

Australian Capital Territory

Territory Records (Records Disposal Schedule – Corporate Governance Records) Approval 2009 (No 1)

Notifiable instrument NI2009—10

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 – Corporate Governance Records) Approval 2009 (No 1)

2. Approval

I approve the Records Disposal Schedule – Corporate Governance Records.

3. Commencement

This instrument commences on the day after notification.

David Wardle
Director of Territory Records
5 January 2009



Records Disposal Schedule Corporate Governance Records

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INTRODUCTION

The *Records Disposal Schedule - Corporate Governance Records* is the official authority for the disposal of records relating to Corporate Governance including Board, Council and their Committees Records.

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 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 Corporate Governance including Board, Council and their Committees records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

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

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

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

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

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements,

administrative need or agency directives. **An agency must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence.**

The *Records Disposal Schedule - Corporate Governance Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all Corporate Governance including Board, Council and their Committees 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 - Corporate Governance Records:

- covers all Corporate Governance including Board, Council and their Committees records;
- is intended to be used in conjunction with TARDiS;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

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

Function.

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

Activity.

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

Description of Records.

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

Disposal Action.

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

Electronic records

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

DESTRUCTION OF RECORDS

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

UPDATING THE RECORDS DISPOSAL SCHEDULE

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

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

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

RELATED LEGISLATION

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

ACTEW/AGL Partnership Facilitation Act 2000

ACT Self-Government Act 1988

Territory Owned Corporations Act 1990

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

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. [TARDiS]

Agreements

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

Arrangements

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

Audit

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

Authorisation

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

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

Boards

The activities associated with managing Boards. Includes the Board's establishment, constitution, management of membership, terms of reference, composition, appointments, including casual vacancy appointments, re-appointments, retirement and resignation processes, proceedings, minutes of meetings, reports, agendas etc.. Does not include remuneration of Board members, or Professional Insurance. Use Members' Remuneration and Professional Insurance.

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. [TARDiS]

Compliance

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

Joint ventures

The activities involved in managing joint operations between departments, either within the agency or with other agencies, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or agencies.

Members' remuneration

The activities of remunerating members as determined by the relevant authority, such as the Remuneration Tribunal.

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

Planning

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

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. [TARDiS]

Procedures

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

Professional Insurance

The activities associated with taking out premiums to cover board members, delegates, authorised persons, etc. against liabilities or losses arising from their performance of functions carried out on behalf of a board, council or committee.

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. [TARDiS]

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 organisational programs, projects, working papers, literature searches etc. [TARDiS]

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

Reviewing

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

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.

RECORDS DISPOSAL SCHEDULE

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

Agreements

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

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|---|--|
| 181.006.001 ■■■■■■■■■■■■■■■■■■■■ | Agreements and supporting documents. Includes: - contracts; and - project scope documents [Use Joint Ventures for Joint Venture Agreements] | Destroy 7 years after action completed |

Arrangements

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

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|---|---------------------------------------|
| 181.011.001 ■■■■■■■■■■■■■■■■■■■■ | Travel and accommodation arrangements. Includes arrangements for guest speakers. | Destroy 1 year after action completed |

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

Committees (Continued)

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. [TARDiS]

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|---|---|
| 181.020.004 ■■■■■■■■■■■■■■■■■■■■ | Records of working papers and administration of committees. Includes: - agenda; - notice of meetings; - draft minutes; and - room bookings. | Destroy 6 months after action completed |

Compliance

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

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|---|--|
| 181.021.001 ■■■■■■■■■■■■■■■■■■■■ | Records relating to the maintenance of registers required to meet compliance of specific legislative obligations. | Retain as Territory Archives |
| 181.021.002 ■■■■■■■■■■■■■■■■■■■■ | Compliance with mandatory or optional standards with statutory requirements. | Destroy 7 years after action completed |

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

Joint ventures

The activities involved in managing joint operations between departments, either within the agency or with other agencies, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or agencies.

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|---|---|
| 181.062.001 ■■■■■■■■■■■■■■■■■■■■ | Records relating to the establishment, negotiation, review and management of joint venture agreements setting precedent or of major significance. | Retain as Territory Archives |
| 181.062.002 ■■■■■■■■■■■■■■■■■■■■ | Records relating to the establishment, negotiation, review and management of other joint venture agreements. | Destroy 7 years after agreement expires |

Members' remuneration

The activities of remunerating members as determined by the relevant authority, such as the Remuneration Tribunal.

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|--|--|
| 181.239.001 ■■■■■■■■■■■■■■■■■■■■ | Records documenting the remuneration of members. | Destroy 7 years after expiry or other termination of appointment |

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

Planning

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

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|---|---|
| 181.079.001 ■■■■■■■■■■■■■■■■■■■■ | Final version of plans for major planning, policy and/or project initiatives. | Retain as Territory Archives |
| 181.079.002 ■■■■■■■■■■■■■■■■■■■■ | Final version of plans for other planning, policy and/or project initiatives. | Destroy 5 years after plan is superseded |
| 181.079.003 ■■■■■■■■■■■■■■■■■■■■ | Working papers used to develop plans for projects. Includes draft plans, reports analysing issues, and comments on draft plans. | Destroy 1 year after adoption of the final plan |

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

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> |
|-------------------------------------|--|--|
| 181.095.001 ■■■■■■■■■■■■■■■■■■■■ | Records documenting risk management relating to the function. Includes documentation covering each stage of the process, treatment schedules and action plans. | Destroy 7 years after next risk assessment |
| 181.095.002 ■■■■■■■■■■■■■■■■■■■■ | Risk register. | Destroy 7 years after action completed |

RETAIN AS TERRITORY ARCHIVES

CORPORATE GOVERNANCE

The function of establishing the strategic direction and governance framework for the organisation, and overseeing the management of its operations and joint ventures. Includes developing and establishing a statement of governance philosophy, constitution, charter, delegations, responsibilities, appointment, remuneration protocol or code of conduct. Also includes compliance with regulatory reporting obligations and includes those activities associated with providing secretariat support to the Board, Council and their Committees in the conduct of its work and administrative support to the members.

Joint ventures

The activities involved in managing joint operations between departments, either within the agency or with other agencies, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or agencies.

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|---|-------------------------------|
| 181.062.001 ■■■■■■■■■■■■■■■■■■■■ | Records relating to the establishment, negotiation, review and management of joint venture agreements setting precedent or of major significance. | Retain as Territory Archives |

Planning

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

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|---|-------------------------------|
| 181.079.001 ■■■■■■■■■■■■■■■■■■■■ | Final version of plans for major planning, policy and/or project initiatives. | 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. [TARDiS]

| <i>Entry No.</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|-------------------------------------|--------------------------------------|-------------------------------|
| 181.080.001 ■■■■■■■■■■■■■■■■■■■■ | Final versions of policies. | Retain as Territory Archives |

