

Records disposal schedule

Occupational Licensing and Associations

Department of Industry, Tourism and Trade

Disposal Schedule No. 2023/003

December 2023

For information and advice, please contact
Records Service
Department of Corporate and Digital Development
GPO Box 2391
Darwin NT 0801

Email: NTG.RecordsPolicy@nt.gov.au
Telephone: 08 8999 1781
Facsimile: 08 8924 3880
Website: <https://dcdd.nt.gov.au/government-records>

Contents

Preamble	iv
Introduction.....	iv
Structure of a Records Disposal Schedule	iv
Function	v
Activity	v
Record class.....	v
Status and disposal action.....	v
About this Records Disposal Schedule	vii
Purpose	vii
Scope	vii
Responsibility.....	vii
Authority.....	vii
Re-sentencing records	vii
Regulatory framework	viii
Related documents	ix
Normal administrative practice	ix
Acknowledgement.....	ix
Compliance checklist	x
Disposal Schedule	1
1. Occupational Licensing and Associations.....	1
1.1 Advice.....	1
1.2 Appointments	2
1.3 Approvals.....	3
1.4 Control	4
1.5 Fund Management.....	6
1.6 Grant Funding.....	7
1.7 Inquiries.....	8
1.8 Investigations	9
1.9 Licensing, Registrations and Permits.....	10
1.10 Meetings.....	13
1.11 Policy.....	15
1.12 Reporting.....	16
1.13 Reviewing.....	17

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 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,
- 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.

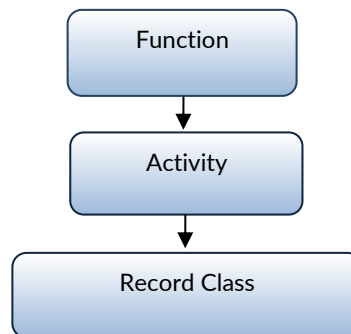
Disposal schedules are developed using the functional structure based on the classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

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.

¹ S.145 Information Act 2002

² S.136A(3) Information Act 2002

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 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,
- subject to a disposal freeze.

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 Occupational Licensing and Associations, within the Department of Industry, Tourism and Trade.

Scope

Application of this records disposal schedule is mandatory for Occupational Licensing and Associations' records of the Department of Industry, Tourism and Trade.

This records disposal schedule applies to Occupational Licensing and Associations records in all formats.

Responsibility

The Chief Executive Officer of the Department of Industry, Tourism and Trade 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. 2023/003 was approved by the Senior Director of Library & Archives NT (the Archives Service), Director Digital Policy and Data Strategy (the Records Service), and the Chief Executive Officer of the Department of Industry, Tourism and Trade on 6 December 2023 and is effective immediately.

Re-sentencing records

All records sentenced under the following superseded records disposal are to be re-sentenced using this schedule.

- 2009/04 – Disposal Schedule – Business Affairs Regulation
- 2014/04 – Disposal Schedule – Tobacco Licensing Regulation
- 2014/06 – Disposal Schedule – Private Security Licensing Regulation
- 2014/07 – Disposal Schedule – Prostitution Licensing Regulation
- 2014/08 – Disposal Schedule – Motor Vehicle Dealers Licensing Regulation
- 2014/09 – Disposal Schedule – Pawnbrokers and Second-Hand Dealers Regulation
- 2014/11 – Disposal Schedule – Auctioneers Licensing
- 2014/13 – Disposal Schedule – Property Agents Licensing Regulation
- 2014/14 – Disposal Schedule – Commercial and Private Agents Licensing Regulation
- 2014/19 – Disposal Schedule – NT Licensing Commission
- 2014/20 – Disposal Schedule – Associations Regulation
- 2015/16 – Disposal Schedule – Licensed surveyors management
- 2015/18 – Disposal Schedule – Architects regulation
- 2015/19 – Disposal Schedule – Building practitioners regulation
- 2015/20 – Disposal Schedule – Electrical works and contractors' regulation
- 2015/21 – Disposal Schedule – Plumbers and drainers licensing regulation

