Records Disposal Schedule Forensic Science Services NT Police, Fire and Emergency Services

Disposal Schedule No. 2009/6

July 2009



DISPOSAL SCHEDULE NO. 2009/6 JULY 2009

For information and advice, please contact NT Records Service Department of Business and Employment GPO Box 2391 Darwin NT 0801

Telephone: (08) 8924 3847 Facsimile: (08) 8924 3880

Website: http://uluru.nt.gov.au/dbe/records

19 20

Table of Contents		1.14 1.15	Training
ABOUT THIS DISPOSAL SO	CHEDULE 2		
Purpose	2		
Scope	2		
Regulatory Framework	2		
Related Documents	2		
Responsibility	3		
Authority	3		
Explanation	3		
NT Government Disposal Sci	hedules 3		
Sentencing Records	3		
Re-sentencing Records	4		
Normal Administrative Practic	ce 4		
Notification of Destruction	4		
Acknowledgment	4		
COMPLIANCE	5		
Compliance Checklist	5		
DISPOSAL SCHEDULE	6		
1. FORENSIC SCIENCE	SERVICES 6		
 1.1 Advice 1.2 Audit 1.3 Authorisation 1.4 Committees 1.5 Compliance 1.6 Control 1.7 Fingerprinting 1.8 Meetings 1.9 Photography and Im Development 1.10 Policy 1.11 Procedures 	14 15 16		
1.12 Reporting1.13 Research	17 18		

ABOUT THIS DISPOSAL SCHEDULE

Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of records of Forensic Science Services of the NT Police, Fire and Emergency Services.

Scope

Application of this Disposal Schedule is mandatory for Forensic Science Services records of the NT Police, Fire and Emergency Services.

This Disposal Schedule applies to Forensic Science Services records in all formats, including electronic records and records in business systems, copies of records and parts of records of the Northern Territory Government.

Regulatory Framework

The regulatory basis for this Disposal Schedule is defined in:

- Police Administration Act
- Evidence Act
- Youth Justices Act
- ▶ Information Act 2002
- Australian Standards AS ISO 15489:2002-Records Management
- ▶ ISO/IEC 17025:2005

Related Documents

This Disposal Schedule is to be read in conjunction with:

- NT Government Records Management Standard – Records Disposal
- Policies and procedures of the NT Police,
 Fire and Emergency Services.
- Current authorised disposal schedules for NT Police, Fire and Emergency Services
- NTPFES Records Disposal Schedule 1998/4.

^ Note that this Disposal Schedule supersedes the NTPFES Records Disposal Schedule 1998/4 for Forensic Science Services which can no longer be used to sentence Forensic Science Services records

- * Disposal Schedule for Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN).
- * Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government Disposal Schedule No 2003/2 (IM).
- Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).
- Disposal Schedule for the Financial Management Records of the Northern Territory Government – Disposal Schedule No. 2001/2 (FM).
- ▶ Disposal Schedule for the Human Resource Management Records of the Northern Territory Government – Disposal Schedule No. 2001/6 (HRM).
- Disposal Schedule for Records of Short Term Value – Disposal Schedule No. 2003/10
- NT Archives Service Guidelines on Normal Administrative Practice for Records Disposal

Responsibility

The Chief Executive of the NT Police, Fire and Emergency Services is responsible for the content and implementation of this Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Disposal Schedule was approved by the Director of the NT Archives Service (The Archives Service), Director of Information Strategy (The Records Service), and the Chief Executive of the NT Police, Fire and Emergency Services on 27 July 2009 and is effective immediately.

Explanation

This schedule has been 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.

Records disposal schedules are policy documents that describe each class of records held, using thesaurus classifications based on business analysis. The 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.

Either permanent or temporary status is assigned to each class of records. Records appraised with permanent status have been identified as archives and must be transferred to the NT Archives Service not later than 30 years after creation. Temporary records will be destroyed at an appropriate time determined by the disposal action identified in the schedule and by consultation with relevant operational business employees responsible for the records.

NT Government Disposal Schedules

There are two types of records disposal schedules:

- "general" disposal schedules that apply to records common to most or all NT Government public sector organisations, and
- records disposal schedules specific to an NT Government public sector organisation or function.

There are presently five disposal schedules which provide disposal coverage for records common to most or all NT Government public sector organisations –the General Disposal Schedule for Financial Management Records, the General Disposal Schedule for Human Resource Management Records, the General Disposal for Administrative Records, the General Disposal Schedule for Information Management Records and the Disposal Schedule for Records of Short term Value. These can be used by all NT Government public sector organisations to assist with the disposal of administrative records.

