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State Records  
of South Australia



# General Disposal Schedule No. 26

Royal Commissions and Commissions of Inquiry

Disposal Schedule

Effective from 22 February 2011 to 30 June 2021

1<sup>st</sup> Edition

Approved by SRC

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## Approval for the commencement of this schedule

*State Records Act 1997*

Government of South Australia

General Disposal Schedule No. 26, 1<sup>st</sup> Edition

For

Royal Commissions and Commissions of Inquiry

Effective from 22 February 2011 to 30 June 2021

Approved By

Chair, State Records Council

Director, State Records



## Preface

### Royal Commissions and Commissions of Inquiry – National Context

#### Public Inquiries<sup>1</sup>

“The primary function of a public inquiry is to inquire into, and report on, the subject matter in respect of which it is established by the government...the ‘pragmatic’ function of a public inquiry, such as a Royal Commission, is to ‘investigate an issue for a government, collect information, submit a report and make recommendations’. Public inquiries such as Royal Commissions also have a ‘broader political, or ideological, function as a management strategy, in particular that of crisis management’”.

“Public inquiries may consider subject matter that falls within two broad categories:

- issues of policy or law reform (policy inquiries) or
- investigation of facts or allocation of responsibility with respect to incidents or problems (investigatory inquiries).

Policy and investigatory inquiries fulfill additional functions. Policy inquiries may solve problems relating to systems or processes. These inquiries may advise government on policy development in areas that are novel or particularly complex.

In contrast, investigatory inquiries determine what happened in particular situations, such as where there has been a major accident or disaster, an allegation of corruption, or the death or wrongful imprisonment or treatment of individuals. The functions of investigatory inquiries include: establishing accountability and responsibility; allowing stakeholders to learn from what happened; providing catharsis or reconciliation; and providing reassurance and rebuilding public confidence.

In practice, an investigatory inquiry may consider policy and systemic issues that are relevant to the incident or problem being investigated. Similarly, policy inquiries may ‘concentrate on the wrong or malfunction in the system and as part of this identify individuals who contributed to such wrongdoing’”.

Inquiry records may fall into the following broad categories:

- administrative records concerning the setting up and operation of the inquiry
- financial records of the inquiry
- hearings records, such as transcripts
- investigative records, including written statements where the inquiry is compiling evidence or taking evidence from witnesses
- documents either produced to, or seized by, an inquiry and

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<sup>1</sup> Text under this heading quoted from *Making Inquiries: A New Statutory Framework* (ALRC Report 111). Australian Law Reform Commission. Tabled 4 February 2010. p.56, 57, 155.



- working papers of the inquiry members and legal team.”

## Royal Commissions/Commissions of Inquiry<sup>2</sup>

“The *Royal Commissions Act 1902 (Commonwealth)* provides the Australian Government with a statutory framework for establishing public inquiries with coercive information gathering powers. Under the Act, the scope of the power to establish a Royal Commission is very broad. The Act provides that the Governor-General, by Letters Patent, may issue a commission ‘which relates to or is connected with the peace, order and good government of the Commonwealth, or any public purpose or any power of the Commonwealth’”.

“Royal Commissions have been described as ‘the most prestigious of executive inquiries in Australia’. Their status is attributed to the fact that they have a statutory basis, are endowed with coercive information-gathering powers, and are generally appointed to inquire into controversial issues”.

“In Australia, the commission of inquiry mechanism was adopted early—the colony of Victoria enacted legislation for public inquiries with coercive information gathering powers soon after the Eureka Stockade in 1854. The Royal Commissions Act (Commonwealth) was enacted shortly after Federation, and 127 [Commonwealth] Royal Commissions have been appointed under the Act”.

“All Australian states and territories have enacted legislation that provides for the appointment of Royal Commissions or other public inquiries with powers and protections”.

## Royal Commissions and Commissions of Inquiry – South Australia

Royal Commissions and Commissions of Inquiry in South Australia exist in accordance with the *Royal Commissions Act 1917*. The Governor establishes them by instrument under the public seal of the State.

The Royal Commissions Act was formally introduced to Parliament on 18 September 1917 by the Attorney General, Hon A.H. Peake. Prior to this, the only powers of a Royal Commission came from the 1878 *Witnesses on Commissions Oaths Act*. The deficiencies of this Act had been shown to the government and public by Sir Josiah Symon KC during the Land Purchases Commission. He had argued that there was a need for a Commission to have effective power over witnesses and their investigations and, thus, the new 1917 Act was planned. It was virtually unanimous in the Parliament that such an act was required for the sure conduct of these Inquiries and Commissions.<sup>3</sup>

The powers of a Commission, in accordance with the Royal Commissions Act are far-reaching and include<sup>4</sup>:

<sup>2</sup> Text under this heading quoted from *Making Inquiries: A New Statutory Framework* (ALRC Report 111). Australian Law Reform Commission. Tabled 4 February 2010. p.52, 58, 61.

<sup>3</sup> As provided by Mr Rob Linn, 3 April 2006.

<sup>4</sup> Taken from section 10 of the *Royal Commission Act 1917*.



- entering upon and inspecting any land, building, place or vessel and inspecting any goods and other things as part of their prosecution of an inquiry
- requiring by summons the attendance of all such persons as they think fit to call before them, and may require answers or returns to such inquiries as they think fit to make
- requiring by summons the production of any books, papers, documents or records
- inspecting any books, papers, documents and records produced before them and retaining them for such reasonable periods as they think fit and making copies of such matters therein as are relevant to the inquiry or taking extracts of such matters
- examining witnesses on oath, affirmation or declaration which may be administered by any Commissioner
- publishing such (if any) information obtained in the exercise of their functions as they think fit
- imposing a penalty or committing to gaol a person summonsed as a witness before the Commission who neglects to appear or acts in a manner described under section 11(1) of the Act.

A Commission may be constituted of a single commissioner or of two or more commissioners.

Evidence taken by a Commission can occur in public or in private at the discretion of the Commission.

Within South Australia there have been Royal Commissions on such matters as<sup>5</sup> Pastoral Lands (1890-1891), Port Adelaide Road Contracts (1916), Government Land Purchases (1917-1918), Irrigation Act 1922 (1925), South Australian Railways (1930-1931), Local Government Areas (1932-1935), the Fishing Industry (1934-35), Dairy Industry Prices (1933), Afforestation (1935-1936), Transport (1938), Local Government (1957), Rupert Max Stuart (1959), the Grape Growing Industry (1965), State Transport Services (1965-68), the Licensing Act (1966), John Douglas Murrie (1967), Vietnam Moratorium Demonstration of 18 September 1970 (1970), Suspension of a High School Student (1974), Monarto Land Transactions (1974), Local Government Areas (1974), Administration of the Juvenile Courts Act and other associated matters (1976-1977), the Law Relating to Shop Trading Hours (1977-1978), the Dismissal of Harold Hubert Salisbury (1978), the Non-Medical Use of Drugs (1977-1979), Floodlighting of Football Park (1979), Prisons (1980), Edward Charles Splatt (1982-1984), the State Bank of South Australia (1991-1993), the Hindmarsh Island Bridge (1995) and Children in State Care and Children on APY Lands (2004-2008).

Commissions are short-lived agencies yet the records they create provide evidence of the source of authority, foundation and machinery of the South Australian Government and public sector bodies<sup>6</sup>. In addition, they provide insight into events, people, places and

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<sup>5</sup> This is not intended to be an exhaustive list of Royal Commissions held in South Australia.