Regulatory framework

The regulatory basis for this records disposal schedule is defined in:

- *Agents Licensing Act 1979*
- *Agents Licensing Regulations 1979*
- *Architects Act 1963*
- *Architects Act 1965*
- *Associations Act 2003*
- *Associations (Model Constitution) Regulations 2004*
- *Associations Regulations 2004*
- *Auctioneers Act 1935*
- *Building Act 1993*
- *Building Regulations 1993*
- *Commercial and Private Agents Licensing Act 1979*
- *Commercial and Private Agents Licensing Regulations 2001*
- *Consumer Affairs and Fair-Trading Act 1990*
- *Consumer Affairs and Fair Trading (Infringement Notice Offences) Regulations 2012*
- *Consumer Affairs and Fair Trading (Motor Vehicles Dealers) Regulations 1992*
- *Consumer Affairs and Fair Trading (Pawnbrokers and Second-Hand Dealers) Regulations 1998*
- *Co-Operatives (National Uniform Legislation) Act 2015*
- *Co-Operatives (National Uniform Legislation) Regulations 2015*
- *Electrical Workers and Contracts Act 1978*
- *Electrical Workers and Contractors Regulations 1984*
- *Licensed Surveyors Act 1983*
- *Plumbers and Drainers Licensing Act 1983*
- *Plumbers and Drainers Licensing Validation Act 1990*
- *Plumbers and Drainers Licensing Regulations 1983*
- *Private Security Act 1995*
- *Private Security (Crowd Controllers) Regulations 1996*
- *Private Security (Miscellaneous Matters) Regulations 2006*
- *Private Security (Security Firms) Regulations 1998*
- *Private Security (Security Officers) Regulations 1998*
- *Sex Industry Act 2019*
- *Sex Industry Regulations 2020*
- *Tobacco Control Act 2002*
- *Tobacco Control Regulations 2002*
- *Information Act 2002*
- 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 public sector organisations records and information standards
- policies and procedures of the Department of Industry, Tourism and Trade
- current authorised disposal schedules for Department of Industry, Tourism and Trade
- 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 Director, Archives Service. The terms in the 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

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

Disposal Schedule

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

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	Examples	Status and Disposal Action
1.1.1	Records documenting the provision and receipt of formal advice in relation to the occupational licensing and associations' function. Includes ministerials, briefing notes, instruments, minutes, business recommendations, gazette notices and related correspondence.	- Formal advice	Permanent Transfer to the Archives Service 30 years after action completed
1.1.2	Records documenting routine advice given to members of the public and industry on licensing processes and legislation requirements in relation to occupational licensing and associations.	- General advice	Temporary Destroy 5 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.2 Appointments

The activities of appointing members to councils, advisory bodies, boards, working groups, consultants and committees. Includes nominations, resignations and pecuniary interests. Includes delegations.

Class No.	Description of Records	Examples	Status and Disposal Action
1.2.1	Records documenting statutory delegations of any powers and functions to a CEO or statutory authority by the Minister, under the relevant acts in relation to occupational licensing and associations. Includes written instruments, business recommendations, nominations, advertisements, ministerial and related correspondence.	- Statutory delegations by Minister to CEO	Permanent Transfer to the Archives Service 30 years after action completed
1.2.2	Records documenting delegations of authority to all other agency staff. Includes business recommendations and related correspondence.	- Delegations - other staff	Temporary Destroy 7 years after delegation expires
1.2.3	Records documenting statutory appointments pursuant to the various acts in relation to occupational licensing and associations, such as inspectors, directors, and executive officers. Includes terms and conditions, business recommendations and related correspondence.	- Authorised Officers - Inspectors - Directors - Executive Officers	Temporary Destroy 7 years after appointment ends

