1989
Gambling and Racing Control Act 1999
Games Wagers and Betting Houses Act 1901
Gaming and Betting Act 1906
Gaming Machine Act 2004
Interactive Gambling Act 1998
Lotteries Act 1964
Occupational Health and Safety Act 1989
Occupational Health and Safety Regulations 1991
Pool Betting Act 1964
Privacy Act 1988
Race and Sports Bookmaking Act 2001
Territory Records Act 2002
Unlawful Games Act 1984

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;
- 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 transaction 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 which 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 which 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 which 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

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Agreements

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

Appeals (decisions)

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

Audit

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

Authorisation

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

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. 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 control mechanisms for other information resources and systems.

Fees and charges determination

The activities associated with determining fees and charges.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

Liaison

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

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the agency's operating procedures are determined.

Research

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

Tendering

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

RECORDS DISPOSAL SCHEDULE

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Agreements

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

Entry No.	Description of Records	Disposal action
1.1.1 ■■■■■■■■■■■■■■■■■■■■	Memoranda of understanding/information sharing with other regulatory bodies.	Retain as Territory Archives
1.1.2 ■■■■■■■■■■■■■■■■■■■■	Agreements made between the ACT Gambling and Racing Commission and Race/Sports bookmakers.	Destroy 7 years after the licence has ceased.
1.1.3 ■■■■■■■■■■■■■■■■■■■■	Agreements made between the ACT Gambling and Racing Commission and the casino licensee.	Destroy 7 years after the licence has ceased.
1.1.4 ■■■■■■■■■■■■■■■■■■■■	Agreements made between the ACT Gambling and Racing Commission and Interactive Gambling Licensees.	Destroy 7 years after the licence has ceased.
1.1.5 ■■■■■■■■■■■■■■■■■■■■	Agreements made between the ACT Gambling and Racing Commission and Gaming Machine Licensees.	Destroy 7 years after the licence has ceased.
1.1.6 ■■■■■■■■■■■■■■■■■■■■	Requests made to the ACT Gambling and Racing Commission regarding requests for exclusion from the casino under section 70B of the <i>Casino Control Act 1988</i> .	Destroy 3 years after expiry or revocation of exclusion notice.

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Appeals (decisions)

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.2.1 ■■■■■■■■■■■■■■■■■■■■	Records documenting appeals made to the ACT Administrative Appeals Tribunal relating to decisions made by the ACT Gambling and Racing Commission.	Destroy 7 years after appeal finalised.

Audit

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.3.1 ■■■■■■■■■■■■■■■■■■■■	Inspections by ACT Gambling and Racing Commission officers ensuring the casino licensee is not in breach of the Casino Control Act 1988.	Destroy 3 years after last action.
1.3.2 ■■■■■■■■■■■■■■■■■■■■	Inspections by ACT Gambling and Racing Commission officers ensuring the Gaming Machine licensees are not in breach of the Gaming Machine Act 2004.	Destroy 3 years after last action.
1.3.3 ■■■■■■■■■■■■■■■■■■■■	Inspections by ACT Gambling and Racing Commission officers ensuring licensed Race/Sports bookmakers are not in breach of the Race and Sports Bookmaking Act 2001.	Destroy 3 years after last action.
1.3.4 ■■■■■■■■■■■■■■■■■■■■	Inspections by ACT Gambling and Racing Commission officers ensuring approved lotteries were not in breach of the Lotteries Act 1964.	Destroy 3 years after last action.
1.3.5 ■■■■■■■■■■■■■■■■■■■■	Inspections by ACT Gambling and Racing Commission officers ensuring licensed Interactive Gambling agents are not in breach of the Interactive Gambling Act 1998.	Destroy 3 years after last action.

GAMBLING REGULATION

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Authorisation

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.4.1 ██████████████████	Requests by the casino operator to alter the casino layout.	Destroy 3 years after a subsequent request is approved.
1.4.2 ██████████████████	Requests by the casino operator concerning gaming equipment and/or chips.	Destroy 3 years after approval lapses, revoked or equipment/chips replaced.
1.4.3 ██████████████████	Records documenting the evaluation and approval of rules of games and the approval for the casino specific table games.	Destroy 3 years after next subsequent amendment to the rules or 7 years after licence expires/cancelled.
1.4.4 ██████████████████	Records documenting requests by the casino operator to alter the operating times.	Destroy 3 years after approval revoked or changed operating times approved and implemented.
1.4.5 ██████████████████	Applications by licensees for substantive or technical licence amendments.	Destroy 7 years after licence expiry/cancellation

