

Australian Capital Territory

Territory Records (Records Disposal Schedule – Treasury Management Records) Approval 2006 (No 1)

Notifiable instrument NI2006—138

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 – Treasury Management Records) Approval 2006 (No 1)

2. Approval

I approve the Records Disposal Schedule – Treasury Management Records.

3. Commencement

This instrument commences on the day after notification.

David Wardle
Director of Territory Records
13 April 2006



Records Disposal Schedule Treasury Management Records

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INTRODUCTION

The *Records Disposal Schedule – Treasury Management Records* is the official authority for the disposal of records relating to government asset and liability services, government budget management, government insurance services, home loan portfolio administration and superannuation management in the ACT.

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 records relating to government asset and liability services, government budget management, government insurance services, home loan portfolio administration and superannuation management in the ACT created or maintained by ACT Government agencies.

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 agency's Records Management program that has been signed off by the Principal Officer of the agency. Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

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

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

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

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

The *Records Disposal Schedule – Treasury Management 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 treasury management 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. This methodology (i.e. 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 – Treasury Management Records:

- Covers all Treasury Management records divided into the following functions:
 - GOVERNMENT ASSET & LIABILITY SERVICES
 - GOVERNMENT BUDGET MANAGEMENT
 - GOVERNMENT INSURANCE SERVICES
 - HOME LOAN PORTFOLIO ADMINISTRATION
 - SUPERANNUATION MANAGEMENT
- 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:

Debits Tax Act 1997

Financial Management Act 1996

First Home Owner Grant Act 2000

First Home Owner Grant Amendment Act 2003

Freedom of Information Act 1989

Insurance Authority Act 2000 (repealed)

Insurance Authority Act 2005

Insurance Levy Act 1998

Planning and Land Act 2002

Privacy Act 1988

Superannuation (Legislative Assembly Members) Act 1991

Territory Records Act 2002

Territory Superannuation Provision Protection Act 2000

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

GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.

Use GOVERNMENT INSURANCE SERVICES for the provision of insurance advice to Government, the community and industry.

Use EQUIPMENT & STORES, PROPERTY MANAGEMENT, or TECHNOLOGY & TELECOMMUNICATIONS for the management of the agency's physical assets.

Use INFORMATION MANAGEMENT for the management of the agency's intellectual property

Accounting

The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the agency. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the agency's accounting systems and internal controls.

Advice

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

Agreements

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

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc

Use STRATEGIC MANAGEMENT - Committees for audit committees.

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.

Debt administration

The activities associated with administering financial liability through debt recovery and borrowing policies and activities. Includes coordinating borrowing activities and identifying, calculating and arranging for the recovery of legally recoverable debts.

Enquiries

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

Financial statements

The process of compiling statements presented in prescribed tabular form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year.

Investment administration

The processes involved with the administration of financial assets through the establishment of investment policies and activities, and the coordination of investment activities.

Meetings

The activities associated with adhoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or agency as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Payments

The activities involved in the preparation and payment of money.

Use REVENUE MANAGEMENT - Revenue Collection for the receipt of moneys by Territory agencies

Planning

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

Policy

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

Procedures

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

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

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 activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches etc.

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Risk management

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

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.

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.

Use FINANCIAL MANAGEMENT for the internal management of the agency's financial resources.

Use GOVERNMENT ASSET AND LIABILITY SERVICES for coordinating government investment and borrowing activities.

Use PUBLICATION for the production of the annual Budget Papers (print and web site).

Use TECHNOLOGY & TELECOMMUNICATIONS for the maintenance of internal electronic information systems.

Advice

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

Analysing

The activities associated with systematically applying statistical and logical techniques to describe, summarise and compare data and/or information collected. Includes the process of analysis.

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Use STRATEGIC MANAGEMENT - Committees for audit committees.

Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

Financial statements

The process of compiling statements presented in prescribed tabular form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year.

Legislation

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

Meetings

The activities associated with adhoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or agency as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Planning

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

Policy

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

Procedures

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

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Submissions

The preparation and submission of a formal statement (e.g. report, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency, or within the agency, for the purpose of either gain or support.

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.

Actuarial services

The activities of identifying, quantifying and managing future financial risks through the analysis and calculation of costs.

Addresses (presentations)

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

Advice

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

Agreements

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

Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death or denial of rights of person or to destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen and lost property.

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Use STRATEGIC MANAGEMENT - Committees for audit committees.

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.

Enquiries

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

Insurance policies

The activities associated with entering into a contract to undertake financial liability for a specified loss in return for premiums paid.

Use Policy for agency policy on insurance

Liaison

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

Meetings

The activities associated with adhoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or agency as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Planning

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

Policy

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

Procedures

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

Reinsurance policies

The activities associated with entering into a contract to undertake financial liability for a specified insured risk, in return for premiums paid.

Use Insurance Policies for the development of standard insurance policies

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

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 activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches etc.

