



Records disposal schedule

Records Disposal Schedule Government Economic and Commercial Management Department of Treasury and Finance

Disposal Schedule No. 2017/1

January 2017

Disposal Schedule for Government Economic and Commercial Management of Department of Treasury and Finance	2017/1 January 2017
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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 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 (http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records_disposal), and
- Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

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

Structure of a Records Disposal Schedule

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

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

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

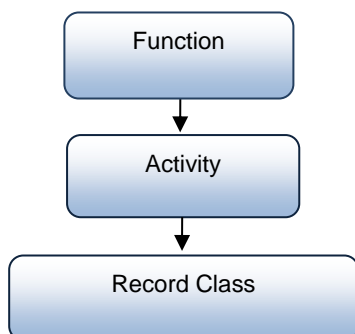
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

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 the Government Economic and Commercial Management of the Department of Treasury and Finance.

Scope

Application of this Records Disposal Schedule is mandatory for the Government Economic and Commercial Management of the Department of Treasury and Finance.

This Records Disposal Schedule applies to the Government Economic and Commercial Management records in all formats.

Responsibility

The Under Treasurer of the Department of Treasury and Finance is responsible for the content and implementation of this Records Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Records Disposal Schedule is authorised in accordance with S. 136B of the *Information Act*.

Disposal Schedule No. 2017/1 was approved by the Director of the NT Archives Service (The Archives Service), Senior Director of Digital Policy (The Records Service), and the Under Treasurer of the Department of Treasury and Finance on 6 January 2017 and is effective immediately.

Regulatory Framework

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

- *Competition Policy Reform (Northern Territory) Act*
- *Electrical Networks (Third Party Access) Act*
- *Electrical Reform Act*
- *Government Owned Corporations Act*
- *Motor Accidents (Compensation) Act*
- *Motor Vehicles Act*
- *Occupational Licensing (National Uniform Legislation Act) 2011*
- *Territory Insurance Office (Sale) Act*
- *Utilities Commission Act*
- *Water Supply and Sewerage Services Act*
- *Information Act*
- Records Management Standards for public sector organisations in the NT
- 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:

- Records Management Standards for public sector organisations in the NT – Standard 5 Disposal
- policies and procedures of the Department of Treasury and Finance
- current authorised disposal schedules for Department of Treasury and Finance

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 (for example information or reference copy)
- obviously unimportant (for example telephone message slips)
- of short term facilitative value (for example compliment slips)
- a combination of these

The guiding principle is that organisations should be sure that destroying these records will not destroy evidence that might be needed.

Records that have been captured into a recordkeeping system should be destroyed using the Disposal Schedule for Short Term Value Records unless the class of records has been identified in a specific disposal schedule.

Notification of Destruction

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

Note: In the case of the Disposal Schedule for Records of Short Term Value (Disposal Schedule No. 2003/10), notification is only required for the destruction of records described in Disposal Class No. 1.10.1.

Acknowledgement

The NT Archives Service and the NT Records Service acknowledge that material produced by National Archives of Australia, State Records Authority of New South Wales, State Records of South Australia, Public Records Office of Victoria, Territory Records Office and Standards Australia was used in the development of this schedule.

This work is copyright. Apart from any use as permitted under the Copyright Act 1968, no part may be reproduced by any process without prior written permission of the NT Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, NT Archives Service. The terms in the business classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998), and are produced under a licence agreement between the NT Archives Service and the State Records Authority of New South Wales.

Compliance Checklist

<input type="checkbox"/>	Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records	<input type="checkbox"/>	Stop applying sentences from previous schedules that have been revoked or amended
<input type="checkbox"/>	Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the NT Archives Service and NT Records Service	<input type="checkbox"/>	Retain all records in good order and condition to be available for retrieval during the retention period.
		<input type="checkbox"/>	Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
<input type="checkbox"/>	Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records	<input type="checkbox"/>	Implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form, migration to new systems, and conversion to long term medium
<input type="checkbox"/>	Identify and sentence all records described in this schedule in all formats including electronic records and records in business systems, copies of records and parts of records	<input type="checkbox"/>	Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
<input type="checkbox"/>	Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule	<input type="checkbox"/>	Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
<input type="checkbox"/>	Apply this records disposal schedule to records in the organisation's records management systems, including systems for the management of paper records, electronic records, or records in any other format	<input type="checkbox"/>	Inactive records can be transferred to offsite service providers providing they have been sentenced
<input type="checkbox"/>	Apply this records disposal schedule to records in the organisation's business systems, either directly or by linking the business system to a records management system	<input type="checkbox"/>	Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
<input type="checkbox"/>	Implement quality assurance mechanisms to periodically check that the disposal class originally assigned at the creation of the records is still applicable at the time of sentencing of the record	<input type="checkbox"/>	Notify the NT Records Service of destruction of all records
<input type="checkbox"/>	Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly	<input type="checkbox"/>	Do not destroy records that are not described in an authorised records disposal schedule.
<input type="checkbox"/>	Identify records that require re-sentencing where a previous disposal schedule has been superseded	<input type="checkbox"/>	Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

Disposal Schedule

1. Government Economic and Commercial Management

The function of providing quality analysis and public policy advice on financial, economic and commercial issues for the Northern Territory Government.

