



State Records Act 1997

Operational Records Disposal Schedule

**Attorney-General's Department - Fines
Enforcement and Recovery Unit (FERU)**

RDS 2015/13 Version 1

Effective Date: 15 December 2015 to 30 June 2025

Approved Date: 15 December 2015



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Table of Contents

Preamble	5
Purpose of the Schedule	5
Application of the Schedule	5
Authorisation by State Records	5
State Records' Contact Information	5
Disposal of Official Records	6
Legislation	6
Functions of the Schedule	6
Using the Schedule	7
Layout	7
Retention Period of the Record	8
Custody and Transfer of the Record	8
Permanent Records	8
Temporary Records	8
Destruction of Temporary Records	9
Review	9
Context Statement	11
Context of the Agency Covered by the Schedule	11
FERU History and Background	11
FERU Role and Function	13
FERU Structure Description	16
Predecessor Agencies	16
Successor Agencies	17
Legislation	17
Context of the Records Covered by the Schedule	17
Coverage of RDS 2015/13	17
Related Series Affected by RDS 2015/13	17
Complementary Schedules to RDS 2015/13	17
Existing Disposal Schedules Superseded by RDS 2015/13	17
Records Structure within the FERU	17
Broad Description and Purpose of the Records	18
Functions and Activities Documented by the Records	18



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Arrangement of the Records	19
Agency Creating the Records	19
Agency Owning or Controlling the Records.....	19
Date Range of the Records.....	19
Volume of the Records.....	20
Special Custody Requirements	20
Special Storage Requirements.....	20
Issues Not Mentioned Previously	20
Comments Regarding Disposal Recommendations.....	20
Permanent Records Rationale	20
Temporary Records Rationale	21
Other Disposal Considerations.....	22
Disposal Recommendation Effect on Related Records.....	22
Alternative Record Formats.....	22
Impact on Native Title Claims.....	22
Indigenous Considerations.....	22
Scope Note	23
Records Covered by this Schedule	23
How to Apply this Schedule.....	23
Use in conjunction with GDS	23
Use in conjunction with, or complementary to, other RDS	23
Other RDS superseded by RDS 2015/13.....	23
Re-sentencing of records where schedules are superseded or particular entries within a schedule are superseded	23
Records excluded from RDS 2015/13.....	23
Application to records in all formats	24
Interpretation of the Schedule	24
Minimum retention periods	24
Acronyms	24
Definitions of terms specific to RDS 2015/13	24
Legal Deposit	25
Records and Litigation.....	25
Pre-1901 Records	25
List of Functions and Activities	26
Index to Operational Records Disposal Schedule	46



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

© 2015 - 2025 Government of South Australia

This Operational Records Disposal Schedule may be copied for use by South Australian Government Agencies and Local Government Authorities and for reasonable study, research purposes and any use as permitted under the *Copyright Act 1968*. No part of this Operational Records Disposal Schedule may be reproduced or distributed for profit or gain or for any other purpose without the written permission of the Manager [Director] of State Records of South Australia.

The Terms and Scope Notes in the Schedule Body may include terms and relationships that have been taken from *Keyword AAA: A Thesaurus of General Terms* (© State Records Authority of New South Wales, 1995 and 1998), and are reproduced under a licence agreement between State Records of South Australia and the State Records Authority of New South Wales.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Preamble

Purpose of the Schedule

This Operational Records Disposal Schedule (RDS) authorises arrangements for the retention or destruction of records in accordance with Section 23(2) of the *State Records Act 1997*.

Application of the Schedule

Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Approved Date: 15 December 2015

Effective Date: 15 December 2015 to 30 June 2025

Authorisation by State Records

This authorisation applies only to the disposal of the records described in the Schedule.

State Records' Contact Information

State Records of South Australia

GPO Box 464
ADELAIDE
South Australia 5001
Email: StateRecords@sa.gov.au

Ph: 7322 7081

A/Chair, State Records Council

A/Director, State Records



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Disposal of Official Records

Legislation

Section 23(1) of the *State Records Act 1997* states that an agency must not dispose of official records except in accordance with a determination made by the Manager [Director] of State Records with the approval of the State Records Council.

Section 23(2) states:

‘If an agency requests the Manager to make a determination as to the disposal of official records, the Manager must, as soon as practicable:

- (a) with the approval of the [State Records] Council, make a determination requiring or authorising disposal of the records in a specified manner; or
- (b) make a determination requiring delivery of the records into the custody of State Records or retention of the records and later delivery into the custody of State Records.’

The contents of an RDS, once the approval process is complete, constitute a determination within the meaning of the *State Records Act 1997*.

Functions of the Schedule

An RDS plans the life of these records from the time of their creation to their disposal. It describes the records created and/or controlled by the Fines Enforcement and Recovery Unit (FERU), the disposal sentence specifying whether they are to be retained as archives or destroyed, and when this should occur.

This Operational Records Disposal Schedule has been prepared in conjunction with staff from the FERU to determine the records which need to be kept because of their long term value and to enable the disposal of records once they are no longer needed for administrative purposes. The assessment of the records takes into account their administrative, legal, evidential, financial, informational and historical values. The appraisal of the records is in accordance with the State Records’ policy as documented in *Appraisal of Official Records – Policy and Objectives* - available from State Records’ website (www.archives.sa.gov.au).

The Schedule complements the General Disposal Schedules (GDS) that are issued by State Records to cover housekeeping and other administrative records common to most State Government agencies.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Using the Schedule

The Schedule applies only to the records described within it.

Layout

The Schedule is laid out as follows:

Item Number:	Numbering in the Schedule is multi level: <ul style="list-style-type: none">• Functions have single numbers (<i>e.g.</i> 1.)• Activities and/or processes have two-level numbers (<i>e.g.</i> 1.1)• Disposal classes have three-level numbers (<i>e.g.</i> 1.1.1)
Function:	The general functions are shown in 12 point bold Arial upper case at the start of each section. (<i>e.g.</i> FINES MANAGEMENT)
Activity/Process:	The activities and processes relating to each function are shown in 12 point bold Arial sentence case (<i>e.g.</i> Enforcement Action).
Description:	Descriptions are in three levels ranging from broad functions to specific disposal classes: <ul style="list-style-type: none">• definitions of functions are shown at the start of each section in bold (<i>e.g.</i> The function of managing overdue fines sent by issuing authorities)• definitions of activities are located adjacent to the activity title in italics <i>e.g.</i> <i>The acquisition of land in accordance with the agency's strategic objectives</i>• descriptions of each disposal class are arranged in sequence under the activity definitions.
Disposal Action:	Disposal actions relate to the disposal classes arranged under the activity descriptions. The status of the class is either PERMANENT or TEMPORARY with a disposal trigger and retention period given for all temporary records.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Retention Period of the Record

The Schedule is used to sentence records. Sentencing involves applying the record retention periods within the RDS to the records of FERU. Decisions are made using the Schedule about whether records are to be retained and, if so, for how long, or when they are to be destroyed.

Retention periods set down in the Schedule are minimum ones and the FERU may extend the retention period of the record if it considers there is an administrative need to do so. Where the FERU wishes to retain records for substantially longer periods it should request that the Schedule be amended to reflect this requirement.