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.3 Approvals

The activity of seeking and granting permission to undertake a requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.3.1	Records documenting statutory declarations under various acts in relation to the occupational licensing and association function, such as setting of fees, plumbing licenses areas, and class of persons to be a security provider. Includes gazette notices, ministerial, business recommendations, written consents, maps, technical reports, written opinions and related correspondence. May include variations, revocations, and exemptions.	<ul style="list-style-type: none"> - Setting of fees - Plumbing licenced areas - Security provider class of persons 	Permanent Transfer to the Archives Service 30 years after action completed
1.3.2	Records documenting approval by the Minister for competency standards and training in relation to category licences, such as a Security Officer or Security Firm, and Crowd Controller, in accordance with the <i>Private Security Act 1995</i> , and relevant regulations. Includes ministerial, business recommendations, exemptions, written instruments, consultation notes and gazette notices.	<ul style="list-style-type: none"> - Private security competency training 	Permanent Transfer to the Archives Service 30 years after action completed
1.3.3	Records documenting the approval of courses, qualifications, and experience in relation to a class of licence or registration in accordance with relevant regulations. Includes consultation notes and publication notices and related correspondence.	<ul style="list-style-type: none"> - Agents – Board approval - Building Practitioners – Minister’s determination 	Permanent Transfer to the Archives Service 30 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.4 Control

The activity of creating, maintaining and evaluating control mechanisms, e.g. business classification scheme, compliance registers etc.

Class No.	Description of Records	Examples	Status and Disposal Action
1.4.1	<p>Registers pursuant to the relevant acts in relation to the occupational licensing:</p> <ul style="list-style-type: none"> - Register of Incorporated Associations - Register of assets of dissolved associations - Register of Tobacco Retail - Register of Co-Operatives - Register of Building Practitioners - Register of Motor Vehicle Dealers - Register of Commercial and Private Agents - Register of Pawnbrokers and Second-Hand Dealers - Register of Licensed Surveyors - Register of Electrical Workers and Contractors licences and permits - Register of Advanced Tradesmen and Journeymen - Register of Private Security Licence holders - Register of Architects, Architectural partnerships and Architectural companies - Register of Licensed Real Estate Agents, Licenced Business Agents, Agents' Representatives and Conveyancing Agents - Register of Auctioneers 	<ul style="list-style-type: none"> - Statutory registers 	<p>Permanent</p> <p>Transfer to the Archives Service 30 years after action completed</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.4 Control

The activity of creating, maintaining and evaluating control mechanisms, e.g. business classification scheme, compliance registers etc.

Class No.	Description of Records	Examples	Status and Disposal Action
	Includes licence / permit number, name of applicants, terms and conditions, requests for inspections, extracts from the Register and approved amendments.		
1.4.2	Public register of associations as required under the <i>Associations Act 2003</i> . Including copies of constitutions, copies of registration certificates, public officer's details, financial statements, audit reports and other statutory documents required under the act.	<ul style="list-style-type: none"> - Associations Register - Constitutions - Audited financials - Public officer 	Temporary Destroy 15 years after association is dissolved or transferred

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.5 Fund Management

The activity of managing funding bodies. Includes receiving and disbursing monies and considering applications for funding, funding of loans to Government, managing the Territory's borrowing program, and provision of financial products.

Class No.	Description of Records	Examples	Status and Disposal Action
1.5.1	<p>Records documenting the establishment and management of the Agents Licensing Fidelity Guarantee Fund of the Northern Territory, under the <i>Agents Licensing Act 1979</i>.</p> <p>Includes appointment of members, including the Registrar and Chairperson, terms and conditions, ministerial, written instruments, determinations, applications of claims, business recommendations, gazette notices, newspaper notifications, agenda, minutes, conflict of interest declarations and related correspondence.</p> <p>May include resignations, dismissals, terminations of appointments, applications for a review and court orders.</p>	<ul style="list-style-type: none"> - Establishment and management of Agents Licensing Fidelity Guarantee Fund (ALFGF) - Meetings (ALFGF) - Appointment of members (ALFGF) 	<p>Permanent</p> <p>Transfer to the Archives Service 30 years after action completed</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.6 Grant Funding

The activity of managing the application for, acquittal and receipt of grants.

