

Australian Capital Territory

Territory Records (Records Disposal Schedule – Industry Long Service Leave Records) Approval 2006 (No 1)

Notifiable instrument NI2006—256

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 – Industry Long Service Leave Records) Approval 2006 (No 1)

2. Approval

I approve the Records Disposal Schedule – Industry Long Service Leave Records.

3. Commencement

This instrument commences on the day after notification.

David Wardle
Director of Territory Records
12 July 2006



*Records Disposal Schedule
Industry Long Service Leave Records*

INTRODUCTION	5
PURPOSE	5
SCOPE	5
AUTHORITY	5
STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA	5
<i>Territory Version of Keyword AAA</i>	<i>6</i>
GUIDELINES FOR USE	6
<i>Coverage of authority</i>	<i>6</i>
<i>Layout of the schedule</i>	<i>7</i>
FORMAT OF RECORD	8
<i>Electronic records</i>	<i>8</i>
DESTRUCTION OF RECORDS	8
UPDATING THE RECORDS DISPOSAL SCHEDULE	8
ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE	8
RELATED LEGISLATION	9
DEFINITIONS	10
<i>Agency</i>	<i>10</i>
<i>Appraisal</i>	<i>10</i>
<i>Business Classification Scheme</i>	<i>10</i>
<i>Principal Officer</i>	<i>10</i>
<i>Records</i>	<i>10</i>
<i>Records of an Agency</i>	<i>10</i>
<i>Records Disposal Schedule</i>	<i>10</i>
<i>Records Management Program</i>	<i>11</i>
<i>Recordkeeping Systems</i>	<i>11</i>
<i>Scope Note</i>	<i>11</i>
<i>Sentencing</i>	<i>11</i>
<i>Territory Archives</i>	<i>11</i>
BUSINESS CLASSIFICATION SCHEME	12
<i>LONG SERVICE LEAVE MANAGEMENT</i>	<i>13</i>
RECORDS DISPOSAL SCHEDULE	15
<i>LONG SERVICE LEAVE MANAGEMENT</i>	<i>16</i>
Agreements.....	16
Cases.....	16
Committees.....	17
Evaluation.....	18
Policy.....	18
Procedures.....	19
Registration.....	19
Reporting.....	19
Research.....	20
Reviewing.....	20
CLASSES FOR RETENTION AS TERRITORY ARCHIVES	21
<i>LONG SERVICE LEAVE MANAGEMENT</i>	<i>22</i>
Agreements.....	22
Committees.....	22
Evaluation.....	23

Records Disposal Schedule – Industry Long Service Leave Records July 2006

Policy	23
Registration	23
Reporting.....	24
Research.....	24
Reviewing	24

INTRODUCTION

The *Records Disposal Schedule – Industry Long Service Leave Records* is the official authority for the disposal of records relating to Long Service Leave 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 Industry Long Service Leave records 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 – Industry Long Service Leave 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 Long Service Leave 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 –Industry Long Service Leave Records:

- covers all Industry Long Service Leave Records
- records including the records of the above separate agencies;
- 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;
- 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 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 and codes of practice are related to the records classes covered by this Records Disposal Schedule:

Electronic Transactions Act 2001

Freedom of Information Act 1989

Financial Management Act 1996

Long Service Leave Act 1976

Long Service Leave (Building and Construction Industry) Act 1981

Long Service Leave (Contract Cleaning Industry) Act 1999

Privacy Act 1988

Public Sector Management Act 1994

Territory Records Act 2002

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

LONG SERVICE LEAVE MANAGEMENT

The function of managing the entitlement to long service leave by registered employees.

Agreements

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

Cases

This Activity descriptor should be used where there is a need to keep a number of activities together on one file, for legislative or operational reasons. Case files relate to incidents, persons, organisations or clients.

Committees

The activities associated with the management of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc. Use STRATEGIC MANAGEMENT – Committees for audit committees.

Evaluation

The activities 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.

Policy

The activities associated with developing and establishing decision, 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 an agency according to formulated policy.

Registration

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

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 organisational programs, projects, working papers, literature searches etc.