Custody and Transfer of the Record

Permanent Records

Section 19 of the *State Records Act 1997* includes provisions for the transfer of custody of an official record:

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

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

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

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

Temporary Records

The custody of official records that have been sentenced as temporary is the responsibility of agencies. A policy and standards framework for the management and storage of temporary value official records has been established by State Records as documented in ***Records of Temporary Value: Management and Storage: Standard and Guidelines (May 2002)***. The FERU needs to comply with these policy documents - available from State Records' website (www.archives.sa.gov.au).

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

Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

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

Destruction of Temporary Records

Temporary records can only be destroyed with the approval of the CE or delegate in accordance with the *Destruction of Official Records Guideline* issued by State Records of South Australia. Failure to comply with this direction falls under section 17 of the *State Records Act 1997* and may be considered by ICAC as misconduct or maladministration.

Prior to destruction, the following General Disposal Schedules (GDS) need to be consulted:

- ***GDS 16 Impact of Native Title Claims on Disposal of Records*** to ensure records which are relevant to native title claims in South Australia are identified and preserved.
- ***GDS 27 for Records Required for Legal Proceedings or Ex Gratia Applications Relating to Alleged Abuse of Former Children Whilst in State Care*** to ensure the preservation of official records that may relate to the rights and entitlements of the individuals who present a court claim or apply for an ex gratia payment and of the State Government in defending or processing those claims and applications.
- ***GDS 32 for Records of Relevance to the Royal Commission into Institutional Responses to Child Sexual Abuse*** to ensure that records of relevance to the Royal Commission are protected and available for the purposes of the Royal Commission and any subsequent actions involving the South Australian Government as well as for future reference and accountability purposes and to protect the rights and entitlements of stakeholders.

The FERU must ensure that all destruction is secure and confidential and that a certificate confirming destruction is provided by private contractors.

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

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

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

Review

State Records' disposal schedules apply for a period of ten years. Either the FERU or State Records may propose a review of the Schedule at an earlier time, in the event of changes to functions or procedures that affect the value of the records covered by the disposal authority.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Reviews are especially necessary if there is vast administrative change that affects the currency and use of the records and/or the records are dispersed to other agencies.

The State Records Council needs to approve all amendments to the Schedule. Officers using the Schedule should advise State Records of any necessary changes.

Approved by SRC



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Context Statement

Context of the Agency Covered by the Schedule

FERU History and Background

The Fines Enforcement and Recovery Unit (FERU) was established on 3 February 2014 after the *Statutes Amendment (Fines Enforcement and Recovery) Act 2013* was passed in July 2013.

On this date, FERU took on the responsibility of the fines management functions previously managed by the Fines Payment Unit of the Courts Administration Authority (CAA). This included:

- collections
- payment arrangements
- write offs
- waivers
- reviews
- community service agreements
- enforcement actions.

The CAA maintained all records relating to these functions prior to 3 February 2014. FERU maintain all records relating to these functions as at 3 February 2014, with the exception of electronic copies of direct debit application forms/letters sent to clients as these were brought across from the CAA to the FERU.

Records created or received by the CAA prior to 3 February 2014 are in hard copy format and will be sentenced using the CAA RDS 2012/06 Version 1.

Verbal agreement of this arrangement was made between the Attorney-General's Department (AGD) and the CAA at the time the function was taken on by FERU. In July 2015 FERU and the CAA spoke with State Records to formalise the agreement. As per the advice provided by State Records, the FERU have provided the agreement in writing to the CAA, which has been signed by both parties. The agreement included the following:

All records which were created or submitted to the CAA before 3 February 2014 and which relate to the management of overdue fines were, and continue to be, retained by the CAA. These records include all overdue expiations lodged with the CAA for enforcement by Issuing Authorities (whether electronic or hard copy), forms submitted by debtors, which relate to the management of overdue fines, including applications for review (Form 51's), direct debit and other payment arrangement application forms, and other correspondence with debtors regarding their overdue fines. Internal system-generated and other reports created for audit and/or management purposes before 3 February 2014 were retained by the CAA where necessary. Responsibility for the management of the above records rests with the CAA.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

FERU is responsible for the management of all records related to overdue fines that were created or received from 3 February 2014 onwards. For a period of time following 3 February 2014 some debtors continued to submit correspondence and application forms to the CAA. Any such documents were forwarded to FERU for processing and management and are not the responsibility of the CAA. Since 3 February 2014, FERU has been responsible for the management of internal system-generated and other reports created for audit of management purposes for use by the Fines Unit. All records received or created from 3 February 2014 and following, which are related to the management of overdue fines are the responsibility of the Fines Unit.

This agreement fulfils the requirements of adequate records management.

The Fines Payment Unit of the CAA was established in 2000. The offices were located in the Registries of the Magistrates Court of South Australia and operated under the *Criminal Law (Sentencing) Act 1988*.

The Fines Payment Unit also had the Easy Pay Fines Contact Centre to answer inbound phone calls and emails and the Enforcement Team to issue enforcement action against debtors who owed more than 20 penalties or \$10,000. Both sites were located at the Port Adelaide Magistrates Court. The CAA currently still has a contact centre, however, this area no longer deals with fines, only other court-related matters. There is no longer an enforcement team operation within CAA.

Prior to the Fines Payment Unit being established within CAA, collection of debt was part of the regular administrative function at the various court registries, where a client could attend to make payment. Failure of client to pay their fine would have resulted in an arrest warrant being issued with the client being placed in custody. Existing enforcement actions were not available at the time.

The Court Fine Call Centre was established in July 1998 as a six month trial to recover outstanding warrants for non-payment of fines and to evaluate the effectiveness of the Call Centre concept in penalty management. Initially four operators and one manager contacted persons with outstanding warrants and made attempts to locate clients who had previously been unable to be contacted. The Authority approved its extension for a further six months¹.

The *Statutes Amendment (Fines Enforcement and Recovery) Bill 2013* passed through the House of Assembly in June 2013, enabling:

- removal of present fines collection and enforcement function from the Courts Administrative Authority (CAA)
- establishment of a new, specialised and dedicated fines collection and enforcement unit within AGD, known as the Fines Enforcement and Recovery Unit, which opened on 3 February 2014

¹CAA Annual Report 1998/99.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

- introduction of quicker processes and more effective debt recovery
- reform of policies, processes and systems to deliver more contemporary and proactive debt collection practices
- provision of wide discretion to decide whether and how to pursue debt in line with a directive by the Attorney-General to recover unpaid fines and infringements. A Project Delivery team led the establishment of legislation and the creation of the Unit dedicated to this purpose. The work was undertaken in collaboration with SAPOL, the Court Administration Authority, the Crown Solicitor/s Office, the Department of Correctional Services and the Registrar of Motor Vehicles.

The Fines Enforcement and Recovery Unit was established with the aim to recover the \$268 million in outstanding fines owed within South Australia at the time. This included creating a more efficient and easier way for people to pay their fines, including a call centre, 24/7 phone payments, improved online capability and more flexible payment options.

The overdue fines range from parking and traffic fines, environmental and animal management fines, liquor licence offences, court fines, criminal injury compensation fines and other State Government debt.

FERU supports vulnerable South Australians who suffer from financial or other forms of hardship (mental or physical impairment and other circumstances), which prevent them from paying their fines.