Sentencing Records

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

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

Re-sentencing Records

All records sentenced under superseded disposal schedule NTPFES Records Disposals Schedule 1998/4 are to be resentenced using this schedule.

Normal Administrative Practice

Some records and ephemeral documents can be destroyed as a normal administrative practice if they are:

- duplicate (eg information or reference copy)
- obviously unimportant (eg telephone message slips)
- of short term facilitative value (eg 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. The reason for destruction of all records must be recorded in full on the relevant control records. Normal administrative practice can be applied to electronic records as well as paper records (eg information on word processing systems where a hard copy has been captured into a recordkeeping system)

Notification of Destruction

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

Acknowledgment

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 and Standards Australia was used in the development of this schedule.

The schedule was drafted principally by the NT Police, Fire and Emergency Services in consultation with the NT Records Service.

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

Compliance Checklist

Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records		Stop applying sentences from previous schedules that have been revoked or amended
Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules,		Retain all records in good order and condition to be available for retrieval during the retention period.
to an appropriately skilled records manager who consults with the NT Records Service		Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records		Select and implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original
Identify and sentence all records described in this schedule in all formats including electronic records and records in business systems,		form migration to new systems conversion to long term medium
copies of records and parts of records Apply this records disposal schedule to records		Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems,
in the organisation's records management systems, including systems for the management of paper records, electronic		copies of records and parts of records
records, or records in any other format	Ш	Transfer records of permanent value to the NT Archives Service not later than 30 years after creation for retention as archives
Apply this records disposal schedule to records in the organisation's business systems, either directly or by linking the business system to a records management system		Inactive records can be transferred to offsite service providers providing they have been sentenced
Implement quality assurance mechanisms to periodically check that the disposal class originally assigned at the creation of the records is still applicable at the time of sentencing of the record		Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
Implement review or quality control procedures in electronic recordkeeping systems to ensure		Notify the NT Records Service of destruction of all records
disposal actions are implemented correctly.		Do not destroy records that are not described in an authorised records disposal schedule
Identify records series that require resentencing		unless they are ephemeral documents that are obviously duplicate and/or unimportant

DISPOSAL SCHEDULE

1. FORENSIC SCIENCE SERVICES

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes, biological and chemical samples.

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 relating to advice and opinions given or received in the formulation of strategies and policies for the forensic science services function leading to significant policy or strategy change.	PERMANENT
		Transfer to NT Archives Service 10 years after action completed
1.1.2	Records relating to routine advice and opinions given or received for the forensic science services function leading to no significant policy or strategy change.	TEMPORARY
		Destroy 5 years after action completed

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.2 AUDIT

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Class No. **Description of Records** Status and **Disposal Action** Records relating to audits conducted to ensure records, 1.2.1 **TEMPORARY** equipment and items are maintained in accordance with authorised policy, procedures and international standards. Destroy 10 years after audit completed Includes but is not limited to firearm reference library audit; firearm and ballistic audit; database audit; forensic specimen/sample audits; forensic exhibit audit; drug exhibit audit; scientific laboratory audits; audit results, audit meeting outcomes, recommendations and determination.

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

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 relating to the authorisation of non-intimate procedures carried out by police officers on a person (adult or juvenile) suspected of committing a crime; charged with committing a crime; charged with an offence punishable by imprisonment; summonsed to appear before a court of law or who is in lawful police custody. Includes authorisation of voluntary non-intimate procedures carried out by police officers on a person for the purpose of identification, elimination.	TEMPORARY Destroy where required by a court order or determination otherwise retain a minimum of 80 years after date of birth then destroy
1.3.2	Records relating to the authorisation of intimate procedures carried out by a Doctor or Dentist on a person in lawful custody. Includes voluntary consent by a person to undergo an intimate procedure.	TEMPORARY Destroy where required by a court order or determination otherwise retain a minimum of 80 years after date of birth then destroy

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.4 COMMITTEES

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth 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 relating to agency attendance and participation on committees formed to consider matters pertaining to the provision of Forensic Science analysis where the agency is the NT Government's main representative.	TEMPORARY
		Destroy 10 years after action completed
	Includes appointment of members, agenda, minutes, distribution lists, invitations to attend, supporting papers, briefing papers and discussion papers.	
	Example - Specialist Advisory Groups and Australia New Zealand Forensic Science Society.	
1.4.2	Records relating to the administration of committees, including draft agenda, distribution lists, invitations to	TEMPORARY
	attend, organising of venue and travel arrangements.	Destroy 5 years after action completed
	Use FORENSIC SCIENCE SERVICES – MEETINGS – for meetings of Forensic Science Management team.	

