

**Records Disposal Schedule  
Superannuation Administration and  
Superannuation Development Records  
Northern Territory Treasury**

**Disposal Schedule No. 2006/8**

**October 2006**



**Northern Territory Government**

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## ABOUT THIS DISPOSAL SCHEDULE

### Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of records of Superannuation Administration and Superannuation Development functions and activities of the Northern Territory Treasury.

### Scope

Application of this Disposal Schedule is mandatory for Superannuation Administration and Superannuation Development records of the Northern Territory Treasury.

This Disposal Schedule applies to Superannuation Administration and Superannuation Development records in all formats, including electronic records and records in business systems, copies of records and parts of records of the Northern Territory Government.

### Regulatory Framework

The regulatory basis for this Disposal Schedule is defined in:

- ▶ *Commonwealth and Heads of Government Agreement*
- ▶ *Superannuation Industry Supervision Act*
- ▶ *Superannuation Act*
- ▶ *Superannuation Act 1976*
- ▶ *Superannuation Guarantee (Safety Net) Act*
- ▶ *Superannuation Regulations*
- ▶ *Administrators Pensions Act*
- ▶ *Legislative Assembly Members' Superannuation Act*
- ▶ *Supreme Court (Judges Pensions) Act*
- ▶ *NT Police Supplementary Benefit Scheme Trust Deed*
- ▶ *Unclaimed Superannuation Benefits Act*
- ▶ *Northern Territory Government and Public Authorities' Superannuation Scheme Rules.* .
- ▶ *Information Act 2002*
- ▶ *Australian Standards AS ISO 15489:2002-Records Management*

## Related Documents

This Disposal Schedule is to be read in conjunction with:

- ▶ *NT Government Records Management Standard – Records Disposal*
- ▶ *policies and procedures of the Northern Territory Treasury*
- ▶ *current authorised disposal schedules for the Northern Territory Treasury*
- ▶ *\* Disposal Schedule for Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN).*

\* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).

- ▶ *Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).*
- ▶ *Disposal Schedule for the Financial Management Records of the Northern Territory Government – Disposal Schedule No. 2001/2 (FM).*
- ▶ *Disposal Schedule for the Human Resource Management Records of the Northern Territory Government – Disposal Schedule No. 2001/6 (HRM).*
- ▶ *Disposal Schedule for Records of Short Term Value – Disposal Schedule No. 2003/10*
- ▶ *NT Archives Service Guidelines on Normal Administrative Practice for Records Disposal*



## Responsibility

The Under Treasurer of the Northern Territory Treasury is responsible for the content and implementation of this Disposal Schedule including the provision of advice and training, and for monitoring compliance.

## Authority

This Disposal Schedule was approved by the Director of the NT Archives Service and the Under Treasurer of the Northern Territory Treasury October 2006 and is effective immediately.

## Explanation

This schedule has been developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

Records disposal schedules are policy documents that describe each class of records held, using thesaurus classifications based on business analysis. The schedules set out minimum requirements for the creation, maintenance, retention or destruction actions to be taken in relation to existing or future records described in each class.

Either permanent or temporary status is assigned to each class of records. Records appraised with permanent status have been identified as archives and must be transferred to NT Archives Service not later than 30 years after creation. Temporary records will be destroyed at an appropriate time determined by the disposal action identified in the schedule and by consultation with relevant operational business employees responsible for the records.

## NT Government Disposal Schedules

There are two types of records disposal schedules:

- ▶ *“general” disposal schedules that apply to records common to most or all NT Government public sector organisations, and*
- ▶ *records disposal schedules specific to an NT Government public sector organisation or function.*

There are presently five disposal schedules which provide disposal coverage for records common to most or all NT Government public sector organisations –the General Disposal Schedule for Financial Management Records, the General Disposal Schedule for Human Resource Management Records, the General Disposal for Administrative Records, the General Disposal Schedule for Information Management Records and the Disposal Schedule for Records of Short term Value. These can be used by all NT Government public sector organisations to assist with the disposal of administrative records.

## Sentencing Records

Sentence records with this records disposal schedule using the following five steps:

- ▶ *Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.*
- ▶ *Identify the disposal class.*
- ▶ *From the disposal action in the class, identify the trigger event and a date when the record can be disposed of, alternately, identify that the record is to be retained permanently as archives.*
- ▶ *If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.*
- ▶ *If the trigger event has not occurred (eg. the record is still in active use), set a review date for the future.*



### **Normal Administrative Practice**

*Some records and ephemeral documents can be destroyed as a normal administrative practice if they are:*

- ▶ *duplicate (eg information or reference copy)*
- ▶ *obviously unimportant (eg telephone message slips)*
- ▶ *of short term facilitative value (eg compliment slips)*
- ▶ *a combination of these*

The guiding principle is that organisations should be sure that destroying these records will not destroy evidence that might be needed.

