



## Records disposal schedule

# **Records Disposal Schedule Higher Education Teaching and Learning Charles Darwin University**

**Disposal Schedule No. 2017/17**

**November 2017**

**Amended May 2018**

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## Table of contents

<b>Preamble</b> .....	<b>i</b>
Introduction.....	i
<b>Structure of a Records Disposal Schedule</b> .....	<b>i</b>
Function.....	iii
Activity .....	iii
Record Class .....	iii
Status and Disposal Action .....	iii
<b>About this Records Disposal Schedule</b> .....	<b>v</b>
Purpose .....	v
Scope .....	v
Responsibility .....	v
Authority .....	v
Regulatory Framework.....	vi
Related Documents .....	vi
Normal Administrative Practice .....	vi
Notification of Destruction .....	vi
Acknowledgement .....	vii
<b>Compliance Checklist</b> .....	<b>viii</b>
<b>Disposal Schedule</b> .....	<b>1</b>
1. Higher Education Teaching and Learning .....	1
1.1 Advice.....	1
1.2 Assessment .....	2
1.3 Authorisation.....	3
1.4 Awards.....	4
1.5 Committees.....	5
1.6 Compliance.....	6
1.7 Course Delivery .....	7
1.8 Curriculum Management.....	9
1.9 Enquiries.....	10
1.10 Student Practicum.....	11

## 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 so<sup>1</sup>. 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 / vice chancellor 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](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.<sup>2</sup>

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

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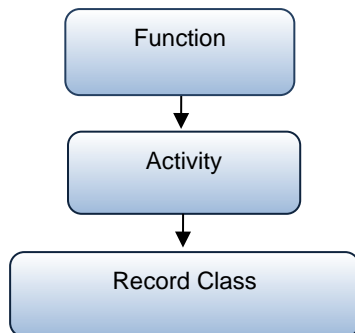
<sup>1</sup> S.145 *Information Act*

<sup>2</sup> S.136A(3) *Information Act*

State Records Authority of NSW and 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

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 the Higher Education Teaching and Learning function of the Charles Darwin University.

### Scope

Application of this Records Disposal Schedule is mandatory for Higher Education Teaching and Learning records of the Charles Darwin University from 1989. This Records Disposal Schedule applies to Charles Darwin University records in all formats. For records created prior to 1989 please contact NT Archives Service. This Records Disposal Schedule does not cover records created by the Menzies School of Health Research.

### Responsibility

The Vice Chancellor of the Charles Darwin University 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. 2017/17 was approved by the Director of the NT Archives Service (The Archives Service), Senior Director, Digital Policy (The Records Service), and the Vice Chancellor of the Charles Darwin University on 9 November 2017 and is effective immediately.

Schedule of amendments to the Higher Education Teaching and Learning Records Disposal Schedule were authorised by the Vice Chancellor of the Charles Darwin University on 9 May 2018 and are effective immediately.

Page	Element	Type of edit	Description of amendment
All	Function Scope Note	Category B	Words added as follows: "includes non-award and short courses."



## Regulatory Framework

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

- *Charles Darwin University Act*
- *Education Services for Overseas Students Act*
- *Higher Education Act*
- *Higher Education Regulations*
- *Student of the University By-Laws*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489-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 Charles Darwin University
- current authorised disposal schedules for Charles Darwin University

## 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. Higher Education Teaching and Learning

The function of higher education teaching and learning in the Charles Darwin University, including curriculum planning and development, assessment, course material, resources and evaluation. Includes non-award and short courses.

#### 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 high level advice provided to other Government bodies, Universities and Industry, in relation to teaching and learning, including recommendations, future trends and impacts to changes to legislation.  Includes letters and related correspondence.	Permanent  Transfer to the NT Archives Service 10 years after action completed

## 1. Higher Education Teaching and Learning

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### 1.2 Assessment

The activities associated with processing and forming judgements about the quality and extent of student learning.

Class No.	Description of Records	Status and Disposal Action
1.2.1	Master set of examination papers, assignment outlines and other assessment instructions.	Permanent Retain in organisation
1.2.2	Records documenting the grade/mark of individual assessment items.  May include appeals about examinations and assessment results or overall grade awarded and requests for review of grade and assessment results.	Temporary Destroy 7 years after period of completion or withdrawal
1.2.3	Records documenting the review, moderation and confirmation of results of student cohort, such as peer review.	Temporary Destroy 2 years after action completed
1.2.4	Records documenting examination scripts and other forms of assessment completed by students of the University.  Includes artwork, assignments, models, oral reports, performance reports, presentations and written reports.	Temporary Return to student or destroy 1 year after the end of the appeal period
	Use 2016/13 1.9 – STUDENT ADMINISTRATION – EXAMINATION for records documenting administrative arrangements for examinations and assessments.	
	Use 1.10 - STUDENT PRACTICUM for records documenting student practicums.	