Risk management

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

Tendering

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

Training services

The activities associated with providing training services to external agencies and entities. Includes designing, developing, implementing and evaluating customised training programs. TIP: Add the name of the external agency or entity as free text in the file title.

Underwriting

The activities associated with assuming financial responsibility for risks covered under an insurance policy.

HOME LOAN PORTFOLIO ADMINISTRATION

The function of administering home loans granted to assist low income households in achieving home ownership. Includes activities associated with collecting and accounting for mortgagor payments, arrears management, the preparation of biannual loan account statements, responding to mortgagor information requests and processing mortgage discharges. Also includes the development of policies and strategies for the management of home loans.

Use TELECOMMUNICATIONS & TECHNOLOGY for the maintenance of electronic information systems.

Advice

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

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.

Authorisation

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

Forecasting

The activities involved in predicting a future event or action and providing an opinion on such an event.

Loan Administration

The activities associated with monitoring the terms and conditions of assistance given to a person including applications for deferred assistance and assessments for set payment rates.

Planning

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

Policy

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

Procedures

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

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.

Use PERSONNEL - Salaries for managing the payments of superannuation to agency personnel.

Accounting

The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the agency. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the agency's accounting systems and internal controls.

Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

Advice

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

Agreements

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

Authorisation

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

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Use STRATEGIC MANAGEMENT - Committees for audit committees.

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.

Enquiries

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

Financial statements

The process of compiling statements presented in prescribed tabular form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year.

Meetings

The activities associated with adhoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or agency as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Payments

The activities involved in the preparation and payment of money.

Use REVENUE MANAGEMENT - Revenue Collection for the receipt of moneys by Territory agencies.

Planning

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

Policy

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

Procedures

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

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

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 activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches etc.

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Risk management

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

Superannuation arrangements

The activities involved in arranging superannuation for Members of the Legislative Assembly. Includes calculating and preparing annual superannuation statements and termination calculations.

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


GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.



Accounting

The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the agency. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the agency's accounting systems and internal controls.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.1.1 	Principal accounting records and associated supporting records managing the agency's revenue and expenditure. Includes: journals, ledgers, receipt and revenue records, sales and purchase invoices, cheque records, e.g. cheque butts or computerised cheque issue records.	Destroy 7 years after last action

Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.2.1 	Advice to the Treasurer on asset and liability matters.	Retain as Territory Archives
1.2.2 	The receipt and provision of general advice to agency managers and employees.	Destroy 3 years after last action



GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.

Agreements



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

Entry No.	Description of Records	Disposal Action
1.3.1 	Final version of contractual agreements.	Destroy 7 years after expiry or other termination of agreement
1.3.2 	Negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of agreement

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc

Use STRATEGIC MANAGEMENT - Committees for audit committees.

Entry No.	Description of Records	Disposal Action
1.4.1 	Internal and external committees formed to consider matters relating to the function. Includes: documents establishing the committee, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers. Includes the Finance and Investment Advisory Board.	Destroy 7 years after last action
1.4.2 	Working papers documenting the conduct and administration of committees that consider matters relating to the function. Includes: agenda, notices of meetings, draft minutes.	Destroy 6 months after last action


GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.



Contracting out

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

Entry No.	Description of Records	Disposal Action
1.5.1 	Contract management relating to the function. Includes: minutes of meetings with main stakeholders, performance and evaluation reports.	Destroy 7 years after expiry or other termination of contract


Debt administration

The activities associated with administering financial liability through debt recovery and borrowing policies and activities. Includes coordinating borrowing activities and identifying, calculating and arranging for the recovery of legally recoverable debts.

Entry No.	Description of Records	Disposal Action
1.6.1 	Administration of debt.	Destroy 7 years after last action
1.6.2 	Performance, including confirmations with agencies.	Destroy 7 years after last action

Enquiries

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

Entry No.	Description of Records	Disposal Action
1.7.1 	Handling of external agency enquiries about the function and its associated programs, products and services.	Destroy 2 years after last action



GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.



Financial statements

The process of compiling statements presented in prescribed tabular form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.8.1 	Working papers relating to financial statements, including collated materials, interim financial statements, and related background documentation. Includes annual statements of assets and liabilities, operating statement of financial position, balance sheets and statements of cash flows.	Destroy 7 years after last action
1.8.2 	Final version of financial statements and correspondence to and from Government agencies on those statements	Destroy 7 years after last action

Investment administration

The processes involved with the administration of financial assets through the establishment of investment policies and activities, and the coordination of investment activities.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.9.1 	Administration of investments.	Destroy 7 years after last action
1.9.2 	Coordination of interdepartmental investments.	Destroy 7 years after last action



GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.


Meetings

The activities associated with adhoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or agency as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Entry No.	Description of Records	Disposal Action
1.10.1 	Final version of minutes and supporting documents tabled at meetings held to support the function. Includes meetings with external agencies, parties and organisations.	Destroy 3 years after last action
1.10.2 	Working papers documenting the conduct and administration of meetings held to support the function. Includes agenda, notices of meetings and draft minutes.	Destroy 6 months after last action

Payments

The activities involved in the preparation and payment of money. Use REVENUE MANAGEMENT - Revenue Collection for the receipt of moneys by Territory agencies

Entry No.	Description of Records	Disposal Action
1.11.1 	Payment of funds for accounts payable, funds managers and similar	Destroy 7 years after last action



GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.





