



Records disposal schedule

Records Disposal Schedule Correctional Training and Assessment Services Staff Learning and Development Centre Department of Correctional Services

Disposal Schedule No. 2016/19

November 2016

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Table of Contents

Preamble **i**

 Introduction i

Structure of a Records Disposal Schedule **i**

 Function ii

 Activity ii

 Record Class ii

 Status and Disposal Action ii

About this Records Disposal Schedule **iv**

 Purpose iv

 Scope iv

 Responsibility iv

 Authority iv

 Regulatory Framework iv

 Related Documents iv

 Normal Administrative Practice iv

 Notification of Destruction v

 Acknowledgement v

Compliance Checklist **vi**

Disposal Schedule **1**

 1. Correctional Training and Assessment Services 1

 1.1 Advice 1

 1.2 Accreditation 2

 1.3 Agreements 3

 1.4 Compliance 4

 1.5 Control 5

 1.6 Contracting Out 6

 1.7 Course Delivery 7

 1.8 Course Development 8

 1.9 Course Documentation 10

 1.10 Graduation 11

 1.11 Reporting 12

 1.12 Student Assessment History 14

Preamble

Introduction

The *Information Act* states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so¹. Disposal of records is permitted through the use of records disposal schedules and enable regular, planned and authorised disposal of records controlled by an agency.

Records retention decisions are based on:

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

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

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

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

- [General records disposal schedules](#) that apply to records common to most or all NT Government public sector organisations, and
- Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

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

Structure of a Records Disposal Schedule

Records disposal schedules set out minimum requirements for the creation, maintenance, retention or destruction actions to be taken in relation to existing or future records described in each class. Records disposal schedules specify

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

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

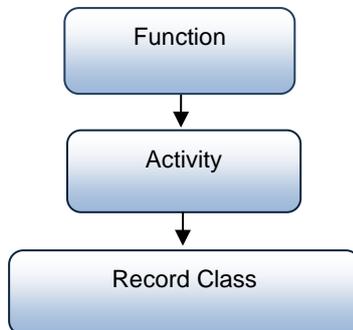
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

¹ S.145 *Information Act*

² S.136A(3) *Information Act*

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

Diagram 1



Function

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

Activity

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

Record Class

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

Status and Disposal Action

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

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

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

Temporary records: The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal trigger such as 'date of action completed', 'date of audit' or 'date of birth'.

Destruction should be done following consultation with relevant operational business employees responsible for the records

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

Reasons for longer retention could include,

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

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

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

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

About this Records Disposal Schedule

Purpose

The purpose of this Records Disposal Schedule is to enable regular, planned and authorised disposal of records of Correctional Training and Assessment Services of the Department of Correctional Services

Scope

Application of this Records Disposal Schedule is mandatory for Correctional Training and Assessment Services records of the Department of Correctional Services.

This Records Disposal Schedule applies to Correctional Training and Assessment Services records in all formats.

Responsibility

The Chief Executive of the Department of Correctional Services 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. 2016/19 was approved by the Director of the NT Archives Service (The Archives Service), Senior Director of ICT Policy and Governance (The Records Service), and the Chief Executive of the Department of the Attorney-General and Justice on 4 November and is effective immediately.

Regulatory Framework

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

- *National Vocational Education and Training Regulator Act 2011(Cth)*
- *Standards for Registered Training Organisations 2015*
- *Information Act*
- 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 Department of the Attorney-General and Justice
- current authorised disposal schedules for Department of the Attorney-General and Justice.

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

<p>1. Correctional Training and Assessment Services</p> <p>The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.</p>			
<p>1.1 Advice</p> <p>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.</p>			
Class No.	Description of Records	Examples	Status and Disposal Action
1.1.1	<p>Records documenting the provision of major advice between the Minister and the Commissioner and other Government and National Bodies.</p> <p>Includes ministerial and briefing notes, proposed responses to incidents, training and development opportunities, and legislation amendments.</p>	<ul style="list-style-type: none"> • Ministerial • Briefing notes 	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.2 Accreditation

The activities associated with gaining recognition for an educational institution to deliver courses in compliance with relevant standards and quality.

Class No.	Description of Records	Examples	Status and Disposal Action
1.2.1	Records documenting the agency's accreditation as an approved Registered Training Organisation (RTO) and its compliance with the Australian Skills Quality Authority (ASQA) standards for RTOs.	<ul style="list-style-type: none"> RTO Accreditation with ASQA 	Temporary Destroy 15 years after accreditation expires

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.3 Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements and /or exchange of letters between parties, as well as informal agreements.

