

Australian Capital Territory

Territory Records (Records Disposal Schedule – Ombudsman Complaint Management Records) Approval 2011 (No 1)

Notifiable instrument NI2011—93

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Ombudsman Complaint Management Records) Approval 2011 (No 1)

2. Approval

I approve the Records Disposal Schedule – Ombudsman Complaint Management Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument NI2009-445 notified 10 September 2009.

David Wardle
Director of Territory Records
28 February 2011



Records Disposal Schedule

Ombudsman Complaint Management Records

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INTRODUCTION

The *Records Disposal Schedule – Ombudsman Complaint Management Records* is the official authority for the disposal of records relating to Ombudsman Complaint Management Records.

It is one of a series of Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with the *Territory Administrative Records Disposal Schedules (TARDiS)*.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence or if there is a current records disposal freeze in effect.**

The *Records Disposal Schedule - Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all records regardless of titling conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

Whole-of-Government Thesaurus

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

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

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

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 - Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Whole-of-Government Thesaurus. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The Records Disposal Schedule - Records:

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

Layout of the schedule

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

Function

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

Activity

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

Entry No.

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

Description of Records

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

Disposal Action

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

FORMAT OF RECORD

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

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

Electronic records

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

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

DESTRUCTION OF RECORDS

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

UPDATING THE RECORDS DISPOSAL SCHEDULE

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

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

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

RELATED LEGISLATION

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

Australian Federal Police Act 1979 (Cth)

Crimes (Child Sex Offenders) Act 2005

Freedom of Information Act 1989

Ombudsman Act 1989

Public Interest Disclosure Act 1994

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

OMBUDSMAN COMPLAINT MANAGEMENT

The function of investigating, for the ACT community, administrative actions and decisions that are considered wrong, unjust, unlawful, discriminatory or unfair made by ACT Government agencies, and those agencies operating on behalf of the ACT Government. Investigations can result in recommendations for remedies or changes to decisions, policies or procedures which foster improved and equitable administration by agencies. Includes investigating and reporting into matters of major public interest or systemic issues affecting the ACT; investigating issues arising with Freedom of Information requests; investigating public interest disclosure complaints; monitoring compliance of the Child Sex Offenders Register; auditing for compliance to decisions; and overseeing complaint investigations conducted by the Australian Federal Police. Also includes providing complainants with information, advice or referrals to other appropriate authorities.

Note: This function excludes complaints made against ACT Government Ministers and politicians, private individuals or companies, the environment, health services, ACT public service employment, consumer services and decisions made by courts or tribunals.

Advice

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

Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Case Management

The activity of managing an incident, person, organisation or client on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Enquiries

The activities associated with handling requests for information about the agency and its services, programs and activities.

Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

Inquiries

The activities associated with liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by people or bodies that have been empowered to inquire and report on a subject, such as Royal Commissions, Judicial Commissions, Boards of Inquiry, Legislative Assembly and Ombudsman's inquiries. Includes the agency's participation in the inquiry by providing evidence in the form of records submissions or staff.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related field, other agencies, private sector organisations and community groups. Includes sharing information advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

Media Relations

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

Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Policy

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

Procedures

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

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity, e.g. inspection reports, form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

Representations

The activities involved in preparing responses to questions raised in the Legislative Assembly by Members of Legislative Assembly on behalf of their constituents. Also includes community-based representations and representations directed to the Minister seeking a formal response.

Reviewing

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

Reviews (decisions)

The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

Submissions

The preparation and submission of a formal statement (e.g. report, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency, or within the agency, for the purpose of either gain or support.

RECORDS DISPOSAL SCHEDULE

Advice (Continued)

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

[For the provision of advice to the Minister or Chief Minister, use GOVERNMENT RELATIONS - Advice.

For legal advice, use LEGAL SERVICES - Advice.

For the development of submissions in relation to advice, use INDUSTRY DEVELOPMENT - Submissions.]

Entry No.	Description of Records	Disposal Action
034.005.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting advice received from the Ombudsman's legal team relating to possible litigation or administrative reviews of the exercise of the Ombudsman's powers. <i>[For interpretations of the agency's legislation, use LEGAL SERVICES – Advice.</i> <i>For proposals of new or amended agency legislation, use LEGAL SERVICES – Advice.]</i>	Retain as Territory Archives
034.005.003 ■■■■■■■■■■■■■■■■■■■■	Records documenting advice in support of a complaint investigation.	Destroy 5 years after last action

Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

Entry No.	Description of Records	Disposal Action
034.009.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting requests for public access to records where there has been an internal review, complaints have been lodged with the Ombudsman, or negotiations between an individual and the agency relating to the amendment or alteration of records. <i>[For requests to access records under the Freedom of Information Act 1989 or the Territory Records Act 2002, use INFORMATION MANAGEMENT – Case Management.]</i>	Destroy 5 years after action completed

Audit

Case Management (Continued)