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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 registration of the Charles Darwin University to be a registered provider of courses for overseas students with the Commonwealth Register of Institutions and Courses for Overseas Students – CRICOS, including additional courses added, amendments to the registration, changes to registration conditions and renewals.	Permanent Transfer to the NT Archives Service 10 years after action completed

## 1. Higher Education Teaching and Learning

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### 1.4 Awards

The activities associated with the granting of awards to staff in recognition of teaching excellence. Includes awards for university teaching given to individuals or to the institution, and internal and external awards.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records documenting significant awards given by the University, including those sponsored by external organisations.  Includes applications, recommendations and supporting documentation.	Permanent Retain in organisation
1.4.2	Records documenting routine or unsuccessful nominations for awards.  Includes nominations and supporting documentation.	Temporary Destroy 5 years after action completed
1.4.3	Records documenting the development and establishment of excellence awards within the University.	Permanent Retain in organisation

## 1. Higher Education Teaching and Learning

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### 1.5 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
1.5.1	Records documenting committees in relation to teaching and learning, such as the Accreditation Committee, Learn Line Steering Group and the University Learning and Teaching Committee.  Includes agendas, minutes, discussion papers and other related correspondence.	Temporary  Destroy 7 years after committee is no longer active
	Use 2016/14 1.5.5 and 1.5.6 – CHARLES DARWIN UNIVERSITY GOVERNANCE – COMMITTEES for records relating to the academic board.	



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### 1.6 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
1.6.1	<p>Records documenting compliance with regulatory standards in relation to higher education teaching and learning, Includes:</p> <ul style="list-style-type: none"> <li>- provider information requests given to the Tertiary Education Quality and Standards Agency (TEQSA)</li> <li>- Material changes notification to TEQSA</li> <li>- Annual Statements provided to TEQSA</li> <li>- Compliance audits with the Commonwealth Register of Institutions for Overseas Students (CRICOS)</li> <li>- Quality assessments by TEQSA</li> <li>- Implementation of Higher Education standards</li> </ul>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

## 1. Higher Education Teaching and Learning

The function of higher education teaching and learning in the Charles Darwin University, including curriculum planning and development, assessment, course material, resources and evaluation. Includes non-award and short courses.

### 1.7 Course Delivery

The activities associated with the delivery of course curriculum.

Class No.	Description of Records	Status and Disposal Action
1.7.1	Register of controlled and restricted drugs in accordance with regulatory requirements, including disposal dates. Includes: <ul style="list-style-type: none"> <li>- Date Drug Used</li> <li>- Name of person whom dispensed</li> <li>- Original volume received</li> <li>- Amount used</li> <li>- Balance remaining</li> <li>- Purpose of use</li> <li>- Name of Authorised Person</li> <li>- Signature of dispenser</li> </ul>	Permanent Retain in organisation
1.7.2	Master set of course material.	Temporary Destroy 10 years after course ceases
1.7.3	Records documenting the delivery of courses. Includes lecture notes, timetables, readings, self-assessment exercises and study guides.	Temporary Destroy 7 years after delivery of course completed
1.7.4	Audio and visual recordings of lectures, tutorials, seminars, workshops and clinics.	Temporary Destroy 6 months after action completed
1.7.5	Records document the acquisition, use, management and disposal of high risk material such as teratogens, carcinogens, ionising radiation or dangerous drugs used in teaching and learning activities.	Temporary Destroy 25 years after action completed

## 1. Higher Education Teaching and Learning

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### 1.7 Course Delivery

The activities associated with the delivery of course curriculum.

Class No.	Description of Records	Status and Disposal Action
1.7.6	Records documenting the acquisition, use, management and disposal of chemicals, specimens, non-restricted drugs and poisons used in teaching and learning activities that are not deemed high risk material.	Temporary Destroy 10 years after action completed
1.7.7	Records documenting the managing of clinical and hazardous waste in accordance with regulatory requirements.	Temporary Destroy 10 years after action completed

## 1. Higher Education Teaching and Learning

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### 1.8 Curriculum Management

The activities associated with the development, approval and review of curriculum. Includes accreditation.

Class No.	Description of Records	Status and Disposal Action
1.8.1	Records documenting successful application for accreditation of courses or programs by the Academic Board.  Includes accreditation requirements, learning outcomes, applications and supporting documents.	Permanent Retain in organisation
1.8.2	Master set of curricula.  May include course and unit structures, learning outcomes, assessment guides and feedback methods.	Permanent Retain in organisation
1.8.3	Records documenting applications for accreditation of courses or programs by the Academic Board that have not been approved.  Includes applications, supporting documents and notifications of accrediting bodies.	Temporary Destroy 7 years after action completed
1.8.4	Records documenting the development and review of curricula, including academic calibration for courses and programs.  Includes draft versions, review notes, and other related correspondence.	Temporary Destroy 7 years after action completed

## 1. Higher Education Teaching and Learning

The function of higher education teaching and learning in the Charles Darwin University, including curriculum planning and development, assessment, course material, resources and evaluation. Includes non-award and short courses.

### 1.9 Enquiries

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

Class No.	Description of Records	Status and Disposal Action
1.9.1	Records documenting enquiries regarding course or unit information from students, employees and other universities.  Includes related correspondence.	Temporary  Destroy 3 years after action completed

## 1. Higher Education Teaching and Learning

The function of higher education teaching and learning in the Charles Darwin University, including curriculum planning and development, assessment, course material, resources and evaluation. Includes non-award and short courses.

### 1.10 Student Practicum

The activities associated with managing student work placements whereby students practise activities learned in relation to a course or program of study. Includes clinical placements and experiential learning.

Class No.	Description of Records	Status and Disposal Action
1.10.1	Records documenting work experience contracts for students participating in courses, including signed skill assessment sheets.	Temporary Destroy 30 years after graduation
1.10.2	Records documenting the management of student work experience placements for students participating in courses.  Includes copies of clearances, summary records providing proof of the number of hours completed and level of performance by students undertaking practicum, such as nursing and teaching and related correspondence.	Temporary Destroy 7 years after action completed