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

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, such as the Records Management Standard AS ISO 15489 2002.

Class No.	Description of Records	Status and Disposal Action
1.5.1	Records relating to National Association of Testing Authorities accreditation and compliance with international standards eg ISO/IEC 17025:2005 for the provision of forensic science analysis.	TEMPORARY
		Destroy 10 years after action completed
	Includes audit records, assessment and evaluation of staff, training, supervision, methods, quality control, proficiency testing, equipment, recording and reporting of test results; and the environment in which the laboratory operates.	
1.5.2	Records relating to facility accreditation and compliance with national standards concerning registration as a Quarantine Approved Premises.	TEMPORARY
		Destroy 10 years after action completed
	Includes applications, renewal applications, conditions, staff accreditation and training, compliance reports and reviews.	
1.5.3	Records relating to monthly station returns forwarded to Forensic Science Branch containing details of all intimate and non-intimate procedures other than identifying procedures conducted by members at regional and bush police stations.	TEMPORARY
		Destroy 5 years after action completed
	Includes name of sample provider, member, approving officer, the status of the sample provider i.e. in custody, suspect, victim, criminal history check, volunteer for elimination purposes, refusal, year in which the sample was taken.	

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

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	Register of photographic services created prior to 1995.	PERMANENT
	Includes job book, index book, date of offence, type of offence and registered number.	Transfer to NT Archives Service 30 years after action completed
1.6.2	Records relating to the management of Forensic Science Branch job files and forensic analysis activity. ITEMS -	PERMANENT
	Items Tracking Evidence Management System.	Transfer to NT Archives Service 30 years after action
	Includes details of the application of fingerprint analysis, chemistry, photography, biology, ballistics and firearm analysis, job numbers, tracking details, current status, Promis reference and outcome.	completed (manage and migrate data to new media / platform during system upgrades)
1.6.3	Records relating to results obtained from the carrying out of intimate and non-intimate procedures (including results	PERMANENT
	obtained prior to 15 February 1999)	Transfer to NT Archives Service 30 years after action completed (manage and migrate data to new media / platform during system upgrades)
1.6.4	Records relating to the register of crime scene examination attendance – crime scene log.	PERMANENT
	Includes date, time, requesting officer, details of attendance.	Transfer to NT Archives Service 30 years after action completed (manage and migrate data to new media / platform during system upgrades)

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.7 FINGERPRINTING

The activities related to the recording and comparison of fingerprint and palm impressions used for the purposes of identification.

Class No.	Description of Records	Status and Disposal Action
1.7.1	Records relating to the capture of fingerprints. Master Set.	TEMPORARY
		Destroy where required by a court order or determination otherwise retain a minimum of 80 years after date of birth
1.7.2	Records relating to subsequent sets of prints taken for an offence committed by recidivist. (Prints are independent from the master sets)	TEMPORARY
		Destroy 20 years after action completed
1.7.3	Records relating to the identification of deceased persons through the use of fingerprint impressions.	TEMPORARY
	Includes request for fingerprint services, copies of affidavits, and fingerprint impressions.	Destroy 20 years after date of death
1.7.4	Records relating to Fingerprint job files created as a result of a request for fingerprinting services or investigation at a	TEMPORARY
	crime scene or incident.	Retain in agency pending approval of Policing and Crime Detection disposal schedule

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.8 MEETINGS

The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes, etc. May be used for staff meetings.

Class No. Description of Records

1.8.1 Records relating to attendance and participation at meetings convened to discuss matters relating to the provision of forensic science services and analysis. Includes informal and formal meetings of the forensic science management team.

Includes administrative arrangements, briefings, travel details, agenda items, minutes, discussion papers and reports.

Use FORENSIC SCIENCE SERVICES – COMMITTEES – for meetings of formal committees and groups convened on a regular basis.

Status and Disposal Action

TEMPORARY

Destroy 6 years after action completed

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.9 PHOTOGRAPHY AND IMAGE DEVELOPMENT

The activities associated with creating photographic records relating to police work and/or evidence of crimes including victims, weapons, accidents, assaults, child abuse, persons of interest. Includes the capture of copies of photographs supplied by a third party.

