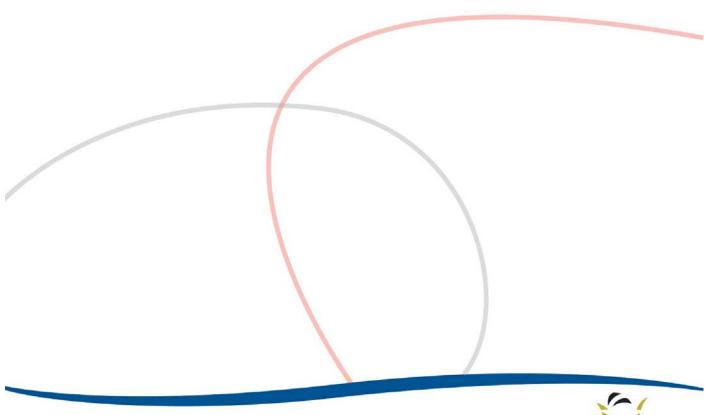


Disposal Schedule for Functional records of the Integrity Commission

Disposal Authorisation No: 2467



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INTRODUCTION

Overview

Archives Legislation

The *Archives Act 1983* stipulates that State and local government organisations must not dispose of records of any type or format without the written approval of the State Archivist.

Disposal of records involves their destruction, their removal from custody of their creating agency, or their transfer to the Tasmanian Archive and Heritage Office.

Schedule elements and arrangement

The administrative functions covered by this schedule are arranged in alphabetical order as function headings. The activities performed under each function are listed in alphabetical order within each function.

Reference

All function and activity headings and disposal classes are allocated a reference number. These reference numbers are used, in conjunction with the schedule number, to identify records in the Tasmanian Archive and Heritage Office disposal documentation. These numbers can also be used by agencies, in the same way, to indicate disposal authorisation in their records control systems, where the records have been registered in these systems.

• Disposal Classes

The groups of records that document, and are derived from, the performance of the functions and activities, are listed as disposal classes under each function/activity set.

It should be noted that Disposal Classes have been described in functional terms irrespective of the format or medium in which the records were created.

Status

All disposal classes have either "PERMANENT" or "TEMPORARY" status. Records identified as "PERMANENT" are those that will be transferred to the Archives Office to be retained as State archives. "TEMPORARY" records are those that can be destroyed under the authority of this schedule.

• Disposal action

All temporary records identified in this schedule will have a disposal action which specifies the length of time for which the record must be retained, before it can be destroyed under this authorisation.

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Review of the schedule

It is the responsibility of agencies to monitor administrative, legal or regulatory changes which may result in the need to alter disposal class descriptions or disposal actions for records covered by this schedule.

When this occurs, this schedule should not be used to dispose of records and the State Archivist should be informed of the need to revise the schedule. If necessary, the procedures for the disposal of unscheduled records can be used in the interim.

Contacts

Any enquiries relating to this schedule should be directed in writing to the Tasmanian Archive and Heritage Office, 91 Murray Street Hobart, by email, or by phoning 03 6165 5581.

Authorisation

Authorisation

Under Section 20 (2) (b) of the Archives Act 1983, I hereby authorise 'relevant authorities' (as defined in Section 3 of that Act) to manage the disposal of the records described in this schedule in accordance with the procedures specified herein.

Ross Latham

State Archivist

Interpretation

Definitions

Permanent records are those that will be transferred to the Tasmanian Archive and Heritage Office to be retained as State Archives. The *Archives Act 1983* establishes 25 years as the maximum required timeframe for the transfer of permanent records, unless an extension of time has been approved by the State Archivist.

Temporary records are those that can be destroyed under the authority of this schedule after a minimum retention period, or once certain requirements have been met.

Coverage

This schedule covers functional records of the Integrity Commission Tasmania.

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This schedule does not cover **pre-1960** records. The disposal of those records should be managed according to the procedures for unscheduled records.

The *Disposal Schedule for Short-term Value Records - DA No. 2158* covers the disposal of short-term value records which are created by most agencies. These documents are usually of a trivial nature or of such short-term value that they do not support or contribute to the business functions of the agency.

Records not covered by these schedules, or other authorised disposal schedules, should be disposed of according to the current Tasmanian Archive and Heritage Office procedures for unscheduled records.

