



## Records disposal schedule

# **Records Disposal Schedule Technology Shared Services Department of Corporate and Information Services**

**Disposal Schedule No. 2018/2**

**June 2018**

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## Preamble

### Introduction

The *Information Act* states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so<sup>1</sup>. Disposal of records is permitted through the use of records disposal schedules and enable regular, planned and authorised disposal of records controlled by an agency.

Records retention decisions are based on:

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

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

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

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

- General records disposal schedules that apply to records common to most or all NT Government public sector organisations ([http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records\\_disposal](http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records_disposal)); and
- Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

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

### Structure of a Records Disposal Schedule

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

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

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

Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the

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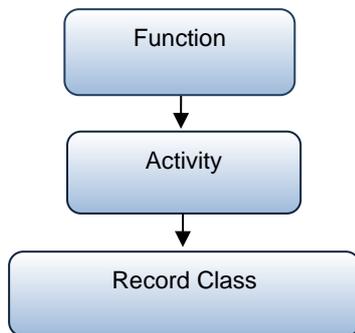
<sup>1</sup> S.145 *Information Act*

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

State Records Authority of NSW and modified for use by NT Government public sector organisations.

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

Diagram 1



## Function

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

## Activity

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

## Record Class

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

## Status and Disposal Action

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

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

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

**Temporary records:** The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal trigger such as 'date of action completed', 'date of audit' or 'date of birth'. Destruction should be done following consultation with relevant operational business employees responsible for the records.

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

Reasons for longer retention could include,

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

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

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

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

## About this Records Disposal Schedule

### Purpose

The purpose of this Records Disposal Schedule is to enable regular, planned and authorised disposal of records of Technology Shared Services of the Department of Corporate and Information Services.

### Scope

Application of this Records Disposal Schedule is mandatory for Technology Shared Services records of the Department of Corporate and Information Services.

This Records Disposal Schedule applies to Technology Shared Services records in all formats.

### Responsibility

The Chief Executive of the Department of Corporate and Information 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. 2018/2 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 Corporate and Information Services 8 June 2018 and is effective immediately.

### Re-sentencing Records

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

### Regulatory Framework

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

- *Procurement Act 1995*;
- *Procurement Regulations*;
- *Procurement Directions*;
- *Information Act*;
- NT Government Records Management Standards;
- NT Government Archives Management Standards; and
- 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 Corporate and Information Services; and
- current authorised disposal schedules for the Department of Corporate and Information Services.

## 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); and
- 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

- Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records
- 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
- Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records
- 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
- Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule
- 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
- 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
- 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
- Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly
- Stop applying sentences from previous schedules that have been revoked or amended
- Retain all records in good order and condition to be available for retrieval during the retention period.
- Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
- 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
- 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
- Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
- Inactive records can be transferred to offsite service providers providing they have been sentenced
- Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
- Notify the NT Records Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule.

## Compliance Checklist

- Identify records that require re-sentencing where a previous disposal schedule has been superseded
- Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

## Disposal Schedule

### 1. TECHNOLOGY SHARED SERVICES

The function of providing information technology and communication support services to the whole of government. Includes contracting out, contract management, project management, transition management, and provision of support staff to agencies.

This includes statistical analysis for decision making, project management of transitional arrangements between vendors, advice on procurement and rollout and management of supply of ICT items such as hardware, software and consultancy services.

#### 1.1 Acquisition

The process of gaining ownership or use of equipment, stores, services and other items required in the conduct of business where there is no tendering, quotation or contracting out process.

Class No.	Description of Records	Status and Disposal Action
1.1.1	<p>Records documenting the acquisition of goods and services, including hardware and software where a purchase is made against an existing contract.</p> <p>Includes formal request for quotes, offer and acceptance through an invoice, and purchase order.</p> <p>Use TECHNOLOGY SHARED SERVICES – PROCUREMENT for the activities associated with the issuing of tenders for goods and services.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after action completed</p>

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### 1.2 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
1.2.1	<p>Records documenting the receipt and provision of advice regarding technology services.</p> <p>Includes advice to and from NT Government agencies, the Ombudsman and private sector organisations.</p> <p>Use TECHNOLOGY SHARED SERVICES – CONTRACT MANAGEMENT for the handling of a complaint that is directly related to a contract.</p>	<p>TEMPORARY</p> <p>Destroy 10 years after action completed</p>

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### 1.3 Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements which did not result from a procurement process. Includes formal agreements and /or exchange of letters between parties, as well as informal agreements.