Class No.	Description of Records	Examples	Status and Disposal Action
1.3.1	<p>Records documenting the establishment, negotiation, maintenance and review of agreements with other governments, government organisations or bodies concerning community training and assessment services such as with the Department of Health and relevant industry business systems.</p> <p>Includes:</p> <ul style="list-style-type: none"> - memoranda of understanding - agreements with other government departments 	<ul style="list-style-type: none"> • Agreements with other government bodies and industry stakeholders 	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.4 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	Examples	Status and Disposal Action
1.4.1	<p>Records documenting audits conducted by the Australian Skills Quality Authority against standards for Registered Training Organisations such as registration audits and compliance audits.</p> <p>Includes notifications of audits, self-assessments, invoices and final reports.</p> <p>May include non-compliance reports and other supporting documentation.</p>	<ul style="list-style-type: none"> ASQA Audits 	<p>Temporary</p> <p>Destroy 7 years after audit completed</p>
1.4.2	<p>Records documenting internal audits into correctional training and assessment services.</p> <p>Includes final audit reports, checklists, continuous improvement reports and other supporting documents.</p>	<ul style="list-style-type: none"> Internal Audits 	<p>Temporary</p> <p>Destroy 7 years after audit completed</p>

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1.5 Control

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

Class No.	Description of Records	Examples	Status and Disposal Action
1.5.1	<p>Register of all correctional staff and their certificates and qualifications in the current business system.</p> <p>Includes:</p> <ul style="list-style-type: none"> - Persons name - Persons contact details - Persons age - Course they are enrolled in - Results - Overall assessments - Withdrawals - certificates 	<ul style="list-style-type: none"> • Wisenet Database 	<p>Permanent</p> <p>Retain in organisation</p> <p>(manage and migrate data to new platform during system upgrades)</p>

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1.6 Contracting Out

The activities involved in arranging, procuring and managing the performance of work or the provision of goods or services by a contractor, consultant, service provider, or by using external bureau services. Includes contract management and work done under contractual agreements and service agreements made under contract. Sometimes referred to as outsourcing.

Class No.	Description of Records	Examples	Status and Disposal Action
1.6.1	Records documenting the engagement of consultants to deliver courses on behalf of the Department such as St Johns and Anglicare. Includes negotiations, terms and conditions, invoices and related correspondence.	<ul style="list-style-type: none"> Contracts with St Johns & Anglicare 	Temporary Destroy 7 years after completion of contract

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.7 Course Delivery

The activities associated with delivery of a course or training/assessment program. It includes all the administrative processes required to ensure that participants, trainers and assessors are in attendance: all learning and assessment activities undertaken by participants; and all monitoring, assessment and evaluation carried out by staff for the particular occasion. Also includes the delivery of presentations for current awareness updates.

Note: COURSE DELIVERY may also be used for assessment-only enrolments in a course or Recognised Prior Learning RPL activity.

Use COURSE DOCUMENTATION - [Course Name] for the curricula, lesson plans or assessment items used in a particular delivery and add them to a cumulative file if they have changed since the previous delivery.

Class No.	Description of Records	Examples	Status and Disposal Action
1.7.1	<p>Course reports including results of course evaluations and feedback in relation to correctional training and assessment services by course participants.</p> <p>Includes action plans, lesson plans, attendance sheets, and related administrative arrangements.</p>	<ul style="list-style-type: none"> • Course attendance Sheets • Course feedback • Course administrative arrangements 	<p>Temporary</p> <p>Destroy 3 years after action completed</p>

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.8 Course Development

The activities associated with the specification of desired training outcomes in the form of curricula or competency units and the development of delivery sequence instructions, lesson plans, assessment instructions and assessment instruments to implement training and assessment for curricula or training package qualifications.

Use COURSE DOCUMENTATION - [Course Name] for the curricula, lesson plans or assessment items used in a particular delivery and add them to a cumulative file if they have changed since the previous delivery.