Preservation of records

Section 10 (1) (a) of the *Archives Act 1983* requires agencies to preserve records until they are dealt with under the Act. This places a statutory obligation on agencies to ensure that all records, regardless of format, remain accessible while they are in the custody of the agency.

Permanent Records

All disposal classes of records identified as having '**PERMANENT**' status in this schedule should be transferred to the Tasmanian Archive and Heritage Office 25 years after the date of creation. Agencies may make application to the Tasmanian Archive and Heritage Office for earlier transfer of particular groups of records, and the Tasmanian Archive and Heritage Office may also initiate an earlier transfer arrangement.

Records for transfer should be arranged and described in accordance with any instruction provided by the Tasmanian Archive and Heritage Office.

Temporary Records

All records identified as having '**TEMPORARY**' status in this schedule will have a disposal action which is the authorised date for destruction. These disposal actions specify minimum retention periods. Temporary records can be kept as long as the agency wishes following expiration of the specified period, but the provisions of the *Archives Act 1983* regarding their proper care and custody will still apply to them.

Frequently the disposal actions will refer to 'after action completed' which means after completion of the transaction to which the records relate. The disposal action 'destroy when reference ceases' authorises the destruction of records when all business needs to refer to the records have ceased.

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Destruction of records

The destruction method chosen for records authorised for destruction in this schedule, should be appropriate to the medium in which the record exists. It is the responsibility of the agency to ensure that the identified records are actually destroyed, and that this process is confidential and secure.

The following issues should be considered before destruction of any documents.

Right to Information

Right to Information legislation prescribe rights and processes for access to documents held by government agencies. If a request for access under the legislation has been lodged, all records relevant to the request, regardless of whether they are due for destruction, must be identified and preserved until action on the request and any subsequent reviews are completed.

Personal Information Protection

Personal Information Protection legislation provides appropriate safeguards for government agencies in collecting and handling individual's personal information, creating statutory obligations and a right to make a privacy complaint. If an application is in progress, all records relevant to the application must be identified and preserved until the action and any subsequent actions are completed.

Other Investigations or inquiries

If an investigation or inquiry is in progress, all records relevant to the investigation or inquiry must be identified and preserved until the action and any subsequent actions are completed.

Records relating to indigenous people

Key recommendations of the *Bringing Them Home Report 1997* relate to the need for the identification, preservation, indexing, management and access to records relating to Indigenous individuals, families and/or communities in accordance with established privacy principles.

Native Title

If a native title claim is in progress, all documents relevant to the claim must be identified and preserved until the action and any subsequent actions are completed.

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Registration of Destruction

Central to the accountability built into the disposal schedules is the requirement that agencies maintain a *Register of Records destroyed*. It is important to recognise that the formal evidential record of destruction is contained in this registration process. The register is to be made available to the State Archivist (or his nominee) on request.

The register must be clearly identified as the *Register of Records Destroyed* (under Section 20 (2) (b) of the *Archives Act 1983*) and should include the name of the agency. The register can be the same used for registering destructions authorised under other disposal schedules. A sample format indicating the required elements for the register and related procedures are available on the Tasmanian Archive and Heritage Office website.

No	Function/Activity	Description	Status	Disposal Action
1	COMPLAINTS & INVESTIGATIONS MANAGEMENT	The function of administering responses to allegations of misconduct received or initiated by the Commission in accordance with <i>The Integrity Commission Act, 2009 (the Act)</i> . It includes policies, procedures, etc. The function involves activities which enable assessments and investigations to be conducted in a compliant, effective and accountable manner.		
		Allegations may be received or identified through complaints, notifications from subject authorities, referrals from other integrity agencies or the Joint Standing Committee on Integrity, or information reports from staff. These are referred to as Misconduct Matters.		
		Use MISCONDUCT CASE FILES for the function of managing particular allegations on a case by case basis.		
1.1	Audit	The activities associated with internally reviewing the management of one or more Misconduct Matters to ensure the Commission has dealt with them in accordance with established procedures, legislation and standards. Includes reviews of the Commission's practices and procedures which may be conducted at the conclusion of an investigation.		
1.1.1		Quality assurance reviews of the management of Misconduct Matters for compliance with operating standards and legislative requirements.	Temporary	Destroy 10 years after action completed.