Records that have been captured into a recordkeeping system should be destroyed using the disposal schedule for short term value records unless the class of records has been identified in a specific disposal schedule. The reason for destruction of all records must be recorded in full on the relevant control records. Normal administrative practice can be applied to electronic records as well as paper records (eg information on word processing systems where a hard copy has been captured into a recordkeeping system)

### **Notification of Destruction**

Provide formal notification of destruction of all records to the NT Archives Service.

### **Acknowledgment**

The NT Archives Service wishes to acknowledge the use of material produced by National Archives of Australia, State Records Authority of New South Wales and Standards Australia were used in the development of this schedule.

The schedule was drafted principally by the Northern Territory Treasury in consultation with the NT Archives Service.

This work is copyright. Apart from any use as permitted under the Copyright Act 1968, no part may be reproduced by any process without prior written permission of the NT Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, NT Archives Service. The terms in the business classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998, and are produced under a licence agreement between the NT Archives Service and the State Records Authority of New South Wales.)



## COMPLIANCE

### Compliance Checklist

- Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records
- Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the NT Archives Service
- Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records
- Identify and sentence all records described in this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Apply this records disposal schedule to records in the organisation's records management systems, including systems for the management of paper records, electronic records, or records in any other format
- Apply this records disposal schedule to records in the organisation's business systems, either directly or by linking the business system to a records management system
- Implement quality assurance mechanisms to periodically check that the disposal class originally assigned at the creation of the records is still applicable at the time of sentencing of the record
- Implement review or quality control procedures in electronic recordkeeping systems to ensure disposal actions are implemented correctly.
- Identify records series that require re-sentencing
- Stop applying sentences from previous schedules that have been revoked or amended
- Retain all records in good order and condition to be available for retrieval during the retention period.
- Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
- Select and implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form migration to new systems conversion to long term medium
- Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Transfer records of permanent value to the NT Archives Service not later than 30 years after creation for retention as archives
- Inactive records can be transferred to offsite service providers providing they have been sentenced
- Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
- Notify the NT Archives Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule unless they are ephemeral documents that are obviously duplicate and/or unimportant



## 1. SUPERANNUATION ADMINISTRATION

The function of administering the Northern Territory's Public Sector superannuation schemes in accordance with Commonwealth and Northern Territory legislation. Includes the management and monitoring of the funds' investments and the delivery of superannuation services to meet the expectations of trustees, fund beneficiaries, members and employers.

### 1.1 ACCOUNTING

The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the organisation.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.1.1	Records relating to payments to the Commonwealth Superannuation Scheme for administration overheads.	TEMPORARY Destroy 10 years after action completed
1.1.2	Records relating to the maintenance of a chart of accounts for superannuation funds.	TEMPORARY Destroy 6 years after superseded
1.1.3	Records relating to reconciliation of superannuation fund transactions. For example, employee contributions, clearing accounts, pension payments and member benefits.	TEMPORARY Destroy 6 years after action completed
1.1.4	Records relating to the payment of expenses in relation to the superannuation boards.	TEMPORARY Destroy 6 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.



## **1. SUPERANNUATION ADMINISTRATION**

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### **1.2 AGREEMENTS**

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards and/or exchange of letters between parties, as well as informal agreements.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.2.1	Records related to agreements facilitated to support the provision of superannuation in response to a major change in circumstances or environment for example, restructure of employer or new employer arrangements.	TEMPORARY Destroy 1 year after the last payment to the last active member in the fund

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### 1.3 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 the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.3.1	Records relating to external audits of the superannuation management function. Includes audits as directed by the Auditor-General.	TEMPORARY Destroy 6 years after action completed
1.3.2	Records relating to internal audits of superannuation processes including risk management audits performed on the system supporting the superannuation function.	TEMPORARY Destroy 6 years after action completed