Planning

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

Entry No.	Description of Records	Disposal Action
1.12.1 	Final version of government assets and liability services plans.	Destroy 3 years after superseded
1.12.2 	Working papers used to develop all government assets and liability services plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of final plan

Policy

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

Entry No.	Description of Records	Disposal Action
1.13.1 	Final policy documents relating to whole of government asset and liability services.	Retain as Territory Archives
1.13.2 	Development and establishment of government assets and liability services policies. Includes: policy proposals, research papers, results of consultations, supporting reports and major drafts.	Destroy 5 years after superseded
1.13.3 	Comments made on the development of government-wide government assets and liability services policies.	Destroy 1 year after promulgation of final policy
1.13.4 	Working papers documenting the development of all government assets and liability services policies.	Destroy 1 year after promulgation of the new policy



GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.





Procedures

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

Entry No.	Description of Records	Disposal Action
1.14.1 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the government assets and liability services function.	Destroy 7 years after procedures are superseded
1.14.2 	Development of agency procedures supporting the government assets and liability services function.	Destroy 2 years after procedures are superseded

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Entry No.	Description of Records	Disposal Action
1.15.1 	Final version of internal formal reports and reports made to external parties or organisations relating to the function.	Destroy 5 years after last action
1.15.2 	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support government assets and liability services.	Destroy 3 years after last action
1.15.3 	Responses to surveys carried out to support the function.	Destroy 3 years after last action
1.15.4 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 6 months after last action



GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.


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 activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.16.1 	Detailed research carried out to support the government assets and liability services function.	Retain as Territory Archives
1.16.2 	Routine research carried out to support the government assets and liability services function.	Destroy 2 years after last action



Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.17.1 	Review of agency programs and operations. Includes documents establishing the review, final report and action plan.	Destroy 3 years after last action

Risk management

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.18.1 	Final versions of documentation on risk management relating to the function. Includes records covering each stage of the process, assessment reports, treatment schedules and action plans	Destroy 1 year after next risk assessment
1.18.2 	Risk register.	Destroy 7 years after next risk

assessment

GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.

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>
1.19.1 	Signed contracts under seal resulting from tenders and supporting records.	Destroy 12 years after expiry or other termination of contract
1.19.2 	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
1.19.3 	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
1.19.4 	Post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
1.19.5 	Tender register.	Destroy 7 years after last entry
1.19.6 	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after expiry or other termination of contract
1.19.7 	Contract register	Destroy 7 years after last entry
1.19.8 	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 3 years after tender process completed

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.




Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.1.1 	The receipt and provision of general advice to agency managers and employees.	Destroy 7 years after last action

Analysing

The activities associated with systematically applying statistical and logical techniques to describe, summarise and compare data and/or information collected. Includes the process of analysis.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.2.1 	Final budget analysis.	Retain as Territory Archives
2.2.2 	Working papers documenting the examination of budget information such as budget submissions and forward estimates, research notes, and comparative analysis. Includes the development and clearance of draft analysis.	Destroy 7 years after last action
2.2.3 	Agency monthly financial reports.	Destroy 7 years after last action

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Use STRATEGIC MANAGEMENT - Committees for audit committees.

Entry No.	Description of Records	Disposal Action
2.3.1 ████████████████████	Internal and external committees formed to consider matters relating to the Territory budget. Includes: documents establishing the committee, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers.	Retain as Territory Archives
2.3.2 ████████████████████	Working papers documenting the conduct and administration of committees that consider matters relating to the function. Includes: agenda, notices of meetings, draft minutes.	Destroy 7 years after last action

Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.


Entry No.	Description of Records	Disposal Action
2.4.1 ████████████████████	Evaluation of potential or existing programs and services that support Government priorities and policies. Includes budget bids.	Retain as Territory Archives
2.4.2 ████████████████████	Working papers documenting an evaluation of Territory agency programs and operations that support Government priorities and policies.	Retain as Territory Archives

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.


Financial statements

The process of compiling statements presented in prescribed tabular form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year.

Entry No.	Description of Records	Disposal Action
2.5.1 	Final version of financial statements and correspondence to and from Government agencies on those statements. Includes budget statements, audited financial statements, collated financial statements received from government agencies and final versions of financial statements, correspondence to and from Government agencies on those statements and working papers.	Retain as Territory Archives

Legislation

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

Entry No.	Description of Records	Disposal Action
2.6.1 	Preparation and passage of Appropriation Bills through the Legislative Assembly. Includes: preliminary drafting instructions, proposed bills, records documenting consultation with relevant government agencies, preparation of the Explanatory Memorandum and Second Reading Speech.	Retain as Territory Archives

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.