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GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Authorisation (Continued)

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

Entry No.	Description of Records	Disposal action
1.4.6 ■■■■■■■■■■■■■■■■■■■■	Delegations of powers to agency staff to authorise administrative actions and/or audit inspections relating to the gambling regulation function.	Destroy 2 years after the exercise of the delegation.
1.4.7 ■■■■■■■■■■■■■■■■■■■■	Records documenting the sale, storage and transport of gaming equipment.	Destroy 7 years after last action.
1.4.8 ■■■■■■■■■■■■■■■■■■■■	Records documenting approvals for the possession of gaming equipment.	Destroy 7 years after approval revoked or cancelled or removed permanently.
1.4.9 ■■■■■■■■■■■■■■■■■■■■	Records documenting the sale, storage and transport of gaming machines.	Destroy 7 years after last action.
1.4.10 ■■■■■■■■■■■■■■■■■■■■	Records documenting the evaluation and approval of games on gaming machines.	Destroy 7 years after approval revoked/cancelled or games no longer available.
1.4.11 ■■■■■■■■■■■■■■■■■■■■	Records documenting software programs for gaming machines.	Destroy 5 years after approval revoked/cancelled or programs withdrawn.
1.4.12 ■■■■■■■■■■■■■■■■■■■■	Approved forms of contracts and copies of approved contracts and agreements relating to the rental and maintenance of gaming equipment.	Destroy 5 years after contract expiry or equipment replacement.
1.4.13 ■■■■■■■■■■■■■■■■■■■■	Routine correspondence relating to the rental and maintenance of gaming equipment.	Destroy 5 years after contract expiry or equipment replacement.
1.4.14 ■■■■■■■■■■■■■■■■■■■■	Approved forms of contracts and copies of approved contracts and agreements relating to the rental and maintenance of gaming machines.	Destroy 5 years after contract expiry or equipment replacement.

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Authorisation (Continued)

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

Entry No.	Description of Records	Disposal action
1.4.15 ████████████████████	Routine correspondence relating to the rental and maintenance of gaming machines	Destroy 5 years after contract expiry or equipment replacement.
1.4.16 ████████████████████	Correspondence relating to the accounting procedures, including the standardisation of forms and the definitions of terms, to be used in operations in the casino.	Destroy 1 year after procedures, Forms etc. amended.
1.4.17 ████████████████████	Casino correspondence relating to procedures, forms and formulas relating to hold percentages, revenue drop or complementary services.	Destroy 5 years from next subsequent/approval change.
1.4.18 ████████████████████	Casino correspondence relating to details concerning job descriptions and the system used to organise personnel and the chain of command.	Destroy 1 year after next amendment approved.
1.4.19 ████████████████████	Casino correspondence relating to the procedures for conducting authorised games.	Destroy 1 year after next amendment approved.
1.4.20 ████████████████████	Casino Correspondence relating to the procedures for receiving, storing and disbursing chips and cash, cashing cheques, redeeming chips and recording all transactions.	Destroy 1 year after next amendment approved.
1.4.21 ████████████████████	Casino correspondence for collecting and ensuring the security of money at the gaming tables and other places in the casino where authorised games are conducted.	Destroy 1 year after next amendment approved.
1.4.22 ████████████████████	Casino correspondence relating to the procedures and forms for transferring or moving money within the casino.	Destroy 1 year after next amendment approved.
1.4.23 ████████████████████	Casino correspondence relating to the procedures and forms for transferring or moving chips within the casino.	Destroy 1 year after next amendment approved.
1.4.24 ████████████████████	Casino correspondence relating to the procedures and security for counting and recording revenue.	Destroy 1 year after next amendment approved.