The *Victims of Crime Act 2001* was laid down to govern the treatment of victims of crime in the criminal justice system, to provide limited rights to statutory compensation for injury suffered as a result of the commission of criminal offences and to repeal the *Criminal Injuries Compensation Act 1978*. FERU is unable to apply the same enforcement measures available under the Victims of Crime Act to Criminal Injuries Compensation debt and therefore debt is pursued under the Victims of Crime Act or Criminal Injuries Compensation Act dependent on when judgement was made. FERU therefore still deals with cases under both Acts and will continue to do so for some time.

FERU Role and Function

FERU provide a service for Issuing Authorities across the State in the recovery of debts owed on expiation notices issued. As part of this system the Issuing Authorities provide their notices to the Unit for recovery and enforcement. FERU also manages pre-enforcement, ie establishing time payment arrangements for fines and expiation notices before they become overdue.

FERU has, in addition, taken on the responsibility to provide recovery and enforcement of various other debts owed to South Australian State Government agencies including court fines, and the collection of compensation payments awarded under the *Criminal Injuries Compensation Act 1997* and the *Victims of Crime Act 2001*, which includes the recovery of the debt from the offender.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

At FERU's discretion, client information can be passed onto external debt collection agencies for the purposes of debt recovery, with the exception of vulnerable clients.

Currently FERU has a range of enforcement actions that can be taken against a client. These include:

- restriction on transacting business with the Registrar of Motor Vehicles
- indefinite suspension of drivers licence
- clamping or impounding of a vehicle
- garnishment of wages or bank accounts
- seizure and sale of property
- publication of names
- charge on land.

If, after reasonable enquiries, the whereabouts of a debtor cannot be ascertained, the Fines Enforcement and Recovery Officer (FERO) may publish on a website determined by the FERO, and in such other manner (if any) he or she thinks fit, seeking information as to the debtor's whereabouts. Publication must be in a form determined by the FERO and must not include any information relating to the debtor other than the debtor's actual name and any assumed name; and last known and former addresses and date of birth. A notice cannot be published in relation to a debtor if the debtor is: a youth; or subject to a suppression order; or a protected person. This is a new power which was made available from the establishment of FERU, and not previously available to the CAA.

FERU comprises of six teams. Five of the teams focus on different types of clients and their needs or on different aspects of the fines collection and enforcement process. The sixth team provides business support services.

The Contact Centre provides assistance to clients over the phone, through e-mail or via the website. The Contact Centre answers an average of 1100 calls, 200 e-mails and web enquiries daily. An average of 50 application forms and \$32,000 via credit card payments are handled daily.

Enquiries through the Contact Centre include:

- negotiating and establishing payment arrangements
- discussing enforcement actions
- discussing relevant fees associated with fines
- appeals against fines – enquirers are directed back to the original Issuing Authority
- determining if a client needs to be referred for further assessment, eg on account of financial hardship, or being in custody.

The Assessment Team within the Unit specialises in assisting vulnerable clients with the management of their fines. Vulnerable clients may include:

- people with disabilities including learning difficulties, mental health problems or severe injury
- people with substance abuse or domestic violence issues



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

- people in severe financial hardship
- indigenous people living in remote areas
- homeless people.

In addition to managing vulnerable clients, the Assessment Team also manages clients who are in custody, certificates of enforcements lodged by Issuing Authorities, payment arrangement requests, e-mail enquiries from the South Australia Police, withdrawal notices from Issuing Authorities and all postal enquiries.

The Enforcement Team manages enforcement actions against clients who have failed to maintain an active payment arrangement or who are avoiding payment of their outstanding fine.

Further enforcement action may be imposed if the initial enforcement actions fail to prompt the debtor to make an arrangement to settle their debt.

In determining the best course of enforcement action the Enforcement Team may use legislative powers² to investigate a client's financial status and to determine what assets the client owns.

The Review Team is responsible for the receipt and assessment of Review of Enforcement applications.

The Victims of Crime (VOC) Team deals with compensation payments awarded to victims of crime, paid out by the Victims of Crime Fund (previously the Criminal Injuries Compensation Fund). Once the amount is paid to the victim and judgement has been obtained by the Crown, the VOC team is responsible for recovering the debt from the offender.

The Business Services Team is responsible for providing supporting services to the Unit's collection and debt management functions. This team provides finance, procurement, reporting, systems, project management, quality assurance and business process improvement services to the Unit.

FERU's stakeholders are as follows:

Issuing Authorities

- local councils
- South Australia Police (SAPOL)
- universities
- hospitals

² Legislative powers are conferred via the *Criminal Law (Sentencing) Act 1998*, sections 70B, C, D, E, F, G, H, I, J, K, L, M, N, O, P, Q, R, S, T, U.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

- Courts Administration Authority (CAA)
- Crown Solicitors Office
- Australian Federal Police
- other governments agencies

Non-Issuing Authorities

- Courts Administration Authority (CAA)
- Ombudsman SA
- Department of Planning Transport and Infrastructure (DPTI)
- Department for Correctional Services (DCS)
- Department for Communities and Social Inclusion (DCSI)
- Supreme Court
- financial institutions
- Australian Taxation Office
- Correctional Services
- Centrelink
- SA Financial Counsellors Association
- Ministers
- external debt collection agencies
- other advocate groups.

FERU Structure Description

FERU is comprised of six teams:

- Enforcement Team
- Assessment Team
- Review Team
- Victims of Crime Team
- Contact Centre
- Business Service Team.

The Director, Fines Enforcement and Recovery reports to the Chief Executive of the Attorney-General's Department.

A copy of FERU's organisational chart is included as Attachment A.

Predecessor Agencies

- GA 736 Courts Administration Authority, 1992 - 2014 (the CAA was responsible for some of the functions now carried out by FERU).

Prior to the Fines Payment Unit, fines were managed as an administrative function of the CAA via various Court Registries.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Successor Agencies

There are no successor agencies.

Legislation

The following legislation affects the recordkeeping of the FERU but is not administered by it;

- *Criminal Law Sentencing Act 1988*
- *Victims of Crime Act 1991*
- *Expiation of Offences Act 1996*
- *Statutes Amendments (Fines Enforcement and Recovery) Act 2013*
- *Criminal Injuries Compensation Act 1978*

The *Criminal Injuries Compensation Act 1978* is repealed by the *Victims of Crime Act 1991*.

Context of the Records Covered by the Schedule

Coverage of RDS 2015/13

This RDS applies to ongoing operational records for FERU. It is intended to be a comprehensive guide incorporating all operational records of the agency.

Records of the CAA dated pre – 3 February 2014 are not covered by this RDS but by the CAA RDS 2012/06 Version 1.

Related Series Affected by RDS 2015/13

There are no related series affected by this RDS.

Complementary Schedules to RDS 2015/13

- Courts Administration Authority (CAA) RDS 2012/06 Version 1 (approved by the State Records Council on 18 June 2013)

Existing Disposal Schedules Superseded by RDS 2015/13

There are no existing Disposal Schedules superseded by this RDS.

Records Structure within the FERU

The current records structure for electronic and physical records are as follows.

The main file is the stage of the case, eg assessment, review, enforcement.

The clients name sits within each of these depending on the stage of the client's case, eg it is being assessed, reviewed or enforced. Therefore the client may have information within several files.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

The business systems used within FERU to manage records include:

- Q-Master – for all call recordings
- Fines System – fines management database
- Debttrak – to manage victims of crime debt and other government debt.

Call recordings for the Contact Centre are stored securely on an AGD server as mp3 files.