## 1. SUPERANNUATION ADMINISTRATION

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### 1.4 AUTHORISATION

The process of seeking and granting permission to undertake requested action.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.4.1	Records relating to the authorisation of signatories to operate superannuation fund management accounts.	TEMPORARY Destroy 6 years after reference ceases
1.4.2	Records relating to gazetted list of medical practitioners who have been approved to provide medical services to superannuation fund members.	TEMPORARY Destroy 1 year after superseded
1.4.3	Records relating to the authorisation of delegations of authority to Superannuation Officers to carry out duties pertaining to the management of superannuation funds.	TEMPORARY Destroy 1 year after delegations superseded

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## **1. SUPERANNUATION ADMINISTRATION**

The function of administering the Northern Territory's Public Sector superannuation schemes in accordance with Commonwealth and Northern Territory legislation. Includes the management and monitoring of the funds' investments and the delivery of superannuation services to meet the expectations of trustees, fund beneficiaries, members and employers.

### **1.5 CONSULTANCY SERVICE**

The activities involved in providing and managing services to clients on a fee-paying basis. Includes negotiating fees for service and preparing quotations.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.5.1	Records relating to the consultancy agreement with the Northern Territory Medical Adviser formed to provide advice on medical issues that affect superannuation members. Includes the agreement and any changes or updates to the schedules	TEMPORARY Destroy 3 years after expiry of agreement

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## 1. SUPERANNUATION ADMINISTRATION

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### 1.6 CONTRACTING OUT

The activities involved in arranging, procuring and managing the performance of work or the provision of services by a contractor, consultant, service provider, or by using external bureau services. Includes work done under contractual agreements and service agreements made under contract.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.6.1	Records relating to the establishment and management of contracts negotiated for the provision of services in support of the superannuation function. Includes contracts for the provision of legal, actuary or information technology services.	TEMPORARY Destroy 7 years after the expiry of the contract
1.6.2	Records relating to the establishment and management of contracts for the provision of fund management and fund transition services. Includes indemnity clauses in contracts established for the provision of fund management services.	TEMPORARY Destroy 7 years after expiry of contract or termination of services by fund management service provider

## 1. SUPERANNUATION ADMINISTRATION

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### 1.7 CONTRIBUTIONS

The activities associated with the collection, recording and monitoring of superannuation contributions from members, external employers and the Northern Territory.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.7.1	Records relating to employer contributions to government superannuation schemes.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
1.7.2	Records relating to the non-acceptance of rollovers, employer/employee contributions or other contributions into a government superannuation scheme. Includes copies of remittances, refunds and correspondence to the contributor.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
1.7.3	Records relating to the processing of superannuation guarantee payments from the Australian Taxation Office including return of payments for ineligible recipients. Includes remittance advice, correspondence with the Australian Taxation Office and payment variation advice.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
1.7.4	Records relating to employer and member contributions to the Northern Territory Government and Public Authorities Superannuation Scheme (NTGPASS) superannuation fund during a period of leave without pay.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## **1. SUPERANNUATION ADMINISTRATION**

The function of administering the Northern Territory's Public Sector superannuation schemes in accordance with Commonwealth and Northern Territory legislation. Includes the management and monitoring of the funds' investments and the delivery of superannuation services to meet the expectations of trustees, fund beneficiaries, members and employers.

### **1.8 DATA ADMINISTRATION**

The activities associated with maintaining and using data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries and the application of vital records and disaster plan objectives to safeguard against data loss or corruption.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.8.1	Records of average weekly earnings data that are used in the SuperB system.	TEMPORARY Destroy 1 year after reference ceases

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## 1. SUPERANNUATION ADMINISTRATION

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### 1.9 ENQUIRIES

The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.9.1	Records relating to routine enquiries in relation to superannuation benefits for example, enquiries about benefits by members of the public.	TEMPORARY Destroy 2 years after action completed



## 1. SUPERANNUATION ADMINISTRATION

The function of administering the Northern Territory's Public Sector superannuation schemes in accordance with Commonwealth and Northern Territory legislation. Includes the management and monitoring of the funds' investments and the delivery of superannuation services to meet the expectations of trustees, fund beneficiaries, members and employers.

### 1.10 FINANCIAL INVESTMENTS

The activities associated with managing the Northern Territory Government's investments.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.10.1	Records relating to the administration of interest rates set by a decision of a superannuation board.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
1.10.2	Records relating to the management and transfers of monies to and from investment bodies and between investment accounts to facilitate the effective operation of superannuation schemes.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
1.10.3	Records relating to the establishment of superannuation scheme fund investments, including structure and management. Also includes transition between scheme managers.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund

## **1. SUPERANNUATION ADMINISTRATION**

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### **1.11 LIABILITY ESTIMATES**

The activity of estimating the long-term superannuation liability of the Northern Territory.