No	Function/Activity	Description	Status	Disposal Action
COMPLAIN	TS & INVESTIGATIONS MAN.	AGEMENT - Committees		
1.2	Committees	The activities associated with committees or task forces which may be established to consider complaint and investigation management. This may include the committee's establishment, appointment of members, minutes, agendas and reports.		
1.2.1		Records of committees and liaison groups established under a Memorandum of Understanding with Tasmania Police. Examples include the Operational Liaison Group and Joint Agency Steering Group. Records may include: • meeting minutes • agenda papers	Permanent	Retain as State Archives
1.3	Compliance	The activities associated with ensuring the Commission's investigation and management of Misconduct Matters complies with mandatory or optional standards and legislation. Relevant legislation includes but is not limited to <i>The Integrity Commission Act (2009); Police Powers (Surveillance Devices) Act 2006; Public Interest Disclosures Act 2002.</i>		
1.3.1		Register of warrants as required under s39, <i>Police Powers</i> (Surveillance Devices) Act 2006	Permanent	Retain in Agency

No	Function/Activity	Description	Status	Disposal Action
COMPLAIN	TS & INVESTIGATIONS MANAC	GEMENT - Compliance		
1.3.2		Registers of notices and authorisations issued under <i>The Integrity Commission Act (2009)</i> in the course of conducting investigations and assessments. These include; • Section 50 Authorisations • Section 21 Authorisations • Section 47 Notices • Section 51 Warrants	Temporary	Destroy 10 years after action completed.
1.3.3		Records documenting the Integrity Commission's compliance with optional and mandatory standards	Temporary	Destroy 7 years after action completed.
1.3.4		Administrative tools used in ensuring legislative compliance. Records may include; • templates • checklists	Temporary	Destroy after superseded.
1.4	Data Collection	Activities associated with the collection of data, information and statistics about the management of Misconduct Matters.		

No	Function/Activity	Description	Status	Disposal Action			
COMPLAIN	COMPLAINTS & INVESTIGATIONS MANAGEMENT - Data Collection						
1.4.1		Statistics relating to the administration of complaint and investigation management for purposes other than the register under <i>Integrity Commission Act (2009)</i> , s. 34. Records may include:	Temporary	Destroy 5 years after action completed.			
		• spreadsheets					
		data extracts with explanatory notes					
		• reports					
1.5	Enquiries	The activities associated with the handling of general requests for information from the general public or other organisations about the process of handling Misconduct Matters. Includes the capture of non-specific enquiries relating to the submission of complaints.					
1.5.1		Records relating to general requests for information about reporting misconduct and the assessment / investigation process. Records may include: • correspondence • file notes	Temporary	Destroy 5 years after action completed.			
		telephone call registers.					
1.6	Evidence collection and management	Activities associated with the collection and management of property gathered during investigations and assessments. Excludes evidence extracted from the property and included in the Misconduct Matter File.					

No	Function/Activity	Description	Status	Disposal Action			
COMPLAINT	COMPLAINTS & INVESTIGATIONS MANAGEMENT - Evidence collection and management						
1.6.1		Register of property received by the Commission, listing the authority (notice or warrant) enabling the collection of the item, description of the item and storage/ disposal details.	Temporary	Destroy 10 years after action completed.			
1.6.2		Records gathered for evidence during the course of an investigation or Tribunal. These may have been obtained voluntarily or through the use of search warrants and authorised powers. Includes any record of information, photos, disks, computers, storage devices etc which may assist in an investigation. Records may include: • correspondence • financial and other business transaction records • diaries • employment records • file notes • working documents	Temporary	Destroy after requirments for the purposes of an investigation, report or legal procedures cease, as deternined by the CEO or Manager, Operations. If possible return items to owners.			

No	Function/Activity	Description	Status	Disposal Action
COMPLAINT	S & INVESTIGATIONS MANAG	EMENT - Evidence collection and management		
1.6.3		Records relating to the receipt, storage, movement and return of property. Records may include: • receipts • acknowledgements • correspondence • file notes • identification and tracking labels	Temporary	Destroy 3 years after action completed.
		• user guides		
1.7	Reporting	The provision of formal or informal reports relating to the receipt or management of Misconduct Matters by the Commission.		