<sup>6</sup> Objective 1 of State Records' *Appraisal of Official Records: Policy and Objectives* (2003)



phenomena of social, environmental or cultural significance to the broader community and the state of South Australia<sup>7</sup>.

General Disposal Schedule (GDS) No. 26 is designed to be independent from organisational structures.

It aims to cater for all Royal Commissions and Commissions of Inquiry in the State, with the following current exceptions:

- Royal Commission into the State Bank of South Australia (1991-1993)
- Royal Commission into the Hindmarsh Island Bridge (1995) and
- Children in State Care and Children on APY Lands Commission of Inquiry (2004-2008).

It is anticipated that the Schedule captures the language and terminology familiar to and used by Commissions.

In adopting a functional approach for the development of GDS 26 it is expected that it will have longer-term applicability, usability and relevance.

## Acknowledgments

This General Disposal Schedule was developed and prepared by State Records of South Australia.

The General Retention and Disposal Authority for Records of Royal Commissions and Special Commission of Inquiry (GDA 14) issued by the State Records Authority of New South Wales (February 2004) was used as a valuable reference in the development of GDS 26.

Records Authority for the Department of the Prime Minister and Cabinet – Royal Commission Administration (Job No 2010/00039583) issued by the National Archives of Australia (15 July 2010) was also referred to in the development of GDS 26.

Reference has also been made to the Children in State Care and Children on APY Lands Commission of Inquiry RDS (RDS 2007/12 approved by the State Records Council on 9 December 2008).

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<sup>7</sup> Objective 4 of State Records' *Appraisal of Official Records: Policy and Objectives* (2003).



## Introduction

### Scope

General Disposal Schedule No. 26 (GDS 26) applies to records commonly created or received as evidence of the functions and activities of Royal Commissions and Commissions of Inquiry established in South Australia.

For records that are of a general administrative or financial nature, Commissions should refer to *General Disposal Schedule (GDS) No. 15 for State Government Agencies*. Cross-references to GDS 15 (as amended), where appropriate, are set out in this schedule.

GDS 26 does not cover Commission records already in the custody of State Records as part of the following Government Record Groups (GRG):

- GRG 79 Royal Commission on the Vietnam Moratorium Demonstration of 18 September 1970 (1970)
- GRG 93 Royal Commission on Suspension of a High School Student (1974)
- GRG 96 Royal Commission on the Licensing Act (1966)
- GRG 98 Royal Commission into the Grape Growing Industry (1965)
- GRG 103 Royal Commission into the Law Relating to Shop Trading Hours and Ancillary Matters (1977-1978)
- GRG 108 Royal Commission into the Dismissal of Harold Hubert Salisbury (1978)
- GRG 114 Royal Commission into the Non-Medical Use of Drugs (1977-1979)
- GRG 115 Royal Commission into Monarto Land Transactions (1974)
- GRG 120 Royal Commission into the Floodlighting of Football Park (1979)
- GRG 131 Royal Commission Relating to Prisons (1980)
- GRG 145 Royal Commission on Government Land Purchases (1917-1918).

These records have been deemed as permanent in accordance with a disposal determination made for all GRGs by the Manager [Director] of State Records and approved by the State Records Council on 9 November 1999.

In addition, GDS 26 does not cover records of:

- the Royal Commission into the State Bank of South Australia (1991-1993) (covered by RDS 1998/36 approved 14 September 1999)
- the Royal Commission into the Hindmarsh Island Bridge (1995) (covered by RDS 1471 approved 25 March 1995) and
- the Children in State Care and Children on APY Lands Commission of Inquiry (2004-2008) (covered by RDS 2007/12 Version 1 approved on 9 December 2008).



GDS 26 does apply to the following Government Record Series (GRS) held in the custody of State Records:

- GRS 20 Minutes of Evidence of the Royal Commission into the Fishing Industry, 1934-1935
- GRS 352 Commissioner's Sundry Notes from Royal Commissioner on the Licensing Act, 1966
- GRS 354 Licensing Acts kept by the Royal Commission on the Licensing Act, 1932-1965
- GRS 368 Photographic Exhibits of the Royal Commission Relating to Edward Charles Splatt, nd
- GRS 379 Committal Hearing Dispositions of the Royal Commission Relating to Edward Charles Splatt, 1978
- GRS 383 Papers and Photographs – Splatt Royal Commission, 1978-1982
- GRS 401 Photographs of the Royal Commission into Pastoral Lands, 1890-1891
- GRS 505 Minutes of Evidence of the Royal Commission on State Transport Services, 1966
- GRS 508 Evidence and Working Papers of the Royal Commission on the Suspension of a High School Student (1974), 1974
- GRS 1096 Local Option District Maps, 1966
- GRS 2321 Press Clippings of the Royal Commission on the Dismissal of Harold Hubert Salisbury
- GRS 2323 Document Copies of the Royal Commission on the Dismissal of Harold Hubert Salisbury, 1978
- GRS 5069 Report and Transcripts of Evidence of the Royal Commission into Rupert Max Stuart (1959), 1959
- GRS 5070 Minutes of Evidence of the Royal Commission on John Douglas Murrie (1967), 1967
- GRS 5071 Reports and Minutes of Evidence of the Royal Commission on the South Australian Railways, 1930-1931
- GRS 5072 Minutes of Evidence of the Royal Commission into the Irrigation Act 1922, 1923-1925
- GRS 5073 Reports and Minutes of Evidence of the Royal Commission on Local Government Boundaries, 1974
- GRS 5074 Reports and Minutes of Evidence of the Royal Commission on Afforestation, 1934-1936
- GRS 5075 Reports and Minutes of Evidence of the Royal Commission on Transport, 1937-1938
- GRS 5076 Minutes of Evidence of the Royal Commission on the Administration of the Juvenile Courts Act, 1976-1977
- GRS 5077 Reports and Minutes of Evidence of the Royal Commission on Local Government Areas, 1930-1934



- GRS 5078 Exhibits of the Royal Commission on Local Government Boundaries, 1973-1974
- GRS 5079 Reports and Minutes of Evidence of the Royal Commission on Dairy Industry Prices, 1933
- GRS 5080 Report and Minutes of Evidence of the Royal Commission on Port Adelaide Road Contracts, 1916
- GRS 5081 Reports and Minutes of Evidence of the Royal Commission on Local Government, 1956-1957
- GRS 5083 Exhibits of the Royal Commission on John Douglas Murrie (1967), 1967.

GDS 26 is intended to be a comprehensive schedule encompassing all operational records of current and future Commissions.

## Objectives

The aims of GDS 26 are to:

- accurately reflect the operations and associated records of South Australian Royal Commissions and Commissions of Inquiry
- identify records which are worthy of permanent preservation as part of the State's heritage
- prevent the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of the State Government and
- authorise the destruction of those records not required permanently.

## Implementation

GDS 26 is issued under the *State Records Act 1997*.

The State Records Act came into operation on the 31 October 1997 to provide for the preservation and management of official records. GDS 26 is issued as a determination under section 23 of the Act.

Section 23 of the *State Records Act 1997* states that no official record may be disposed of without the approval of the State Records Council. GDS 26 was developed by State Records to provide Royal Commissions and Commissions of Inquiry with the means of disposing of their operational records in an orderly and accountable manner.

GDS 26 1<sup>st</sup> Edition was approved by the State Records Council on 22 February 2011 and is effective from 22 February 2011 to 30 June 2021.

This GDS has been issued in electronic form via the State Records website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)) to allow ease of use and greater accessibility.

Any modification of the schedule by end users is not permitted. Changes can only be made with the approval of State Records and the State Records Council.



