Records disposal schedule

Name of Function:

Name of agency:

**Disposal Schedule No. Year/No.**

**Consultation Draft**

**Month Year**

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# Preamble

## Introduction

The Information Act 2002 states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so[[1]](#footnote-1). Disposal of records is permitted through the use of records disposal schedules and enable regular, planned and authorised disposal of records controlled by an agency.

Records retention decisions are based on:

* the current and future business needs of the organisation
* compliance with legal and governance requirements of the organisation
* the current and future needs of internal and external stakeholders, including the wider community.

Records disposal schedules provide continuing authorisation for the legal disposal of records and are authorised by the records service, archives service and chief executive officer of the public sector organisation responsible for the schedule.

Records disposal schedules apply to records created and maintained in any format, including electronic records, records in business systems, and parts of records.

In the Northern Territory government there are two types of records disposal schedules:

* General records disposal schedules that apply to records common to most or all NT Government public sector organisations, and
* Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

Functional records disposal schedules should be used in conjunction with general records disposal schedules.

# Structure of a Records Disposal Schedule

Records disposal 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. Records disposal schedules specify:

* whether a class of record has temporary or permanent status;
* the retention period for a temporary class of record;
* authorised disposal actions for a class of record. [[2]](#footnote-2)

Each class of records created by an agency is described using classifications based on business analysis.

Disposal schedules are developed using the functional structure based on the classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSWand modified for use by NT Government public sector organisations.

Within the schedule, functions are documented as the highest-level terms and business activities under the functions, followed by record classes, as shown in diagram 1.

Diagram 1

Function

Activity

Record Class

## Function

The function or keyword is the highest level in the classification scheme in this disposal schedule. The function is indicated at the start of each section and a description (scope note) provided.

## Activity

Activities are the processes or operations that make up the business function. This is the second level in the classification scheme in this disposal schedule. The description (scope note) provides details of the transactions that take place in relation to the activity, for example, REPORTING or POLICY.

## Record class

A record class is a group of records that relate to the same activity, function or subject and require the same disposal action. The descriptions can relate to one record (such as a register) or a group of records documenting a particular set of business transactions.

## Status and disposal action

The appraisal status of a record class is assigned as either permanent or temporary.

**PermanentRecords*:*** Records appraised with permanent status have been identified as archives and must be transferred to the NT Archives Service for their preservation and eventual public access.

The retention period for permanent records is the maximum period before the records must be transferred to the Archives Service. Permanent records must be transferred no later than 30 years after creation in accordance with the Information Act 2002, unless exemption has been granted (see Archives Management Standards Transfer of Archives, and Exemption from Compulsory Transfer of Permanent Records to the NT Archives Service). An Application to Transfer Records form must be submitted to the Archives Service before records will be accepted for transfer.

**Temporary records:** The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal trigger such as ‘date of action completed’, ‘date of audit’ or ‘date of birth’. Destruction should be done following consultation with relevant operational business employees responsible for the records.

Retention periods for temporary records in a records disposal schedule are minimum periods only and agencies may keep records for a longer period if considered necessary for business requirements.

Reasons for longer retention could include,

* administrative need or agency directives,
* legal requirements such as current or pending legal action,
* relevance to an investigation or inquiry which is in progress,
* is subject to an Information Access application, or
* subject to a disposal freeze.

The reactivation of a record may be triggered by such events as:

* record retrieved to meet a Freedom of Information (FOI) request
* record retrieved to meet a subpoena
* record retrieved to meet a Royal Commission Notice to Produce
* record identified as being of significant risk management status
* record identified as being required for possible legal proceedings.

Reactivation is **not** triggered by a record being accessed for:

* research/reference where no change is made to the record
* making a copy of the record or partial record for another purpose
* filing documents within the existing date range of the record

There is no requirement to destroy temporary records if an agency has a need to retain them longer than the designated minimum retention period. However, in the interests of efficient and economic records management, an agency should take all steps to reduce the storage costs of time-expired records.

