



Records disposal schedule

Records Disposal Schedule Greyhound Racing Regulation Department of Business

Disposal Schedule No. 2015/4

June 2015

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Preamble

Introduction

The *Information Act* states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so¹. 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 (http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records_disposal), 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

- a) whether a class of record has temporary or permanent status;
- b) the retention period for a temporary class of record;
- c) authorised disposal actions for a class of record.²

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

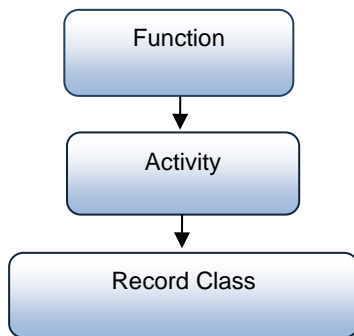
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

¹ S.145 *Information Act*

² S.136A(3) *Information Act*

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

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.

Permanent Records: 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 NT Archives Service. Permanent records must be transferred no later than 30 years after creation in accordance with the Information Act, 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 NT 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.

Records created prior to 1 July 1978 must not be disposed of without the authorisation of the NT 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 Greyhound Racing Regulation of the Department of Business.

Scope

Application of this Records Disposal Schedule is mandatory for Greyhound Racing Regulation records of the Department of Business.

This Records Disposal Schedule applies to Greyhound Racing Regulation records in all formats.

Responsibility

The Chief Executive of the Department of Business 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*.

Disposal Schedule No. 2015/4 was approved by the Director of the NT Archives Service (The Archives Service), Senior Director of ICT Policy and Governance (The Records Service), and the Chief Executive of the Department of Business on 05 June 2015 and is effective immediately.

Regulatory Framework

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

- *Greyhound Racing Rules*
- *Greyhounds Australasia Rules*
- *Racing and Betting Act*
- *Information Act*
- NT Government Records Management Standards
- 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 Government Records Management Standard – Records Disposal
- policies and procedures of the Department of Business
- current authorised disposal schedules for
- Department of Business

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 (eg 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.

Notification of Destruction

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

Note: In the case of the Disposal Schedule for Records of Short Term Value (Disposal Schedule No. 2003/10), notification is only required for the destruction of records described in Disposal Class No. 1.10.1.

Acknowledgement

The NT Archives Service and the NT 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 NT Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, NT Archives Service. The terms in the business classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998), and are produced under a licence agreement between the NT Archives Service and the State Records Authority of New South Wales.

Compliance Checklist	
<input type="checkbox"/> Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records	<input type="checkbox"/> Stop applying sentences from previous schedules that have been revoked or amended
<input type="checkbox"/> Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the NT Archives Service and NT Records Service	<input type="checkbox"/> Retain all records in good order and condition to be available for retrieval during the retention period.
	<input type="checkbox"/> Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
<input type="checkbox"/> Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records	<input type="checkbox"/> Implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form, migration to new systems, and conversion to long term medium
<input type="checkbox"/> 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	<input type="checkbox"/> 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
<input type="checkbox"/> Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule	<input type="checkbox"/> Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
<input type="checkbox"/> 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	<input type="checkbox"/> Inactive records can be transferred to offsite service providers providing they have been sentenced
<input type="checkbox"/> 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	<input type="checkbox"/> Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
<input type="checkbox"/> 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	<input type="checkbox"/> Notify the NT Records Service of destruction of all records
<input type="checkbox"/> Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly	<input type="checkbox"/> Do not destroy records that are not described in an authorised records disposal schedule.
<input type="checkbox"/> Identify records that require re-sentencing where a previous disposal schedule has been superseded	<input type="checkbox"/> Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

Disposal Schedule

1. Greyhound Racing Regulation

The function of regulating the greyhound racing industry in the Northern Territory for the purpose of ensuring all persons involved strictly adhere to all Northern Territory and Greyhound Australasia policies and regulations. Includes the registration of clubs, greyhounds, syndicates and stewards, investigations into complaints, routine inspections of kennels, meetings and tracks, and maintaining registers as required under the *Greyhound Racing Rules*.

