

Australian Capital Territory

Territory Records (Records Disposal Schedule – Elections & Referendums for the ACT Legislative Assembly Records) Approval 2014 (No 1)

Notifiable instrument NI2014—288

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 – Elections & Referendums for the ACT Legislative Assembly Records) Approval 2014 (No 1)

2. Approval

I approve the Records Disposal Schedule – Elections & Referendums for the ACT Legislative Assembly Records.

3. Commencement

This instrument commences on 1 July 2014.

4. Revocation

I revoke Notifiable Instrument:

NI2004-178 notified 18 June 2004

Danielle Wickman
Director of Territory Records
20 June 2014



Records Disposal Schedule

Elections & Referendums for the ACT Legislative Assembly Records

Table of Contents

INTRODUCTION	5
PURPOSE	5
SCOPE	5
AUTHORITY	5
STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA	5
<i>Whole of Government Thesaurus</i>	6
GUIDELINES FOR USE	6
<i>Coverage of authority</i>	6
<i>Layout of the schedule</i>	7
FORMAT OF RECORD	8
<i>Electronic records</i>	8
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>	10
<i>Appraisal</i>	10
<i>Business Classification Scheme</i>	10
<i>Principal Officer</i>	10
<i>Records</i>	10
<i>Records of an Agency</i>	10
<i>Records Disposal Schedule</i>	10
<i>Records Management Program</i>	10
<i>Recordkeeping Systems</i>	11
<i>Scope Note</i>	11
<i>Sentencing</i>	11
<i>Territory Archives</i>	11
BUSINESS CLASSIFICATION SCHEME	12
<i>ELECTIONS & REFERENDUMS FOR THE ACT LEGISLATIVE ASSEMBLY</i>	13
RECORDS DISPOSAL SCHEDULE	16
<i>ELECTIONS & REFERENDUMS FOR THE ACT LEGISLATIVE ASSEMBLY</i>	17
<i>Advice</i>	17
<i>Agreements</i>	17
<i>Arrangements</i>	18
<i>Committees</i>	18
<i>Committees (Continued)</i>	19

<i>Customer Service</i>	19
<i>Disclosure</i>	20
<i>Election Materials</i>	20
<i>Electoral Complaints and Feedback</i>	21
<i>Electoral Education</i>	21
<i>Electoral Roll Management</i>	22
<i>Evaluation</i>	22
<i>Investigations</i>	23
<i>Liaison</i>	23
<i>Media Relations</i>	24
<i>Nominations</i>	24
<i>Planning</i>	24
<i>Policy</i>	25
<i>Procedures</i>	25
<i>Public Funding</i>	25
<i>Redistributions</i>	26
<i>Registration</i>	26
<i>Research</i>	27
<i>Scrutiny and Election Results</i>	27
<i>Tendering</i>	27
RETAIN AS TERRITORY ARCHIVES	28
<i>ELECTIONS & REFERENDUMS FOR THE ACT LEGISLATIVE ASSEMBLY</i>	29
<i>Agreements</i>	29
<i>Committees</i>	30
<i>Disclosure</i>	30
<i>Electoral Roll Management</i>	31
<i>Evaluation</i>	31
<i>Investigations</i>	31
<i>Media Relations</i>	31
<i>Nominations</i>	32
<i>Policy</i>	32
<i>Public Funding</i>	32
<i>Redistributions</i>	32
<i>Registration</i>	33
<i>Scrutiny and Election Results</i>	33
SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.	34

INTRODUCTION

The *Records Disposal Schedule - Elections & Referendums for the ACT Legislative Assembly Records* is the official authority for the disposal of these ACT Government records.

It is one of a series of Whole of Government Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with other Territory Records Disposal Schedules.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of Elections & Referendums for the ACT Legislative Assembly 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 or if there is a current records disposal freeze in effect.**

The *Records Disposal Schedule - Elections & Referendums for the ACT Legislative Assembly 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 Elections & Referendums for the ACT Legislative Assembly 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.

Whole of Government Thesaurus

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA) (2010), a thesaurus incorporating 16 common Functions. All other Functions within the Whole of Government Thesaurus are considered Functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the Director of Territory Records for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records 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 - Elections & Referendums for the ACT Legislative Assembly Records*:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Records Disposal Schedules;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

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

Function.