## Sentencing records

Agency employees or Records Management Consultants engaged in sentencing records should be experienced records administrators who have a good understanding of business process so that they are able to identify the functions and activities described in the Schedule.

As sentencing involves matching records with the applicable disposal class/es there is obvious value in using corresponding terms for both classification and disposal. Where only one disposal class applies to a particular function and activity it should be possible to sentence records at creation. Where more than one disposal class applies to a particular function and activity, the similarity in classification and disposal terms narrows down the number of disposal classes the sentencer has to consult.

The following points should be kept in mind when sentencing records:

* read definitions of the function and activity as well as descriptions of the disposal classes
* consult other function/activity combinations in the Schedule if there is any ambiguity
* always sentence records by their content, not just their titles - titles can be misleading and the status of records may change after a title is given to a record
* examples and notes are given in disposal classes as a guide to assist users, however disposal classes relate to all records which document the transaction described and are not limited to the examples given
* watch out for types of information that have permanent value, e.g. policy, precedent cases, exceptional decisions and events, Cabinet submissions, items of National or Territory significance, minutes of high-level committees, etc
* watch out for records that are excluded from the Schedule, e.g. records created prior to 1 July 1978, records relating to legal discovery, records covered by a disposal freeze, records relating to agency-specific operational programs and projects, etc
* never try to make unique operational agency records “fit” into classes in the General Disposal Schedule - put the records to one side until an agency-specific functional Records Disposal Schedule is developed, if one does not already exist
* retention periods for temporary records must be calculated from the disposal action trigger, e.g. “Destroy 2 years after action completed” or “Destroy 2 years after superseded”, remembering that in paper files the date of action completed may not be the date on the last item added to a file
* where a record contains information that falls into two or more disposal classes, it must be sentenced in accordance with the disposal class with the longest retention period, BUT
* where a record contains information covered by a disposal class within both a general disposal schedule and an agency functional Records Disposal Schedule (RDS) it must be sentenced in accordance with the disposal class within the RDS
* sentencing on automated document and records management systems must always be subject to review and manual override before any disposal takes place
* retention periods in this schedule are the minimum time that records have to be retained, and agencies may delay disposal for administrative or legal purposes.

Records created prior to 1 July 1978 must not be disposed of without the authorisation of the Archives Service in accordance with Archives Management Standard Records Created Prior to 1978, unless specified in a schedule.

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

1. Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
2. Identify the disposal class.
3. 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.
4. If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
5. If the trigger event has not occurred (e.g. the record is still in active use), set a review date for the future.

# About this Records Disposal Schedule

## Purpose

The purpose of this Records Disposal Schedule is to enable regular, planned and authorised disposal of records of [name of functions and activities] of the [name of public sector organisation].

## Scope

Application of this Records Disposal Schedule is mandatory for [name of function] records of the [name of public sector organisation].

The schedule does not apply to unique agency-specific records that document core agency functions. This Records Disposal Schedule applies to [name of function] records in all formats.

## Responsibility

The Chief Executive of the [name of public sector organisation] is responsible for the content and implementation of this Records Disposal Schedule including the provision of advice and training, and for monitoring compliance.

## Authority

This Records Disposal Schedule is authorised in accordance with s 136B of the Information Act 2002.

Disposal Schedule No. [Year/No.] was approved by the Senior Director of Library & Archives NT (the Archives Service), Senior Director of ICT Policy and Governance (the Records Service), and the Chief Executive of the [name of public sector organisation] on [date] and is effective immediately.

## Re-sentencing records

All records sentenced under a superseded records disposal schedule [name and number of schedule] are to be re-sentenced using this schedule.

## Regulatory framework

The regulatory basis for this Records Disposal Schedule is defined in:

* [name of specific legislation]
* *Information Act 2002*
* NT public sector organisation records and information management standard
* NT Government Archives Management Standards
* Australian Standards AS ISO 15489:2002-Records Management.

## Related documents

This Records Disposal Schedule is to be read in conjunction with:

* NT public sector organisation records and information management standard – Records Disposal
* policies and procedures of the [name of public sector organisation]
* current authorised disposal schedules for [name of public sector organisation]
* current authorised general disposal schedules.