## Updates/ Amendments

GDS 26 1<sup>st</sup> Edition is effective from 22 February 2011 unless reviewed earlier as instructed by State Records or the State Records Council. Amendments approved by the State Records Council may be issued during this period.

## Previous Records Disposal Schedules Revoked

GDS 26 1<sup>st</sup> Edition does not supersede any Operational Records Disposal Schedules previously created for particular Royal Commissions or Commissions of Inquiry. It does, however, complement:

- RDS 1998/36 for the Royal Commission into the Bank of South Australia (approved 14 September 1999 - schedule now retired)
- RDS 1471 for the Royal Commission into the Hindmarsh Island Bridge (approved 25 March 1995- schedule now retired)
- RDS 2007/12 Version 1 for the Children in State Care and Children on APY Lands Commission of Inquiry (approved on 9 December 2008).

## Disposal of Records Older than 50 Years

GDS 26 **does not authorise the destruction** of records if 50 years have passed since the end of the calendar year in which the records came into existence. Records more than 50 years old are deemed as permanent unless a specific one-off disposal approval to destroy is sought from the State Records Council by the Director, State Records.

## Consultation

In developing GDS 26 comment was sought from the following stakeholders:

- the Crown Solicitor's Office (regarding evidentiary and legal requirements)
- the Commission of Inquiry into Children in State Care and Children on APY Lands (as a Commission of Inquiry)
- Rob Linn (as an external stakeholder and professional historian).

Their comments have been considered in the development of GDS 26.

## Adequate Records Management

Outcome 3 of *Adequate Records Management: Meeting the Standard* (State Records, 2002) requires records to be disposed of systematically in accordance with the State Records Act. For Royal Commissions and Commissions of Inquiry an important aspect of compliance with the Standard is the application of both GDS 26 and GDS 15 as a part of their records management programs. Retention periods in both GDS 15 and GDS 26 may be applied to records on creation and registration for later review; alternatively records may be sentenced when they become non-current.



## Legislation Affecting Recordkeeping Requirements

Legislation that affects Royal Commissions and Commissions of Inquiry in general includes:

- *Royal Commissions Act 1917.*

Particular Royal Commissions or Commissions of Inquiry may also have legislation specific to them.

## Indigenous Considerations

Recommendation 21 of the *Bringing Them Home... report* states "that no records relating to indigenous individuals, families or communities or to any children, indigenous or otherwise, removed from their families for any reason, whether held by government or non-government agencies, be destroyed"<sup>8</sup>. The determinations within GDS 26 are consistent with Recommendation 21.

The principles outlined in GDS 16, relating to Native Title claims, have also been considered in the development of this schedule.

In this instance, GDS 26 does not have relevance to Native Title.

All documents considered relevant to native title in South Australia must be checked for actual relevance with the Native Title Section of the Crown Solicitor's Office before being disposed of.

## Record Formats

GDS 26 applies to records in any format. This includes paper, microform (film or fiche), audiovisual, graphic, photographic and electronic media.

## 'Agency Responsible' for Commission and Commission of Inquiry Records

A Royal Commission or Commission of Inquiry retains ownership of its official records while the Commission is in existence. Once a Commission has ceased to exist and there has been no nomination of a successor responsible agency State Records becomes responsible for the records of the Commission. However, if records of a Commission are transferred to another government agency and that agency then transfers the records to State Records, then the transferring agency is considered the agency responsible<sup>9</sup>.

Photographs often provide valuable historical evidence that otherwise would not have been retained. For this reason it is important that Commissions, where appropriate, capture as

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<sup>8</sup> *Bringing Them Home: Report of the National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from Their Families.* April 1997. p. 655.

<sup>9</sup> This paragraph is based on advice received from the Crown Solicitor's Office dated 26 August 1999.



much information about the subject of a photograph. For example it is important to record the name and date of a particular person, the details of an event or the date and name of a particular subject.

Commissions or their successor agencies need to ensure that records, irrespective of format, will remain accessible for the duration of the designated retention period. By “accessible” it is meant that the information contained within a record remains readable for the life of the record. In addition, “accessible” also refers to the retrievability and availability of a record. Whether stored on or off-site, a record should be able to be retrieved and made available as soon as practicable (and, in any case, within 30 days).

## Custody & Transfer of Records<sup>10</sup>

### Permanent Records

Section 19 of the State Records Act includes provisions for the transfer of custody of an official record:

- a) when the agency ceases to require access to the record for current administrative purposes or
- b) during the year occurring 15 years after the record came into existence – whichever first occurs.

Official records that have been sentenced as permanent, in accordance with an approved disposal schedule, are required to be transferred to State Records.

Agencies with valid reasons to retain permanent records for longer than 15 years should apply in writing to Director [Manager], State Records requesting either a postponement or an exemption from section 19.

It should be noted that postponement or exemption are only granted in exceptional circumstances.

### Temporary Records

The custody of official records that have been sentenced as temporary is the responsibility of agencies. A policy and standards framework for the management and storage of temporary value official records has been established by State Records as documented in *Records of Temporary Value: Management and Storage Standard and Guidelines*. Agencies need to comply with these policy documents – available from the State Records website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

The custody of official records on networks or hard drives is also the responsibility of agencies. Agencies need to ensure that records in electronic format remain accessible to authorised users for the duration of the designated retention period. State Records is,

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<sup>10</sup> State Records of South Australia. *General Disposal Schedule No. 15*. op cit.



however, currently examining options for the transfer of permanent value electronic records in digital form to its custody.

## Access Rights and Responsibilities

Commissions or their successor agencies need to ensure that records, irrespective of format, will remain accessible for the duration of the designated retention period. By “accessible” it is meant that the information contained within a record remains readable for the life of the record. In addition, “accessible” also refers to the retrievability and availability of a record. Whether stored on or off-site, a record should be able to be retrieved and made available as soon as practicable (and, in any case, within 30 days).

### Access to Commission Records in the Custody of State Records

Access to records in the custody of State Records is generally governed by section 26 of the State Records Act that stipulates:

“the agency responsible for an official record in the custody of State Records may, in consultation with the Manager [of State Records] – (a) determine that access to the record (other than by the agency) is not subject to any restrictions...; or (b) determine conditions excluding or restricting access to the record”.

However, section 16a of the *Royal Commission Act 1917* confers power upon a Commission to make orders in relation to evidence taken at the Commission. The power includes an order to forbid publication of evidence and the names of witnesses. Section 16a(2) provides that a Commission may vary or revoke an order under the section.

If a Commissioner has made an order under s16a of the Royal Commission Act and the order is not revoked at the time official records of the Commission are transferred to State Records the Order remains. In such instances State Records will not be permitted to release those records to persons (agencies or public researchers) seeking access to the extent that the Order forbids access to those persons. In addition, State Records has to treat the Order as subsisting<sup>11</sup>.

It is requested, therefore, that a Commission or Commissioner revokes any orders made under section 16a of the Royal Commission Act when it is ready to transfer records to the custody of State Records. If any access restrictions are considered necessary for the records being transferred this can be accommodated in the form of an access determination made in accordance with section 26 of the State Records Act. Restrictions assigned in accordance with s26 of the State Records Act are then administered by State Records on behalf of the Commission or its successor responsible agency.

<sup>11</sup> This and the preceding paragraph are based on advice received from the Crown Solicitor’s Office dated 26 August 1999.