Class No.	Description of Records	Examples	Status and Disposal Action
1.6.1	<p>Records documenting grants of money from the Fidelity Fund approved by the Minister as stated under the <i>Agents Licensing Act 1979</i>, such as to Registered Training Organisations for the provision of educational courses and delivery of services.</p> <p>Includes the Board's determinations of which a Registered Training Organisation will receive allocated funds, annual reports of the Fidelity Fund transactions, funding agreements, financial statements, progress reports and acquittals, and administrative orders.</p> <p>Includes terms and conditions, applications by an Industry body such as REINT and the Australian Institute of Conveyancers and NT Government agencies. Includes funding agreements, financial statements, progress reports and acquittals.</p>	- Grants from the Fidelity Fund	Temporary Destroy 7 years after grant acquitted
1.6.2	<p>Records documenting unsuccessful grant applications in relation to the occupational, licensing and associations' function.</p> <p>Includes applications, written notices and related correspondence.</p>	- Unsuccessful grant applications	Temporary Destroy 3 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.7 Inquiries

The activity of liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by persons or bodies who have been empowered to inquire and report on a subject, such as Royal Commissions, Parliamentary and Ombudsman's inquiries, disciplinary and application inquiries. Includes the agency's participation in the inquiry by providing evidence in the form of records, submissions or staff.

Class No.	Description of Records	Examples	Status and Disposal Action
1.7.1	<p>Records documenting statutory inquiries in relation to agents licensing, commercial and private agents, building practitioners, licensed surveyors, architects, and motor vehicle dealers, as required under relevant acts.</p> <p>Includes inquiry reports, ministerial, business recommendations, consultation notes, witness statements and related correspondence.</p> <p>May include ministerial appointments of legal practitioners for the purpose of assisting the Board.</p>	<ul style="list-style-type: none"> - Agent's licensing inquires - Commercial and private agent inquiries - Building practitioners - Motor vehicle dealers - Licensed Surveyor - Architects 	<p>Permanent</p> <p>Transfer to the Archives Service 30 years after action completed</p>
	<p>Use the Records Disposal Schedule Administrative Functions of the Northern Territory Government – GOVERNMENT RELATIONS – INQUIRIES for records documenting the organisations contribution and involvement in inquiries by bodies such as Royal Commissions, Parliamentary Committees, and the Ombudsman.</p>		

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.8 Investigations

The acts and processes involved in ascertaining facts by investigation.

Class No.	Description of Records	Examples	Status and Disposal Action
1.8.1	<p>Records documenting major investigations into persons suspected of being dishonest, corrupt, fraudulent, or improper, charged, convicted, or found guilty of an offence in relation to occupational licensing and associations, under the relevant acts, that result in changes to legislation, policy or processes, including where the investigation case sets a precedent.</p> <p>Includes written complaints, compliance activity, file notes, witness statements, video footage, photographs, statutory declarations, investigation reports, show cause notices, supporting documentation, gazette notices, instruments, bank statements, copies of legal advice, court orders, enforceable undertaking agreements, and related correspondence.</p>	- Major investigations	<p>Permanent</p> <p>Transfer to the Archives Service 30 years after action completed</p>
1.8.2	<p>Records documenting minor investigations into persons suspected of being dishonest, corrupt, fraudulent, or improper, charged, convicted, or found guilty of an offence in relation to the function occupational licensing and associations, under the relevant acts, that do not result in legal or disciplinary action, or set a case precedent.</p> <p>Includes written complaints, compliance activity, file notes, witness statements, video footage, photographs, statutory declarations, investigation reports, show cause notices, supporting documentation, gazette notices, instruments, bank statements, copies of legal advice, court orders, enforceable undertaking agreements, and related correspondence.</p>	- Minor investigations	<p>Temporary</p> <p>Destroy 10 years after investigation has concluded</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.9 Licensing, Registrations and Permits