Reviewing

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

RECORDS DISPOSAL SCHEDULE

LONG SERVICE LEAVE MANAGEMENT

The function of managing the entitlement to long service leave by registered employees.

Agreements

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.1.1 *1. 1. 1*	Significant agreements, including the negotiations, establishment, maintenance and review with government bodies or private organisations with implications for major liabilities or obligations for example, agreements to manage long service leave options.	Retain as Territory Archives
1.1.2 *1. 1. 2*	Negotiations, establishment, maintenance and review of significant agreements.	Retain as Territory Archives
1.1.3 *1. 1. 3*	Final versions of other agreements.	Destroy 7 years after completion or other termination of agreement or contract.
1.1.4 *1. 1. 4*	Negotiations, establishment, maintenance and review of other agreements.	Destroy 7 years after signing of agreement

Cases

This activity descriptor should be used where there is a need to keep a number of activities together on one file, for legislative or operational reasons. Case files relate to incidents, persons, organisations or clients.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.2.1 *1. 2. 1*	Use this activity descriptor when there is a need to keep records relating to a number of activities together on one file. Can be used where it is considered necessary to keep records associated with assessing, calculating benefits and entitlements of registered employees. Employee file may include: <ul style="list-style-type: none">• Name;• Correspondence;• Claim forms;• Payment records;• Calculations; and• Employment records.	25 years after death of worker

LONG SERVICE LEAVE MANAGEMENT

The function of managing the entitlement to long service leave by registered employees.

Committees

The activities associated with the management of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc. Use STRATEGIC MANAGEMENT – Committees for audit committees.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.3.1 *1. 3. 1*	External committees (including the Cleaning Industry Long Service Leave Board and the Construction Industry Long Service Leave Board) formed to manage or advise. Includes final of documents: <ul style="list-style-type: none">• Establishing the committee;• Terms of reference;• Appointment of members;• Minutes;• Reports;• Recommendations; and• Supporting documents such as briefing and discussion papers.	Retain as Territory Archives
1.3.2 *1. 3. 2*	Internal committees formed to manage or advise. Includes final of documents: <ul style="list-style-type: none">• Establishing the committee• Terms of reference• Appointment of members• Minutes• Reports• Recommendations• Supporting documents such as briefing papers and discussion papers	Destroy 7 years after last action
1.3.3 *1. 3. 3*	Working papers and administration of committees (including the Cleaning Industry Long Service Leave Board and the Construction Industry Long Service Leave Board). Includes: <ul style="list-style-type: none">• Agenda• Notice of meetings• Draft minutes• Room bookings	Destroy 6 months after last action

LONG SERVICE LEAVE MANAGEMENT

The function of managing the entitlement to long service leave by registered employees.

Evaluation

The activities 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>
1.4.1 *1. 4. 1*	External and internal reports evaluating design, development and implementation of boards established to determine worker's entitlement to long service leave.	Retain as Territory Archives
1.4.2 *1. 4. 2*	Other records documents evaluating design, development and implementation of boards established to determine worker's entitlement to long service leave.	Destroy 7 years after last action
1.4.3 *1. 4. 3*	Working papers supporting external or internal reports evaluating design, development and implementation of boards established to determine worker's entitlement to long service leave.	Destroy 2 years after last action

Policy

The activities associated with developing and establishing decision, 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>
1.5.1 *1. 5. 1*	Final version of policies.	Retain as Territory Archives
1.5.2 *1. 5. 2*	Development and establishment of agency's policies. Includes: <ul style="list-style-type: none">• Policy proposals;• Research papers;• Results of consultations and comments on proposals;• Supporting reports;• Working papers; and• Major drafts.	Destroy 5 years after policy is superseded

LONG SERVICE LEAVE MANAGEMENT

The function of managing the entitlement to long service leave by registered employees.