For further details on the rights and responsibilities of agencies in making access determinations in accordance with s26 of the State Records Act, Commissions can refer to the *Public Access Determinations Guideline* available from State Records' website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

### **Access to Commission Records in Accordance with the Freedom of Information Act**

If records are transferred directly to State Records by a Commission those records retain their exempt status with regards to the *Freedom of Information Act 1991*. However, when a successor responsible agency transfers Commission records to State Records those records lose the exemption from access conferred on Commission documents by the Freedom of Information Act<sup>12</sup>.

### **Retention Periods & Re-activation**

Retention periods for temporary records shown in GDS 26 are minimum retention periods for which records must be retained before they are destroyed.

Retention periods are triggered by disposal actions listed in the Schedule.

If a record is reactivated after a retention period has commenced the time is recalculated from the date of the subsequent last action.

The re-activation of a record is triggered by such events as:

- record accessed for research
- record identified as being of significant risk management status
- record identified as being required for possible legal proceedings.

There is no requirement to destroy temporary records if a Commission has a need to retain them longer than the designated minimum retention period. However, in the interests of efficient and economic records management, Commissions or their successor responsible agencies should take all steps to reduce the storage costs of time-expired records.

Where a record contains information that falls into two or more disposal classes in either GDS 15 or GDS 26, it must be sentenced in accordance with the disposal class with the longest retention period. However, where a record contains information covered by a disposal class within both GDS 15 AND GDS 26, it must be sentenced in accordance with the disposal class in GDS 26.

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<sup>12</sup> This paragraph is based on advice received from the Crown Solicitor's Office dated 26 August 1999.



## **Destruction of Records<sup>13</sup>**

Prior to destruction, *GDS 16 Impact of Native Title Claims on Disposal of Records* needs to be consulted to ensure records that are relevant to native title claims in South Australia are identified and preserved.

When official records in the custody of a Commission (or their successor responsible agency) or housed in secondary storage are due to be destroyed in accordance with the provisions of this or other disposal determinations, State Records is required to be notified via an Intention to Destroy Records Report. This form is available on the State Records website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

Commissions or their successor agencies need to ensure that all destruction is secure and confidential and that a certificate confirming confidential destruction is provided by private contractors.

Standard methods for destruction of paper are shredding, pulping or other means that are environmentally friendly.

Records in electronic format must only be destroyed by reformatting or rewriting to ensure that the data and any “pointers” in the system are destroyed. “Delete” instructions do not offer adequate security as data may be restored or recovered.

Commissions (or their successor responsible agencies) should keep their own record of all records destroyed, noting the relevant disposal authority. Proof of destruction may be required for legal purposes or in response to FOI applications. When records are destroyed systems that control them should also be updated by inputting dates and relevant disposal authorities.

### **Normal Administrative Practice**

The destruction of some official records that are of a transitory nature only may be permitted under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by Commissions during the course of their duties.

For further information regarding the application of NAP, Commissions should refer to the Introduction of *General Disposal Schedule (GDS) 15 for State Government Agencies*, available from State Records website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

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<sup>13</sup> State Records of South Australia. *General Disposal Schedule No. 15*. op cit.



## Legal Deposit

Legal deposit refers to statutory provisions that oblige publishers to deposit copies of their publications in libraries in the country in which they are published. Under the Commonwealth *Copyright Act 1968* and various Australian state acts, a copy of any work published in Australia must be deposited with (a) the National Library of Australia and (b) the appropriate State Library. Legal deposit extends not only to commercial publishers but also to private individuals, clubs, churches, societies and organisations.

In South Australia, one copy of publications produced for external use should be deposited with the State Library and the Parliamentary Library (*s.35, Libraries Act, 1982*). Publications include books, newspapers, magazines, journals, pamphlets, maps, plans, charts, printed music, records, cassettes, films, video or audio tapes, computer software, CD-ROMs, compact discs and other items made available to the public.

## Records and Litigation

Where Commissions (or successor responsible agencies) are aware that records may be required for use in litigation, for use in a government enquiry or the consideration of the Ombudsman, the records must not be destroyed. In such circumstances the records must be retained until two years after all cases and enquiries are complete (including appeals) and then have the original retention period applied to the records.

## Pre-1901 Records

All pre-1901 records are required to be **retained permanently** in accordance with a motion approved by the State Records Council on 19 February 2008.

## Training

Training in general records management areas is available from State Records. For further information about workshops and courses, agencies should contact State Records or visit its website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

## Contacts/Help Desk

For advice on implementing GDS 26, as well as advice on records appraisal, disposal, destruction, transfer and storage, contact Records Management Services, State Records.

For changes or updates to GDS 26, please also contact Records Management Services, State Records.

### State Records

GPO Box 2343

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## Layout

The Schedule, featured in table portrait format, is arranged as described below.

### Function

GDS 26 is divided into a number of operational functions:

- Community-Based Relations
- Expert References
- Government-Based Relations
- Information Resource Management
- Inquiry and Investigation
- Operations.

For ease of cross-reference a number of administrative functions from GDS 15 have also been included:

- Equipment and Stores
- Financial Management
- Fleet Management
- Occupational Health and Safety
- Personnel
- Property Management
- Technology and Telecommunications.

Each function is shown at the start of each division.

For each function a scope note has been included which provides a definition of the particular function. The scope note also identifies any exclusions or exceptions that the user needs to be aware of. In addition, cross-references or see references to GDS 15 (as amended) for related but non-operational/administrative records are given.

### Item No

The numbering in the Schedule is multi-level:

- functions have single numbers
- activities have two level numbers and
- disposal classes have three level numbers.

For example, on page 24 of the Schedule there is one disposal class listed under the function of **COMMUNITY-BASED RELATIONS** and the activity **Complaints**. The disposal class covers records relating to complaints received by a Commission not relating to specific cases.



The disposal action for records relating to complaints, therefore, is identified as follows:

- 1. COMMUNITY-BASED RELATIONS (FUNCTION)**
- 1.3 Complaints (Activity)**
- 1.3.1 Records relating to complaints received by the Commission not relating to specific cases.**
- PERMANENT (Disposal Action)**

### Activity

The activity relating to the particular function is shown in 12-point bold Arial, eg **Liaising**.

### Description

Descriptions are at two levels, ranging from activities to specific disposal classes.

Definitions are provided for the activities included in the Schedule and are featured in 12-point italic Arial.

Descriptions of each disposal class are then provided under the activity/subject header and description in 12 point Arial.

### Disposal Action

Disposal actions relate to the disposal classes arranged under the activity descriptions. Status of the class is either PERMANENT or TEMPORARY with a disposal trigger and retention period given for all temporary records. It is to be noted that the retention period for temporary records is the minimum period.

### List of Acronyms

No acronyms have been used.

### List of Definitions

No specific definitions apply.