Class No.	Description of Records	Status and Disposal Action
1.3.1	<p>Final version of significant agreements (outside formal contract) with government agencies or private organisations which did not result from a tender process.</p> <p>Specific examples include software licensing agreements that are purchased as one off for whole of government, for example SAP maintenance licenses.</p>	<p>TEMPORARY</p> <p>Destroy 12 years after expiry or termination of agreement</p>
1.3.2	<p>Records of signed confidentiality agreements between the agency and other governments, external bodies, or individuals including NTG public sector employees.</p>	<p>TEMPORARY</p> <p>Destroy 12 years after expiry or termination of the agreement</p>
	<p>Use TECHNOLOGY SHARED SERVICES – CONTRACT MANAGEMENT for the activities associated with outsourced IT contracts.</p> <p>Use TECHNOLOGY SHARED SERVICES – PROCUREMENT for the activities associated with tendering for major technology contracts.</p>	

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### 1.4 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
1.4.1	Final internal or external audit reports relating to provision of technology services.	TEMPORARY Destroy 10 years after action completed
1.4.2	Records documenting the planning and conduct of internal and external audits regarding technology service.  Includes arrangements, draft reports, outcomes and/or recommendations, working papers, discussion papers.	TEMPORARY Destroy 5 years after action completed

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### 1.5 Committees

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

Class No.	Description of Records	Status and Disposal Action
1.5.1	Records documenting participation in committees that provide strategic direction of information, communication and technology contracts, issues and reforms.  Includes agenda, minutes, reports, recommendations and supporting documents such as briefing papers and discussion papers.	TEMPORARY Destroy 10 years after action completed
1.5.2	Records relating to the administration of technology service committees.  Includes draft agendas and minutes, distribution lists, invitations to attend, venue and travel arrangements.	TEMPORARY Destroy 3 years after action completed

## 1. TECHNOLOGY SHARED SERVICES

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### 1.6 Contract Management

The process of managing all aspects of the contract, including contract supervision and contract administration.

Class No.	Description of Records	Status and Disposal Action
1.6.1	Records documenting the administration and supervision of technology service contracts that relate to obligations or rights.  Includes contract schedule items such as service charges, variations, telephone transcripts, and minutes of meetings, audits, legal advice, non-compliance notices, and dispute resolution.	TEMPORARY Destroy 12 years after expiry or termination of contract
1.6.2	Working copies of technology service contract management records.	TEMPORARY Destroy when reference ceases
1.6.3	Records relating to statistics and cost modelling arising from enquiries or planning used to formulate final documents for technology services contract management.	TEMPORARY Destroy 10 years after action completed

## 1. TECHNOLOGY SHARED SERVICES

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### 1.7 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	Status and Disposal Action
1.7.1	Records of inter-agency meetings held to discuss operational and policy issues affecting government technology services. Includes meetings to discuss service delivery to agencies.	TEMPORARY Destroy 6 years after action completed

## 1. TECHNOLOGY SHARED SERVICES

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### 1.8 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of service, needs and solutions to those needs.

Class No.	Description of Records	Status and Disposal Action
1.8.1	Records documenting long term technology plans. I.e. greater than two years.	TEMPORARY Destroy 10 years after record is superseded
1.8.2	Records relating to short term technology. i.e. up to two years.	TEMPORARY Destroy 5 years after record is superseded

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### 1.9 Presentations

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches, multi-media presentations, and presentation or conferring of honours or prizes.

Class No.	Description of Records	Status and Disposal Action
1.9.1	<p>Records documenting events hosted to promote the Government technology service management function. (e.g. Road shows industry businesses).</p> <p>Includes hosting speech notes, presentations, flyers, brochures, itineraries, advertisements etc.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after action completed</p>

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This includes statistical analysis for decision making, project management of transitional arrangements between vendors, advice on procurement and rollout and management of supply of ICT items such as hardware, software and consultancy services.

### 1.10 Project Management

The activities and techniques associated with managing the projects including ongoing project planning, resource management and reporting.

Class No.	Description of Records	Status and Disposal Action
1.10.1	Records documenting the activities associated with managing the projects for transitional arrangements for technology services.  Includes schedules, budgets, personnel, minutes, manuals and change management information. May also include transitional arrangements.	TEMPORARY Destroy 12 years after awarded contracts expire
1.10.2	Records documenting the activities associated with managing the information technology and communication projects for whole of government.  Includes schedules, budgets, personnel, minutes, manuals and change management information. May include activities related to steady state projects, operational projects and other projects throughout the life of the outsourced technology contract.	TEMPORARY Destroy 12 years after awarded contracts expire

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The function of providing information technology and communication support services to the whole of government. Includes contracting out, contract management, project management, transition management, and provision of support staff to agencies.

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### 1.11 Procurement

The activities involved in procurement which includes developing, issuing, receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods or services, or for the production of work.

Class No.	Description of Records	Status and Disposal Action
1.11.1	<p>Records documenting the procurement of technology service contracts.</p> <p>Includes procurement plans, requests for exemptions, result papers, evaluation of tenders received, post offer negotiations and due diligence checks (includes statements of requirements, expressions of interest, Request For Information (RFI), Request For Tender(RFT), draft contracts, evaluation reports, recommendations, final reports and gazettal/public notices and notifications to successful and unsuccessful bidders.</p> <p>This class also includes awarded contracts.</p>	<p>TEMPORARY</p> <p>Destroy 12 years after awarded contract expires</p>
1.11.2	<p>Records relating to the unsuccessful procurement documents for technology service contracts.</p>	<p>TEMPORARY</p> <p>Destroy 2 years after action completed</p>
	<p>Use TECHNOLOGY SHARED SERVICES – ACQUISITION for records relating to the acquisition of goods and service that falls below the tender threshold.</p>	

## 1. TECHNOLOGY SHARED SERVICES

	Use TECHNOLOGY SHARED SERVICES – CONTRACT MANAGEMENT for the activities associated with managing the awarded contract	
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