The fines system is still hosted by the CAA for technical reasons. There is an MoAA between CAA and AGD which outlines the responsibilities of the respective parties in terms of system maintenance and management of changes. The Fines System is one of a number of systems in the CAA-hosted mainframe, with interfaces between different systems. CAA uses other systems in the mainframe such as Crimcase, which interfaces with the Fines System, but they do not directly use the Fines System themselves. FERU has full capability including creation of system reports. The Fines System creates a PIN (client number) sequentially. The PIN can be used as search criteria to locate the client within the system.

A Business Classification Scheme has recently been created and approved by the agency, which will soon be applied to classifying electronic and physical records.

Broad Description and Purpose of the Records

The operational records covered in this schedule relate to the management of outstanding fines, debt, compensation payments and other outstanding amounts which have been lodged with the agency by Issuing Authorities.

Functions and Activities Documented by the Records

RDS 2015/13 covers the following functions of the FERU:

- Compensation Payments
- Fines Management
- Management of Other Government Debt.

The functions were determined through workshops with key staff within the agency, discussions with key individuals and researching of organisational resources and publications.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

The above functions are supported by the following activities:

- Advice
- Assessment
- Call Recording
- Debt Referral
- Enforcement Action
- Enquiries
- Escalation
- Financial Investigation
- Meetings
- Payment Arrangement
- Policy
- Procedures
- Reporting
- Reviewing
- Stakeholder Relations.

Arrangement of the Records

Records are managed in order of the various stages for the recovery of fines, eg assessment, review, enforcement.

The clients name sits within each of these folders depending on the stage of the case, eg it is being assessed, reviewed or enforced.

For further details refer to Records Structure, p.17-18.

Agency Creating the Records

FERU administers the records covered by this RDS and also creates them. Refer to Coverage of the RDS section pg.17 for further information.

Agency Owning or Controlling the Records

FERU controls and owns the records covered by this RDS.

Date Range of the Records

Records Date Range: 3 February 2014 to Ongoing.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Volume of the Records

The existing volume of physical records is approximately 44 linear metres across two sites within Adelaide head office and at Port Adelaide.

The agency has approximately 70,000 electronic records maintained on the network drive.

Call recordings to the Contact Centre are currently kept as mp3 files and stored securely on the AGD server.

Special Custody Requirements

There are no special custody requirements.

Special Storage Requirements

There are no special storage requirements.

Issues Not Mentioned Previously

There are no issues that have not already been mentioned.

Comments Regarding Disposal Recommendations

Permanent Records Rationale

Records deemed to be permanent are those which have a continuing value to the State or are of national significance. The appraisal objectives adopted by State Records of South Australia³ for identifying records of permanent value relevant to the records covered by this Schedule are:

Objective 1 – to identify and preserve office records providing evidence of the source of authority, foundation and machinery of the SA Government and public sector bodies.

Examples of items include: 1.3.1, 2.3.1, 2.11.1, 2.12.1.

Objective 2 – To identify and preserve official records providing evidence of the deliberations, decisions and actions of the South Australian Government and public sector bodies relating to key functions and programs and significant issues faced in governing the state of South Australia.

Examples of items include: 1.11.1, 2.12.1, 3.9.1.

³ State Records SA: *Appraisal of Official Records – Policy and Objectives Guideline* February 2003 Version 1.8



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Objective 3 – To identify and preserve official records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups.

Examples of items include: 1.3.1, 2.3.1, 2.7.1, 2.15.1, 3.2.1, 3.11.1.

Objective 4 – To identify and preserve official records substantially contributing to the knowledge and understanding of the society and communities of South Australia.

Examples of items include: 2.7.1.

Objective 5 – to identify and preserve official records that contribute to the protection and wellbeing of the community or provide substantial evidence of the condition of the State, its people and the environment and the impact of government activities on them.

Examples of items include: 2.3.1, 2.11.1

Temporary Records Rationale

Records nominated for temporary status in this schedule document routine processes and/or transactions that support the activities documented in the permanent records. Retention periods have been determined by the legal, administrative, evidential and financial accountability requirements of State Records South Australia.

Temporary records retention periods and associate rationale is as follows:

- 50 Years – This is considered adequate for the enforcement action of seizure and sale of houses and land and the associated data summary of client information from the Fines System.

Examples include: Enforcement Action (item 2.5.1)

- 10 Years – this is considered adequate for routine operational records.

Examples include: Reviewing (items 2.14.1), Stakeholder Relations (2.15.2)

- 8 Years – This is considered adequate for activities where limitation of actions may apply.

Examples include: Call Recording (item 1.2.1), Enquiries (item 1.6.1)

- 5 Years - This is considered adequate for activities that are documented annually or more regularly.

Examples include: Debt Referral (item 2.4.1), Reporting (item 2.13.2).

- 2 Years – This is considered adequate for facilitative records which are not required for any substantial period of time.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Examples include: Payment Arrangement (item 2.10.1), Procedures (item 4.10.2).

Other Disposal Considerations

There are no other considerations for or against the retention or destruction of records affected by this RDS.

Disposal Recommendation Effect on Related Records

There are no related records affected by the disposal recommendations in this RDS.

Alternative Record Formats

There are no alternative record formats in this instance.

Impact on Native Title Claims

There is no discernible relevance to Native Title Claims.

Indigenous Considerations

The determinations within *RDS 2015/13* are consistent with Recommendation 21 of the *National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from Their Families*.

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

RDS 2015/13 meets all cultural, historical, legal and administrative requirements.

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



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Scope Note

Records Covered by this Schedule

RDS 2015/13 applies to the operational records of the Fines Enforcement and Recovery Unit. For further details refer to the Coverage of the RDS, p.17.

How to Apply this Schedule

Use in conjunction with GDS

This Schedule should be used in conjunction with **GDS 15**, as amended, or its successor. Cross-references to the **GDS 15** are included in this Schedule where appropriate.

To identify records that may be potentially relevant to native title claims, please refer to guideline *Identifying documents which may be relevant to Native Title* attached to **GDS 16**. Where records sentenced for temporary retention are identified as having potential relevance to a native title claim, they need to be retained until 31 December 2024.

To identify records that may be potentially relevant to *Legal Proceedings or Ex Gratia Applications Relating to Alleged Abuse of Former Children Whilst in State Care*, please refer to **GDS 27**. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2020.

To identify records that may be potentially relevant to the *Royal Commission into Institutional Responses to Child Sexual Abuse*, please refer to **GDS 32**. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2023.

Use in conjunction with, or complementary to, other RDS

- RDS 2012/06 Version 1 for the Courts Administration Authority (CAA) (approved by the State Records Council on 18 June 2013).

Other RDS superseded by RDS 2015/13

This RDS does not supersede any existing schedules.

Re-sentencing of records where schedules are superseded or particular entries within a schedule are superseded

In this instance, the re-sentencing of records is not required.

Records excluded from RDS 2015/13

Records excluded by this RDS are CAA fines records dating pre-3 February 2014, which are covered by the CAA RDS 2012/06 Version 1.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Application to records in all formats

RDS 2015/13 applies to records in all formats, including databases and other electronic records. The FERU is required to ensure that records remain accessible for the duration of designated retention periods.

Interpretation of the Schedule

Minimum retention periods

Retention periods for temporary records shown in RDS 2015/13 are minimum retention periods for which records need to be retained. It is at the discretion of FERU as to whether records are kept for longer than the minimum period.