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Authorisation (Continued)

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

Entry No.	Description of Records	Disposal action
1.4.25 ████████████████████	Casino correspondence relating to procedures and security for transferring money between the casino and a bank.	Destroy 1 year after next amendment approved.
1.4.26 ████████████████████	Casino correspondence relating to the procedures for storing, recording and ensuring the security of chips.	Destroy 1 year after next amendment approved.
1.4.27 ████████████████████	Casino correspondence relating to procedures for paying and recording winnings that are paid by cash or cheque.	Destroy 1 year after next amendment approved.
1.4.28 ████████████████████	Casino correspondence relating to procedures for issuing chip purchase vouchers and recording transactions.	Destroy 1 year after next amendment approved.
1.4.29 ████████████████████	Casino correspondence relating to procedures for cashing cheques and recording transactions by cheque.	Destroy 1 year after next amendment approved.
1.4.30 ████████████████████	Casino correspondence relating to procedures for establishing and using deposit accounts.	Destroy 1 year after next amendment approved.
1.4.31 ████████████████████	Casino correspondence relating to procedures for using and maintaining security and surveillance facilities, including closed-circuit television systems.	Destroy 1 year after next amendment approved.
1.4.32 ████████████████████	Casino correspondence relating to procedures for regularly testing security and surveillance equipment.	Destroy 1 year after next amendment approved.
1.4.33 ████████████████████	Casino correspondence relating to procedures for regularly testing the effectiveness of the procedures of the approved system and how well the procedures are being implemented.	Destroy 1 year after next amendment approved.
1.4.34 ████████████████████	Correspondence relating to procedures for governing the utilisation of security personnel within the casino.	Destroy 1 year after next amendment approved.

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GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Authorisation (Continued)

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











Entry No.	Description of Records	Disposal action
1.4.35 ████████████████████	Correspondence relating to procedures to control keys used or for use in operations in the casino.	Destroy 1 year after next amendment approved.
1.4.36 ████████████████████	Approval to transfer or surrender a gaming machine licence	Destroy 5 years after last action
1.4.37 ████████████████████	Approval of gaming machines.	Destroy 5 years after last action
1.4.38 ████████████████████	Approval of peripheral equipment for gaming machines.	Destroy 2 years after approval revoked or equipment no longer available.
1.4.39 ████████████████████	Approval of gaming machine and/or peripheral equipment suppliers.	Destroy 2 years after approval revoked or supplier no longer in business.
1.4.40 ████████████████████	Approval for a gaming machine licensee to enter into a financial arrangement.	Destroy 2 years after approval.
1.4.41 ████████████████████	The repossession of gaming machines.	Destroy 2 years after approval.
1.4.42 ████████████████████	The disposal of gaming machines.	Destroy 2 years after approval.
1.4.43 ████████████████████	The seizure of unlawful gaming machines by an authorised .	Destroy 5 years after final action.
1.4.44 ████████████████████	The position for the display of the percentage payout for a gaming machine.	Destroy 2 years after approval revoked or amended.

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Authorisation (Continued)

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

Entry No.	Description of Records	Disposal action
1.4.45 	An application for a linked jackpot arrangement.	Destroy 2 years after link closure.
1.4.46 	Multi-user permits including approvals, amendments, transfers and/or surrenders.	Destroy 2 years after permit expires.
1.4.47 	An arrangement for the redistribution of undisbursed jackpots.	Destroy 2 years after disbursement completed.
1.4.48 	An object of a club as an <i>eligible object</i> .	Destroy 2 years after licence expiry.
1.4.49 	An entity is an associated organisation for a club.	Destroy 2 years after the association ends.
1.4.50 	Approved raffles and conditions.	Destroy 2 years after the lottery has, completed.
1.4.51 	Approved trade promotion and conditions.	Destroy 2 years after the trade promotion has completed.
1.4.52 	Approved housie and conditions.	Destroy 2 years after the housie has completed.
1.4.53 	Approved Calcutta sweep and conditions.	Destroy 2 years after the Calcutta has been completed.
1.4.54 	Approved other lotteries and conditions.	Destroy 2 years after the lottery has completed.

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GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Compliance

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.5.1 ██████████████████	A single licence granted by the Minister under section 45 of the <i>Casino Control Act 1988</i>	Retain as Territory Archives.
1.5.2 ██████████████████	Research and recommendations determining the suitability of a <i>person</i> to hold a race bookmaker's agent licence.	Retain as Territory Archives.
1.5.3 ██████████████████	Research and recommendations determining the suitability of a <i>person</i> to hold a sports bookmaking licence.	Retain as Territory Archives.
1.5.4 ██████████████████	Research and recommendations determining the suitability of a <i>person</i> to hold a sports bookmaker's agent licence.	Retain as Territory Archives.
1.5.5 ██████████████████	Research and recommendations determining the suitability of a <i>person</i> to hold a race bookmaker's licence.	Retain as Territory Archives.
1.5.6 ██████████████████	The approval or refusal of a person to hold a casino employee's licence.	Destroy 6 months after licence has expired.
1.5.7 ██████████████████	The approval or refusal of a premises to hold a gaming machine licence. expired.	Destroy 3 years after licence has expired.