Class No.	Description of Records	Status and Disposal Action
1.9.1	Records relating to requests for the provision of photographic services.	TEMPORARY
	Includes but is not limited to the developing of film, supply of prints, reprints or enlargements.	Destroy 4 years after request is processed
1.9.2	Records relating to the processing, verification and dispatch to Criminal History and Warrants Unit of offender	TEMPORARY
	photographs taken by watch house members and processed by forensic photography.	Destroy 4 years after processing complete
	Includes details of offender, date of photograph, verification of photograph, date of dispatch from forensic photography.	
1.9.3	Master set of photographic images.	TEMPORARY
	Includes negatives and digital images stored to disc.	Retain in agency pending approval of Policing and Crime Detection disposal schedule
1.9.4	Master set of photographic images of persons held in police custody.	TEMPORARY
		Destroy where required by a court order or determination or notification of death otherwise retain a minimum of 80 years after date of birth
1.9.5	Members working copies of photographic images	TEMPORARY
		Destroy when reference ceases

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.10 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
1.10.1	Records relating to the development and review of policies regarding the provision of forensic services and analysis. Includes master records.	PERMANENT
		Transfer to NT Archives Service 5 years after policy is superseded
1.10.2	Working papers relating to the development and review of policies regarding the provision of forensic services and analysis.	TEMPORARY
		Destroy 5 years after policy superseded
	Includes working papers, policy proposals, options considered, recommendations and determination resulting from, investigation or analysis into serious incidents, coronial investigations, research and drafting documentation consultation with internal and external stakeholders.	

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.11 PROCEDURES

Standard methods of operating laid down by an organisation according to formulated policy.

Class No.	Description of Records	Status and Disposal Action
prod	Records relating to the development and review of procedures regarding the provision of forensic science services and analysis. Includes master records.	PERMANENT Transfer to NT Archives Service 5 years after
		procedure is superseded
1.11.2	Records relating to the development and review of procedures regarding the provision of forensic science services and analysis.	TEMPORARY
		Destroy 2 years after procedure superseded
	Includes working papers, proposals, options considered, recommendations and determination resulting from, investigations into serious incidents, coronial investigations, research and drafting documentation, consultation with internal and external stakeholders.	

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.12 REPORTING

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Class No.	Description of Records	Status and Disposal Action
1.12.1	Records relating to statistical reports on sample analysis and examination collated from internal and external	TEMPORARY
	sources.	Destroy 10 years after action completed
	Includes monthly statistical review reports.	completed
1.12.2	Records relating to briefing papers provided to executive management concerning the forensic science services	TEMPORARY
	function.	Destroy 10 years after action completed

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.13 RESEARCH

The activities 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 organisational programs, projects, working papers, literature searches etc. Add the name of the research topic as free text.

Class No.	Description of Records	Status and Disposal Action
1.13.1	Records relating to research for the purpose of developing and supporting systems, projects and policies for forensic science analysis.	TEMPORARY
		Destroy 10 years after action completed
	Includes project identification, proposals, audit papers, surveys, final reports (results of research).	completed
1.13.2	Records relating to research data and literature.	TEMPORARY
	Includes enquiries, literature searches, questionnaires, statistics, surveys, working papers and other raw data.	Destroy when reference ceases

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.14 SCIENTIFIC EXAMINATION

The activities associated with the scientific analyses of physical evidence

Class No.	Description of Records	Status and Disposal Action
1.14.1	Records relating to forensic service job files containing the application of scientific or specialised analysis of evidence.	TEMPORARY
	Includes the application of chemistry, biology, crime scene examination, ballistic and firearm analysis.	Retain in agency pending approval of Policing and Crime Detection disposal schedule
	Use FORENSIC SCIENCE SERVICES – FINGERPRINTING for analysis of fingerprints and fingerprint job files.	

The function of scientific examination of physical evidence to assist in legal and or criminal investigations. Includes the analysis of fingerprints, photographs, firearms, crime scenes and biological and chemical samples.

1.15 TRAINING

The activities associated with all aspects of training.

Class No.	Description of Records	Status and Disposal Action
1.15.1	Records relating to employee attendance and participation in training seminars, nationally accredited courses and workshops specifically focussed on forensic science services function.	TEMPORARY
		Destroy 10 years after separation of employee from Forensic Science Branch
	Includes administrative arrangements, course or seminar outline, discussion papers, course or seminar material, member's report of attendance.	

