

**Disposal Schedule
for
Functional Records of the
Parole Board**

Disposal Authorisation No. 2270

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INTRODUCTION

Archives legislation

The *Archives Act 1983* stipulates that State and local government organisations, must not dispose of **records of any type or format** without the written approval of the State Archivist. Disposal of records involves their destruction, their removal from the custody of their creating Agency, or their transfer to the Tasmanian Archive & Heritage Office.

Schedule elements and arrangement

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

- **Reference**

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

- **Disposal classes**

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

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

- **Status**

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

- **Disposal action**

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

Review of the schedule

It is the responsibility of agencies to monitor administrative, legal or regulatory changes which may result in the need to alter disposal class descriptions or disposal actions for records covered by this schedule. When this occurs, this schedule should not be used to dispose of those records and the State Archivist should be informed of the need to revise the schedule. If necessary, the procedures for the disposal of unscheduled records can be used in the interim. Reviews may also be initiated by the Tasmanian Archive & Heritage Office.

Contacts

Any enquiries relating to this schedule should be directed in writing to the Tasmanian Archive & Heritage Office, 91 Murray Street, Hobart, email gisu@education.tas.gov.au, phone 03 6165 5581

TASMANIAN ARCHIVE & HERITAGE OFFICE

DISPOSAL AUTHORISATION No. XXXX

Title: Disposal Schedule for Functional Records of the Parole Board

Authorisation:

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

Ross Latham
State Archivist

Document Development History
Build Status

Version	Date	Author	Reason	Sections
2.0	16-07-2015	Christine Woods	Template	All
1.0	13-07-2007	TAHO	Initial Release	All

Amendments in this Release

Section Title	Section Number	Amendment Summary
All	All	Document imported into new template.

INTERPRETATION

Definitions

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

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

Coverage

This schedule covers functional records of Parole Board.

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

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

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

Preservation of records

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

Permanent records

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

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

Temporary records

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

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

Destruction of records

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

Right to Information

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

Personal Information Protection

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

Other investigations or inquiries

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

Records relating to indigenous people

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

Records relating to indigenous families and communities or which document links between indigenous people and localities are not to be destroyed and should be the subject of consultation with the Tasmanian Archive & Heritage Office.

Native title

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

Registration of destruction

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

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

<p>01.00.00</p>	<p>PAROLE MANAGEMENT The function of managing requests for release from custody of sentenced prisoners eligible for parole including the decision-making and administrative activities relating to parole. Requests are assessed by a board with the authority to grant parole, defer a decision on parole or refuse to release a prisoner on a parole order. Prisoners released on parole are managed by the agency responsible for community/non-custodial corrections.</p> <p><i>See DA No. 2230 for the case management of individual inmates while in custody.</i></p> <p><i>See DS No.6 for records of former inmates released on parole.</i></p>	
<p>01.01.00</p>	<p>Advice (PAROLE MANAGEMENT) The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.</p> <p>Tip: LEGAL SERVICES - ADVICE may be used for legal advice furnished to the organisation by external and internal sources.</p> <p><i>See DA No. 2157 07.12.00 where the organisation is responding to the Government's request for advice or comments.</i></p> <p><i>See DA No. 2157 12.09.00 for advice given to individuals on personnel matters</i></p>	
<p>01.01.01</p>	<p>Records documenting the provision or seeking of advice on significant issues relating to the parole management function. Includes:</p> <ul style="list-style-type: none"> • briefing notes • correspondence • reports • source data that is considered necessary to substantiate the advice. 	<p>PERMANENT</p>
<p>01.01.02</p>	<p>Records documenting the provision or seeking of advice on the parole management function not described in 01.01.01. Includes:</p> <ul style="list-style-type: none"> • briefing notes • correspondence • reports • source data that is considered necessary to substantiate the advice. 	<p>TEMPORARY Destroy 7 years after action completed</p>
<p>01.01.03</p>	<p>Source data that is <u>not</u> considered necessary to substantiate the advice.</p>	<p>TEMPORARY Destroy when reference ceases</p>
<p>01.02.00</p>	<p>Appointments (Board) (PAROLE MANAGEMENT) The process of appointment members to the Parole Board. Members are appointed by the Governor on the advice of the Attorney-General.</p>	
<p>01.02.01</p>	<p>Records of nominations, approvals, appointments and resignations of board members.</p>	<p>PERMANENT</p>
<p>01.02.02</p>	<p>Records of appointment of the Registrar of Transferred Parole Orders</p>	<p>TEMPORARY Destroy when appointment expires or is superseded.</p>