No	Function/Activity	Description	Status	Disposal Action
COMPLAINT	S & INVESTIGATIONS MANAC	GEMENT - Reporting		
1.7.1		Reports generated on a monthly basis from the Register of Misconduct Matters as required under section 34 of <i>The Integrity Comission Act (2009)</i> . Reports contain: • file number	Permanent	Retain as State archives
		 name of complainant subject officer and authority summary details of complaint outcomes 		
1.7.2		Ad hoc and other reports relating to complaints and investigations management which are not part of regular reporting to the Integrity Commission Board. Records may include: • correspondence • briefing papers • formal and informal reports	Temporary	Destroy 10 years after action completed.

No	Function/Activity	Description	Status	Disposal Action
COMPLAIN	TS & INVESTIGATIONS MANAC	GEMENT - Warrant administration		
1.8	Warrant administration	The activities associated with the issue, maintenance, and execution of warrants. See COMPLAINTS & INVESTIGATIONS MANAGEMENT - COMPLIANCE for warrant registers.		
1.8.1		Records documenting the administration of the use of surveillance conducted under warrant pursuant to the Police Powers (Surveillance Devices) Act 2006. Records include: • applications and approvals to conduct surveillance • activity reports relating to the installation and removal of devices • Reports as required under s. 29. • Records as required under Part 5.	Temporary	Destroy 100 years after report submitted.

No	Function/Activity	Description	Status	Disposal Action			
MISCOND	IISCONDUCT CASE FILES						
2	MISCONDUCT CASE FILES	The function of considering, assessing and investigating allegations of misconduct in accordance with <i>The Integrity Commission Act (2009)</i> . Allegations may be received as: • Complaints • Notifications from public authorities • Information Reports from Commission staff • Referrals These are termed Misconduct Matters by the Commission The function of managing Misconduct Matters on a case by case basis. See COMPLAINTS AND INVESTIGATIONS MANAGEMENT - REPORTING for summary register of Misconduct Matters including file number, name of complainant, subject officer and authority, summary details of complaint and outcomes.					
2.1	Misconduct Matters	The activity of dealing with allegations of misconduct including: • initial considerations (ie triage) • decisions on further action • communication with complainants and heads of agencies					

No	Function/Activity	Description	Status	Disposal Action
MISCONDU	CT CASE FILES - Misconduct N	latters		
		the conduct of assessments and investigations		
		dealing with subject authorities		
		referral of matters to other agencies for action		
		follow up of referred matters		
		 review (audit) of subject agency responses to investigation outcomes 		
		The management of complaints on a case by case basis as a case file.		
2.1.1		Records of Investigations which result in one or more of the following:	Permanent	Retain as State Archives
		• a Commission of Inquiry		
		An Integrity Tribunal		
		criminal charges		
		media scrutiny affecting reputations		
		tabling of reports		
		These investigations may result from complaints or own motion determinations by the Integrity Commission Board.		
		Records may include:		

No	Function/Activity	Description	Status	Disposal Action
MISCONDU	CT CASE FILES - Misconduct N	Matters		
		correspondence		
		• reports		
		• file notes		
		investigation and interview plans		
		• authorisations		
		interview transcripts and audio recordings		
		• tasking		
		• briefs		
		coersive notices		
		material produced under coercive notice		
		material produced not under notice		
		procedural fairness submissions		
2.1.2		Records of the management of Misconduct Matters which do not result in:	Temporary	Destroy 10 years after action
		a Commission of Inquiry		completed.
		an Integrity Tribunal		
		criminal charges		

No	Function/Activity	Description	Status	Disposal Action
MISCONDU	CT CASE FILES - Misconduct I	Matters		
		media scrutiny affecting reputations		
		tabling of reports.		
		Records may include:		
		• correspondence		
		reports and briefings		
		• file notes		
		investigation and interview plans		
		• authorisations		
		interview transcripts and audio recordings		
		• tasking		
		• briefs		
		coercive notices		
		material produced under coercive notice		
		material produced not under notice		
		procedural fairness submissions		