	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.11.1	Records documenting accrued liability estimates and emerging costs in relation to the superannuation funds.	TEMPORARY Destroy 6 years after action completed

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## 1. SUPERANNUATION ADMINISTRATION

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### 1.12 MEETINGS

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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.12.1	Records of meetings formed to consider superannuation administration issues that do not have an impact on superannuation strategy or policy but can involve groups or representatives from other agencies. Includes minutes, agendas and arrangements.	TEMPORARY Destroy 5 years after action completed

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## 1. SUPERANNUATION ADMINISTRATION

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### 1.13 MEMBER SERVICES

The activities associated with the planning and delivery of superannuation services to members and fund beneficiaries.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.13.1	Member records of the Northern Territory Government and Public Authorities Superannuation Scheme (NTGPASS), Northern Territory Supplementary Superannuation Scheme (NTSSS), Northern Territory Police Supplementary Benefit Scheme (NTPSBS), Legislative Assembly Members Scheme (LAMS), Supreme Court Judges Pensions Scheme (SCJPS) and Northern Territory Administrators Pensions Scheme (NTAPS) such as records of members' accumulation accounts managed in a database or system, Family Law cases and unclaimed superannuation benefits. Includes letters to members and rollover funds, advice of stop payments and re-issues of cheques.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund

## 1. SUPERANNUATION ADMINISTRATION

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### 1.14 PRESENTATIONS

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches, multi-media presentations, and presentation or conferring of honours or prizes. Add the title of the presentation as free text.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.14.1	Records relating to presentations or seminars for superannuation purposes. Includes speeches and multi-media presentations.	TEMPORARY Destroy 2 years after action completed

## **1. SUPERANNUATION ADMINISTRATION**

The function of administering the Northern Territory's Public Sector superannuation schemes in accordance with Commonwealth and Northern Territory legislation. Includes the management and monitoring of the funds' investments and the delivery of superannuation services to meet the expectations of trustees, fund beneficiaries, members and employers.

### **1.15 PROCEDURES**

The standard methods of operating laid down by an organisation according to formulated policy.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.15.1	Master sets of procedures manuals including guidelines and directives supporting the superannuation function.	PERMANENT Transfer to Archives 4 years after superseded
1.15.2	Records relating to external procedures such as DeskBank and the Westpac prescribed payments system.	TEMPORARY Destroy 6 years after procedure superseded

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## 1. SUPERANNUATION ADMINISTRATION

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### 1.16 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), 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.

Class No.	Description of Records	Status and Disposal Action
1.16.1	Master copies of annual reports of superannuation schemes. Includes annual reports of the Northern Territory Government and Public Authorities Superannuation Scheme (NTGPASS), Northern Territory Police Supplementary Benefits Scheme (NTPSBS) and the Legislative Assembly Members Scheme (LAMS).	PERMANENT Transfer to Archives 10 years after action completed
1.16.2	Records relating to reporting of information and statistics on the management and administration of superannuation schemes.	TEMPORARY Destroy 5 years after action completed
1.16.3	Working drafts of annual reports of superannuation schemes including reports specific to superannuation or Treasury reports.	TEMPORARY Destroy 5 years after action completed

Note: All entries apply to records in any format, including electronic media, unless specified. It is the responsibility of all public sector organisations to ensure that records are readily accessible for the retention periods specified.

## 1. SUPERANNUATION ADMINISTRATION

The function of administering the Northern Territory's Public Sector superannuation schemes in accordance with Commonwealth and Northern Territory legislation. Includes the management and monitoring of the funds' investments and the delivery of superannuation services to meet the expectations of trustees, fund beneficiaries, members and employers.

### 1.17 REPRESENTATION

The activities associated with the nomination, appointment and duties arising from the appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers, or appointed as a result of their connection with a government entity, to act as official representatives. Includes representatives to organisations, offices, unions, workers participation committees, councils or groups. Also includes organisational legal representatives.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.17.1	Records relating to the representation by a superannuation officer on a working party or committee formed to consider superannuation matters of an operational, administrative or legislative nature.	TEMPORARY Destroy 5 years after action completed

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## 1. SUPERANNUATION ADMINISTRATION

The function of administering the Northern Territory's Public Sector superannuation schemes in accordance with Commonwealth and Northern Territory legislation. Includes the management and monitoring of the funds' investments and the delivery of superannuation services to meet the expectations of trustees, fund beneficiaries, members and employers.