The activity of assessing and granting of permits, registrations or licences required by or from the agency to undertake requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.9.1	<p>Records documenting the registration and management of incorporated associations and co-operatives.</p> <p>Includes statutory declarations, copies of constitutions or rules, meeting minutes, receipts of prescribed fees, audited financial accounts, applications to change the association's name, copies of instruments relating to association trusts, applications to alter the objectives of the association, notification of appointments and change of address by the public officer, transfer of property resolutions, dissolutions of associations, reinstatements of dissolved associations, annual reports, proposed rules of the cooperative, notifications of special resolutions, disclosure statements, notification of the appointment of all directors and offices, returns of directors, and annual reports.</p> <p>May include refused applications, ministerial, written notices to the association, application of transfer of incorporation, merger application of a co-operative, transfer of engagement applications for a co-operative, Director's written consent, gazette notices, applications to close a cooperative and related correspondence, applications for appeals, notices of decisions, court proceedings and transcripts.</p>	<ul style="list-style-type: none"> - Incorporation of associations - Co-operatives 	<p>Temporary</p> <p>Destroy 15 years after association or cooperative is dissolved or transferred</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.9 Licensing, Registrations and Permits

The activity of assessing and granting of permits, registrations or licences required by or from the agency to undertake requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.9.2	<p>Records documenting applications for occupational licences, registrations and permits under various acts, such as agents licensing, conveyancers, architect registrations, auctioneers, building practitioners registrations, commercial and private agents, electrical workers and contractors, licensed surveyors, motor vehicle dealers, pawnbrokers and second-hand dealers, plumbers and drainers, private security officers and tobacco retailers.</p> <p>Includes terms and conditions, receipts of prescribed fees, documents in support of applications under mutual recognition and automatic mutual recognition, correspondence by the Commissioner of Police, criminal history reports, notifications of changes to the licensee circumstances, copies of identification, business plans, business name extracts, written notices of compliance, statutory declarations, examination results, copies of qualifications and other supporting documentation.</p> <p>May include applications that have been refused, varied, cancelled, surrendered, suspended, applications for review, court proceedings and transcripts, notices of decisions, written objections, reciprocity certificates, requests for duplicate licences where a licence has been lost, defaced, or destroyed, show cause notices, deed of undertakings, and other related correspondence.</p>	<ul style="list-style-type: none"> - Agents Licences - Architects' registrations - Auctioneers - Building Practitioners registrations - Commercial and Private Agents - Electrical Workers and Contractors - Licensed Surveyors - Motor Vehicle Dealers - Pawnbrokers and Second-hand dealers - Plumbers and Drainers - Private Security - Tobacco Retail 	<p>Temporary</p> <p>Destroy 15 years after licence or registration expires, is cancelled, withdrawn or surrendered</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.9 Licensing, Registrations and Permits

The activity of assessing and granting of permits, registrations or licences required by or from the agency to undertake requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.9.3	<p>Records documenting applications for suitability certificates for sex service providers pursuant to the <i>Sex Industry Act 2019</i>.</p> <p>Includes terms and conditions, receipts of prescribed fees, criminal history reports, copies of financial records, copies of identification documents, business name extracts and related correspondence.</p> <p>May include suitability certificates that have been refused, revoked and applications for a review of decision.</p>	- Sex Industry Suitability Certificate	Temporary Destroy 7 years after registration ceases

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.10 Meetings

The activity of appointing members to statutory positions, including to councils, advisory bodies, boards, working groups, consultants and committees. Includes nominations, resignations, pecuniary interests, management of meetings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or agency. Includes arrangements, agenda, taking of minutes, etc.

Class No.	Description of Records	Examples	Status and Disposal Action
1.10.1	<p>Records documenting the establishment and management of various statutory boards and committees in relation to the Occupational Licensing and Associations function, such as the Electrical Workers and Contractors Licensing Board, Architects Board, Agents Licensing Board, Building Practitioners Board, Surveyors Board of the Northern Territory Australia, Licensed Surveyors Appeal Tribunal, Plumbers and Drainers Licensing Board and the Review Committee.</p> <p>Includes appointment of members, declarations of conflict of interest, terms and conditions, gazette notices and instruments, ministerial, business recommendations, agendas, minutes, discussion papers, policies, and related correspondence.</p> <p>May include resignations, dismissals, nominations, advertising, remuneration of sitting fees and travel documentation.</p>	<ul style="list-style-type: none"> - Electrical Workers and Contractors Licensing Board - Architects Board - Agents Licensing Board - Building Practitioners Board - Surveyors Board of the NT - Licensed Surveyors Appeal Tribunal - Plumbers and Drainers Licensing Board - Review Committee (<i>Sex Industry Act 2019</i>) 	<p>Permanent</p> <p>Transfer to the Archives Service 30 years after action completed</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.10 Meetings