<p>01.03.00</p>	<p>Board Meetings (PAROLE MANAGEMENT) The activities associated with the conduct and management of board meetings. Includes arrangements, agenda, proceedings, minutes and reports. <i>See 01.04.00 for decisions or reports on individual applications for parole, transcripts of hearings and resulting parole orders.</i></p>	
<p>01.03.01</p>	<p>Records documenting meetings of the parole board. These may include:</p> <ul style="list-style-type: none"> • minutes and summary decisions • agenda papers • meeting papers <p><i>See 01.04.00 for transcripts of hearings.</i></p> <p><i>See 01.06.00 for recordings of meetings.</i></p>	<p>PERMANENT</p>
<p>01.03.02</p>	<p>Records relating to major issues (other than individual parole decisions) raised with the board or board members including:</p> <ul style="list-style-type: none"> • Reports on general parole matters • Submissions for/by the board • Issues raised by other agencies relating to parole. 	<p>PERMANENT</p>
<p>01.03.03</p>	<p>Records relating to routine issues <u>not</u> included in 01.03.02</p>	<p>TEMPORARY Destroy 7 years after action completed.</p>
<p>01.03.04</p>	<p>Records documenting and publishing the board’s reasons for granting parole orders.</p>	<p>PERMANENT</p>
<p>01.03.05</p>	<p>Arrangements for meetings including scheduling, advising meeting times, booking venues and arranging transport for board members.</p>	<p>TEMPORARY Destroy 2 years after action completed.</p>
<p>01.04.00</p>	<p>Case Management (Parole) (PAROLE MANAGEMENT) The individual case record for inmates (prisoners or detainees) or applicants for parole. Parole case records may include: reports from the chaplain, work or education reports on the parole applicant, reports of any prison offences and any previous sentences, reports requested by the board, psychological reports, police and prosecutor’s reports, sentence warrants, summonses issues to appear before the board, statutory declarations, documents provided to the board, transcripts of hearings and decisions, parole orders and victim information such as victim impact statements. Tip: create a separate file for each individual by name. <i>See 01.14.00 for interstate parole orders received by the board when parolees are transferred to Tasmania. If the transfer proceeds it will be dealt with on the Case Management (Parole) record.</i> <i>For general enquiries from and advice given to other agencies about the application of parole use 01.01.00.</i> <i>See DA No. 2158 (01.01.05) for duplicate copies of case management records made for use by board members during parole hearings.</i></p>	