### 1.18 REVIEWING

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.18.1	Records relating to internal reviews by the Commissioner of Superannuation to reconsider decisions or actions made in relation to members' claims for benefits.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund

## **1. SUPERANNUATION ADMINISTRATION**

The function of administering the Northern Territory's Public Sector superannuation schemes in accordance with Commonwealth and Northern Territory legislation. Includes the management and monitoring of the funds' investments and the delivery of superannuation services to meet the expectations of trustees, fund beneficiaries, members and employers.

### **1.19 RISK MANAGEMENT**

The process involving the identification of risks, and the implementation of appropriate practices and procedures, which will address the impact from an incident.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.19.1	Records relating to external risk management statements from fund managers. Includes the fund's external auditor report and evaluations by the Northern Territory Superannuation Office.	TEMPORARY Destroy 10 years after action completed
1.19.2	Records relating to the development of internal risk management plans to support the development, administration and implementation of superannuation schemes.	TEMPORARY Destroy 2 years after superseded

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**1. SUPERANNUATION ADMINISTRATION**

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**1.20 TAXATION**

The activities associated with fulfilling the legislative reporting and payment requirements of the Australian Taxation Office eg. Income Activity Statement (IAS).

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.20.1	Records relating to Income Tax Returns for superannuation funds including Income Activity Statements.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
1.20.2	Records relating to the reporting of members affected by the Reasonable Benefit Limits to the Australian Taxation Office.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
1.20.3	Records relating to funding credits available to the Northern Territory Government and Public Authorities Superannuation Scheme due to a change in taxation legislation.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
1.20.4	Records relating to Pay As You Go (PAYG) tax on superannuation member's benefits. Includes Australian Taxation Office PAYG return and DeskBank report of actual payment.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
1.20.5	Records relating to electronically and manually notified Members' Surcharge Tax Assessment Debts. Includes correspondence and assessment reports from the Australian Taxation Office.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## **1. SUPERANNUATION ADMINISTRATION**

The function of administering the Northern Territory's Public Sector superannuation schemes in accordance with Commonwealth and Northern Territory legislation. Includes the management and monitoring of the funds' investments and the delivery of superannuation services to meet the expectations of trustees, fund beneficiaries, members and employers.

### **1.21 TENDERING**

The activities involved in developing, issuing, receiving and assessing tenders.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.21.1	Records relating to tendering for simple contracts and agreements to support the superannuation function.	TEMPORARY Destroy 7 years after contract expired

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## **2. SUPERANNUATION DEVELOPMENT**

The function of managing, formulating, disseminating and implementing superannuation policy and advice to Government on contemporary and emerging issues. Includes managing the complex relationship between the Commonwealth and Northern Territory legislation and the impact of other legislation (eg. Family Law).

### **2.1 ACTUARIAL SERVICES**

The activity of actuarial services provided to schemes administered by the Northern Territory Superannuation Office.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.1.1	Records relating to actuarial advice and reviews of superannuation schemes. Includes the triennial actuarial review of all superannuation schemes, for example NTGPASS and NTPTSB, and actuarial reviews of interest rates and pensions.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
2.1.2	Copies of invoices that record important details of actuary services to superannuation schemes by external actuary service providers.	TEMPORARY Destroy 1 year after the last payment to the last active member in the fund

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## 2. SUPERANNUATION DEVELOPMENT

The function of managing, formulating, disseminating and implementing superannuation policy and advice to Government on contemporary and emerging issues. Includes managing the complex relationship between the Commonwealth and Northern Territory legislation and the impact of other legislation (eg. Family Law).

### 2.2 ADVICE

The activities associated with offering opinions by or to the organisation as to an action or judgement.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.2.1	Records documenting advice received from or provided to Parliament, the Australian Government or other jurisdictions where the advice facilitates significant or major changes to the framework of Northern Territory superannuation schemes. Includes advice provided in regard to the interpretation of Commonwealth and Northern Territory superannuation legislation or policy.	PERMANENT Transfer to Archives 10 years after action completed
2.2.2	Records relating to the provision or receipt of advice on the structure of investments held by a superannuation fund including correspondence with investment consultants and final reports.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund
2.2.3	Records relating to the provision and receipt of advice in relation to the day-to-day operations of the superannuation function.	TEMPORARY Destroy 10 years after action completed
2.2.4	Records documenting high-level advice received from Australian Tax Office and tax agents affecting taxation matters that impact superannuation funds management.	TEMPORARY Destroy 1 year after the last payment to the last active member in the fund

## **2. SUPERANNUATION DEVELOPMENT**

The function of managing, formulating, disseminating and implementing superannuation policy and advice to Government on contemporary and emerging issues. Includes managing the complex relationship between the Commonwealth and Northern Territory legislation and the impact of other legislation (eg. Family Law).