The activity of appointing members to statutory positions, including to councils, advisory bodies, boards, working groups, consultants and committees. Includes nominations, resignations, pecuniary interests, management of meetings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or agency. Includes arrangements, agenda, taking of minutes, etc.

Class No.	Description of Records	Examples	Status and Disposal Action
	Use the Records Disposal Schedule Administrative Functions of the Northern Territory Government – Committees for records documenting high level committees where Licensing NT is the NT Government’s main representative, such as inter-governmental committees.		

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.11 Policy

The activity of developing and establishing decisions, directions and precedents that act as a reference for future decision making or as the basis from which an agency's operating procedures are determined.

Class No.	Description of Records	Examples	Status and Disposal Action
1.11.1	Records documenting core functional policies and codes of practice in relation to the occupational licensing and associations' function, such as the Code of Practice for Security Officers and Crowd Controllers, Practice Direction – Security Providers – Asphyxia, Code of Practice for Licensed Surveyors, the Ministerial Determination for Building Practitioners and various Board policies. Includes ministerial, gazette notices, business recommendations, consultation notes, Board decisions, formal draft versions, background research and related correspondence.	<ul style="list-style-type: none"> - Codes of Practice for Licensed Surveyors - Code of Practice for Security Officers and Crowd Controllers - Practice Direction – Security Providers - Asphyxia - Ministerial Determination for Building Practitioners 	Permanent Transfer to the Archives Service 30 years after action completed
	Use Records Disposal Schedule for Administrative Functions of the Northern Territory Government – STRATEGIC MANAGEMENT – LEGISLATION – for records documenting formal reviews and amendments to legislation relating to the occupational licensing and associations.		

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.12 Reporting

The activity of 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 findings of the results of the examination or investigation. Includes briefing, business, discussion papers, proposals, reports, reviews and returns.

Class No.	Description of Records	Examples	Status and Disposal Action
1.12.1	Records documenting major reports in relation to the occupational licensing and associations' function, including annual reports.	- Annual reports	Permanent Transfer to the Archives Service 30 years after action completed
1.12.2	Records documenting Inter-departmental and external reports in relation to occupational licensing and associations' function. Includes inter-jurisdictional reports, key performance reports, strategic and business plans, achievements, budgets, estimates, initiatives, outputs and quarterly updates.	- Inter-departmental reports - External reports - Performance reports	Temporary Destroy 5 years after completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Occupational Licensing and Associations

The function of managing occupational licences, registrations and incorporated associations, in accordance with the relevant acts and regulations. Includes setting policy and monitoring compliance for associations, co-operatives, sex service businesses, and occupations such as, property agents, conveyancers, architects, auctioneers, building practitioners, commercial and private agents, electrical workers and contractors, licensed surveyors, tobacco retail, motor vehicle dealers, pawnbroker and second-hand dealers, plumbers and drainers and private security.

1.13 Reviewing

The activity involved in enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc, and the business activities of the organisation in general. Includes following up enquiries relating to organisation programs, projects, working papers, literature searches.

Class No.	Description of Records	Examples	Status and Disposal Action
1.13.1	Records documenting formal reviews in relation to the occupational licensing and associations' function, including statutory reviews. Includes final reports, consultation notes, statistic reports, client surveys, background research notes, formal draft versions and related correspondence.	<ul style="list-style-type: none"> - Review of the <i>Sex Industry Act 2019</i> - Internal agency reviews - External consultant reviews 	Permanent Transfer to the Archives Service 30 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.