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	<p>Records documenting the provision of major advice given to the Treasurer, Ministers, and other Government bodies, in relation to government economic and commercial management policies and issues such as:</p> <ul style="list-style-type: none"> - key demographic and economic analysis and advice - major Intergovernmental issues - Financial Investment Review Board - options for the financing and implementation of specific major projects - government owned corporations - contracting- out of services - privatisation of Territory assets - Public Private Partnerships - Unsolicited Proposals 	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

1. Government Economic and Commercial Management

The function of providing quality analysis and public policy advice on financial, economic and commercial issues for the Northern Territory Government.

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
1.1.2	Records documenting routine advice in relation to government economic and commercial management such as clarification of policies and procedures, including minor advice to the portfolio Minister and general correspondence.	Temporary Destroy 5 years after action completed
	Use Administrative Functions of the Northern Territory Government – 15.4 – STRATEGIC MANAGEMENT – LEGISLATION for records in relation to the development, implementation and review of legislation, regulations, legislative instruments and Regulation Impact Statements.	

1. Government Economic and Commercial Management

The function of providing quality analysis and public policy advice on financial, economic and commercial issues for the Northern Territory Government.

1.2 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	Status and Disposal Action
1.2.1	Records documenting the establishment, negotiation, maintenance, and review of agreements where the Agency is a key contributor or coordinator. Includes agreements between other governments, government organisations, or other bodies, in relation to government economic and commercial management, including national agreements, memorandums of understanding and support agreements.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.2	Records documenting agreements owned by other agencies where the agency or Minister has provided advice or approval. Includes national and funding agreements between the Commonwealth and other agencies where the Treasurer has endorsed the Minister to enter into such agreements.	Temporary Destroy 10 years after action completed
	Use class 1.1 ADVICE for records documenting the provision of advice in relation to agreements owned by other agencies.	

1. Government Economic and Commercial Management

The function of providing quality analysis and public policy advice on financial, economic and commercial issues for the Northern Territory Government.

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	<p>Records documenting delegations of authority, such as statutory appointments by the Treasurer or Cabinet, including commissions, advisory bodies, boards and expert panels.</p> <p>Includes instruments of appointment, deeds of indemnity, remuneration letters and nominations and other supporting documents.</p> <p>Also includes guarantees and indemnities.</p>	<p>Temporary</p> <p>Destroy 15 years after action completed</p>

1. Government Economic and Commercial Management

The function of providing quality analysis and public policy advice on financial, economic and commercial issues for the Northern Territory Government.

1.4 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
1.4.1	<p>Records documenting high level committees where the Agency or the Minister is a key NT Government representative, such as:</p> <ul style="list-style-type: none"> • Council of the Australian Governments (COAG) committees and subcommittees. • High level agency committees. • Heads of Treasury (HOTS) and the Council of Federal Financial Relations (CFFR). 	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.4.2	<p>Records documenting the internal administrative committees, or inter-departmental formal committees, in relation to government economic and commercial management, such as:</p> <ul style="list-style-type: none"> • Statistical Liaison Network • Senior Officers Working Groups • Interagency panels and working groups. 	<p>Temporary</p> <p>Destroy 5 years after action completed</p>

1. Government Economic and Commercial Management

The function of providing quality analysis and public policy advice on financial, economic and commercial issues for the Northern Territory Government.

1.5 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
1.5.1	<p>Master set of agency policies in relation to government economic and commercial management, such as:</p> <ul style="list-style-type: none"> - Competitive Neutrality Framework - Regulation Making Framework - Unsolicited Proposals Policy 	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.5.2	<p>Records documenting the development of policies in relation to government economic and commercial management.</p>	<p>Temporary</p> <p>Destroy 5 years after policy is superseded</p>
	<p>Use 1.1 ADVICE for advice provided to the Minister or other agencies in relation to external policy considerations and development.</p>	

1. Government Economic and Commercial Management

The function of providing quality analysis and public policy advice on financial, economic and commercial issues for the Northern Territory Government.

1.6 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	Status and Disposal Action
1.6.1	Final reports in relation to government economic and commercial management, such as: <ul style="list-style-type: none"> Northern Territory Economic Briefs the Territory Economic Review Social Briefs 	Permanent Transfer to the NT Archives Service 10 years after action completed
1.6.2	Records documenting draft versions of reports in relation to government economic and commercial management.	Temporary Destroy after action completed