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

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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

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.

[For the provision of advice to the Speaker or Legislative Assembly, use GOVERNMENT RELATIONS - Advice.

For legal advice, use LEGAL SERVICES - Advice.]

Entry No.

Description of Records

Destroy 4 years after last action

Disposal Action

048.005.001

Records documenting the receipt and provision of advice relating to the election funding and disclosure scheme and to registration of a party and/or its particulars. Includes advice provided by consultants and any other advice in support of planning and conducting ACT Legislative Assembly elections or referendums.

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.

[For agreements with other governments, including international governments, use GOVERNMENT RELATIONS - Agreements.]

Entry No. 048.006.001

Description of Records

Disposal Action Final versions of all agreements, including the Retain as Territory Joint Roll Agreement and agreements with Archives other agencies to provide data used for the

maintenance of the electoral roll.

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.

Entry No. 048.011.001

Description of Records

Records relating to the appointment and conduct of polling places, including pre-poll centres, interstate voting centres, mobile polling, Antarctic voting and Interstate Electoral Authorities, postal vote applications and lists of registered declaration voters, voting arrangements for Australian Defence Force personnel and overseas missions. Also includes arrangements for the leasing of temporary office space or vehicles during an election period and arrangements concerning the Visitors' Program for official guests of the ACT Electoral Commission.

Disposal Action

Destroy 8 years after last action

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.

Entry No. 048.020.001

Description of Records

Records documenting high level external or internal committees, working groups or reference groups formed to manage or advise where the agency provides Secretariat, is the Territory's main representative or plays a significant role relating to planning and conducting ACT Legislative Assembly elections or referendums (e.g. records relating to the Electoral Council of Australia and New Zealand). Includes:

- Establishing the committee;
- Terms of reference;
- Appointment of members;
- Agenda papers;
- Minutes;
- Recommendations;
- Supporting documents such as briefing and discussion papers.

Disposal Action

Retain as Territory Archives

Committees (Continued)

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

Entry No. 048.020.002

Description of Records

Records documenting routine internal or external committees, working groups or reference groups formed to consider matters relating to planning and conducting ACT Legislative Assembly elections or referendums. Includes:

Disposal Action

Destroy 8 years after last action

- Establishing the committee;
- Terms of reference;
- Appointment of members;
- Agenda papers;
- Minutes:
- Recommendations;
- Supporting documents such as briefing and discussion papers.

048.020.003

All other records relating to the establishment Destroy 4 years after and management of, and involvement with, committees, working groups and reference groups, including administrative and working papers.

last action

Customer Service

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

Entry No. 048.030.001

Description of Records

Records documenting the production and implementation of the information campaign last action and all records related to the election enquiry service and translation services used for an election.

Disposal Action

Destroy 8 years after

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.

Entry No.	Description of Records	Disposal Action
048.417.001	Records documenting the receipt and	Retain as Territory
	processing of annual election and gift returns	Archives
	required to be submitted by political entities	
	under the Electoral Act. Also includes the	
	outcomes of formal audits conducted of	
	disclosure returns on behalf of Elections ACT	
	and determining 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.

Entry No. 048.416.001	Description of Records Records documenting the production, printing, storage and distribution of ballot papers, barcodes and other material used in relation to an election.	Disposal Action Destroy 8 years after last action
048.416.002	Used and unused ballot papers, used declaration envelopes and other electoral papers for an election within the meaning of the Electoral Act 1992.	Destroy after the commencement of the pre-election period for the subsequent relevant election

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.

Entry No. 048.152.001

Description of Records

Records documenting complaints and other grievances either from clients regarding ACT last action 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. Includes:

- The written complaint or written record of a verbal complaint;
- Results of any investigation;
- Decisions made or changes made to procedures as a result of the complaint.

048.152.002 Records documenting all remaining feedback Destroy 4 years after regarding ACT Electoral Commission staff and/or processes. Includes agency responses.

last action

Disposal Action

Destroy 8 years after

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.

Entry No.
048.415.001

Description of Records

Records documenting the development, planning and delivery of programs, displays and resources for schools, community and professional groups.