Class No.	Description of Records	Examples	Status and Disposal Action
1.8.1	Records documenting the establishment of the need for, approval of, and the agreement to develop (or significantly redevelop), a course such as the certificate 3 in custodial services. Includes strategies with regards to industry technology and techniques, legislation and policies and validations.	<ul style="list-style-type: none"> • Certificate 3 in Correctional Practice • Certificate 4 in Training and Assessment • Certificate 2 in Justice Services • Certificate 3 & 4 – Youth Detention • First Aid 	Temporary Destroy 7 years after action completed
1.8.2	Records documenting the development of course content, delivery plans, handouts, assessment results checklists, learning guidelines and lesson plans, human resources and other related documents. Includes files notes, surveys, legal advice, consultation	<ul style="list-style-type: none"> • Draft Course content 	Temporary Destroy 3 years after action completed

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.8 Course Development

The activities associated with the specification of desired training outcomes in the form of curricula or competency units and the development of delivery sequence instructions, lesson plans, assessment instructions and assessment instruments to implement training and assessment for curricula or training package qualifications.

Use COURSE DOCUMENTATION - [Course Name] for the curricula, lesson plans or assessment items used in a particular delivery and add them to a cumulative file if they have changed since the previous delivery.

Class No.	Description of Records	Examples	Status and Disposal Action
	notes from other business units and industry suppliers and related correspondence.		

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.9 Course Documentation

The activities associated with delivery of a course or training/assessment program. It includes all the administrative processes required to ensure that participants, trainers and assessors are in attendance: all learning and assessment activities undertaken by participants; and all monitoring, assessment and evaluation carried out by staff for the particular occasion. Also includes the delivery of presentations for current awareness updates.

Class No.	Description of Records	Examples	Status and Disposal Action
1.9.1	<p>Master set of material and resources developed for training course delivery in relation to correctional training and assessment services.</p> <p>Includes programs, trainer notes, hand-outs, training material, assessment procedures, presentations, scripts, templates and other supporting documents..</p>	<ul style="list-style-type: none"> Each Business Unit of Competency 	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.10 Graduation

The activities involved in arranging a graduation ceremony where students become graduates.

Class No.	Description of Records	Examples	Status and Disposal Action
1.10.1	<p>Records documenting graduation ceremonies for students who have completed courses relevant to correctional training and assessment services.</p> <p>Includes ministerial briefs, graduation programs, protocols, graduation lists, photos, talent release requests, Commissioner speaker notes, copies of presentations and related administrative arrangements.</p> <p>May include transcripts of guest speeches other than the Commissioner.</p>	<ul style="list-style-type: none"> Graduation ceremonies 	<p>Temporary</p> <p>Destroy 7 years after action completed</p>

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.11 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 an examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Class No.	Description of Records	Examples	Status and Disposal Action
1.11.1	<p>Quarterly reports in relation to correctional training and assessment services to the Department of Business and the National Regulator Body on training and assessment activities.</p> <p>Includes reports, briefing and discussion papers, comments received, drafts, returns and reviews.</p>	<ul style="list-style-type: none"> • AVETMISS Quarterly Reports 	<p>Temporary</p> <p>Destroy 15 years after action completed</p>
1.11.2	<p>Annual reports on training and assessment activities of particular sections, and records relating to such reports, including briefing and discussion papers, comments received, drafts, returns and reviews.</p>	<ul style="list-style-type: none"> • Annual Reports to Management 	<p>Temporary</p> <p>Destroy 10 years after action completed</p>
1.11.3	<p>Records documenting the development of high level reports to the Department of Business, National Regulator Body or the Minister in relation to correctional training and assessment services.</p>	<ul style="list-style-type: none"> • Other reports to Department of Business 	<p>Temporary</p> <p>Destroy 5 years after action completed</p>

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.11 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 an examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Class No.	Description of Records	Examples	Status and Disposal Action

1. Correctional Training and Assessment Services

The function of managing correctional training and assessment services, including the developing, delivery and evaluating of training courses. Includes compliance activities as a registered training organisation and reporting activities to relevant government departments.

1.12 Student Assessment History

The activities involved in documenting and preserving student training and assessment histories

Class No.	Description of Records	Examples	Status and Disposal Action
1.12.1	Records documenting students training history in relation to correctional training and assessment services. Includes front cover assessment sheets with results, major projects, assessor sheets, third party reports, attendance sheets, workplace observations, student handbook sign offs, copies of signed certificates, applications to attend training, enrolment forms, performance appraisals, and recognised prior learning sign off sheets. May include course withdrawals.	<ul style="list-style-type: none"> • Student File 	Temporary Destroy 30 years after last assessment process is completed
1.12.2	Student's completed assessment items.	<ul style="list-style-type: none"> • Student workbooks 	Temporary Destroy 6 months after the date on which the judgement of competence for the student was made