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Compliance (Continued)

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.5.8 ■■■■■■■■■■■■■■■■■■■■	The approval or refusal of a person to hold a gaming machine attendants licence.	Destroy 6 months after licence has expired.
1.5.9 ■■■■■■■■■■■■■■■■■■■■	The approval or refusal of a person to hold a gaming machine technicians licence.	Destroy 6 months after licence has expired.
1.5.10 ■■■■■■■■■■■■■■■■■■■■	Research and recommendations determining the suitability of a <i>person</i> to hold an interactive gambling licence.	Destroy 3 years after licence has expired.
1.5.11 ■■■■■■■■■■■■■■■■■■■■	Approval or refusal of a person to hold an Interactive employee gambling licence.	Destroy 6 months after licence has expired.
1.5.12 ■■■■■■■■■■■■■■■■■■■■	Research and recommendations determining the lack of suitability of a <i>person or agency</i> to hold a licence issued by the ACT Gambling and Racing Commission.	Destroy 5 years after the licence has been terminated or 5 years after any appeals processes.
1.5.13 ■■■■■■■■■■■■■■■■■■■■	Records documenting the compulsory community contributions imposed by the <i>Gaming Machine Act 1987</i> .	Destroy 5 years after report to Minister.

GAMBLING REGULATION

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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>
1.6.1 ████████████████	Records documenting contract management relating to the Gambling Regulation function. Includes: <ul style="list-style-type: none">• minutes of meetings with main stakeholders• performance and evaluation reports.	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 control mechanisms for other information resources and systems.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.7.1 ████████████████	A register of all current gaming machine licences.	Destroy 7 years after last action.
1.7.2 ████████████████	A register of all current casino employee licences.	Destroy 7 years after last action.
1.7.3 ████████████████	A register of all current gaming machine licences.	Destroy 7 years after last action.
1.7.4 ████████████████	Centralised Monitoring System	Destroy 7 years after system implemented.

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Fees and charges determination

The activities associated with determining fees and charges.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.8.1 ■■■■■■■■■■■■■■■■■■■■	Records documenting the activities associated with determining the fees and charges.	Destroy 5 years after next amendment approved.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.9.1 ■■■■■■■■■■■■■■■■■■■■	Investigations by ACT Gambling and Racing Commission officers ensuring the casino licensee is not in breach of the Casino Control Act 1988.	Destroy 5 years after last action.
1.9.2 ■■■■■■■■■■■■■■■■■■■■	Investigations by ACT Gambling and Racing Commission officers ensuring the Gaming Machine licensees are not in breach of the <i>Gaming Machine Act 1987</i> .	Destroy 5 years after last action.
1.9.3 ■■■■■■■■■■■■■■■■■■■■	Investigations by ACT Gambling and Racing Commission officers ensuring licensed Race/Sports bookmakers are not in breach of the <i>Race and Sports Bookmaking Act 2001</i> .	Destroy 5 years after last action.
1.9.4 ■■■■■■■■■■■■■■■■■■■■	Investigations by ACT Gambling and Racing Commission officers ensuring approved lotteries were not in breach of the <i>Lotteries Act 1964</i> .	Destroy 5 years after last action.
1.9.5 ■■■■■■■■■■■■■■■■■■■■	Investigations by ACT Gambling and Racing Commission officers ensuring licensed Interactive Gambling agents are not in breach of the <i>Interactive Gambling Act 1998</i> .	Destroy 5 years after last action.

GAMBLING REGULATION

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Liaison

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.10.1 ■■■■■■■■■■■■■■■■■■■■	Records documenting liaison between the ACT Gambling and Racing Commission and the Australian Federal Police.	Destroy 5 years after last action.
1.10.2 ■■■■■■■■■■■■■■■■■■■■	Records documenting liaison between the ACT Gambling and Racing Commission and other regulatory bodies.	Destroy 5 years after last action.
1.10.3 ■■■■■■■■■■■■■■■■■■■■	Records documenting liaison between the ACT Gambling and Racing Commission and AUSTRAC Gaming Provider Advisory Group.	Destroy 5 years after last action.

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the agency's operating procedures are determined.