Meetings

The activities associated with adhoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or agency as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Entry No.	Description of Records	Disposal Action
2.7.1 ████████████████████	Final version of minutes and supporting documents supporting documents tabled at meetings held to support the Territory budget management function. Includes meetings with other agencies.	Destroy 5 years after last action
2.7.2 ████████████████████	Working papers documenting the conduct and administration of meetings held to support the Territory budget function. Includes agenda, notices of meetings and draft minutes	Destroy 6 months after last action

Planning

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

Entry No.	Description of Records	Disposal Action
2.8.1 ████████████████████	Final version of workplans.	Destroy 5 years after superseded

Policy

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

Entry No.	Description of Records	Disposal Action
2.9.1 ████████████████████	Records documenting the creation of budget management policies. Includes working papers.	Retain as Territory Archives

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.

Procedures

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

Entry No.	Description of Records	Disposal Action
2.10.1 ████████████████████	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the Territory Budget Management function.	Destroy after superseded
2.10.2 ████████████████████	Development of agency procedures supporting the Territory Budget Management function.	Destroy 1 year after production of procedures

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.



Entry No.	Description of Records	Disposal Action
2.11.1 ████████████████████	Final versions of formal financial reports such as reports to the Bureau of Statistics, Territory Grants Commissions, Loan Council, and heads of Treasuries.	Destroy 7 years after last action
2.11.2 ████████████████████	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the function. Includes the collection and reporting of statistical information relating to visits. Includes output reporting.	Destroy 7 years after last action
2.11.3 ████████████████████	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 7 years after last action

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.

Submissions

The preparation and submission of a formal statement (e.g. report, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency, or within the agency, for the purpose of either gain or support.

Entry No.	Description of Records	Disposal Action
2.12.1 	Final version of agency submissions made to government. Includes submissions to credit rating agencies on the state of the territories finances. Includes working papers.	Retain as Territory Archives
2.12.2 	Submissions received from the community through consultation.	Destroy 5 years after last action

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.

Actuarial services

The activities of identifying, quantifying and managing future financial risks through the analysis and calculation of costs.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.1.1 ████████████████████	Assessment of future financial projections relating to risk. Includes final reports	Destroy 7 years after last action
3.1.2 ████████████████████	Collated material used to assess financial risks	Destroy 7 years after last action
3.1.3 ████████████████████	Working papers used in providing actuarial services for Territory Government insurance. Includes copies of reports and reference material.	Destroy 6 months after last action

Addresses (presentations)

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.2.1 ████████████████████	Final versions of addresses delivered in the promotion of the insurance services programs to government agencies.	Destroy 2 years after last presentation
3.2.2 ████████████████████	Working papers documenting the development of addresses, including drafts.	Destroy 6 months after last action

Advice

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



<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.3.1 ████████████████████	The receipt and provision of general advice to agency managers and employees.	Destroy 10 years after last action

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.


Agreements

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

Entry No.	Description of Records	Disposal Action
3.4.1 	Final version of agreements made relating to the function. Includes Memoranda of Understanding with Commonwealth and State Governments.	Destroy 7 years after expiry or other termination of agreement
3.4.2 	Negotiations, establishment, maintenance and review of agreements	Destroy 7 years after expiry or other termination of agreement

Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death or denial of rights of person or to destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen and lost property.

Entry No.	Description of Records	Disposal Action
3.5.1 	Insurance claims made by Government agencies. Includes: copies of claims, reports and related correspondence. For records of claims for compensation submitted by members of the public managed by an external insurance provider, use COMPENSATION - Claims	Destroy 7 years after claim settled/action completed




GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.

Committees


The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Use STRATEGIC MANAGEMENT - Committees for audit committees.

Entry No.	Description of Records	Disposal Action
3.6.1 	Internal and external committees formed to consider potentially controversial matters relating to government insurance and/or those with long term social effects. Includes: documents establishing the committee, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers. Includes Asbestos Taskforce.	Retain as Territory Archives
3.6.2 	Internal and external committees formed to consider matters relating to the function. Includes: documents establishing the committee, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers.	Destroy 5 years after last action
3.6.3 	Working papers documenting the conduct and administration of committees that consider matters relating to the function. Includes: agenda, notices of meetings and draft minutes.	Destroy 6 months after last action

Contracting out

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.


Entry No.	Description of Records	Disposal Action
3.7.1 	Contract management relating to the function. Includes: minutes of meetings with main stakeholders, performance and evaluation reports.	Destroy 7 years after expiry or other termination of contract

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.

Enquiries



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

Entry No.	Description of Records	Disposal Action
3.8.1 	Handling of public enquiries about government insurance services and its programs, products and services. Includes enquiries relating to natural disasters and other significant events	Destroy 10 years after last action

Insurance policies


The activities associated with entering into a contract to undertake financial liability for a specified loss in return for premiums paid.