Disposal Action

Destroy 4 years after last action

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.

Entry No.	Description of Records	Disposal Action
048.138.001	Certified copy of the electoral roll for each electorate used at each Legislative Assembly election.	Retain as Territory Archives
048.138.002	All records related to data collection used for the maintenance of the electoral roll. Includes records documenting negotiations, establishment, maintenance and review of agreements. Excludes final versions of agreements with other agencies.	
	[For final versions of agreements with other agencies, use ELECTIONS & REFERENDUMS FOR THE ACT LEGISLATIVE ASSEMBLY - Agreements.]	
048.138.003	All records relating to the provision of roll extracts for public inspection and to registered parties and MLAs.	Destroy 4 years after last action
048.138.004	All records relating to the provision of roll information to prescribed bodies.	Destroy 7 years after last action
048.138.005	All other records relating to close of rolls arrangements with the Australian Electoral Commission, Australia Post and other agencies.	Destroy 4 years after last action
048.138.006	Roll extracts for public inspection.	Destroy when superseded by an updated roll extract

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
048.042.001	All records relating to evaluation of election	Retain as Territory
	processes, including formal surveys of MLAs,	Archives
	voters and candidates.	

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.

Entry No. 048.202.001	Description of Records All records relating to breaches of the election funding and disclosure scheme.	Disposal Action Retain as Territory Archives
048.202.002	All records related to summonses issued for individual cases of non-voting.	Retain as Territory Archives
048.202.003	All other records relating to individual cases of apparent non-voting including those that result in court action, and all records relating to individual cases of apparent multiple voting. Includes:	Destroy 4 years after last action
	 Reports generated from scanning; Letters and notices to and from apparent non-voters and multi-voters, 	

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.

Records of telephone conversations.

including emails;

Entry No.	Description of Records	Disposal Action
048.067.001	Records documenting liaison activities undertaken with professional associations, private sector organisations and community groups relating to this function, including attendance at workshops and conferences. Includes:	Destroy 4 years after last action

- Collaboration on projects;
- Exchanges of information;
- Newsletters.

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.

Entry No.	Description of Records	Disposal Action
048.071.001	Master set of agency media releases.	Retain as Territory Archives
048.071.002	Records relating to media events for an election. Includes:	Destroy 4 years after last action

- Declaration of nominations and the draw for positions on ballot papers;
- Declaration of the poll;
- Media arrangements on election night.

Nominations

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

Entry No.	Description of Records	Disposal Action
048.141.001	Records documenting the nominations of candidates for ACT Legislative Assembly elections.	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.

Entry No.	Description of Records	Disposal Action
048.079.001	All records relating to the planning of	Destroy 4 years after
	elections and referendums, including vote	last action
	estimates used to determine polling locations	
	and election material quantities.	

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

Entry No.	Description of Records	Disposal Action
048.080.001	Final versions of policies supporting this function including legal advice.	Retain as Territory Archives
048.080.002	All other records which contributed to a policy's development, including correspondence with other agencies.	Destroy 8 years after last action

Procedures

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

Entry No.	Description of Records	Disposal Action
048.081.001	Master copies of internal training manuals and	•
	operational guidelines relating to the conduct	superseded
	of ACT Legislative Assembly elections or	
	referendums.	

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.

Entry No.	Description of Records	Disposal Action
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.

Entry No.	Description of Records	Disposal Action
048.413.001	Records documenting the redistribution of electoral boundaries. Includes final versions of maps and copies of notifiable instruments.	Retain as Territory Archives
048.413.002	Drafts and working papers relating to the redistribution process, including all administrative arrangements and correspondence. Also includes originals of public submissions, provided that copies are reproduced in a report.	Destroy 8 years after last action

Registration

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

Entry No.	Description of Records	Disposal Action
048.155.001	Records documenting the registration of, and any particulars registered or altered in relation to, a political party. Includes:	
	 Applications; 	
	Decisions;	
	Amendments;	
	 Cancellations; 	
	 Notifications; 	
	 Party constitutions; 	
	 Objections. 	
048.155.002	Lists of party members, including correspondence to and from members regarding individual membership.	Destroy as soon as the decision is made to either register or not register the party and relevant appeals

periods have expired

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.