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.11.1 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development and establishment of the agency's gambling regulation policies. Includes: <ul style="list-style-type: none"> • policy proposals • research papers • results of consultations • supporting reports • major drafts 	Retain as Territory Archives
1.11.2 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development of all gambling regulation policies.	Destroy 3 years after promulgation of the new policy
1.11.3 ■■■■■■■■■■■■■■■■■■■■	Copies of policy documents and supporting papers.	Destroy when reference ceases

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

Research

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

Entry No.	Description of Records	Disposal action
1.12.1 	Records documenting contractual agreements between the ACT Gambling and Racing Commission and other agencies to research and report on the social and economic impacts of gambling in the ACT.	Retain as Territory Archives
1.12.2 	Research reports analysing the impacts of gambling in the ACT.	Retain as Territory Archives
1.12.3 	Recommendations made by the ACT Gambling and Racing Commission regarding the impacts of gambling in the ACT.	Retain as Territory Archives

GAMBLING REGULATION

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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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.13.1 ████████████████████	Records documenting the development and issue of tender documentation. Includes Statement of Requirements, Request for Proposals, Expression of Interest, Request for Tender (RFT) and draft contract.	Destroy 7 years after tender process completed.
1.13.2 ████████████████████	Evaluation of tenders received against selection criteria. Includes records documenting arrangements for carrying out the evaluation process, evaluation report, recommendations, final report and public notices.	Destroy 7 years after tender process completed.
1.13.3 ████████████████████	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed.
1.13.4 ████████████████████	Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing sessions.	Destroy 2 years after tender process completed or decision made not to continue with the tender.
1.13.5 ████████████████████	Tender register.	Destroy 7 years after last entry
1.13.6 ████████████████████	Signed contracts under seal resulting from tenders and supporting records.	Destroy 12 years after completion or other termination of contract.
1.13.7 ████████████████████	Signed simple contracts and agreements resulting from tenders and supporting records. other termination of contract.	Destroy 7 years after completion or

RETAIN AS TERRITORY ARCHIVES

Classes for retention as Territory Archives

GAMBLING REGULATION

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Agreements

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.1.1 ■■■■■■■■■■■■■■■■■■■■	Memoranda of understanding/information sharing with other regulatory bodies.	Retain as Territory Archives

Compliance

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.5.1 ■■■■■■■■■■■■■■■■■■■■	A single licence granted by the Minister under section 45 of the <i>Casino Control Act 1988</i>	Retain as Territory Archives.
1.5.2 ■■■■■■■■■■■■■■■■■■■■	Research and recommendations determining the suitability of a <i>person</i> to hold a race bookmaker's agent licence.	Retain as Territory Archives.
1.5.3 ■■■■■■■■■■■■■■■■■■■■	Research and recommendations determining the suitability of a <i>person</i> to hold a sports bookmaking licence.	Retain as Territory Archives.
1.5.4 ■■■■■■■■■■■■■■■■■■■■	Research and recommendations determining the suitability of a <i>person</i> to hold a sports bookmaker's agent licence.	Retain as Territory Archives.
1.5.5 ■■■■■■■■■■■■■■■■■■■■	Research and recommendations determining the suitability of a <i>person</i> to hold a race bookmaker's licence.	Retain as Territory Archives.

Classes for retention as Territory Archives

GAMBLING REGULATION

The function of regulating gambling activities in the ACT in accordance with the ACT Gaming Laws to ensure they are carried out with high standards of probity and integrity. Includes minor gaming, interactive gaming and sports bookmaking betting.

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The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the agency's operating procedures are determined.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.11.1 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development and establishment of the agency's gambling regulation policies. Includes: <ul style="list-style-type: none">• policy proposals• research papers• results of consultations• supporting reports• major drafts	Retain as Territory Archives

Research

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal action</i>
1.12.1 ■■■■■■■■■■■■■■■■■■■■	Records documenting contractual agreements between the ACT Gambling and Racing Commission and other agencies to research and report on the social and economic impacts of gambling in the ACT.	Retain as Territory Archives
1.12.2 ■■■■■■■■■■■■■■■■■■■■	Research reports analysing the impacts of gambling in the ACT.	Retain as Territory Archives
1.12.3 ■■■■■■■■■■■■■■■■■■■■	Recommendations made by the ACT Gambling and Racing Commission regarding the impacts of gambling in the ACT.	Retain as Territory Archives