



Records disposal schedule

Records Disposal Schedule Young Territorian Services Office of Youth Affairs, Territory Families

Disposal Schedule No. 2020/005

January 2020

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Table of contents

Preamble	ii
Introduction.....	ii
Structure of a Records Disposal Schedule	ii
Function.....	iii
Activity.....	iii
Record Class.....	iii
Status and Disposal Action.....	iii
About this Records Disposal Schedule	v
Purpose.....	v
Scope.....	v
Responsibility.....	v
Authority.....	v
Regulatory Framework.....	v
Related Documents.....	v
Normal Administrative Practice.....	vi
Notification of Destruction.....	vi
Acknowledgement.....	vi
Compliance Checklist	vii
Disposal Schedule	1
1. Young Territorian Services.....	1
1.1 Advice.....	1
1.2 Awards.....	2
1.3 Committees.....	3
1.4 Contracting Out.....	4
1.5 Education Programs.....	5
1.6 Events.....	6
1.7 Grant Allocation.....	7
1.8 Policy.....	9
1.9 Reporting.....	10

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.

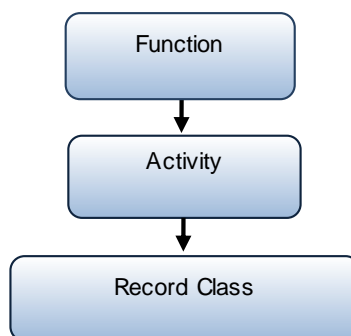
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Northern Territory Government Business Classification Scheme*.

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 Archives Service for their preservation and eventual public access.

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

Temporary records: The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal

trigger such as 'date of action completed', 'date of audit' or 'date of birth'. Destruction should be done following consultation with relevant operational business employees responsible for the records.

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

Reasons for longer retention could include,

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

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

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

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

About this Records Disposal Schedule

Purpose

The purpose of this Records Disposal Schedule is to enable regular, planned and authorised disposal of records of the Office of Youth Affairs of Territory Families.

Scope

Application of this Records Disposal Schedule is mandatory for the Office of Youth Affairs records of Territory Families.

This Records Disposal Schedule applies to Young Territorian Services records in all formats.

Responsibility

The Chief Executive of the Territory Families is responsible for the content and implementation of this Records Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Records Disposal Schedule is authorised in accordance with S. 136B of the *Information Act 2002*.

Disposal Schedule No. 2020/5 was approved by the Senior Director Library & Archives NT (The Archives Service), Senior Director of Digital Policy (The Records Service), and the Chief Executive of Territory Families on 28 January 2020 and is effective immediately.

Regulatory Framework

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

- *Information Act 2002*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489-Records Management

Related Documents

This Records Disposal Schedule is to be read in conjunction with:

- NT Government Records Management Standard – Records Disposal
- policies and procedures of Territory Families
- current authorised disposal schedules for Territory Families

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

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

Disposal Schedule

<h3>1. Young Territorian Services</h3> <p>The function of supporting initiatives that improve the lives of young Territorians aged between 12 to 25 years by the Department. Includes development of strategic policy and programs, grant and sponsorship allocations, facilitating events such as National Youth Week, and the establishment and management of youth engagement programs including the Northern Territory Youth Round Table.</p>		
<h4>1.1 Advice</h4> <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	Status and Disposal Action
1.1.1	Records documenting the provision and receipt of formal advice between the Department, the Minister and other bodies in relation to young Territorian services, such as recreational and developmental opportunities for young Territorians. Includes ministerials and briefing notes.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.1.2	Records documenting routine advice in relation to young Territorian services to members of the public and organisations.	TEMPORARY Destroy 3 years after action completed

1. Young Territorian Services

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1.2 Awards

The activities associated with the granting of awards in recognition of excellence and achievements. Includes nominations, recommendations and photographs.