Use Policy for agency policy on insurance

Entry No.	Description of Records	Disposal Action
3.9.1 	Master set of insurance policies. Includes insurance renewals.	Destroy 15 years after policy is cancelled or otherwise terminated
3.9.2 	Working papers documenting the development, establishment and renewal of insurance policies.	Destroy 7 years after last action

Liaison

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

Entry No.	Description of Records	Disposal Action
3.10.1 	Liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation.	Destroy 3 years after last action

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.

Meetings

The activities associated with adhoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or agency as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Entry No.	Description of Records	Disposal Action
3.11.1 ████████████████████	Final version of minutes and supporting documents tabled at meetings held to support the function. Includes meetings with external agencies.	Destroy 3 years after last action
3.11.2 ████████████████████	Working papers documenting the conduct and administration of meetings held to support the function. Includes agenda, notices of meetings and draft minutes.	Destroy 6 months after last action
3.11.3 ████████████████████	Final version of minutes and supporting documents tabled at claims review meetings.	Destroy 15 years after last claim on file is closed

Planning

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




Entry No.	Description of Records	Disposal Action
3.12.1 ████████████████████	Final version of business and other operational plans.	Destroy 3 years after superseded
3.12.2 ████████████████████	Working papers used to develop all advisory council plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of final plan

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.



Policy

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

Entry No.	Description of Records	Disposal Action
3.13.1 	Development and establishment of government insurance services policies. Includes: policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.	Destroy 5 years after superseded
3.13.2 	Comments made on the development of government-wide government insurance services policies.	Destroy 5 years after superseded
3.13.3 	Working papers documenting the development of all government insurance services policies.	Destroy 1 year after promulgation of policy

Procedures



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

Entry No.	Description of Records	Disposal Action
3.14.1 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the insurance services function.	Destroy 5 years after superseded
3.14.2 	Development of agency procedures supporting the insurance services function.	Destroy 5 years after superseded

Reinsurance policies

The activities associated with entering into a contract to undertake financial liability for a specified insured risk, in return for premiums paid.

Use Insurance Policies for the development of standard insurance policies

Entry No.	Description of Records	Disposal Action
3.15.1 	Master set of re-insurance renewals	Destroy 15 years after policy is cancelled or otherwise terminated
3.15.2 	Working papers documenting the development, establishment and renewal of re-insurance policies.	Destroy 7 years after last action

GOVERNMENT INSURANCE SERVICES

Records Disposal Schedule – Treasury Management Records April 2006

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Entry No.	Description of Records	Disposal Action
3.16.1 ████████████████████	Final version of internal formal reports and reports made to external agencies relating to the function. Includes reports relating to insurance claims.	Destroy 7 years after last action
3.16.2 ████████████████████	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support insurance services. Includes the collection and reporting of statistical information.	Destroy 3 years after last action
3.16.3 ████████████████████	Working papers documenting the development of all reports. Includes drafts, comments received and copies of report.	Destroy 6 months after last action

Research

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



Entry No.	Description of Records	Disposal Action
3.17.1 ████████████████████	Detailed research carried out to support the insurance services function.	Retain as Territory Archives
3.17.2 ████████████████████	Routine research carried out to support the insurance services function.	Destroy 2 years after last action

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.

Risk management

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









<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.18.1 	Risk management relating to the function. Includes records covering each stage of the process, treatment schedules, action plans.	Destroy 7 years after next risk assessment
3.18.2 	Territory insurance risk register.	Destroy 7 years after last entry

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.

Tendering

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


Entry No.	Description of Records	Disposal Action
3.19.1 	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
3.19.2 	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
3.19.3 	Post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
3.19.4 	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 3 years after tender process completed
3.19.5 	Tender register.	Destroy 7 years after last entry
3.19.6 	Signed contracts under seal resulting from tenders and supporting records.	Destroy 12 years after expiry or other termination of contract
3.19.7 	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after expiry or other termination of contract
3.19.8 	Contract register	Destroy 7 years after last entry

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.




Training services

The activities associated with providing training services to external agencies and entities. Includes designing, developing, implementing and evaluating customised training programs. TIP: Add the name of the external agency or entity as free text in the file title.

Entry No.	Description of Records	Disposal Action
3.20.1 	Development of training courses. Includes training material, course notes.	Destroy 15 years after last presentation

Underwriting

The activities associated with assuming financial responsibility for risks covered under an insurance policy.


Entry No.	Description of Records	Disposal Action
3.21.1 	Sending out and receipt of proposals for insurance cover to determine if any changes are needed to the insurance policy.	Destroy 7 years after last action
3.21.2 	Schedule of insurance cover	Destroy 7 years after last action
3.21.3 	Working papers used to set premiums. Includes general correspondence.	Destroy 7 years after last action

HOME LOAN PORTFOLIO ADMINISTRATION

The function of administering home loans granted to assist low income households in achieving home ownership. Includes activities associated with collecting and accounting for mortgagor payments, arrears management, the preparation of biannual loan account statements, responding to mortgagor information requests and processing mortgage discharges. Also includes the development of policies and strategies for the management of home loans.




Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.1.1 	The receipt and provision of general advice to agency managers and employees.	Destroy 5 years after last action


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>
4.2.1 	Final version of significant agreements with government bodies.	Destroy 7 years after completion or other termination of contract
4.2.2 	Negotiations, establishment, maintenance and review of significant agreements.	Destroy 7 years after completion or other termination of contract
4.2.3 	Final versions of other agreements	Destroy 7 years after completion or other termination of contract

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>
4.3.1 	Appeals made to the AAT on decisions made in relation to the administration of housing assistance loans	Destroy 5 years after last action

HOME LOAN PORTFOLIO ADMINISTRATION

The function of administering home loans granted to assist low income households in achieving home ownership. Includes activities associated with collecting and accounting for mortgagor payments, arrears management, the preparation of biannual loan account statements, responding to mortgagor information requests and processing mortgage discharges. Also includes the development of policies and strategies for the management of home loans.


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>
4.4.1 	Forecasts on the economic and/or financial conditions of Home Loans in the Territory.	Destroy 7 years after last action
4.4.2 	Certificates of title and memorandum of mortgage.	Transfer to client after loan is paid in full




Forecasting

The activities involved in predicting a future event or action and providing an opinion on such an event.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.5.1 	Forecasts on the economic and/or financial conditions of Home Loans in the Territory.	Destroy 7 years after last action

Loan Administration

The activities associated with monitoring the terms and conditions of assistance given to a person including applications for deferred assistance and assessments for set payment rates.



<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.6.1 	Loan packets for discharge mortgages.	Retain as Territory Archives
4.6.2 	Register of home loans granted.	Retain as Territory Archives
4.6.3 	Certificates of title and memorandum of mortgage.	Transfer to client after loan is paid in full

HOME LOAN PORTFOLIO ADMINISTRATION

The function of administering home loans granted to assist low income households in achieving home ownership. Includes activities associated with collecting and accounting for mortgagor payments, arrears management, the preparation of biannual loan account statements, responding to mortgagor information requests and processing mortgage discharges. Also includes the development of policies and strategies for the management of home loans.




Planning

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.7.1 	Final version of home loan portfolio administration plans.	Destroy 3 years after plan is superseded
4.7.2 	Working papers used to develop all home loan portfolio administration plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan

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>
4.8.1 	Development and establishment of the home loan portfolio administration policies. Includes: policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.	Destroy 5 years after policy is superseded
4.8.2 	Comments made on the development of government-wide home loan portfolio administration policies.	Destroy 1 year after promulgation of the new policy
4.8.3 	Working papers documenting the development of all home loan portfolio administration policies.	Destroy 1 year after promulgation of the new policy

HOME LOAN PORTFOLIO ADMINISTRATION

The function of administering home loans granted to assist low income households in achieving home ownership. Includes activities associated with collecting and accounting for mortgagor payments, arrears management, the preparation of biannual loan account statements, responding to mortgagor information requests and processing mortgage discharges. Also includes the development of policies and strategies for the management of home loans.





Procedures

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.9.1 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the home loan portfolio administration function.	Destroy after procedures are superseded
4.9.2 	Development of agency procedures supporting the home loan portfolio administration function.	Destroy 1 year after procedures are superseded

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.


<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.10.1 	Final version of internal formal reports and reports made to external agencies relating to the home loan portfolio administration function.	Destroy 5 years after last action
4.10.2 	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the home loan portfolio administration. Includes the collection and reporting of statistical information relating to visits. Includes monthly reports.	Destroy 3 years after last action
4.10.3 	Responses to surveys carried out to support the function.	Destroy 3 years after last action
4.10.4 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 6 months after last action

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.



Accounting

The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the agency. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the agency's accounting systems and internal controls.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.1.1 	Principal accounting records and associated supporting records managing the agency's revenue and expenditure. Includes: journals, ledgers, receipt and revenue records, sales and purchase invoices, cheque records, e.g. cheque butts or computerised cheque issue records	Destroy 7 years after last action

Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.



<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.2.1 	Acquisition of equipment, goods and services where there is no tender or contract process (i.e. where the cost of the acquisition is below the threshold for tendering or where a purchase is made against a period contract). Includes: formal requests for quotes, orders, handover reports, routine forms and correspondence relating to the acquisition.	Destroy 7 years after last action
5.2.2 	Acquisitions not proceeded with of equipment, goods and services.	Destroy 2 years after last action

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.



Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.3.1 	Advice to the Treasurer on superannuation issues.	Retain as Territory Archives
5.3.2 	The receipt and provision of general advice to agency managers and employees.	Destroy 3 years after last action



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>
5.4.1 	Final version of contractual agreements with government bodies.	Destroy 7 years after expiry or other termination of contract
5.4.2 	Negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of contract

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>
5.5.1 	Delegations of powers to agency staff to authorise administrative action relating to superannuation management.	Destroy 7 years after delegation expires
5.5.2 	Requests and approvals for actions related to superannuation management. Includes permission for negotiating with vendors.	Destroy 7 years after last action

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Use STRATEGIC MANAGEMENT - Committees for audit committees.