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

Activity.

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

Entry No.

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

Description of Records.

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

Disposal Action.

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

FORMAT OF RECORD

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

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

Electronic records

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

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

DESTRUCTION OF RECORDS

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

UPDATING THE RECORDS DISPOSAL SCHEDULE

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

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

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

RELATED LEGISLATION

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

Electoral Act 1992

Evidence Act 2011

Proportional Representation (Hare-Clark) Entrenchment Act 1994

Referendum (Machinery Provisions) 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

ELECTIONS & REFERENDUMS FOR THE ACT LEGISLATIVE ASSEMBLY

The function of planning and conducting ACT Legislative Assembly elections or referendums. Includes the receipt and provision of advice relating to electoral matters, registering political parties, the appointment and conduct of polling places, managing all materials required for an election, responding to complaints and feedback, investigating potential breaches of the election funding and disclosure scheme, managing candidate nominations and providing election funding to registered political parties and candidates. Also includes redistributing electoral boundaries and the declaration of election results.

Advice

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

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing agreements/contracts and settling those agreements/contracts. Includes contracts, memorandums of understanding (MOU), deeds, leases, licences and mortgages.

Arrangements

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

Committees

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

Customer Service

The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency.

Disclosure

The activity of processing, publishing and auditing financial disclosure returns submitted by political entities to account for election funding, expenditure and the electoral expenditure cap.

Election Materials

The activity of managing all materials required for an election, including delivery to and collection from polling places of cardboard equipment, furniture and other material.

Electoral Complaints and Feedback

The activity of responding to complaints, either from clients regarding ACT Electoral Commission staff or processes, or from registered political parties, candidates and other election participants about the conduct of other parties, candidates or election participants.

Electoral Education

The activities associated with educating and informing individuals and groups about the electoral system for electing the ACT Legislative Assembly. Includes the development, planning and delivery of programs and resources.

Electoral Roll Management

The activity of creating, maintaining and providing access to the ACT electoral roll. Includes close of rolls arrangements and the production of certified lists.

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.

Investigations

The activities involved in a formal search, examination and/or scrutiny undertaken as a result of an accident, an incident, a complaint, an observation, a breach or non-compliance. Includes evidence collected, produced documents, photographs, statements, notes, decisions and final reports.

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.

Media Relations

The activities associated with establishing a relationship with the media. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

Nominations

The activity of accepting, assessing and declaring or rejecting candidate nominations for ACT Legislative Assembly elections.

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.

Procedures

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

Public Funding

The activity of providing election funding to registered political parties and candidates in an election and the payment of administrative expenditure funding to parties and non-party MLAs.

Redistributions

The activity of redistributing electoral boundaries to ensure equal representation of each electorate in the ACT Legislative Assembly. Includes consideration of factors relevant to the proposed redistribution, notification of the proposal to conduct a redistribution, assessment of suggestions and comments, investigation of objections and reporting of results.

Registration

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

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

Scrutiny and Election Results

This activity includes the declaration vote scrutiny, the initial count of ordinary votes, the count of electronic votes, posting the results on the internet and the tally room, data entry of ballot papers, recounts, announcing the final results, declaring the polls and publishing the final results.

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

RETAIN AS TERRITORY ARCHIVES

Nominations

The activity of accepting, assessing and declaring or rejecting candidate nominations for ACT Legislative Assembly elections.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
048.141.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the nominations of candidates for ACT Legislative Assembly elections.	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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
048.080.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of policies supporting this function including legal advice.	Retain as Territory Archives

Public Funding

The activity of providing election funding to registered political parties and candidates in an election and the payment of administrative expenditure funding to parties and non-party MLAs.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
048.414.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the calculation and payment of election and administrative expenditure funding to eligible entities. Includes copies of notifiable instruments.	Retain as Territory Archives

Redistributions

The activity of redistributing electoral boundaries to ensure equal representation of each electorate in the ACT Legislative Assembly. Includes consideration of factors relevant to the proposed redistribution, notification of the proposal to conduct a redistribution, assessment of suggestions and comments, investigation of objections and reporting of results.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
048.413.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the redistribution of electoral boundaries. Includes final versions of maps and copies of notifiable instruments.	Retain as Territory Archives

SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.