No	Function/Activity	Description	Status	Disposal Action
MISCONDU	CT CASE FILES - Misconduct M	latters		
2.1.3		Records relating to the receipt and management of information (intelligence) received by Commission staff which does not lead to an own motion investigation.	Temporary	Destroy 5 years after action completed.
		Records may include:		
		• file notes		
		• correspondence		
		information reports		
3	MISCONDUCT PREVENTION	The function of developing and implementing misconduct prevention strategies designed to raise standards of conduct, propriety and ethics in public authorities. These strategies aim to improve the capacity of public authorities to identify, prevent and respond to misconduct.		
3.1	Advice and consultation	The activity of providing advice (both routine advice and formal advice under s 31 of <i>The Integrity Commission Act (2009))</i> to public authorities. The activity includes general ongoing liaison and ad hoc contact with public authorities		
3.1.1		Records of advice and recommendations about high profile, controversial or sensitive issues for public authorities. These may be about:	Permanent	Retain as State Archives
		• misconduct risks,		
		misconduct prevention strategies,		
		drafting of policies and conduct codes		

No	Function/Activity	Description	Status	Disposal Action
MISCONDL	ICT PREVENTION - Advice an	d consultation		
		complaint handling practices and procedures.		
3.1.2		Records of advice and recommendations of a routine nature to public authorities. These may be about: • misconduct risks • misconduct prevention strategies	Temporary	Destroy 10 years after action completed.
		 complaint handling practices and procedures. 		
3.1.3		Records relating to non specific liaison with public authorities and other stakeholders. Records may include:	Temporary	Destroy 5 years after action completed.
		introductory and general awareness correspondenceinformation and briefing requests		
3.1.4	Education	The activity of educating, directly or indirectly, the public sector and general public about integrity in public office. It includes providing public officers and authorities with the knowledge, skills and understanding needed to identify, manage and reduce misconduct. It relates to the organising, delivering and reviewing of specific events, training resources, programs and workshops.		
3.1.4.1		Master copies of resources, documents and presentations. These may be used during education sessions and awareness programs, or be training resources made available to agencies.	Permanent	Retain as State Archives

No	Function/Activity	Description	Status	Disposal Action
MISCONDUC	CT PREVENTION - Advice and	consultation - Education		
		Records may include: PowerPoint presentations video and audio clips brochures handbooks guides posters		
3.1.4.2		 other resources Records documenting the planning and development of programs, resources and awareness raising sessions for public authorities and the general public. Records may include; discussion papers briefing papers correspondence reports. 	Temporary	Destroy 10 years after action completed.
3.1.4.3		Records documenting the delivery of education programs and events to public authorities and the public.	Temporary	Destroy 5 years after action

No	Function/Activity	Description	Status	Disposal Action
MISCONE	DUCT PREVENTION - Advice ar	nd consultation - Education		
		Records may include;		completed.
		• session plans		
		• correspondence		
		• schedules.		
3.1.4.4		Attendance records and completed feedback surveys relating to education sessions delivered.	Temporary	Destroy 2 years after action completed.
		Records may include;		completed.
		• completed forms		
		• correspondence		
		• reports		
		• summaries		
3.2	Evaluation	Activities associated with the evaluation of misconduct prevention programs and strategies developed and delivered by the Commission. The analysis of program effectiveness against risks, prevalence and incidence of misconduct in public authorities. The activity includes consideration of programs implemented by other, similar integrity agencies.		
3.2.1		Records of the evaluation of programs and strategies, risk assessments and intelligence analysis implemented by the Commission where the programs have influenced policy or	Permanent	Retain as State Archives

No	Function/Activity	Description	Status	Disposal Action
MISCONDU	CT PREVENTION - Evaluation			
		practice across government or addressed areas of strong and ongoing public or media reaction.		
		Records may include:		
		reports and briefing papers		
		surveys and intelligence		
		statistical data		
		• proposals		
3.2.2		Records relating to the evaluation of programs and strategies, risk assessments and intelligence analysis where the programs have not influenced policy or practice across government or addressed areas of strong and ongoing public or media reaction.	Temporary	Destroy 10 years after action completed.
		Records may include:		
		reports and briefing papers		
		surveys and intelligence		
		statistical data		
		• proposals		
3.2.3		Evaluation guidelines and procedures.	Temporary	Destroy 3 years after Reference ceases.