## List of Functions and Activities

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Approved by SRC



| Item No.                           | FUNCTION<br>Activity / Process   | Description (Disposal Class)  | Disposal Action   |
|------------------------------------|----------------------------------|---|---|
| <b>1 Community-Based Relations</b> |                                  |   |   |
| <b>1.</b>                          | <b>COMMUNITY-BASED RELATIONS</b> | <b>The function of establishing rapport with the community and raising and maintaining the Commission’s broad public profile. Includes media liaison, official representation at functions and participation in community activities. Also includes community and witness consultation and liaison and witness support.</b> |   |
| <b>1.1.</b>                        | <b>Addresses (presentations)</b> | <i>The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations. (Keyword AAA).</i><br><br><i>See 7.1 GOVERNMENT-BASED RELATIONS – Addresses (presentations) for addresses and speeches to government agencies and entities.</i>     |   |
| 1.1.1.                             | Addresses (presentations)        | Records documenting final versions of addresses and speeches delivered by Royal Commissioners, senior Counsels Assisting, Ministers and other Royal Commission staff. Includes multi-media presentations and supporting educational aids.   | <b>PERMANENT</b><br>If in digital form actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes |
| 1.1.2.                             | Addresses (presentations)        | Records relating to the development and preparation of final versions of addresses and speeches. Includes working papers, research documents and drafts.  | <b>TEMPORARY</b><br>Destroy 2 years after last action   |
| <b>1.2.</b>                        | <b>Agreements</b>                | <i>The processes associated with the establishment, maintenance, review and negotiation of agreements. (Keyword AAA)</i><br><br><i>See 7.2 GOVERNMENT-BASED RELATIONS – Agreements for agreements with other government agencies or other local, state, Commonwealth or overseas government.</i>                            |   |
| 1.2.1.                             | Agreements                       | Final signed versions of agreements related to the core business of a Commission. Includes Memoranda of Understanding between the Commission and community groups, organisations or private individuals.  | <b>PERMANENT</b>  |



| Item No.                           | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action   |
|------------------------------------|--------------------------------|---|---|
| <b>1 Community-Based Relations</b> |                                |   |   |
| 1.2.2.                             | Agreements                     | Records documenting the negotiations, establishment, maintenance and review of agreements. Includes draft agreements and communications between agencies creating the agreements.   | <b>TEMPORARY</b><br>Destroy 10 years after action completed |
| <b>1.3.</b>                        | <b>Complaints</b>              | <i>The activities associated with the handling of complaints to the Commission.</i>   |   |
| 1.3.1.                             | Complaints                     | Records relating to complaints received by the Commission not relating to specific cases.<br><br>See 9.3 INQUIRY AND INVESTIGATION – Cases (Inquiry) and 9.4 INQUIRY AND INVESTIGATION – Cases (Submissions) for records relating to specific cases.        | <b>PERMANENT</b>  |
| <b>1.4.</b>                        | <b>Contracting-Out</b>         | <i>The activities involved in arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services. Sometimes referred to as outsourcing. (Keyword AAA)</i> |   |
| 1.4.1.                             | Contracting-Out                | Records documenting the hiring and use of consultants, contractors and suppliers by the Commission. Includes performance and evaluation reports and final signing off of a project or provision of a service.   | <b>TEMPORARY</b><br>Destroy 8 years after action completed  |
| <b>1.5.</b>                        | <b>Enquiries</b>               | <i>Activities associated with the seeking and handling of requests for information about the organisation and its services by the general public or another organisation. (Keyword AAA)</i>   |   |
| 1.5.1.                             | Enquiries                      | Records relating to the management of enquiries or requests for information regarding the Commission that lead to a case or investigation file being created.   | <b>PERMANENT</b>  |
| 1.5.2.                             | Enquiries                      | Records relating to the management of enquiries or requests for information regarding the Commission that do not lead to a case or investigation file being created.  | <b>TEMPORARY</b><br>Destroy 20 years after action completed |
| 1.5.3.                             | Enquiries                      | Records relating to the management of specific customer services provided to the public such as managing an enquiry desk, a telephone information service or interpreter service.   | <b>TEMPORARY</b><br>Destroy 8 years after action completed  |



| Item No.                           | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action  |
|------------------------------------|--------------------------------|---|--|
| <b>1 Community-Based Relations</b> |                                |   |  |
| <b>1.6.</b>                        | <b>Liaising</b>                | <i>The activities associated with maintaining regular general contact or consultation between the Commission and community groups, non-government organisations, private individuals or government agencies and entities. Includes sharing informal advice and discussions.</i><br><br><i>See 7.4 GOVERNMENT-BASED RELATIONS – Liaising for records of liaison with government agencies and entities.</i>   |  |
| 1.6.1.                             | Liaising                       | Records relating to liaison with community groups, organisations and private individuals.   | <b>PERMANENT</b>                                       |
| <b>1.7.</b>                        | <b>Media Relations</b>         | <i>The activities associated with establishing a relationship between the media and the organisation. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews (Keyword AAA).</i>   |  |
| 1.7.1.                             | Media Relations                | Master set of original or copied media items relating to the Commission. Includes press cuttings and media releases.  | <b>PERMANENT</b>                                       |
| 1.7.2.                             | Media Relations                | Duplicate copies of media items relating to the Commission.   | <b>TEMPORARY</b><br>Destroy 6 months after last action |
| 1.7.3.                             | Media Relations                | Records relating to the management of the agency's relationship with the media.   | <b>PERMANENT</b>                                       |
| <b>1.8.</b>                        | <b>Witness Support</b>         | <i>The activity of providing support to witnesses that come before a Commission. Witness support may include ad-hoc telephone counselling assistance, counselling support during the hearing process of giving evidence and referral to an appropriate agency or organisation for ongoing counselling or other types of support or assistance to witnesses.</i><br><br><i>See GDS15 v.7: 5.2 FINANCIAL MANAGEMENT – Accounting for all invoices and vouchers relating to Witness Support.</i> |  |
| 1.8.1.                             | Witness Support                | Records relating to the provision of witness support. May include notes of counselling sessions and communication with witness.   | <b>PERMANENT</b>                                       |



| Item No.                      | FUNCTION<br>Activity / Process  | Description (Disposal Class)  | Disposal Action |
|-------------------------------|---------------------------------|---|-----------------|
| <b>2 Equipment and Stores</b> |                                 |   |                 |
| 2.                            | <b>EQUIPMENT<br/>AND STORES</b> | <b>The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores includes chemicals, hardware, home ware items, kitchen/cleaning items, medical supplies and stationery (Keyword AAA).</b><br><br><b>See GDS 15: 3 EQUIPMENT AND STORES.</b> |                 |



| Item No.                   | FUNCTION<br>Activity / Process | Description (Disposal Class)   | Disposal Action  |
|----------------------------|--------------------------------|--|------------------|
| <b>3 Expert References</b> |                                |  |                  |
| <b>3.</b>                  | <b>EXPERT<br/>REFERENCES</b>   | <b>The function of using expert groups or consultants to assist with the inquiries and investigations of a Commission on a particular subject.</b>   |                  |
| <b>3.1.</b>                | <b>Advice</b>                  | <i>The activities associated with offering opinions by or to the organisation as to an action or judgment. Includes process of advising (Keyword AAA).</i><br><br><i>See also 9.1 INQUIRY AND INVESTIGATION - Advice and 11.1 OPERATIONS – Advice.</i> |                  |
| 3.1.1.                     | Advice                         | Records relating to advice provided to a Commission by expert reference groups or expert consultants.  | <b>PERMANENT</b> |
| <b>3.2.</b>                | <b>Appointment</b>             | <i>The activity of appointing expert reference groups or expert consultants.</i>   |                  |
| 3.2.1.                     | Appointment                    | Records relating to the appointment of expert reference groups or expert consultants.  | <b>PERMANENT</b> |



| Item No.                      | FUNCTION<br>Activity / Process  | Description (Disposal Class)   | Disposal Action |
|-------------------------------|---------------------------------|--|-----------------|
| <b>4 Financial Management</b> |                                 |  |                 |
| 4.                            | <b>FINANCIAL<br/>MANAGEMENT</b> | <p>The function of managing the organisation’s financial resources. Includes establishing, operating and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community (Keyword AAA).</p> <p>See GDS 15: 5 FINANCIAL MANAGEMENT</p> |                 |