The activity of managing an incident, person, organisation or client on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.194.004 ■■■■■■■■■■■■■■■■■■■■	<p>Records documenting category 1 and category 2 approaches including:</p> <ul style="list-style-type: none"> • correspondence • faxes • audio cassettes • video cassettes • CDs • DVDs. <p>Note: Category 1 approaches are resolved by the receiving officer without any internal or external assistance and are resolved without investigation. The outcomes include discretions and referrals. Often involve requests for general information (e.g. media requests, publications, website inquiries).</p> <p>Note: Category 2 approaches cannot be resolved at category 1 and require further internal inquiries or research, or more information from the complainant. May be transferred from the receiving officer to another team or officer for resolution. Resolved without contacting the agency in relation to a specific approach or complaint. An agency may be contacted to clarify a policy or procedure without reference to the specific approach or complaint.</p>	Destroy 12 months after last action

Inquiries

The activities associated with liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by people or bodies that have been empowered to inquire and report on a subject, such as Royal Commissions, Judicial Commissions, Boards of Inquiry, Legislative Assembly and Ombudsman's inquiries. Includes the agency's participation in the inquiry by providing evidence in the form of records submissions or staff.

[For complaint investigations, including public interest disclosures, that manage incidents, clients or agencies on a case basis, use OMBUDSMAN COMPLAINT MANAGEMENT – Case Management.

For legal support or opinions provided during an investigation, use LEGAL SERVICES – Inquiries.

[For final investigation reports, use OMBUSMAN COMPLAINT MANAGEMENT – Reporting.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.056.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting an agency's contribution and involvement into an inquiry directly relating to its own activities. Includes: <ul style="list-style-type: none"> • agency statements • submissions • responses to final reports • transcripts or oral evidence given by agency officers. 	Retain as Territory Archives
034.056.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting investigations into matters of major public interest or systemic issues into agencies where there has not been a specific complaint (e.g. own motion investigations). Includes: <ul style="list-style-type: none"> • agency statements • submissions • research • reports. <p><i>For media releases regarding own motion investigations, use OMBUDSMAN COMPLAINT MANAGEMENT – Media Relations.]</i></p>	Retain as Territory Archives

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related field, other agencies, private sector organisations and community groups. Includes sharing information advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.067.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting liaison activities undertaken with other teams, agencies, oversight bodies and community groups. Includes collaboration on complaint investigations and exchanges of information.	Destroy 5 years after last action

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions (e.g. subpoenas and discovery orders).

[For appeals against decisions, use OMBUDSMAN COMPLAINT MANAGEMENT – Appeals (decisions).

For advice received from an internal or external legal provider, use LEGAL SERVICES – Advice.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.068.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting matters relating to the ombudsman complaint management function which set legal precedents.	Retain as Territory Archives
034.068.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting matters relating to the ombudsman complaint management function that do not set legal precedents.	Destroy 7 years after action completed

Media Relations

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

[For public presentations or addresses, use COMMUNITY RELATIONS – Addresses (presentations).

[For the advertising of available services, use COMMUNITY RELATIONS – Marketing.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.071.001 ■■■■■■■■■■■■■■■■■■■■	Master set of media releases on complaint investigations conducted by the Ombudsman or relating to the ombudsman complaint management function. <i>[For administrative arrangements with the media, use COMMUNITY RELATIONS – Media Relations.</i> <i>[For administrative arrangements of issuing media releases in the portfolio Minister or Chief Minister's name, use GOVERNMENT RELATIONS – Media Releases.]</i>	Retain as Territory Archives

Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes etc. Excludes committee meetings.

[For meetings that form part of a complaint investigation managed on a case basis, use OMBUDSMAN COMPLAINT MANAGEMENT – Case Management.

[For meetings that form part of an investigation into a major issue, use OMBUDSMAN COMPLAINT MANAGEMENT – Inquiries.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.072.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of minutes and supporting documents of meetings held to support the ombudsman complaint management function.	Destroy 5 years after last action

Meetings (Continued)

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes etc. Excludes committee meetings.

[For meetings that form part of a complaint investigation managed on a case basis, use OMBUDSMAN COMPLAINT MANAGEMENT – Case Management.

[For meetings that form part of an investigation into a major issue, use OMBUDSMAN COMPLAINT MANAGEMENT – Inquiries.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.072.002 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the ombudsman complaint management function. Includes agendas and notices of meetings.	Destroy 2 years after last action

Policy

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.080.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of policies supporting the ombudsman complaint management function.	Retain as Territory Archives
034.080.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development and establishment of policies supporting the ombudsman complaint management function. Includes: <ul style="list-style-type: none"> ● policy proposals ● consultation ● supporting reports ● major drafts. 	Destroy 5 years after policy is superseded
034.080.003 ■■■■■■■■■■■■■■■■■■■■	Records documenting comments made on the development, content and application of policies relating to the ombudsman complaint management function.	Destroy 3 years after last action

Includes drafts and comments received.