Acronyms

- **AGD** – Attorney-General's Department
- **CAA** – Courts Administration Authority
- **EDRMS** – Electronic Document and Records Management System
- **FERU** – Fines Enforcement and Recovery Unit
- **VOC** – Victims of Crime

Definitions of terms specific to RDS 2015/13

- **Charge on Land** – An application made by FERU to the Registrar General to register a Charge Over Land owned (whether solely or as a co-owner) by the debtor for the amount of the debt outstanding.
- **Client** – debtors i.e. the people who have fines, which the FERU is responsible for collecting.
- **Issuing Authorities** – The entities responsible for issuing penalties, which are subsequently (and at the discretion of the Issuing Authority) referred to FERU for collection where the offender has not made payment within the prescribed timeframe.
- **Non-Issuing Authorities** – Third parties that FERU interacts with in order to function for the purpose of debt collection. Non-issuing authorities do not issue penalties but assist with the gathering of information and enablement of system interfacing, allowing the implementation of various enforcement actions available to FERU and as provisioned by the relevant legislation.
- **Pecuniary Sums** – a court imposed penalty
- **Pre-enforced Fines** – Pre-enforced fines are those fines which come to FERU for collection before they become overdue because the client chooses to approach the unit to establish an arrangement to pay the fines over a period of time.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

- **Vulnerable Clients** – Clients deemed to have limited capacity, or are unable to make monetary restitution of their debt due (but not limited to) circumstances such as financial hardship, disabilities or homelessness. Clients assessed to be vulnerable may be suitable for Community Service programs or other non-monetary options for settlement of their debt.
- **Write-off** – removing a debt or part of a debt from the accounts of the Fines Enforcement and Recovery Unit but the debt still remains enforceable and can be re-instated and pursued at a later date.

Legal Deposit

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

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

Records and Litigation

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

Pre-1901 Records

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

In this instance, this RDS does **NOT** apply to pre-1901 records.



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

List of Functions and Activities

COMPENSATION PAYMENTS	28
Assessment of Vulnerable Clients	28
Call Recording	28
Compliance	28
Debt Referral.....	29
Enforcement Action.....	29
Enquiries	30
Financial Investigation	30
Fines System Management	30
Payment Arrangement	31
Policy	31
Procedures.....	32
Reporting	32
Reviewing	33
Stakeholder Relations.....	33
FINES MANAGEMENT	34
Assessment of Vulnerable Clients	34
Call Recording	34
Compliance	34
Debt Referral.....	35
Enforcement Action.....	35
Enquiries	36
Escalation	36
Financial Investigation	37
Fines System Management	37
Payment Arrangement	37
Policy	37
Procedures.....	38
Reporting	38
Reviewing	39



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Stakeholder Relations	39
MANAGEMENT OF OTHER GOVERNMENT DEBT	41
Call Recording	41
Compliance	41
Debt Referral.....	42
Enquiries	42
Financial Investigation	42
Fines System Management	42
Payment Arrangement	43
Policy	43
Procedures.....	44
Reporting	44
Stakeholder Relations	44



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
1 COMPENSATION PAYMENTS			
1	COMPENSATION PAYMENTS	The function of managing compensation payments awarded to victims of crime, paid out of the Victims of Crime Fund and awarded under the Criminal Injuries Compensation Act or Victims of Crime Act. Includes the recovery from the offender.	
1.1	Assessment of Vulnerable Clients	<i>The activities associated with the assessment of vulnerable clients' capacity to pay their debts, in order to negotiate and arrange a program to settle their fines. This may include clients with severe injury, a disability or who experience financial hardship.</i>	
1.1.1	Assessment of Vulnerable Clients	Records relating to the assessment of a clients' situation including liaison with relevant businesses to determine the capacity of the client to pay the debt and the outcome on how the clients' debt is to be settled.	TEMPORARY Destroy 5 years after action completed
1.2	Call Recording	<i>The activity of recording incoming calls to the Contact Centre.</i>	
1.2.1	Call Recording	Records relating to the phone call recordings to the Contact Centre from clients.	TEMPORARY Destroy 8 years after action completed
1.3	Compliance	<i>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. (Keyword AAA)</i>	
1.3.1	Compliance	Master copy of compliance information outlining the rules for compliance. Includes guidelines, standards, Acts, Regulations and by-laws.	PERMANENT



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
1 COMPENSATION PAYMENTS			
1.3.2	Compliance	Records relating to the management of serious breaches of compliance requirements, eg an employee deleted or otherwise altered the balance owing, debt history or other details of a family member or friend on the fines system.	PERMANENT
1.3.3	Compliance	Records relating to proof of compliance. Includes registers.	TEMPORARY Destroy 15 years after action completed
1.3.4	Compliance	Records relating to agency compliance with mandatory standards or statutory requirements relating to compensation payments. Includes proof of compliance.	TEMPORARY Destroy 5 years after action completed
1.3.5	Compliance	Records relating to the management of minor breaches or compensation compliance requirements e.g. a write-off of a small outstanding balance without appropriate authorisation.	TEMPORARY Destroy 5 years after action completed
1.4	Debt Referral	<i>The activities associated with forwarding outstanding debts to a debt collecting agency to undertake the retrieval process of the fine.</i>	
1.4.1	Debt Referral	Records relating to the transfer of client information to a debt collecting agency.	TEMPORARY Destroy 5 years after action completed
1.5	Enforcement Action	<i>The activities associated with enforcing actions against the client because of failure to address their debts, including requesting action to be taken by other parties against the client e.g. additional fees and charges, the restriction on transacting business with the Registrar of Motor Vehicles, the suspension of driver's licence, placing of Charge on Land, clamping and impounding vehicles, seizure and sale of property and garnishment of salary and wages.</i>	



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
1 COMPENSATION PAYMENTS			
1.5.1	Enforcement Action	Records relating to the enforcement action of seizure and sale of houses and land .	TEMPORARY Destroy 50 years after action completed
1.5.2	Enforcement Action	Records relating to other enforcement actions, eg copies of client information received by external parties, lodgements to external parties to take action. Includes correspondence between the agency and the client to convey enforcement action being taken. Excludes records relating to the seizure and sale of houses and land – see 1.5.1 above.	TEMPORARY Destroy 8 years after action completed
1.6	Enquiries	<i>The activities associated with the handling of request for information about the organisation and its services by the general public or another organisation.</i> (Keyword AAA)	
		See Also GDS 30 v1: 9.1 INFORMATION MANAGEMENT – Case Management (FOI) for Freedom of Information enquiries	
1.6.1	Enquiries	Records relating to the management of enquiries requiring investigation and a specific response or resulting in a routine or formal response. Includes enquiries referred to another agency for response.	TEMPORARY Destroy 8 years after action completed
1.7	Financial Investigation	<i>The activities associated with investigating the financial position of the client through legislative powers to determine the next stage of enforcement action.</i>	
1.7.1	Financial Investigation	Records relating to consultation and investigation with external parties on the client's current financial situation. Includes bank account details, home loan information and asset information.	TEMPORARY Destroy 5 years after action completed
1.8	Fines System Management	<i>The activities associated with managing client information within the Fines System.</i>	