Entry No.	Description of Records	Disposal Action
048.091.001	All records documenting research carried out	Destroy 4 years after
	to support the conduct of ACT Legislative	last action
	Assembly elections or referendums.	

Scrutiny and Election Results

The activity of counting votes and declaring the resulting election outcomes. Includes counting, scrutiny and data entry of ordinary and electronic votes, posting the results, conducting recounts and declaring the polls.

Entry No.	Description of Records	Disposal Action
048.143.001	Records documenting the final distribution of preferences and declaration of results, in print or electronic format.	•
048.143.002	All other records.	Destroy 4 years after last action

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.

Description of Records	Disposal Action
<u>c</u>	Destroy 12 years after expiry or other termination of contract
	All records relating to a tendering or contracting process, including development and issue of tender documents, statements of requirements, requests for proposal or tender,

RETAIN AS TERRITORY ARCHIVES

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.

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.

[For agreements with other governments, including international governments, use GOVERNMENT RELATIONS - Agreements.]

Entry No. 048.006.001

Description of Records

Disposal Action

Final versions of all agreements, including the Retain as Territory Joint Roll Agreement and agreements with Archives other agencies to provide data used for the maintenance of the electoral roll.

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.

Entry No. 048.020.001

Description of Records

Records documenting high level external or internal committees, working groups or reference groups formed to manage or advise where the agency provides Secretariat, is the Territory's main representative or plays a significant role relating to planning and conducting ACT Legislative Assembly elections or referendums (e.g. records relating to the Electoral Council of Australia and New Zealand). Includes:

- Establishing the committee;
- Terms of reference:
- Appointment of members;
- Agenda papers;
- Minutes:
- Recommendations:
- Supporting documents such as briefing and discussion papers.

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.

Entry No. 048.417.001

Description of Records

Records documenting the receipt and processing of annual election and gift returns required to be submitted by political entities under the Electoral Act. Also includes the outcomes of formal audits conducted of disclosure returns on behalf of Elections ACT and determining the electoral expenditure cap.

Disposal ActionRetain as Territory

Archives

Disposal Action

Archives

Retain as Territory

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.

Entry No.	Description of Records	Disposal Action
048.138.001	Certified copy of the electoral roll for each	Retain as Territory
	electorate used at each Legislative Assembly	Archives
	election.	

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
048.042.001	All records relating to evaluation of election	Retain as Territory
	processes, including formal surveys of MLAs,	Archives
	voters and candidates.	

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.

Entry No.	Description of Records	Disposal Action
048.202.001	All records relating to breaches of the election funding and disclosure scheme.	Retain as Territory Archives
048.202.002	All records related to summonses issued for individual cases of non-voting.	Retain as Territory Archives

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.

Entry No.	Description of Records	Disposal Action
048.071.001	Master set of agency media releases.	Retain as Territory
		Archives

Nominations

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

Entry No.	Description of Records	Disposal Action
048.141.001	Records documenting the nominations of candidates for ACT Legislative Assembly	Retain as Territory Archives
	elections.	

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

Entry No.	Description of Records	Disposal Action
048.080.001	Final versions of policies supporting this	Retain as Territory
	function including legal advice.	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.

Entry No.	Description of Records	Disposal Action
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.

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

Registration

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

Entry No. 048.155.001

Description of Records

Disposal Action

Records documenting the registration of, and Retain as Territory any particulars registered or altered in relation Archives to, a political party. Includes:

- Applications;
- Decisions;
- Amendments:
- Cancellations:
- Notifications;
- Party constitutions;
- Objections.

Scrutiny and Election Results

The activity of counting votes and declaring the resulting election outcomes. Includes counting, scrutiny and data entry of ordinary and electronic votes, posting the results, conducting recounts and declaring the polls.

Entry No. 048.143.001

Description of Records

Disposal Action

Records documenting the final distribution of Retain as Territory preferences and declaration of results, in print Archives or electronic format.

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.