Entry No. Description of Records

Disposal Action

5.6.1 ██████████████████	Internal and external committees formed to consider matters relating to the function. Includes: documents establishing the committee, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers. Includes the MLA Superannuation Board and the Finance and Investment Advisory Board.	Destroy 7 years after last action
5.6.2 ██████████████████	Working papers documenting the conduct and administration of committees that consider matters relating to the function. Includes: agenda, notices of meetings, draft minutes.	Destroy 6 months after last action

Contracting out

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

Entry No. Description of Records

Disposal Action


5.7.1 ██████████████████	Contract management relating to the function. Includes: minutes of meetings with main stakeholders, performance and evaluation reports.	Destroy 7 years after completion or other termination of contract
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SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.



Enquiries

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.8.1 	Handling of external agency enquiries about the function and its associated programs, products and services.	Destroy 2 years after last action



Financial statements

The process of compiling statements presented in prescribed tabular form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year.

5.9.1 	Working papers relating to financial statements, including collated materials, interim financial statements, and related background documentation. Includes annual statements of assets and liabilities, operating statement of financial position, balance sheets and statements of cash flows.	Destroy 7 years after last action
5.9.2 	Final version of financial statements and correspondence to and from Government agencies on those statements	Destroy 7 years after last action

Meetings

The activities associated with adhoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or agency as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.10.1 	Final version of minutes and supporting documents tabled at meetings held to support the function. Includes meetings with external organisations or parties.	Destroy 3 years after last action
5.10.2 	Working papers documenting the conduct and administration of meetings held to support the function. Includes agenda, notices of meetings and draft minutes.	Destroy 6 months after last action


SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.

Payments



The activities involved in the preparation and payment of money.

Use REVENUE MANAGEMENT - Revenue Collection for the receipt of moneys by Territory agencies.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.11.1 	Payment of funds for accounts payable, funds managers and similar.	Destroy 7 years after last action

Planning

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





<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.12.1 	Final version of plans created relating to superannuation management.	Destroy 3 years after plan is superseded
5.12.2 	Working papers used to develop all superannuation management plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.



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>
5.13.1 	Final policy documents relating to whole of government superannuation management policies.	Retain as Territory Archives
5.13.2 	Development and establishment of superannuation management policies. Includes: policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.	Destroy 5 years after policy is superseded
5.13.3 	Comments made on the development of government-wide superannuation management policies.	Destroy 1 year after promulgation of the new policy
5.13.4 	Working papers documenting the development of all superannuation management policies.	Destroy 1 year after promulgation of the new policy

Procedures

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





<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.14.1 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the superannuation management function.	Destroy after procedures are superseded
5.14.2 	Development of agency procedures supporting the superannuation management function.	Destroy 1 year after promulgation of procedures

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.



Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.15.1 	Final version of internal formal reports and reports made to external organisations or parties relating to the function.	Destroy 5 years after last action
5.15.2 	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the Superannuation Management function.	Destroy 3 years after last action
5.15.3 	Responses to surveys carried out to support the function.	Destroy 3 years after last action
5.15.4 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 6 months after last action

Research

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


<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.16.1 	Detailed research carried out to support the superannuation management function. Includes investment trends and market returns.	Retain as Territory Archives
5.16.2 	Routine research carried out to support the superannuation management function.	Destroy 2 years after last action

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.



Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.17.1 	Review of agency programs and operations supporting the superannuation management function. Includes documents establishing the review, final report and action plan.	Destroy 3 years after last action

Risk management

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




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.18.1 	Risk register.	Destroy 7 years after next risk assessment
5.18.2 	Final versions of documentation on risk management relating to the asset sales function. Includes records covering each stage of the process, assessment reports, treatment schedules and action plans	Destroy 1 year after next risk assessment

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.

Superannuation arrangements

The activities involved in arranging superannuation for Members of the Legislative Assembly. Includes calculating and preparing annual superannuation statements and termination calculations.









<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.19.1 	Personal details of each Member of the Assembly used to manage superannuation entitlements and benefits.	Destroy 75 years after the date of birth of the Member or 7 years after last action, which ever is the later.
5.19.2 	Arrangements for the creation and distribution of regular statements of accrued benefits.	Destroy 7 years after last action
5.19.3 	Calculation of contributions and benefits payable to Members of the Assembly on leaving office.	Destroy 7 years after last action

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.

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>
5.20.1 	Signed contracts under seal resulting from tenders and supporting records.	Destroy 12 years after expiry or other termination of contract
5.20.2 	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
5.20.3 	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
5.20.4 	Post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
5.20.5 	Tender register.	Destroy 7 years after last entry
5.20.6 	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after expiry or other termination of contract
5.20.7 	Contract register	Destroy 7 years after last entry
5.20.8 	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 3 years after tender process completed

CLASSES FOR RETENTION AS TERRITORY ARCHIVES

Classes for retention as Territory Archives


GOVERNMENT ASSET & LIABILITY SERVICES

The function of facilitating asset and liability services to Government through the establishment of investment and borrowing policies and the coordination of investment and borrowing activities.