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
1 COMPENSATION PAYMENTS			
1.8.1	Fines System Management	Summary records of client information within the Fines System.	TEMPORARY Destroy 50 years after action completed Maintain and reformat as required for administrative purposes
1.9	Payment Arrangement	<i>The activities associated with defining an agreed arrangement with the client to pay regular instalments over a period of time until the fine is settled.</i>	
1.9.1	Payment Arrangement	Records relating to the agreed arrangement with the client, including amounts and dates that payments are to occur. Includes payment arrangements that have been cancelled due to agreements not being met.	TEMPORARY Destroy 2 years after action completed
1.10	Policy	<i>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.</i> (Keyword AAA)	
		See GDS 30 v1: 13.17 STRATEGIC MANAGEMENT – Policy for records relating to general administrative policy	
1.10.1	Policy	Master copy of compensation payment operational policies that have been approved by Executive or Senior Management. Includes the master copy of the policy, policy assessment, stakeholder consultation and delegations.	PERMANENT
1.10.2	Policy	Supplementary records relating to the development of compensation payment operational procedures (includes final drafts).	TEMPORARY Destroy 5 years after action completed



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
1 COMPENSATION PAYMENTS			
1.11	Procedures	<i>Standard methods of operating laid down by an organisation according to formulated policy.</i> (Keyword AAA)	
		See GDS 30 v1: 13.18 STRATEGIC MANAGEMENT – Procedures for records relating to general administrative procedures	
1.11.1	Procedures	Master copy of compensation payment operational procedures.	PERMANENT
1.11.2	Procedures	Supplementary records relating to the development of compensation payments operational procedures (includes final drafts).	TEMPORARY Destroy 2 years after action completed
1.12	Reporting	<i>The process 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 investigation. Includes agenda, briefing, business discussion papers, proposals, reports, reviews and returns.</i> (Keyword AAA)	
1.12.1	Reporting	Master copy of reports for senior management and external parties created by or on behalf of the FERU used to monitor the status and actions undertaken within the agency.	PERMANENT
1.12.2	Reporting	Records relating to the development and preparation of reports. Includes working papers, raw data, background information etc.	TEMPORARY Destroy 5 years after action completed
1.12.3	Reporting	Reports and publications not produced by the FERU.	TEMPORARY Destroy 2 years after action completed



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
1 COMPENSATION PAYMENTS			
1.13	Reviewing	<i>The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. (Keyword AAA)</i>	
1.13.1	Reviewing	Records relating to the review of lodgements received for Review of Enforcement applications. Includes records relating to the outcomes of the review.	TEMPORARY Destroy 10 years after action completed
1.14	Stakeholder Relations	<i>The activities associated with maintaining regular contact with issuing authorities and other parties involved in the enforcement process, eg courts, financial institutions and relevant government agencies.</i>	
1.14.1	Stakeholder Relations	Master copy identifying the responsibilities of the FERU and the stakeholders in relation to the operation of Compensation Payments. Includes Memoranda of Understanding, agreements etc.	PERMANENT
1.14.2	Stakeholder Relations	Records relating to communication or correspondence between FERU and stakeholders in relation to the operation of fines management. Includes managing the relationships with stakeholders essential to the operation of fines management.	TEMPORARY Destroy 10 years after action completed



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
2 FINES MANAGEMENT			
2	FINES MANAGEMENT	<p>The function of managing overdue fines provided to the FERU by issuing authorities when the original expiation notice goes unpaid, the management of pecuniary sums (court-ordered sums) owing and the management of pre-enforced fines (fines not yet overdue).</p> <p>This includes making arrangements with the client to pay the outstanding fine and undertaking enforcement strategies for ongoing unpaid fines.</p>	
2.1	Assessment of Vulnerable Clients	<p><i>The activities associated with the assessment of vulnerable clients' capacity to pay their debts, in order to negotiate and arrange a program to settle their fines. This may include clients with severe injury, a disability or who experience financial hardship.</i></p>	
2.1.1	Assessment of Vulnerable Clients	Records relating to the assessment of a clients' situation, including liaison with relevant businesses to determine the capacity for the client to pay the debt and the outcome on how the clients' debt is to be settled.	TEMPORARY Destroy 5 years after action completed
2.2	Call Recording	<p><i>The activity of recording incoming calls to the Contact Centre.</i></p>	
2.2.1	Call Recording	Records relating to the phone call recordings to the Contact Centre from clients.	TEMPORARY Destroy 8 years after action completed
2.3	Compliance	<p><i>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.</i></p> <p>(Keyword AAA)</p>	
2.3.1	Compliance	Master copy of compliance information outlining the rules for compliance. Includes guidelines, standards, Acts, Regulations, by-laws.	PERMANENT



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
2 FINES MANAGEMENT			
2.3.2	Compliance	Records relating to the management of serious breaches of compliance requirements, eg an employee deleting or altering the balance owing, debt history or other details of a family member or friend on the fines system.	PERMANENT
2.3.3	Compliance	Records relating to proof of compliance. Includes registers.	TEMPORARY Destroy 15 years after action completed
2.3.4	Compliance	Records relating to agency compliance with mandatory standards or statutory requirements relating to fines management.	TEMPORARY Destroy 5 years after action completed
2.3.5	Compliance	Records relating to the management of minor breaches of compliance requirements, eg a write-off of a small outstanding balance without appropriate action.	TEMPORARY Destroy 5 years after action completed
2.4	Debt Referral	<i>The activities associated with forwarding outstanding debts to a debt collecting agency to undertake the retrieval process of the fine.</i>	
2.4.1	Debt Referral	Records relating to the transfer of client information to a debt collecting agency.	TEMPORARY Destroy 5 years after action completed
2.5	Enforcement Action	<i>The activities associated with enforcing actions against the client because of failure to address their debts, including requesting action to be taken by other parties against the client e.g. additional fees and charges, the restriction on transacting business with the Registrar of Motor Vehicles, the suspension of driver's licence, placing of Charge on Land, clamping and impounding vehicles, seizure and sale of property and garnishment of salary and wages.</i>	



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
2 FINES MANAGEMENT			
2.5.1	Enforcement Action	Records relating to the enforcement action of seizure and sale of houses and land .	TEMPORARY Destroy 50 years after action completed
2.5.2	Enforcement Action	Records relating to other enforcement actions, eg copies of client information received by external parties, lodgements to external parties to take action. Includes correspondence between the agency and the client to convey enforcement action being taken. Excludes records relating to the seizure and sale of houses and land – see 2.5.1 above.	TEMPORARY Destroy 8 years after action completed
2.6	Enquiries	<i>The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.</i> (Keyword AAA)	
		See GDS 30 v1: 9.1 INFORMATION MANAGEMENT – Case Management (FOI) for all Freedom of Information enquiries	
2.6.1	Enquiries	Records relating to the management of enquiries requiring investigation and a specific response or resulting in a routine or formal response. Includes enquiries referred to another agency for response.	TEMPORARY Destroy 8 years after action completed
2.7	Escalation	<i>The activities associated with escalating the expiation case to be reviewed for further investigation when agreed arrangements for fines settlement have not been met, or when there has been no response from the client.</i>	
2.7.1	Escalation	Records relating to the escalation of a case requested from the Minister. Includes Ministerial responses and correspondence to the client relating to the case escalation.	PERMANENT