<p>01.04.01</p>	<p>Case records for a random sample of inmates who make application for parole each year based on the following sampling strategy.</p> <p>Generate a list of random numbers (i.e. 20, 32, etc.) using Excel or a scientific calculator. Select the files in file number sequence, based on the random numbers. Generate a different set of random numbers for each annual selection.</p> <table border="0"> <thead> <tr> <th style="text-align: left;">Population (total number of items to be sampled from)</th> <th style="text-align: left;">Sample size</th> </tr> </thead> <tbody> <tr> <td>• less than 50</td> <td>retain all records</td> </tr> <tr> <td>• 51-90</td> <td>20</td> </tr> <tr> <td>• 91-150</td> <td>32</td> </tr> <tr> <td>• 151-280</td> <td>50</td> </tr> <tr> <td>• 281-500</td> <td>80</td> </tr> <tr> <td>• 501-1200</td> <td>125</td> </tr> <tr> <td>• 1201-3200.</td> <td>200</td> </tr> </tbody> </table>	Population (total number of items to be sampled from)	Sample size	• less than 50	retain all records	• 51-90	20	• 91-150	32	• 151-280	50	• 281-500	80	• 501-1200	125	• 1201-3200.	200	<p>PERMANENT</p>
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<p>01.04.02</p>	<p>Case records of parole applicants not selected in 01.04.01 and:</p> <ul style="list-style-type: none"> • who were life parolees • whose cases attracted a high level of public interest • are precedent cases or cases identified by the Director of Prisons or State Archivist <p>or were convicted of:</p> <ul style="list-style-type: none"> • murder • attempted murder • manslaughter (including vehicular manslaughter and death by dangerous driving) • the following sex offences – rape, incest and offences against juveniles • armed robbery or extortion • major illicit drug offences • major fraud and deception • arson • major offences against justice. 	<p>PERMANENT</p>																
<p>01.04.03</p>	<p>Records of parole applicants not selected in 01.04.01 or 01.04.02.</p>	<p>TEMPORARY Destroy 7 years after expiration of sentence.</p>																
<p>01.04.04</p>	<p>Case records of: inmates who are not eligible for parole but who contact the board.</p>	<p>TEMPORARY Destroy 7 years after action completed.</p>																
<p>01.05.00</p>	<p>Compliance (PAROLE MANAGEMENT)</p> <p>The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards such as the ISO 9000 series.</p> <p><i>See DA No. 2157 16.02.00 for the process of validating compliance against records.</i></p>																	
<p>01.05.01</p>	<p>Records documenting major breaches of compliance with broad standards and statutory requirements that apply to the parole management function.</p>	<p>PERMANENT</p>																
<p>01.05.02</p>	<p>Records documenting compliance with broad standards and statutory requirements that apply to the parole management function including minor breaches of compliance.</p>	<p>TEMPORARY Destroy 7 years after action completed.</p>																

01.06.00	Hearing Transcripts (PAROLE MANAGEMENT) The process of recording an order to release a prisoner on parole including date of release, specified period of parole and any terms and conditions. <i>See 01.04.00 for the full parole orders for each inmate granted parole.</i> <i>See 01.03.00 for minutes of hearings.</i>	
01.06.01	Recordings of hearings before the board. <i>See 01.04.00 for complete transcripts of hearings placed on individual parole case records.</i>	TEMPORARY Delete recording after transcribing
01.07.00	Liaison (Government) (PAROLE MANAGEMENT) The activities associated with consultation with government stakeholders involved in the corrections sector such as community corrections services and youth detention centres. Includes sharing or coordinating information with agencies carrying out related functions such as maintaining contact with victims of crime.	
01.07.01	Records documenting major, significant or new approaches towards formal liaison with other agencies in the corrections sector relating to the parole management function.	PERMANENT
01.07.02	Record relating to routine liaison, minor information exchange and arrangements.	TEMPORARY Destroy 2 years after action completed
01.08.00	Media Relations (PAROLE MANAGEMENT) 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.	
01.08.01	Final versions of media releases.	PERMANENT
01.08.02	Records documenting administrative arrangements with the media including preparation and issuing of media releases, organising interviews and monitoring of media coverage.	TEMPORARY Destroy 2 years after action completed.
	Offences (PAROLE MANAGEMENT) Offences committed against the parole board during hearings by people appearing before the board. <i>See DA No. 2157 10.07.00 for offences against the parole board that do not proceed to litigation.</i> <i>See DA No. 2157 10.10.00 for offences against the parole board that proceed to litigation.</i>	
01.09.00	Parole Registration (PAROLE MANAGEMENT) The activities involved in registering parole applicants and maintaining a public register of parole orders granted.	
01.09.01	Register of parole applications and alphabetical index of inactive case files.	PERMANENT