| Item No.          | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action   |
|-------------------|--------------------------------|---|---|
| <b>5 Findings</b> |                                |   |   |
| <b>5.</b>         | <b>FINDINGS</b>                | <b>The function of making statements, interim and final reports as well as judgments and rulings relevant to the Commission’s inquiries and investigations.</b>   |   |
| <b>5.1.</b>       | <b>Reporting</b>               | <i>The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation. Includes agenda, briefing, business, discussions papers, proposals, reports, reviews and returns (Keyword AAA).</i><br><br><i>See also 7.5 GOVERNMENT-BASED RELATIONS – Reporting.</i> |   |
| 5.1.1.            | Reporting                      | Master set of interim and final reports of the Commission in paper and/or digital form. Also includes master copy of report distribution list.  | <b>PERMANENT</b><br>If in digital form actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes |
| 5.1.2.            | Reporting                      | Records relating to reporting of judgements/rulings of the Commission, opening statements, etc.   | <b>PERMANENT</b>  |
| 5.1.3.            | Reporting                      | Supplementary records relating to the reporting of judgements/rulings of the Commission, opening statements, etc. Includes working papers, confidential draft chapters of reports, supporting documentation, etc.   | <b>PERMANENT</b>  |



| Item No.          | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action   |
|-------------------|--------------------------------|---|---|
| <b>5 Findings</b> |                                |   |   |
| 5.1.4.            | Reporting                      | Duplicate copies of interim and final reports of the Commission in paper and/or electronic form.  | <b>TEMPORARY</b><br>Destroy 6 months after last action<br><br><b>NOTE:</b> As an alternative to destruction, excess copies of interim and final reports may be offered to a public agency or information service for inclusion in a reference collection (if reports are 'public documents', ie not confidential in nature) |
| 5.1.5.            | Reporting                      | Records relating to the distribution of interim and final reports.<br><br>See item 5.1.1 above for master copy of report distribution list. | <b>TEMPORARY</b><br>Destroy 12 months after last action   |



| Item No.                  | FUNCTION<br>Activity / Process | Description (Disposal Class)   | Disposal Action |
|---------------------------|--------------------------------|--|-----------------|
| <b>6 Fleet Management</b> |                                |  |                 |
| 6.                        | <b>FLEET<br/>MANAGEMENT</b>    | <b>The function of acquiring, managing, maintaining, repairing and disposing of vehicles. Vehicles are any means of conveyance owned or used by the organisation to transport people or items (Keyword AAA).</b><br><br><b>See GDS 15: 6 FLEET MANAGEMENT.</b> |                 |



| Item No.                            | FUNCTION<br>Activity / Process    | Description (Disposal Class)   | Disposal Action   |
|-------------------------------------|-----------------------------------|--|---|
| <b>7 Government-Based Relations</b> |                                   |  |   |
| 7.                                  | <b>GOVERNMENT-BASED RELATIONS</b> | <b>The function of administering the formal relationship between the Commission, Ministers, Members of Parliament and Other Inquiries; and relationships with other Local, State, Commonwealth or overseas governments.</b>  |   |
| 7.1.                                | <b>Addresses (presentations)</b>  | <i>The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations. (Keyword AAA).</i><br><br><i>See 1.1 COMMUNITY-BASED RELATIONS – Addresses (presentation) for addresses and speeches to community groups, organisations and private individuals.</i> |   |
| 7.1.1.                              | Addresses (presentations)         | Records documenting final versions of addresses and speeches delivered by Royal Commissioners, senior Counsels Assisting, Ministers and other Royal Commission staff. Includes multi-media presentations and supporting educational aids.  | <b>PERMANENT</b><br>If in digital form actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes |
| 7.1.2.                              | Addresses (presentations)         | Records relating to the development and preparation of final versions of addresses and speeches. Includes working papers, research documents and drafts.   | <b>TEMPORARY</b><br>Destroy 2 years after last action   |
| 7.2.                                | <b>Agreements</b>                 | <i>The processes associated with the establishment, maintenance, review and negotiation of agreements. (Keyword AAA)</i><br><br><i>See 1.2 COMMUNITY-BASED RELATIONS – Agreements for agreements with community groups, organisations and private individuals.</i>   |   |
| 7.2.1.                              | Agreements                        | Final signed versions of agreements related to the core business of a Commission. Includes Memoranda of Understanding between the Commission and other government agencies or with other local, state, Commonwealth or overseas Governments.   | <b>PERMANENT</b>  |



| Item No.                            | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action   |
|-------------------------------------|--------------------------------|---|---|
| <b>7 Government-Based Relations</b> |                                |   |   |
| 7.2.2.                              | Agreements                     | Records documenting the negotiations, establishment, maintenance and review of agreements. Includes draft agreements and communications between agencies creating the agreements.   | <b>TEMPORARY</b><br>Destroy 10 years after action completed |
| 7.3.                                | <b>Commission Meetings</b>     | <i>The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the inquiries and investigations of the Commission. Includes meetings with Ministers and Members of Parliament.</i><br><br><i>See 11.7 OPERATIONS – Meetings for records of general and administrative meetings.</i>   |   |
| 7.3.1.                              | Commission Meetings            | Records relating to meetings held between the Commission and other government entities such as Ministers and Members of Parliament. Includes updates, minutes of meetings, etc.   | <b>PERMANENT</b>  |
| 7.3.2.                              | Commission Meetings            | Records relating to administrative arrangements for meetings.   | <b>TEMPORARY</b><br>Destroy 2 years after last action       |
| 7.4.                                | <b>Liaising</b>                | <i>The activities associated with maintaining regular general contact or consultation between the Commission and community groups, non-government organisations, private individuals or government agencies and entities. Includes sharing informal advice and discussions.</i><br><br><i>See 1.6 COMMUNITY-BASED RELATIONS – Liaising for records of liaison with community groups, organisations and private individuals.</i> |   |
| 7.4.1.                              | Liaising                       | Records relating to liaison with government departments, agencies and entities. Includes the requests for and provision of information from government departments, agencies or entities.   | <b>PERMANENT</b>  |



| Item No.                            | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action  |
|-------------------------------------|--------------------------------|---|------------------|
| <b>7 Government-Based Relations</b> |                                |   |                  |
| <b>7.5.</b>                         | <b>Reporting</b>               | <i>The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation. Includes agenda, briefing, business, discussions papers, proposals, reports, reviews and returns (Keyword AAA).</i><br><br><i>See also 5.1 FINDINGS – Reporting.</i> |                  |
| 7.5.1.                              | Reporting                      | Records relating to reports made to Ministers, Parliament or other Inquiries.   | <b>PERMANENT</b> |
| 7.5.2.                              | Reporting                      | Consolidated set of Hansard extracts relating to the inquiries and investigations of the Commission.  | <b>PERMANENT</b> |



| Item No.                                 | FUNCTION<br>Activity / Process         | Description (Disposal Class)   | Disposal Action  |
|--|--|--|------------------|
| <b>8 Information Resource Management</b> |  |  |                  |
| <b>8.</b>                                | <b>INFORMATION RESOURCE MANAGEMENT</b> | <b>The function of managing the Commission’s information resources. May include creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records.</b><br><br><b>See also GDS 15: 9 INFORMATION MANAGEMENT.</b>  |                  |
| <b>8.1.</b>                              | <b>Control</b>                         | <i>The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems (Keyword AAA).</i><br><br><i>See also GDS 15: 9.26 INFORMATION MANAGEMENT – Control.</i> |                  |
| 8.1.1.                                   | Control                                | Indexes to transcripts and submissions.  | <b>PERMANENT</b> |
| 8.1.2.                                   | Control                                | List/s of exhibits as well as records registering the receipt, control and movement of exhibits.   | <b>PERMANENT</b> |
| 8.1.3.                                   | Control                                | Systems that contain information relating to contact and action with individuals and cases.  | <b>PERMANENT</b> |