**Amendments to the Elections & Referendums for the ACT
Legislative Assembly Records Disposal Schedule**

Dated 20 June 2014

Function (Amendments)

The scope note was changed to:

The function of planning and conducting ACT Legislative Assembly elections or referendums. Includes the receipt and provision of advice relating to electoral matters, registering political parties, the appointment and conduct of polling places, managing all materials required for an election, responding to complaints and feedback, investigating potential breaches of the election funding and disclosure scheme, managing candidate nominations and providing election funding to registered political parties and candidates. Also includes redistributing electoral boundaries and the declaration of election results.

Numbering changed to latest style.

This Records Disposal Schedule supersedes NI2004-178.

New Features (Insertions)

Activity	Entry no.	Description
Advice	048.005.001	New activity and class.
Agreements	048.006.001	New class added to address gaps in coverage.
Arrangements	048.011.001	New class added to address gaps in coverage.
Committees	048.020.001	New class added to address gaps in coverage.
Committees	048.020.002	New class added to address gaps in coverage.
Committees	048.020.003	New class added to address gaps in coverage.
Disclosure	048.417.001	New class added to address gaps in coverage.
Election Materials	048.416.001	New class added to address gaps in coverage.
Election Materials	048.416.002	New class added to address gaps in coverage.
Electoral Complaints and Feedback	048.152.001	New class added to address gaps in coverage.
Electoral Complaints and Feedback	048.152.002	New class added to address gaps in coverage.
Electoral Education	048.415.001	New class added to address gaps in coverage.
Electoral Roll Management	048.415.001	New class added to address gaps in coverage.

New Features (Insertions)

Activity	Entry no.	Description
Electoral Roll Management	048.415.002	New class added to address gaps in coverage.
Electoral Roll Management	048.415.003	New class added to address gaps in coverage.
Electoral Roll Management	048.415.004	New class added to address gaps in coverage.
Electoral Roll Management	048.415.005	New class added to address gaps in coverage.
Electoral Roll Management	048.415.006	New class added to address gaps in coverage.
Evaluation	048.042.001	New class added to address gaps in coverage.
Investigations	048.202.001	New class added to address gaps in coverage.
Investigations	048.202.002	New class added to address gaps in coverage.
Investigations	048.202.003	New class added to address gaps in coverage.
Liaison	048.067.001	New class added to address gaps in coverage.
Media Relations	048.071.001	New class added to address gaps in coverage.
Media Relations	048.071.002	New class added to address gaps in coverage.
Planning	048.079.001	New class added to address gaps in coverage.
Policy	048.080.001	New class added to address gaps in coverage.
Policy	048.080.002	New class added to address gaps in coverage.
Procedures	048.081.001	New class added to address gaps in coverage.
Public Funding	048.414.001	New class added to address gaps in coverage.
Redistributions	048.413.001	New class added to address gaps in coverage.
Redistributions	048.413.002	New class added to address gaps in coverage.
Registration	048.155.001	New class added to address gaps in coverage.
Registration	048.155.001	New class added to address gaps in coverage.
Research	048.091.001	New class added to address gaps in coverage.
Scrutiny and Election Results	048.143.001	New class added to address gaps in coverage.
Scrutiny and Election Results	048.143.002	New class added to address gaps in coverage.

New Features (Insertions)

Activity	Entry no.	Description
Tendering	048.104.001	New class added to address gaps in coverage.

Enhancements (Changes)

Activity	Entry no.	Description
Nominations	Scope Note.	The scope note was changed to: The activity of accepting, assessing and declaring or rejecting candidate nominations for ACT Legislative Assembly elections.
Scrutiny and Election Results	All	Activity and class/es removed and reissued as two new classes.

Corrections (Deletions)

Activity	Entry no.	Description
Ballot papers	All	Activity and class/es removed.
Electoral complaints	All	Activity and class/es removed.
Electoral rolls	All	Activity and class/es removed.
Forms and materials	All	Activity and class/es removed.
Marketing	All	Activity and class/es removed.
Multiple voters	All	Activity and class/es removed.
Non-voters	All	Activity and class/es removed.
Polling	All	Activity and class/es removed.
Reporting	All	Activity and class/es removed.
Vote estimates	All	Activity and class/es removed.