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
2 FINES MANAGEMENT			
2.8	Financial Investigation	<i>The activities associated with investigating the financial position of the client through legislative powers to determine the next stage of enforcement action.</i>	
2.8.1	Financial Investigation	Records relating to consultation and investigation with external parties on the client's current financial situation. Includes client's bank account details, home loan information and asset information.	TEMPORARY Destroy 5 years after action completed
2.9	Fines System Management	<i>The activities associated with managing client information within the Fines System.</i>	
2.9.1	Fines System Management	Summary records of client information within the Fines System.	TEMPORARY Destroy 50 years after action completed Maintain and reformat as required for administrative purposes
2.10	Payment Arrangement	<i>The activities associated with defining an agreed arrangement with the client to pay regular instalments over a period of time until the fine is settled.</i>	
2.10.1	Payment Arrangement	Records relating to the agreed arrangement with the client, including amounts and dates that payments are to occur. Includes payments arrangements that have been cancelled due to the agreement not being met.	TEMPORARY Destroy 2 years after action completed
2.11	Policy	<i>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.</i> (Keyword AAA)	



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
2 FINES MANAGEMENT			
		See GDS 30 v1: 13.17 STRATEGIC MANAGEMENT – Policy for records relating to general administrative policy	
2.11.1	Policy	Master copy of fines management operational policies that have been approved by Executive or Senior Management. Includes the master copy of the policy, policy assessment, stakeholder consultation and delegations.	PERMANENT
2.11.2	Policy	Supplementary records relating to the development of fines management operational policies (includes final drafts).	TEMPORARY Destroy 5 years after action completed
2.12	Procedures	<i>Standard methods of operating laid down by an organisation according to formulated policy.</i> (Keyword AAA)	
		See GDS 30 v1: 13.18 STRATEGIC MANAGEMENT – Procedures for records relating to general administrative procedures	
2.12.1	Procedures	Master copy of fines management operational procedures.	PERMANENT
2.12.2	Procedures	Supplementary records relating to the development of fines management operational procedures (includes final drafts).	TEMPORARY Destroy 2 years after action completed
2.13	Reporting	<i>The process 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 investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.</i> (Keyword AAA)	



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
2 FINES MANAGEMENT			
2.13.1	Reporting	Master copy of reports for senior management or external parties created by or on behalf of FERU used to monitor the status and actions undertaken within the agency.	PERMANENT
2.13.2	Reporting	Supplementary records relating to the development and preparation of reports. Includes working papers, raw data, background information etc.	TEMPORARY Destroy 5 years after action completed
2.13.3	Reporting	Reports and publications not produced by the FERU.	TEMPORARY Destroy 2 years after action completed
2.14	Reviewing	<i>The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.</i> (Keyword AAA)	
2.14.1	Reviewing	Records relating to the review of lodgements received for Review of Enforcement applications. Includes records relating to the outcomes of the review.	TEMPORARY Destroy 10 years after action completed
2.15	Stakeholder Relations	<i>The activities associated with maintaining regular contact with issuing authorities and other parties involved in the enforcement process, eg courts, financial institutions and relevant government agencies.</i>	
2.15.1	Stakeholder Relations	Master copy identifying the responsibilities of the FERU and the stakeholders in relation to the operation of fines management. Includes Memoranda of Understanding, agreements etc.	PERMANENT



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
2 FINES MANAGEMENT			
2.15.2	Stakeholder Relations	Records relating to communication or correspondence between FERU and stakeholders in relation to the operation of fines management. Includes managing the relationships with stakeholders essential to the operation of fines management.	TEMPORARY Destroy 10 years after action completed



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
3 MANAGEMENT OF OTHER GOVERNMENT DEBT			
3	MANAGEMENT OF OTHER GOVERNMENT DEBT	The function of managing and collecting other government agency debt	
3.1	Call Recording	<i>The activity of recording calls to the Contact Centre.</i>	
3.1.1	Call Recording	Records relating to the phone call recordings of incoming calls to the Contact Centre from clients.	TEMPORARY Destroy 8 years after action completed
3.2	Compliance	<i>The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standard or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series. (Keyword AAA)</i>	
3.2.1	Compliance	Master copy of compliance information outlining the rules for compliance. Includes guidelines, standards, Acts, Regulations and by-laws.	PERMANENT
3.2.2	Compliance	Records relating to the management of serious breaches of compliance requirements e.g. an employee deleted or otherwise altered the balance owing, debt history or other details of a family member or friend on the fines system.	PERMANENT
3.2.3	Compliance	Records relating to proof of compliance. Includes registers.	TEMPORARY Destroy 15 years after action completed
3.2.4	Compliance	Records relating to agency compliance with mandatory standards or statutory requirements relating to other government debt. Includes proof of compliance.	TEMPORARY Destroy 5 years after action completed



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
3 MANAGEMENT OF OTHER GOVERNMENT DEBT			
3.2.5	Compliance	Records relating to the management of minor breaches of compensation compliance requirements e.g. a write-off of a small outstanding balance without appropriate authorisation.	TEMPORARY Destroy 5 years after action completed
3.3	Debt Referral	<i>The activities associated with forwarding outstanding debts to a debt collecting agency to undertake the retrieval process of the fine.</i>	
3.3.1	Debt Referral	Records relating to the transfer of client information to a debt collecting agency.	TEMPORARY Destroy 5 years after action completed
3.4	Enquiries	<i>The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.</i> (Keyword AAA)	
		See GDS 30 v1: 9.1 INFORMATION MANAGEMENT – Case Management (FOI) for all Freedom of Information enquiries	
3.4.1	Enquiries	Records relating to the management of enquiries requiring investigation and a specific response or resulting in a routine or formal response. Includes enquiries referred to another agency for response.	TEMPORARY Destroy 8 years after action completed
3.5	Financial Investigation	<i>The activities associated with investigating the financial position of the client through legislative powers to determine the next stage of enforcement action.</i>	
3.5.1	Financial Investigation	Records relating to consultation and investigation with external parties on the client's current financial situation. Includes client's bank account details, home loan information and asset information.	TEMPORARY Destroy 5 years after action completed
3.6	Fines System Management	<i>The activities associated with managing client information within the Fines System.</i>	



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
3 MANAGEMENT OF OTHER GOVERNMENT DEBT			
3.6.1	Fines System Management	Summary records of client information within the Fines System.	TEMPORARY Destroy 50 years after action completed Maintain and reformat as required for administrative purposes.
3.7	Payment Arrangement	<i>The activities associated with defining an agreed arrangement with the client to pay regular instalments over a period of time until the fine is settled.</i>	
3.7.1	Payment Arrangement	Records relating to an agreed arrangement with a client, including amounts and dates that payments are to occur. Includes payment arrangements that have been cancelled due to the agreements not being met.	TEMPORARY Destroy 2 years after action completed
3.8	Policy	<i>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.</i> (Keyword AAA)	
		See GDS 30 v1 13.17 STRATEGIC MANAGEMENT – Policy for records relating to general administrative policy	
3.8.1	Policy	Master copy of other government debt operational policies that have been approved by Executive or Senior Management. Includes the master copy of the policy, policy assessment, stakeholder consultation and delegations.	PERMANENT
3.8.2	Policy	Supplementary records relating to the development of other government debt operational procedures (includes final drafts).	TEMPORARY Destroy 8 years after action completed



