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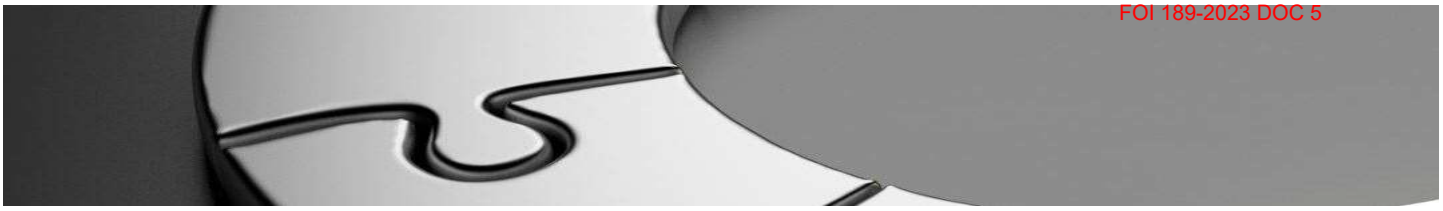

Records Disposal Guidance

ASIC and its team members can lawfully dispose of information, whilst ensuring information that contains evidence of our processes, decisions, interactions and transactions that form part of our corporate memory is not unduly lost. Processes for the disposal of records are in accordance with Section 24 of the Archives Act, 1983 and an appropriate NAA authorised Records Authority, and with **Information and Records Management Policy** and the Information and **Records Management Procedures.**

Regular authorised disposal reduces the costs of storing and managing information, records and data that is no longer needed for ASIC's business needs.

Disposing of information does not always mean information is destroyed, rather it can also refer to the transfer of its custody or ownership.

Delete documents using Normal Administrative Practice (NAP)

Information and Records Management Policy

Information and Records Management Procedures

Sentencing and Destruction of ASIC Records

The disposal of ASICs information is coordinated by the IRM team. This guidance outlines the process undertaken to ensure compliant disposal of this information.

1. On an annual basis, IRM identify information due for disposal based on its retention period having elapsed.
2. IRM will review the information to determine that its disposal is appropriate, by ensuring that:
   a. It has been correctly sentenced
   b. No disposal freezes or retention notices apply
3. The information owner will review the information to ensure

Scan, Migrate and Destroy - requirements for digitisation and migration of source records

ASIC is committed to ensure that its digital information is available for use now and into the future.

Information in digital formats is more accessible, usable and interoperable and enables better processes, outcomes and accountability. Destruction of information in paper formats after digitisation reduces the cost of managing our information assets.

ASIC allows the digitisation of its information assets through the conversion of paper and other physical formats into digital formats. It also supports digital to digital migrations and other digital transformation and preservation processes.

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Scan, Migrate and Destroy provides guidance on how to Scan your paper Documents, save to SharePoint, then securely destroy.

Disposal of records (including data and datasets) in authorised business systems

ASIC has business systems that create, keep and manage digital information and records, including data and datasets.

Data and datasets retained in business systems, like other information created and received in connection with ASIC's business, are Commonwealth records and must be managed accordingly.

Business systems that contain data and datasets should be managed to ensure that they are disposed of in accordance with their minimum retention period.

Retaining, Managing and Disposing of Data and Datasets provides a check list and process map to ensure compliant retention and disposal of data associated with database decommissioning.

Disposal Freezes and Retention Notices-Transfer to NAA

Prominent or controversial issues and events or judicial proceedings have implications for the management of records held by ASIC.

The National Archives may identify the need to suspend records destruction by issuing a records disposal freeze or retention notice.

Generally, these state that agencies must not destroy any relevant records.

Disposal Freezes and Retention Notices provides advice to team members on how to work compliantly with National Archives of Australia (NAA), when they need to suspend Records destruction by issuing a **records disposal freeze or retention notice**. Generally, these state that agencies **must not destroy any relevant records.** This is caused when prominent or controversial issues or events, or judicial proceedings have implications for the management of records held by Commonwealth agencies, including ASIC.

Normal Administrative Practice (NAP)

The following types of information can be deleted with a NAP:

Records of low value - which are not needed to provide evidence of, or support business activities under the following conditions:

1. Created in error
2. Low risk email, calendar entry or alert
3. Copy kept for reference only
4. Duplicate
5. Rough working paper or calculations

6. Draft not intended for further use
7. Externally published material
8. Unofficial information

You are responsible for making the decision of whether you can destroy a record under NAP and must determine with a reasonable degree of confidence that the record is of low value only and is not needed to explain, support or evidence ASIC business actions, decisions or outcomes.

To determine whether the record is of low value or not, ask yourself whether the information is needed because it:

- clarifies, supports or gives context to an existing record
- shows how the agency business was carried out
- shows how a decision was made
- shows when or where an event happened
- indicates who made the decision or gave the advice
- contains information on the rights or obligations of government or private individuals
- is a formal draft of a Cabinet submission
- is a draft of an agreement or legal document
- is likely to form part of a record that will be needed for legal proceedings

If yes - the Record possesses business value and **must not be destroyed under NAP**.

If no - you can consider destroying the record under NAP.

Note: Anything that falls outside of the 8 listed conditions or you are simply unsure, you must seek guidance from IRM Team prior to undertaking any deletion activity.

Note: NAP deletion should always take place at the document level.

If you are deleting all the documents in a folder or document set and you also want to delete the folder or document set, you must:

- Apply the NAP Reason on the documents
- Delete the documents; then
- Once all documents have been NAP Deleted or saved to another location then the empty folder or document set can be deleted. On removal of the folder or document set, there is no need to apply a NAP reason when deleted.

If you are experiencing difficulties with this process, raise a ticket with the IT Service Desk. Ensure that you send a link to the folder or document set in the ticket details.