Includes administering the government's debt liabilities, managing the provision of external services for the investment of government funds, reviewing investment strategies and external fund management arrangements. Also includes preparing submissions, reporting on the government's motor vehicle financing facilities, providing advice and the government's transactional banking arrangements.


Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.2.1 	Advice to the Treasurer on asset and liability matters.	Retain as Territory Archives


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>
1.13.1 	Final policy documents relating to whole of government asset and liability services.	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 activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.16.1 	Detailed research carried out to support the government assets and liability services function.	Retain as Territory Archives

Classes for retention as Territory Archives

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.

Analysing


The activities associated with systematically applying statistical and logical techniques to describe, summarise and compare data and/or information collected. Includes the process of analysis.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.2.1 	Final budget analysis.	Retain as Territory Archives

Committees



The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Use STRATEGIC MANAGEMENT - Committees for audit committees.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.3.1 	Internal and external committees formed to consider matters relating to the Territory budget. Includes: documents establishing the committee, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers.	Retain as Territory Archives

Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.4.1 	Evaluation of potential or existing programs and services that support Government priorities and policies. Includes budget bids.	Retain as Territory Archives
2.4.2 	Working papers documenting an evaluation of Territory agency programs and operations that support Government priorities and policies.	Retain as Territory Archives


Classes for retention as Territory Archives

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.


Financial statements

The process of compiling statements presented in prescribed tabular form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.5.1 	Final version of financial statements and correspondence to and from Government agencies on those statements. Includes budget statements, audited financial statements, collated financial statements received from government agencies and final versions of financial statements, correspondence to and from Government agencies on those statements and working papers.	Retain as Territory Archives


Legislation

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.6.1 	Preparation and passage of Appropriation Bills through the Legislative Assembly. Includes: preliminary drafting instructions, proposed bills, records documenting consultation with relevant government agencies, preparation of the Explanatory Memorandum and Second Reading Speech.	Retain as Territory Archives

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>
2.9.1 	Records documenting the creation of budget management policies. Includes working papers.	Retain as Territory Archives


Classes for retention as Territory Archives

GOVERNMENT BUDGET MANAGEMENT

The function of managing the Government's budget development and administration. Includes the activities associated with planning annual and supplementary budgets, quarterly and annual financial statements, conducting analysis and reporting on financial and service performance issues and evaluating the Government annual capital works program. Also includes reviewing legislation, advising Government and agencies on financial management, resource allocation and agency budget development issues, agency best practice accounting and whole of government taxation management and representation on inter-governmental forums.

Submissions

The preparation and submission of a formal statement (e.g. report, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency, or within the agency, for the purpose of either gain or support.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.12.1 	Final version of agency submissions made to government. Includes submissions to credit rating agencies on the state of the territories finances. Includes working papers.	Retain as Territory Archives

Classes for retention as Territory Archives


GOVERNMENT INSURANCE SERVICES

The function of providing insurance services to Government, the community and insurance industry. Includes policy development, handling enquiries, providing speeches and multi-media presentations and conducting research. Also includes the administration and management of insurance claims made by Territory Government agencies.

Committees


The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Use STRATEGIC MANAGEMENT - Committees for audit committees.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.6.1 	Internal and external committees formed to consider potentially controversial matters relating to government insurance and/or those with long-term social effects. Includes: documents establishing the committee, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers. Includes Asbestos Taskforce.	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 activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.17.1 	Detailed research carried out to support the insurance services function.	Retain as Territory Archives



Classes for retention as Territory Archives

HOME LOAN PORTFOLIO ADMINISTRATION

The function of administering home loans granted to assist low income households in achieving home ownership. Includes activities associated with collecting and accounting for mortgagor payments, arrears management, the preparation of biannual loan account statements, responding to mortgagor information requests and processing mortgage discharges. Also includes the development of policies and strategies for the management of home loans.

Loan Administration

The activities associated with monitoring the terms and conditions of assistance given to a person including applications for deferred assistance and assessments for set payment rates.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.6.1 	Loan packets for discharge mortgages.	Retain as Territory Archives
4.6.2 	Register of home loans granted.	Retain as Territory Archives


Classes for retention as Territory Archives

SUPERANNUATION MANAGEMENT

The function of managing funds set aside to meet liabilities of the Government and its agencies relating to employer superannuation. Includes the administrative operations of superannuation arrangements for Members of the Legislative Assembly payments in connection with the Government's superannuation liabilities, and reviewing processes, procedures, standards and systems. Also includes drawing up and issuing tenders and managing the performance of external service providers.


Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.3.1 	Advice to the Treasurer on superannuation issues.	Retain as Territory Archives

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>
5.13.1 	Final policy documents relating to whole of government superannuation management policies.	Retain as Territory Archives