Representations

The activities involved in preparing responses to questions raised in the Legislative Assembly by Members of Legislative Assembly on behalf of their constituents. Also includes community-based representations and representations directed to the Minister seeking a formal response.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.089.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the preparation of Ministerial responses to questions raised in the Legislative Assembly. Includes: <ul style="list-style-type: none">• copies of letters• research• drafts. <p><i>[For final Ministerial responses, use GOVERNMENT RELATIONS – Representations.]</i></p>	Destroy 5 years after action completed

Reviewing

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.093.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the internal review of operations, programs or actions in support of the ombudsman complaint management function. Includes review requests and the outcome of the review. <p><i>[For reviews or audits of the ombudsman complaint management function conducted by the Auditor-General, use AUDIT SERVICES.]</i></p>	Destroy 5 years after last action
034.093.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the internal quality assurance of the ombudsman complaint management function.	Destroy 2 years after last action

RETAIN AS TERRITORY ARCHIVES

Case Management

The activity of managing an incident, person, organisation or client on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

[For internal and external advice, use OMBUDSMAN COMPLAINT MANAGEMENT – Advice.

For investigations into matters of major public interest, use OMBUDSMAN COMPLAINT MANAGEMENT – Inquiries.

For investigations of systemic issues regarding administrative practices by or within agencies, use OMBUDSMAN COMPLAINT MANAGEMENT – Inquiries.


For internal and external liaison, use OMBUDSMAN COMPLAINT MANAGEMENT – Liaison.

For internal and external meetings, use OMBUDSMAN COMPLAINT MANAGEMENT – Meetings.

For engaging with the media regarding an investigation, use OMBUDSMAN COMPLAINT MANAGEMENT – Media Relations.

For formal reports, use OMBUDSMAN COMPLAINT MANAGEMENT – Reporting.

For internal reviews of actions or decisions taken by the Ombudsman, use OMBUDSMAN COMPLAINT MANAGEMENT – Reviews (decisions).]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.194.001 	<p>Records documenting category 5 approaches including:</p> <ul style="list-style-type: none"> • scoping notes • investigation plans • issues/discussion papers • research notes and analysis • notes of file/site inspections • informal and formal interviews • records of conversation. <p>Note: Category 5 approaches have complex legal or systematic issues that require significant internal and external consultation at the highest levels. Uses formal and informal agreements with agencies and formal reporting powers.</p>	Retain as Territory Archives

Inquiries

The activities associated with liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by people or bodies that have been empowered to inquire and report on a subject, such as Royal Commissions, Judicial Commissions, Boards of Inquiry, Legislative Assembly and Ombudsman's inquiries. Includes the agency's participation in the inquiry by providing evidence in the form of records submissions or staff.

[For complaint investigations, including public interest disclosures, that manage incidents, clients or agencies on a case basis, use OMBUDSMAN COMPLAINT MANAGEMENT – Case Management.

For final investigation reports, use OMBUSMAN COMPLAINT MANAGEMENT - Reporting.

For legal support or opinions provided during an investigation, use LEGAL SERVICES – Inquiries.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.056.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the agency's contribution and involvement in an inquiry directly relating to its functions. Includes: <ul style="list-style-type: none"> ● agency statements ● submissions ● responses to final reports ● transcripts or oral evidence given by agency officers. 	Retain as Territory Archives
034.056.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting investigations into matters of major public interest or systemic issues into agencies where there has not been a specific complaint (e.g. own motion investigations). Includes: <ul style="list-style-type: none"> ● agency statements ● submissions ● research ● reports. <p><i>[For media releases regarding own motion investigations, use OMBUDSMAN COMPLAINT MANAGEMENT - Media Relations.]</i></p>	Retain as Territory Archives

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions (e.g. subpoenas and discovery orders).

[For appeals against decisions, use OMBUDSMAN COMPLAINT MANAGEMENT – Appeals (decisions).

For advice received from an internal or external legal provider, use LEGAL SERVICES – Advice.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.068.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting matters relating to the ombudsman complaint management function which set legal precedents.	Retain as Territory Archives

Media Relations

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

[For public presentations or addresses, use COMMUNITY RELATIONS – Addresses (presentations).

For the advertising of available services, use COMMUNITY RELATIONS – Marketing.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
034.071.001 ■■■■■■■■■■■■■■■■■■■■	Master set of media releases on complaint investigations conducted by the Ombudsman or relating to the ombudsman complaint management function.	Retain as Territory Archives

[For administrative arrangements with the media, use COMMUNITY RELATIONS – Media Relations.

For administrative arrangements of issuing media releases in the portfolio Minister or Chief Minister's name, use GOVERNMENT RELATIONS – Media Releases.]

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

Changes to NI2006-446

Dated

13 December 2006

New Features (Insertions)

FUNCTION	Activity	Entry no.	Description

Enhancements (Changes)

FUNCTION	Activity	Entry no.	Description
OMBUDSMAN COMPLAINT MANAGEMENT	Reviews (decisions)	034.255.001	<i>omit</i> 034.255.001 <i>substitute</i> 034.094.001
OMBUDSMAN COMPLAINT MANAGEMENT	INTRODUCTION	N/A	<i>omit</i> relating to Records <i>substitute</i> relating to Ombudsman Complaint Management Records
	Advice	Scope Note	Updated
	Submissions	Scope Note	Updated

Corrections (Deletions)

FUNCTION	Activity	Entry no.	Description