Procedures

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.6.1 *1. 6. 1*	Master set of agency manuals, handbooks, and directives etc detailing procedures.	Destroy 7 years after procedures are superseded
1.6.2 *1. 6. 2*	Development and establishment of agency's procedures. Includes: <ul style="list-style-type: none">• Proposals;• Research papers;• Results of consultations and comments on proposals;• Supporting reports;• Working papers; and• Major drafts.	Destroy 2 years after procedures are superseded

Registration

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.7.1 *1. 7. 1*	Registers recording information of eligible periods of employment.	Retain as Territory Archives

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), 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>
1.8.1 *1. 8. 1*	Collection of data and information about special groups within the employee community gathered to educate and engage them in participation of long service leave entitlements.	Retain as Territory Archives
1.8.2 *1. 8. 2*	Employer and contractor bi-monthly forms, required by legislation or by the administering authority including. The Cleaning Industry Long Service Leave Board and The Construction Industry Long Service Leave Board).	Destroy 2 years after last action

LONG SERVICE LEAVE MANAGEMENT

The function of managing the entitlement to long service leave by registered employees.

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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.9.1 *1. 9. 1*	Records documenting detailed unpublished research conducted by or for the Agency.	Retain as Territory Archives
1.9.2 *1. 9. 2*	Records documenting detailed published research conducted by or for the Agency.	Destroy 7 years after last action
1.9.3 *1. 9. 3*	Records documenting routine published or unpublished research conducted by or for the Agency.	Destroy 5 years after last action

Reviewing

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.10.1 *1. 10. 1*	Records relating to the review of entitlements to long service leave. Includes subsequent investigation of process and recommendations.	Retain as Territory Archives
1.10.2 *1. 10. 2*	Records relating to reviews of project and program outcomes dealing with long service leave. Includes post implementation reviews (PIR).	Destroy 7 years after last action

CLASSES FOR RETENTION AS TERRITORY ARCHIVES

Classes for Retention as Territory Archives

LONG SERVICE LEAVE MANAGEMENT

The function of managing the entitlement to long service leave by registered employees.

Agreements

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.1.1 *1. 1. 1*	Significant agreements, including the negotiations, establishment, maintenance and review with government bodies or private organisations with implications for major liabilities or obligations for example, agreements to manage long service leave options.	Retain as Territory Archives
1.1.2 *1. 1. 2*	Negotiations, establishment, maintenance and review of significant agreements.	Retain as Territory Archives

Committees

The activities associated with the management of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc. Use STRATEGIC MANAGEMENT – Committees for audit committees.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.3.1 *1. 3. 1*	External committees (including the Cleaning Industry Long Service Leave Board and the Construction Industry Long Service Leave Board) formed to manage or advise. Includes final documents: <ul style="list-style-type: none">• Establishing the committee;• Terms of reference;• Appointment of members;• Minutes;• Reports;• Recommendations; and• Supporting documents such as briefing and discussion papers.	Retain as Territory Archives

Classes for Retention as Territory Archives

LONG SERVICE LEAVE MANAGEMENT

The function of managing the entitlement to long service leave by registered employees.

Evaluation

The activities 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>
1.4.1 *1. 4. 1*	External and internal reports evaluating design, development and implementation of boards established to determine worker's entitlement to long service leave.	Retain as Territory Archives

Policy

The activities associated with developing and establishing decision, 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>
1.5.1 *1. 5. 1*	Final version of policies.	Retain as Territory Archives

Registration

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.7.1 *1. 7. 1*	Registers recording information of eligible periods of employment.	Retain as Territory Archives

Classes for Retention as Territory Archives

LONG SERVICE LEAVE MANAGEMENT

The function of managing the entitlement to long service leave by registered employees.

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>
1.8.1 *1. 8. 1*	Collection of data and information about special groups within the employee community gathered to educate and engage them in participation of long service leave entitlements.	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 organisational programs, projects, working papers, literature searches etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.9.1 *1. 9. 1*	Records documenting detailed unpublished research conducted by or for the Agency.	Retain as Territory Archives

Reviewing

The activities involved in re-evaluating or re-examining products, process, 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>
1.10.1 *1. 10. 1*	Records relating to the review of entitlements to long service leave. Includes subsequent investigation of process and recommendations.	Retain as Territory Archives