| Item No.                           | FUNCTION Activity / Process      | Description (Disposal Class)  | Disposal Action  |
|------------------------------------|----------------------------------|---|------------------|
| <b>9 Inquiry and Investigation</b> |                                  |   |                  |
| <b>9.</b>                          | <b>INQUIRY AND INVESTIGATION</b> | <b>The function of liaising with a Commission carrying out the Inquiry and participating in them. The Commission is empowered to inquire and report on a subject. Includes the identification, local and examination of witnesses, physical objects, electronic-digital information and other forms of evidence associated with the Terms of Reference of a Commission.</b> |                  |
| <b>9.1.</b>                        | <b>Advice</b>                    | <i>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising. (Keyword AAA).</i><br><br><i>See also 3.1 EXPERT REFERENCES – Advice and 11.1 OPERATIONS – Advice.</i>  |                  |
| 9.1.1.                             | Advice                           | Records relating to advice, including legal, received and issued in relation to an inquiry or investigation of the Commission.  | <b>PERMANENT</b> |
| <b>9.2.</b>                        | <b>Arrangements</b>              | <i>The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc. Includes the keeping of diaries documenting appointment times and meetings. (Keyword AAA)</i><br><br><i>See also 9.5 INQUIRY AND INVESTIGATION - Commission Visits for records relating to visit arrangements.</i>                  |                  |
| 9.2.1.                             | Arrangements                     | Commissioner's Diary.   | <b>PERMANENT</b> |
| <b>9.3.</b>                        | <b>Cases (Investigation)</b>     | <i>The activities associated with an investigation by the Commission into individual and group cases.</i>   |                  |
| 9.3.1.                             | Cases (Investigation)            | Records relating to investigations involving individual cases. This includes records relating to an individual where an investigation is undertaken by the Commission. This includes cases where there is initial contact that does not lead to an investigation.   | <b>PERMANENT</b> |
| <b>9.4.</b>                        | <b>Cases (Submissions)</b>       | <i>The activities associated with individuals and agencies providing a submission to the Commission.</i>  |                  |



| Item No.                           | FUNCTION Activity / Process | Description (Disposal Class)   | Disposal Action  |
|------------------------------------|-----------------------------|--|------------------|
| <b>9 Inquiry and Investigation</b> |                             |  |                  |
| 9.4.1.                             | Cases (Submissions)         | Records relating to submissions to the Commission by individuals, organisations and agencies, including lists of issues.   | <b>PERMANENT</b> |
| <b>9.5.</b>                        | <b>Commission Visits</b>    | <i>The activities associated with visits by the Commissioner, Commission investigators and staff to sites relating to the Commission's inquiry or investigations.</i>  |                  |
| 9.5.1.                             | Commission Visits           | Records documenting visits, including bus tours, by the Commissioner and staff to sites relevant to the inquiry or investigation. Includes itinerary and photographs.  | <b>PERMANENT</b> |
| <b>9.6.</b>                        | <b>Legal Compliance</b>     | <i>The activities associated with supporting compliance with the mandatory legal, investigative and reporting requirements necessary for conducting a Commission. Includes powers relating to the refusal to give or produce evidence and statements, the provision of misleading information and the destruction of evidence. Also includes the protection of the rights of witnesses in relation to injury, bribery, fraud, prevention of attendance and dismissal by employers.</i> |                  |
| 9.6.1.                             | Legal Compliance            | Records relating to infringements or breaches of mandatory statutory requirements including failure to produce evidence, failure of witnesses to attend hearings, refusing to be sworn as a witness, providing false or misleading evidence, destroying evidence, refusing to answer questions or other expressions of contempt of the Commission.   | <b>PERMANENT</b> |
| 9.6.2.                             | Legal Compliance            | Records documenting infringements or breaches of mandatory statutory requirements relating to bribery of witnesses, preventing witnesses from attending hearings, dismissing witnesses from employment for attending hearings and fraud on witnesses.  | <b>PERMANENT</b> |
| 9.6.3.                             | Legal Compliance            | Records relating to all advice received from internal staff or external legal consultants concerning legal compliance and Commissions.   | <b>PERMANENT</b> |



| Item No.                           | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action   |
|------------------------------------|--------------------------------|---|---|
| <b>9 Inquiry and Investigation</b> |                                |   |   |
| 9.7.                               | <b>Research</b>                | <i>The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc, and the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc. (Keyword AAA)</i> |   |
| 9.7.1.                             | Research                       | Records relating to research into issues relating to an inquiry or investigation. Includes research into governance, government policy and legislation, comparative studies, etc. This includes records relating to background and reference material used for the purposes of research.  | <b>PERMANENT</b>  |
| 9.8.                               | <b>Tender</b>                  | <i>The activity of tendering exhibits and submissions. Also includes receiving or sourcing other documents by the Commission.</i>   |   |
| 9.8.1.                             | Tender                         | Master set of exhibits tendered to the Commission in paper and/or digital form.   | <b>PERMANENT</b><br>If in digital form actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes |
| 9.8.2.                             | Tender                         | Master set of submissions tendered to the Commission, whether used or not, in paper and/or digital form.  | <b>PERMANENT</b><br>If in digital form actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes |
| 9.8.3.                             | Tender                         | Photographs received or sourced by the Commission, tendered as exhibits or submissions.   | <b>PERMANENT</b>  |



| Item No.                           | FUNCTION Activity / Process | Description (Disposal Class)  | Disposal Action   |
|------------------------------------|-----------------------------|---|---|
| <b>9 Inquiry and Investigation</b> |                             |   |   |
| 9.8.4.                             | Tender                      | Master set of original documents received or sourced by the Commission in paper and/or digital form.  | <b>PERMANENT</b><br>If in digital form actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes |
| 9.8.5.                             | Tender                      | Original handwritten documents of the Commissioner and Associates. Includes sundry and bench notes/books.   | <b>PERMANENT</b>  |
| 9.8.6.                             | Tender                      | Duplicate copies of documents received, exhibits and submissions tendered in paper and/or electronic form.  | <b>TEMPORARY</b><br>Destroy 2 years after last action   |
| 9.8.7.                             | Tender                      | Records relating to administration of the Inquiry and reporting processes. Includes requests for information, calls to make submissions, scheduling of submissions. | <b>PERMANENT</b>  |
| <b>9.9.</b>                        | <b>Transcription</b>        | <i>The activity of recording the Commission's interviews and/or hearings.</i>   |   |
| 9.9.1.                             | Transcription               | Master set of transcripts of Commission interviews and/or hearings in paper and/or digital form.  | <b>PERMANENT</b><br>If in digital form actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes |
| 9.9.2.                             | Transcription               | Audio recordings of Commission interviews and/or hearings.  | <b>PERMANENT</b><br>If in digital form actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes |
| 9.9.3.                             | Transcription               | Shorthand notes of Commission interviews and/or hearings.   | <b>TEMPORARY</b><br>Destroy 10 years after action completed   |