## Normal administrative practice

Public sector organisations are permitted to dispose of some short term or ephemeral documents under the authority of the Disposal Schedule for Short Term Value Records. These include:

* duplicate (e.g. information or reference copy)
* obviously unimportant (e.g. telephone message slips)
* of short term facilitative value (e.g. 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.

## Acknowledgement

The Archives Service and the Records Service acknowledge that material produced by National Archives of Australia, State Records Authority of New South Wales, State Records of South Australia, Public Records Office of Victoria, Territory Records Office and Standards Australia was used in the development of this schedule.

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 Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Senior Director, Library & Archives NT. The terms in the classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998), which is made available by the State Records of NSW under Creative Commons Attribution + ShareAlike 4.0 International (CC BY 4.0) License.

# Compliance checklist

|  |  |  |  |
| --- | --- | --- | --- |
| Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records. | [ ]  | Stop applying sentences from previous schedules that have been revoked or amended. | [ ]  |
| 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 Archives Service and Records Service. | [ ]  | Retain all records in good order and condition to be available for retrieval during the retention period. | [ ]  |
| 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. | [ ]  | Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic. | [ ]  |
| Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule. | [ ]  | 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. | [ ]  |
| 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. | [ ]  | Transfer records of permanent value to the Archives Service for retention as archives not later than 30 years after creation. | [ ]  |
| 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. | [ ]  | Inactive records can be transferred to offsite service providers providing they have been sentenced. | [ ]  |
| 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. | [ ]  | Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction. | [ ]  |
| Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly. | [ ]  | Do not destroy records that are not described in an authorised records disposal schedule. | [ ]  |
| Identify records that require re-sentencing where a previous disposal schedule has been superseded. | [ ]  | Do not destroy any records created prior to 1 July 1978 without specific authorisation from the Archives Service. | [ ]  |
|  |  |  |  |

# Disposal Schedule

| 1. Keyword |
| --- |
| The function of…Note: … |
| 1.1 Activity |
| The activities associated with … |
| **Class No.** | **Description of Records** | **Status and Disposal Action** |
| 1.1.1 | Records relating to …Includes … | PERMANENTTransfer to the Archives Service 10 years after action completed |
| 1.1.2 | Records relating to …Includes … | TEMPORARYDestroy X years after … |
|  | Use Keyword – Activity for the activities associated with … |  |

| 1. Keyword |
| --- |
| The function of…Note: … |
| 1.2 Activity |
| The activities associated with … |
| **Class No.** | **Description of Records** | **Status and Disposal Action** |
| 1.2.1 | Records relating to …Includes … | PERMANENTTransfer to the Archives Service 10 years after action completed |
| 1.2.2 | Records relating to …Includes … | TEMPORARYDestroy X years after … |
|  | Use Keyword – Activity for the activities associated with … |  |

| 2. Keyword |
| --- |
| The function of…Note: … |
| 2.1 Activity |
| The activities associated with … |
| **Class No.** | **Description of Records** | **Status and Disposal Action** |
| 2.1.1 | Records relating to …Includes … | PERMANENTTransfer to the Archives Service 10 years after action completed |
| 2.1.2 | Records relating to …Includes … | TEMPORARYDestroy X years after … |
|  | Use Keyword – Activity for the activities associated with … |  |

| 2. Keyword |
| --- |
| The function of…Note: … |
| 2.2 Activity |
| The activities associated with … |
| **Class No.** | **Description of Records** | **Status and Disposal Action** |
| 2.2.1 | Records relating to …Includes … | PERMANENTTransfer to the Archives Service 10 years after action completed |
| 2.2.2 | Records relating to …Includes … | TEMPORARYDestroy X years after … |
|  | Use Keyword – Activity for the activities associated with … |  |

1. S.145 Information Act 2002 [↑](#footnote-ref-1)
2. S.136A(3) Information Act 2002 [↑](#footnote-ref-2)