01.10.00	<p>Policy (PAROLE MANAGEMENT) The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.</p> <p>Add as a descriptor under either a functional or an administrative (i.e. Keyword AAA) keyword to document the formulation, research, drafting, reviewing, amending, adoption and implementation of organisational policy, e.g. FLEET MANAGEMENT - POLICY - Private Vehicles.</p> <p><i>See 01.05.05 for government policy that an organisation is obligated to adopt under legislative or regulatory requirements, e.g. FLEET MANAGEMENT – COMPLIANCE - Roads Act 1993.</i></p>	
01.10.01	<p>Records illustrating the development of policy and documenting policy decisions and the establishment of precedents.</p> <p><i>See 01.03.00 for policy that is recorded in board minutes.</i></p>	PERMANENT
01.11.00	<p>Procedures (PAROLE MANAGEMENT) Standard methods of operating laid down by an organisation according to formulated policy.</p>	
01.11.01	Master set of procedures, manuals and instructions.	PERMANENT
01.11.02	Records documenting the development and amendment of agency procedures and final versions of agency manuals and instructions relating to the parole management function.	TEMPORARY Destroy 2 years after superseded.
01.12.00	<p>Reporting (PAROLE MANAGEMENT) 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 the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.</p> <p>Tip: This activity descriptor should only be used for formal reporting against business plans etc., not the day-to-day reporting of business activities. For example, reporting on an inspection of a building should be classified under INSPECTIONS not REPORTING.</p> <p><i>See DA No. 2157 14.12.00 for the master copy of the annual report.</i></p>	
01.12.01	Final versions of formal internal and external reports prepared by or for the agency on the parole management function.	PERMANENT
01.12.02	Statistics collected by or for the agency and forwarded to the Australian Bureau of Statistics.	TEMPORARY Destroy 2 years after action completed.
01.12.03	Statistical information collected by or for the agency related to major parole management activities and <u>not</u> included in 01.12.02.	PERMANENT
01.12.04	Statistics <u>not</u> included in 01.12.02 or 01.12.03.	TEMPORARY Destroy 7 years after action completed
01.13.00	<p>Representations (PAROLE MANAGEMENT) The activities involved in preparing responses to questions raised in Parliament by Members of Parliament on behalf of their constituents. Also includes community-based representations and representations directed to the agency seeking a formal response.</p> <p><i>See DA No. 2157 (07.13.00) for preparation of replies to parliamentary questions and Ministerials.</i></p>	
01.13.01	<p>Records of significant representations from individuals, community or interest groups or concerning major parole management activities where the agency responds directly. Including:</p> <ul style="list-style-type: none"> • issues that are controversial or attract a high level of public interest • issues that attract a large number of representations. 	PERMANENT

01.13.02	Records of representations <u>not</u> covered in 01.13.01	TEMPORARY Destroy 7 years after action completed.
01.14.00	Transfers (PAROLE MANAGEMENT) The processes involved in transferring, removing or temporarily absenting inmates from prison (in secure custody for court appearances, hospital, etc.) or authorising parolees to move to or from Tasmania. Includes interstate or international transfers of inmates to or from Tasmanian prisons. <i>See 01.04.00 for the management of transferred parole orders that proceed.</i>	
01.14.01	Registers of transferred parole orders for parolees approved to move to or from Tasmania.	PERMANENT
01.14.02	Records relating to applications to transfer a parole order to or from Tasmania which are withdrawn or <u>not</u> approved.	TEMPORARY Destroy 7 years after action completed.
01.15.00	Travel Arrangements(PAROLE MANAGEMENT) The process of organising travel for board members to attend meetings and other official functions. <i>See DA No. 2157 (12.00.00) for payment of travel allowances.</i>	
01.15.01	Records relating to organising travel including: <ul style="list-style-type: none"> • responding to invitations • co-ordinating travel between board members • scheduling changes • itineraries • booking accommodation • booking vehicles. 	TEMPORARY Destroy 2 years after action completed.
01.16.00	Victims (PAROLE MANAGEMENT) The activities associated with informing victims of crime about aspects of offender sentences, parole and release. A victim is someone who has themselves been the victim of a crime for which an offender has been sentenced to a term of imprisonment or a member of the immediate family or a deceased victim or an offence. <i>Note The Department of Justice maintains a victims of crime register and is responsible for notifications relating to offender parole or release.</i>	
01.16.01	Records relating to administrative arrangements with the agency responsible for liaising with victims including: <ul style="list-style-type: none"> • seeking impact statements • notifications of inmates' release on parole 	TEMPORARY Destroy 7 years after action completed.