No	Function/Activity	Description	Status	Disposal Action
MISCONDL	ICT PREVENTION - Monitor pari	liamentary registers		
3.3	Monitor parliamentary registers	The activity of monitoring the operation of Parliamentary registers relating to the conduct of Members of Parliament in accordance with <i>The Integrity Commission Act (2009)</i> , s. 30(a).		
3.3.1		Records relating to the monitoring of Parliamentary registers including recommendations or advice. Records may include: • correspondence, • reports • briefings • file notes	Temporary	Destroy 10 years after action completed.
3.4	Parliamentary Standards Commissioner	Activities relating to the administration of, and general liaison with, the Parliamentary Standards Commissioner.		
3.4.1		Records of advice received from the Parliamentary Standards Commissioner relating to matters of parliamentary conduct, propriety and ethics, or training of members of parliament or staff employed in their offices. Records may include: • correspondence • briefings	Permanent	Retain as State Archives

No	Function/Activity	Description	Status	Disposal Action
MISCONDU	CT PREVENTION - Parliament	ary Standards Commissioner		
		meeting agendas and minutes.		
3.4.2		Records of administrative arrangements between the Commission and the Parliamentary Standards Commissioner about support provided to the Parliamentary Standards Commissioner. Records may include: • routine correspondence • agreements	Temporary	Destroy 5 years after action completed.
		meeting arrangements		
3.5	Projects	Activities associated with specific projects conducted to meet the educative, preventative or advisory functions of the Commission.		
3.5.1		Records documenting the management of agency projects relating to misconduct prevention, which are one of the following: • whole of government/multi agency projects • projects of importance to other integrity agencies • projects with outcomes affecting policy or governance across multiple authorities Records may include:	Permanent	Retain as State Archives

No	Function/Activity	Description	Status	Disposal Action
MISCONDU	CT PREVENTION - Projects			
		project proposal/plan		
		project business case		
		implementation plans		
		risk and issues registers		
		closure, review and evaluation reports		
		stakeholder analysis		
		briefing notes		
3.5.2		Records documenting the management of agency projects which do not:	Temporary	Destroy 7 years after action
		effect policy or governance accross multiple agencies		completed.
		result in whole of government changes		
		 lead to changes in practice for other integrity agencies 		
		Records may include:		
		project proposal / plan		
		project business case		
		implementation plans		

No	Function/Activity	Description	Status	Disposal Action
MISCOND	UCT PREVENTION - Stakeholder	engagement		
		risk and issues registers		
		closure, review and evaluation reports		
		stakeholder analysis		
		briefing notes		
3.6	Stakeholder engagement	Activities relating to engaging with stakeholder groups to develop misconduct prevention strategies. These strategies are designed to assist public authorities to develop their capacity to prevent, recognise, detect and investigate misconduct.		
3.6.1		Records of liaison with public authorities, specialist and reference groups, relating to specific ethical or misconduct prevention issues. This interaction has lead to changes in policy or practice at either an executive or governance level affecting a whole agency, or across multiple authorities. Records may include:	Permanent	Retain as State Archives
		correspondence		
		meeting minutes and agendas		
		• file notes		
		briefing papers		

No	Function/Activity	Description	Status	Disposal Action
MISCONDU	CT PREVENTION - Stakeholder	engagement		
3.6.2		Records of liaison with public authorities, specialist and reference groups, relating to specific ethical or misconduct prevention issues. These issues are not:	Temporary	Destroy 5 years after action completed.
		 governance or policy matters at a whole of agency level 		
		matters of policy across multiple authorities		
		Records may include:		
		correspondence		
		meeting minutes and agendas		
		• file notes		
		briefing papers		
3.6.3		Records documenting liaison with other integrity bodies to ensure best practice, awareness of current trends and issues in the field of misconduct prevention.	Temporary	Destroy 5 years after action completed.
		Records may include		
		• correspondence,		
		meeting and discussion notes		
		• reports.		

No	Function/Activity	Description	Status	Disposal Action			
MISCONDU	MISCONDUCT PREVENTION - Stakeholder engagement						
3.6.4		Records documenting liaison guidelines and procedures.	Temporary	Destroy 3 years after			
		Records may include		superseded.			
		• forms					
		• templates					
		• procedures					
		• plans					