| Item No.                           | FUNCTION<br>Activity / Process | Description (Disposal Class)   | Disposal Action                                       |
|------------------------------------|--------------------------------|--|---|
| <b>9 Inquiry and Investigation</b> |                                |  |   |
| 9.9.4.                             | Transcription                  | Duplicate copies of transcripts and recordings in paper and/or electronic form.  | <b>TEMPORARY</b><br>Destroy 2 years after last action |
| <b>9.10.</b>                       | <b>Warrant Authorisation</b>   | <i>The process of seeking and obtaining warrants from a judge to search premises or arrest non-compliant witnesses.</i>  |   |
| 9.10.1.                            | Warrant Authorisation          | Records documenting the preparation of warrants or similar instruments relating to an investigation. Includes search warrants, affidavits, commitment warrants, apprehension warrants, court orders, summonses or other types of warrants. | <b>PERMANENT</b>                                      |
| 9.10.2.                            | Warrant Authorisation          | Registers documenting the application and issue of warrants.   | <b>PERMANENT</b>                                      |



| Item No.                                 | FUNCTION<br>Activity / Process        | Description (Disposal Class)   | Disposal Action |
|--|---------------------------------------|--|-----------------|
| <b>10 Occupational Health and Safety</b> |                                       |  |                 |
| 10.                                      | <b>OCCUPATIONAL HEALTH AND SAFETY</b> | <p>The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety policy and the monitoring of safe work practices, procedures and preventative measures. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace (Keyword AAA).</p> <p>See GDS 15: 11 OCCUPATIONAL HEALTH &amp; SAFETY.</p> |                 |



| Item No.             | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action  |
|----------------------|--------------------------------|---|------------------|
| <b>11 Operations</b> |                                |   |                  |
| <b>11.</b>           | <b>OPERATIONS</b>              | <b>The function of administering the deliberations, decisions and operations of a Commission. Includes establishment of the Commission and appointment of members.</b>  |                  |
| <b>11.1.</b>         | <b>Advice</b>                  | <i>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising. (Keyword AAA)</i><br><br><i>See also 3.1 EXPERT REFERENCES – Advice and 9.1 INQUIRY AND INVESTIGATION – Advice.</i>   |                  |
| 11.1.1.              | Advice                         | Records relating to advice, including legal, received and issued in relation to the operations of the Commission.   | <b>PERMANENT</b> |
| <b>11.2.</b>         | <b>Authorisation</b>           | <i>The process of seeking and granting permission to undertake a requested authorisation. (Keyword AAA)</i>   |                  |
| 11.2.1.              | Authorisation                  | Records documenting the delegation of power or authorisations to Commission staff, or a member of the police force, who is assisting the Commission.  | <b>PERMANENT</b> |
| <b>11.3.</b>         | <b>Corporate Style</b>         | <i>The activity of compiling and administering guidelines on the consistency in written style, graphic design, etc within the organisation’s documents. Includes designing logos, letterhead, stationery, publications etc that incorporate the corporate image of the organisation (Keyword AAA).</i><br><i>See GDS 15: 14.27 PUBLICATION – Corporate Style.</i> |                  |
| <b>11.4.</b>         | <b>Distribution</b>            | <i>The activities associated with disseminating items, correspondence, or publications through sales, deliveries or other customer services (Keyword AAA).</i><br><i>See GDS 15: 14.36 PUBLICATION – Distribution.</i>  |                  |
| <b>11.5.</b>         | <b>Establishment</b>           | <i>The activity of establishing Commissions and appointing members.</i>   |                  |
| 11.5.1.              | Establishment                  | Records relating to the constitution and operation of the Commission. Includes Letters Patent, Terms of Reference.  | <b>PERMANENT</b> |
| 11.5.2.              | Establishment                  | Records relating to legal advice received regarding the constitution and operation of the Commission.   | <b>PERMANENT</b> |



| Item No.             | FUNCTION<br>Activity / Process | Description (Disposal Class)   | Disposal Action                                       |
|----------------------|--------------------------------|--|---|
| <b>11 Operations</b> |                                |  |   |
| <b>11.6.</b>         | <b>Legislation</b>             | <i>The process of making laws. Includes local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.</i><br><i>See GDS 15: 16.64 STRATEGIC MANAGEMENT – Legislation.</i>   |   |
| <b>11.7.</b>         | <b>Meetings</b>                | <i>The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes, etc (Keyword AAA).</i><br><br><i>See 7.3 GOVERNMENT-BASED RELATIONS – Commission Meetings for records of meetings held between the Commission and other government entities.</i> |   |
| 11.7.1.              | Meetings                       | Records relating to the conduct of staff meetings. Includes minutes, agendas, updates, etc.  | <b>PERMANENT</b>                                      |
| 11.7.2.              | Meetings                       | Records relating to administrative arrangements for meetings.  | <b>TEMPORARY</b><br>Destroy 2 years after last action |
| <b>11.8.</b>         | <b>Planning</b>                | <i>The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs (Keyword AAA).</i>  |   |
| 11.8.1.              | Planning                       | Records relating to the planning of a Commission's inquiries and investigations.   | <b>PERMANENT</b>                                      |
| <b>11.9.</b>         | <b>Policies and Procedures</b> | <i>The activities associated with developing and establishing decisions, directions and precedents that act as a reference for future decision making. Also includes the development of standard methods of operating according to formulated policy.</i>  |   |
| 11.9.1.              | Policies and Procedures        | Master set of policies, directives, practice notes, orders directions, manuals and handbooks detailing policy and procedures relating to the conduct of a Commission.  | <b>PERMANENT</b>                                      |
| 11.9.2.              | Policies and Procedures        | Records documenting the development and review of policies, procedures and guidelines supporting the conduct of a Commission.  | <b>PERMANENT</b>                                      |



| Item No.             | FUNCTION<br>Activity / Process | Description (Disposal Class)   | Disposal Action                                       |
|----------------------|--------------------------------|--|---|
| <b>11 Operations</b> |                                |  |   |
| 11.9.3.              | Policies and Procedures        | Copies of policies and procedures relating to the conduct of a Commission. | <b>TEMPORARY</b><br>Destroy 2 years after last action |



| Item No.            | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action |
|---------------------|--------------------------------|---|-----------------|
| <b>12 Personnel</b> |                                |   |                 |
| 12.                 | PERSONNEL                      | <p>The function of managing all employees in the organisation. Employees include Ministerial, permanent, temporary and part-time employees, people working under scholarships, traineeships, apprenticeships and similar relationships. Includes appeals, overtime, salaries, superannuation and working hours when related to persons rather than to Industrial Relations. Also includes arrangements for staff travel and the provision of childcare by the agency (Keyword AAA).</p> <p>See GDS 15: 12 PERSONNEL</p> |                 |



| Item No.                      | FUNCTION<br>Activity / Process | Description (Disposal Class)  | Disposal Action |
|-------------------------------|--------------------------------|---|-----------------|
| <b>13 Property Management</b> |                                |   |                 |
| 13.                           | PROPERTY<br>MANAGEMENT         | <p>The function of managing land and working, storage or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of property. Includes buildings and land allotments either owned, rented or leased by the organisation, such as office blocks, repositories, and workshops. Also includes the removal of pollutants and waste (Keyword AAA).</p> <p>See GDS 15: 13 PROPERTY MANAGEMENT.</p> |                 |



| Item No.                                    | FUNCTION<br>Activity / Process                        | Description (Disposal Class)  | Disposal Action |
|---|---|---|-----------------|
| <b>14 Technology and Telecommunications</b> |   |   |                 |
| 14.   | <b>TECHNOLOGY<br/>AND<br/>TELECOMMUNI<br/>CATIONS</b> | <p>The function of developing or acquiring, testing and implementing applications and databases to support the business needs of an organisation to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Websites (Keyword AAA).</p> <p>See GDS 15: 17 TECHNOLOGY &amp; TELECOMMUNICATIONS.</p> |                 |



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