### **2.3 AGREEMENTS**

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards and/or exchange of letters between parties, as well as informal agreements.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.3.1	Records relating to major public sector superannuation agreements such as the Commonwealth Heads of Government Agreement and the Commonwealth Agreement on Funding and Emerging Costs.	PERMANENT Transfer to Archives 10 years after action completed

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## **2. SUPERANNUATION DEVELOPMENT**

The function of managing, formulating, disseminating and implementing superannuation policy and advice to Government on contemporary and emerging issues. Includes managing the complex relationship between the Commonwealth and Northern Territory legislation and the impact of other legislation (eg. Family Law).

### **2.4 CONFERENCES**

The activities involved in arranging or attending conferences held either by the organisation or by other organisations.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.4.1	Records relating to the arrangements and attendances to conferences and seminars in support of the superannuation function.	TEMPORARY Destroy 5 years after action completed

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## **2. SUPERANNUATION DEVELOPMENT**

The function of managing, formulating, disseminating and implementing superannuation policy and advice to Government on contemporary and emerging issues. Includes managing the complex relationship between the Commonwealth and Northern Territory legislation and the impact of other legislation (eg. Family Law).

### **2.5 LIAISON**

The activities associated with maintaining regular general contact between the organisation and others, including: professional associations; professionals in related fields; private sector organisations; community groups; and individuals. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.5.1	Records relating to contact with professional associations in regard to the superannuation function. Includes correspondence in regard to membership of a professional organisation.	TEMPORARY Destroy 2 years after reference ceases

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## **2. SUPERANNUATION DEVELOPMENT**

The function of managing, formulating, disseminating and implementing superannuation policy and advice to Government on contemporary and emerging issues. Includes managing the complex relationship between the Commonwealth and Northern Territory legislation and the impact of other legislation (eg. Family Law).

### **2.6 POLICY**

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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.6.1	Records relating to the formulation of policy for the provision of superannuation services. Includes final policy documents, as well as major drafts, research and consultation papers.	PERMANENT Transfer to Archives 10 years after action completed
2.6.2	Records relating to changes to superannuation related employment conditions for Northern Territory Public Sector Employees as a result of Australian Government initiatives such as Superannuation Guarantee arrangements.	PERMANENT Transfer to Archives 4 years after action completed
2.6.3	Records relating to issues in regard to the employment conditions of superannuation members for example, rulings by the Northern Territory Superannuation Office on employer contributions.	TEMPORARY Destroy 10 years after the last payment to the last active member in the fund

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

## **2. SUPERANNUATION DEVELOPMENT**

The function of managing, formulating, disseminating and implementing superannuation policy and advice to Government on contemporary and emerging issues. Includes managing the complex relationship between the Commonwealth and Northern Territory legislation and the impact of other legislation (eg. Family Law).

### **2.7 REPRESENTATION**

The activities associated with the nomination, appointment and duties arising from the appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers, or appointed as a result of their connection with a government entity, to act as official representatives. Includes representatives to organisations, offices, unions, workers participation committees, councils or groups. Also includes organisational legal representatives.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.7.1	Records relating to the representation by a Superannuation Officer on a working party or committee formed to consider high-level superannuation matters, for example, in relation to changes to the framework of a superannuation scheme or consideration of employment conditions of NT Public Sector employees.	TEMPORARY Destroy 10 years after last action completed

## **2. SUPERANNUATION DEVELOPMENT**

The function of managing, formulating, disseminating and implementing superannuation policy and advice to Government on contemporary and emerging issues. Includes managing the complex relationship between the Commonwealth and Northern Territory legislation and the impact of other legislation (eg. Family Law).

### **2.9 REVIEWING**

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.9.1	Records relating to high level reviews of matters or events that hold implications for the management and provision of superannuation services and where the Superannuation Office has significant input and/or a coordinating or representative role.	PERMANENT Transfer to Archives 4 years after reference ceases



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