1.1 Advice

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

Class No.	Description of Records	Status and Disposal Action
1.1.1	Records documenting formal advice to and from the Minister and other government bodies and organisations such as Greyhounds Australasia in relation to greyhound racing regulation. Includes ministerials and draft versions.	Permanent Transfer to NT Archives Service 10 years after action completed
1.1.2	Records documenting routine advice in relation to greyhound racing regulation such as legislation requirements and application processes.	Temporary Destroy 3 years after action completed

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1.2 Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

Class No.	Description of Records	Status and Disposal Action
1.2.1	<p>Records documenting objections lodged with the Chief Steward in relation to greyhound racing, or appeals by persons, or clubs against a decision by a steward, committee of a club, an official of a club, or an officer of the Commission.</p> <p>Examples of objections/appeals include where the greyhound was not qualified or was disqualified.</p> <p>Includes decisions of the Appeals Committee and Racing Appeals Tribunal, notices of hearings, written objections and receipts of payments. Also includes objections that have been dismissed.</p>	<p>Temporary</p> <p>Destroy 7 years after action completed</p>

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1.3 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records documenting delegation given by the Commission to persons of powers and functions under the <i>Greyhound Racing Rules</i> .	Permanent Transfer to the NT Archives Service 10 years after action completed
1.3.2	Records documenting the approved registrations of clubs under the Act, including applications that have been refused. Includes applications, copies of constitutions, receipts of prescribed fees, terms and conditions, copies of annual reports, notifications to the Commission of allotment of dates, postponement and programmes of meetings and copies of certificates of approval. May include written notifications to the Commissioner where a change in office-bearers occurs in a club, cancellations of approvals for meeting dates, requests to vary proposed programmes and conditions of a race, notifications to the Commission of postponement or abandonment of meetings.	Temporary Destroy 7 years after the registration has expired, suspended, cancelled or action completed.
1.3.3	Records documenting approved applications for the registration of persons to be a syndicate, an owner, attendant or a private or public trainer of a greyhound by the Chief Steward, including renewals and applications that have been refused.	Temporary Destroy 7 years after the registration has expired, suspended, cancelled or action completed

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1.3 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
	<p>Includes applications, training agreements, receipts of prescribed fees, evidence of qualifications and experience and written decisions.</p> <p>May include written notifications to the Commission where a member is disqualified, or a change in the membership of a syndicate.</p>	
1.3.4	<p>Records documenting the approved registrations and naming of greyhounds, including registrations of greyhounds outside of the Territory and the use of assumed names by the Commission and applications that have been refused.</p> <p>Includes applications, receipts of prescribed fees and copies of notifications from Greyhounds Australasia.</p> <p>May include notifications of change of ownerships and leasing of greyhounds such as when a greyhound is sold or disposed of, or notifications of greyhound deaths and returned certificates of registrations.</p>	<p>Temporary</p> <p>Destroy 7 years after the registration has expired, suspended, cancelled or action completed</p>
1.3.5	<p>Records documenting approved applications for Sires and Studmasters to be registered, including renewals by the Chief Steward and applications that have been refused.</p>	<p>Temporary</p> <p>Destroy 7 years after the registration has expired, suspended, cancelled or action completed</p>

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1.3 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
	Includes applications, copies of veterinarian certificates, notifications of services, authorities from registered owners, and notifications of whelping and litters. May include written consent by the Commission to utilise artificial insemination, copies of veterinarian tests and where the Commission has suspended the registration of the Sire.	
1.3.6	Records documenting approved applications for registration of greyhound trial tracks, including renewals and applications that have been refused. Includes applications, receipts of prescribed fees and other supporting documentation.	Temporary Destroy 7 years after the registration has expired, suspended, cancelled or action completed
1.3.7	Records documenting approved applications to lease a registered greyhound to another person for the purpose of breeding or racing, including applications that have been refused. Includes applications and prescribed fees, copies of certificates of registrations of the particular greyhound, and terms and conditions,	Temporary Destroy 7 years after the registration has expired, suspended, cancelled or action completed
1.3.8	Records documenting approved applications for the registration of	Temporary Destroy 7 years after action