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
3 MANAGEMENT OF OTHER GOVERNMENT DEBT			
3.9	Procedures	<i>Standard methods of operating laid down by an organisation according to formulated policy. (Keyword AAA)</i>	
		See GDS 30 v1: 13.18 STRATEGIC MANAGEMENT – Procedures for records relating to general administrative procedures	
3.9.1	Procedures	Master copy of other government debt operational procedures.	PERMANENT
3.9.2	Procedures	Supplementary records relating to the development of other government debt operational procedures (includes final drafts).	TEMPORARY Destroy 2 years after action completed
3.10	Reporting	<i>The process 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 investigation. Includes agenda, briefing, business discussion papers, proposals, reports, reviews and returns. (Keyword AAA)</i>	
3.10.1	Reporting	Master copy of reports for senior management and external parties created by or on behalf of the FERU used to monitor the status and actions undertaken within the agency.	PERMANENT
3.10.2	Reporting	Records relating to the development and preparation of reports. Includes working papers, raw data, background information etc.	TEMPORARY Destroy 5 years after action completed
3.10.3	Reporting	Reports and publications not produced by the FERU.	TEMPORARY Destroy 2 years after action completed
3.11	Stakeholder Relations	<i>The activities associated with maintaining regular contact with issuing authorities and other parties involved in the enforcement process, eg courts, financial institutions and relevant government agencies.</i>	



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
3 MANAGEMENT OF OTHER GOVERNMENT DEBT			
3.11.1	Stakeholder Relations	Master copy identifying the responsibilities of FERU and the stakeholders in relation to the operation of other government debt. Includes Memoranda of Understanding, agreements etc.	PERMANENT
3.11.2	Stakeholder Relations	Records relating to communication or correspondence between FERU and stakeholders in relation to the operation of fines management. Includes managing the relationships with stakeholders essential to the operation of fines management.	TEMPORARY Destroy 10 years after action completed



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Index to Operational Records Disposal Schedule

-A-

Assessment of Vulnerable Clients, FINES MANAGEMENT.....	34
Assessment of Vulnerable Clients, COMPENSATION PAYMENTS	28

-C-

Call Recording, COMPENSATION PAYMENTS	28
Call Recording, FINES MANAGEMENT.....	34
Call Recording, MANAGEMENT OF OTHER GOVERNMENT DEBT	41
COMPENSATION PAYMENTS	28
COMPENSATION PAYMENTS, Assessment of Vulnerable Clients	28
COMPENSATION PAYMENTS, Call Recording	28
COMPENSATION PAYMENTS, Compliance.....	28
COMPENSATION PAYMENTS, Debt Referral	29
COMPENSATION PAYMENTS, Enforcement Action	29
COMPENSATION PAYMENTS, Enquiries	30
COMPENSATION PAYMENTS, Financial Investigation.....	30
COMPENSATION PAYMENTS, Fines System Management	30
COMPENSATION PAYMENTS, Payment Arrangement.....	31
COMPENSATION PAYMENTS, Policy.....	31
COMPENSATION PAYMENTS, Procedures.....	32
COMPENSATION PAYMENTS, Reporting.....	32
COMPENSATION PAYMENTS, Reviewing	33
COMPENSATION PAYMENTS, Stakeholder Relations	33
Compliance, COMPENSATION PAYMENTS.....	28
Compliance, FINES MANAGEMENT	34
Compliance, MANAGEMENT OF OTHER GOVERNMENT DEBT	41



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

-D-

Debt Referral, COMPENSATION PAYMENTS	29
Debt Referral, FINES MANAGEMENT	35
Debt Referral, MANAGEMENT OF OTHER GOVERNMENT DEBT	42

-E-

Enforcement Action, COMPENSATION PAYMENTS	29
Enforcement Action, FINES MANAGEMENT	35
Enquiries, COMPENSATION PAYMENTS	30
Enquiries, FINES MANAGEMENT	36
Enquiries, MANAGEMENT OF OTHER GOVERNMENT DEBT	42
Escalation, FINES MANAGEMENT	36

-F-

Financial Investigation, COMPENSATION PAYMENTS	30
Financial Investigation, FINES MANAGEMENT	37
Financial Investigation, MANAGEMENT OF OTHER GOVERNMENT DEBT	42
FINES MANAGEMENT	34
FINES MANAGEMENT, Assessment of Vulnerable Clients	34
FINES MANAGEMENT, Call Recording	34
FINES MANAGEMENT, Compliance	34
FINES MANAGEMENT, Debt Referral	35
FINES MANAGEMENT, Enforcement Action	35
FINES MANAGEMENT, Enquiries	36
FINES MANAGEMENT, Escalation	36
FINES MANAGEMENT, Financial Investigation	37
FINES MANAGEMENT, Fines System Management	37
FINES MANAGEMENT, Payment Arrangement	37
FINES MANAGEMENT, Policy	37



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

FINES MANAGEMENT, Procedures	38
FINES MANAGEMENT, Reporting	38
FINES MANAGEMENT, Reviewing.....	39
FINES MANAGEMENT, Stakeholder Relations	39
Fines System Management, COMPENSATION PAYMENTS	30
Fines System Management, FINES MANAGEMENT	37
Fines System Management, MANAGEMENT OF OTHER GOVERNMENT DEBT	42

-M-

MANAGEMENT OF OTHER GOVERNMENT DEBT	41
MANAGEMENT OF OTHER GOVERNMENT DEBT, Call Recording	41
MANAGEMENT OF OTHER GOVERNMENT DEBT, Compliance	41
MANAGEMENT OF OTHER GOVERNMENT DEBT, Debt Referral	42
MANAGEMENT OF OTHER GOVERNMENT DEBT, Enquiries	42
MANAGEMENT OF OTHER GOVERNMENT DEBT, Financial Investigation.....	42
MANAGEMENT OF OTHER GOVERNMENT DEBT, Fines System Management	42
MANAGEMENT OF OTHER GOVERNMENT DEBT, Payment Arrangement.....	43
MANAGEMENT OF OTHER GOVERNMENT DEBT, Policy	43
MANAGEMENT OF OTHER GOVERNMENT DEBT, Procedures.....	44
MANAGEMENT OF OTHER GOVERNMENT DEBT, Reporting.....	44
MANAGEMENT OF OTHER GOVERNMENT DEBT, Stakeholder Relations	44

-P-

Payment Arrangement, COMPENSATION PAYMENTS	31
Payment Arrangement, FINES MANAGEMENT	37
Payment Arrangement, MANAGEMENT OF OTHER GOVERNMENT DEBT	43
Policy, COMPENSATION PAYMENTS.....	31
Policy, FINES MANAGEMENT	37



Attorney-General's Department - Fines Enforcement and Recovery Unit (FERU)

Policy, MANAGEMENT OF OTHER GOVERNMENT DEBT	43
Procedures, COMPENSATION PAYMENTS.....	32
Procedures, FINES MANAGEMENT	38
Procedures, MANAGEMENT OF OTHER GOVERNMENT DEBT	44

-R-

Reporting, COMPENSATION PAYMENTS.....	32
Reporting, FINES MANAGEMENT	38
Reporting, MANAGEMENT OF OTHER GOVERNMENT DEBT	44
Reviewing, COMPENSATION PAYMENTS	33
Reviewing, FINES MANAGEMENT.....	39

-S-

Stakeholder Relations, COMPENSATION PAYMENTS	33
Stakeholder Relations, FINES MANAGEMENT.....	39
Stakeholder Relations, MANAGEMENT OF OTHER GOVERNMENT DEBT	44