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1.3 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
	<p>litters, including applications that have been refused.</p> <p>Includes applications, receipts of prescribed fees and certificates of inspections.</p>	completed
1.3.9	<p>Records documenting the appointment of stewards by the Commission, including appointments of chairman of stewards, appointment of Commission veterinarians and graders, and the appointment of lure drivers by the Commission, including withdrawals.</p> <p>Includes notifications of appointments to the clubs, directions given to stewards by the Commission, notifications to the Commission where an appointed steward is removed by the club, nomination of veterinarians to officiate at a meeting or qualifying trial, and receipts of fee services of veterinarians.</p>	<p>Temporary</p> <p>Destroy 7 years after appointment ceases</p>

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1.4 Committees

The activities associated with the management of committees, sub committees, councils, forums working groups, boards and task forces (internal and external, private, community, local, state, national, international, etc.). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records documenting committees such as the Greyhound Racing Committee, Animal Welfare Committee and the Chief Stewards Conference in relation to greyhound racing regulation. Includes notifications of meetings, agendas, minutes and action registers.	Temporary Destroy 10 years after action completed

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1.5 Compliance

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards.

Class No.	Description of Records	Status and Disposal Action
1.5.1	Records documenting major investigations into persons suspected of being dishonest, corrupt, fraudulent or improper in relation to greyhounds or greyhound racing that has set a precedent or is of public wide interest, including cancellations, disqualifications and suspensions of registrations. Includes inspection notes, extracts of documents, photos, video and audio footage, and written notices to clubs.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.5.2	Records documenting minor investigations into persons suspected of being dishonest, corrupt, fraudulent or improper in relation to greyhounds or greyhound racing, including cancellations, disqualifications and suspensions of registrations. Includes inspection notes, extracts of documents, photos, video and audio footage, and written notices to clubs.	Temporary Destroy 7 years after action completed
1.5.3	Records documenting the publication of results of the number of services performed by a registered sire and the number of progeny produced from those	Temporary Destroy 7 years after action completed

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1.5 Compliance

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards.

	services.	
1.5.4	Records documenting where a greyhound dies at a meeting or qualifying trial before, during or after a race and where an autopsy has been performed by a veterinarian.	Temporary Destroy 7 years after action completed
1.5.5	Records documenting notifications of training by registered trainers to the Commission and inspections into accommodations for greyhounds such as kennels. Includes inspection records.	Temporary Destroy 5 years after action completed

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1.6 Control

The activities associated with creating, maintaining and evaluating control mechanisms eg Thesaurus.

Class No.	Description of Records	Status and Disposal Action
1.6.1	<p>Register for Greyhound Racing Regulation.</p> <p>Details include:</p> <ul style="list-style-type: none"> - owners - trainers - attendants - breeders - assumed names - syndicate names - syndicate names - trial tracks - managers and assistant managers - mechanical lure licences - registered clubs 	<p>Permanent</p> <p>Retain in organisation (manage and migrate data to new platform during system upgrades)</p> <p>Transfer hardcopy register to the NT Archives Service 10 years after last entry</p>

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1.7 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

Class No.	Description of Records	Status and Disposal Action
1.7.1	Master set of policies and standard operating procedures. Such as the Greyhound Racing Heat Policy and the Greyhound Racing Animal Welfare Policy.	Permanent Transfer to NT Archives Service 10 years after action completed
1.7.2	Records documenting the development of policies in relation to greyhound racing regulation. Includes draft versions, consultation notes, legal advice and other related correspondence.	Temporary Destroy 5 years after the policy has superseded