Class No.	Description of Records	Status and Disposal Action
1.2.1	<p>Records documenting awards sponsored by the Department that recognises young Territorians, such as the Territory Families Excellence in Youth Leadership Award.</p> <p>Includes programs, protocol arrangements, guest lists, copies of certificates, photographs and multimedia formats of coverage of events, ministerials and briefings, media releases and supporting documentation.</p>	<p>PERMANENT</p> <p>Transfer to the Archives Service 10 years after action completed</p>
1.2.2	<p>Records documenting the administrative arrangements for award presentations arranged by the Department.</p> <p>Includes draft programs, venue bookings, transportation and catering arrangements, copies of invoices and purchase orders and related correspondence</p>	<p>TEMPORARY</p> <p>Destroy 5 years after action completed</p>

1. Young Territorian Services

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1.3 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
1.3.1	Records documenting high-level committees where Departmental staff or members of the community participate and which are convened by the Department, including the Northern Territory Youth Round Table. Includes membership appointments, agendas, minutes and discussion papers.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.3.2	Records documenting applications received to become a member of the Northern Territory Youth Round Table. Includes notifications of decisions and related correspondence.	TEMPORARY Destroy 7 years after action completed
1.3.3	Records documenting sub-committees and action groups in relation to young Territorian services, such as the Palmerston Youth – Local Action Group. Includes agendas, minutes and discussion papers.	TEMPORARY Destroy 7 years after action completed

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1.4 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	Status and Disposal Action
1.4.1	<p>Records documenting arranging, procuring and managing the performance of work or the provision of services by an external contractor, vendor, consultant or non-government organisations in relation to young Territorian services.</p> <p>Includes signed contracts, performance reports, invoices and related correspondence.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after contract expires or has been terminated</p>

1. Young Territorian Services

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1.5 Education Programs

The activities involved developing and managing education programs designed to target a key learning outcome that is broken down into easily understandable parts for a specific audience.

Class No.	Description of Records	Status and Disposal Action
1.5.1	<p>Records documenting the Department's development of, and participation in, promotional and awareness activities in relation to young Territorian services.</p> <p>Includes briefs and designs, and copies of handouts.</p> <p>May include social media and instant messaging communications created for promotional or informational purposes.</p>	<p>TEMPORARY</p> <p>Destroy 5 years after action completed</p>

1. Young Territorian Services

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1.6 Events

The activities associated with arranging, managing or attending events.

Class No.	Description of Records	Status and Disposal Action
1.6.1	Records documenting the management of significant events organised by the Department in relation to young Territorian services, such as NT Youth week. Includes programs and protocol arrangements, photographs, multimedia formats of coverage of events and ministerials.	TEMPORARY Destroy 10 years after action completed
1.6.2	Records documenting the administrative arrangements for events arranged by Department in relation to young Territorian services. Includes draft programs, venue bookings, transportation and catering arrangements, copies of invoices and purchase orders and related correspondence	TEMPORARY Destroy 5 years after action completed

1. Young Territorian Services

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1.7 Grant Allocation

The process of administering the provision of grants to other organisations.

Class No.	Description of Records	Status and Disposal Action
1.7.1	Records documenting the decisions of assessment panels formed to provide recommendations for grant funding in relation to young Territorian services. Includes agendas, minutes, recommendation reports, summary records and ministerials.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.7.2	Records documenting the approval of applications from non-government organisations for grant funding related to youth programs, such as the Youth Engagement Grants Program and the Regional Youth Services Grants Program where the application was successful. Includes applications, acknowledgement letters, funding agreements, remittance advices, financial reports, performance reports and acquittals.	TEMPORARY Destroy 7 years after grant acquitted
1.7.3	Records documenting unsuccessful applications made by non-government organisations for grant funding from the Department. Includes applications, acknowledgement letters and notifications of decisions. May include written complaints, ministerials and formal responses.	TEMPORARY Destroy 5 years after action completed
1.7.4	Records documenting the advertising and assessment of grant funding opportunities to non-government organisations in relation to young Territorian services.	TEMPORARY Destroy 3 years after action completed

1. Young Territorian Services	
	Use FINANCIAL MANAGEMENT – ACCOUNTING for records documenting sponsorship towards community initiatives in relation to young Territorians, such as sponsorship of the Northern Territory Young Achiever Awards and youth development programs.

1. Young Territorian Services

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1.8 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
1.8.1	<p>Master set of policies and frameworks in relation to young Territorian services, such as the Regional Youth Services Framework and the Regional Youth Action Plans.</p> <p>Includes policy proposals, background research, consultation notes, formal draft versions, stakeholder notes and supporting documents.</p>	<p>PERMANENT</p> <p>Transfer to the Archives Service 10 years after action completed</p>
1.8.2	<p>Records documenting the development and review of policies and frameworks.</p> <p>Includes draft versions, survey results, discussion papers and other related correspondence.</p>	<p>TEMPORARY</p> <p>Destroy 10 years after action completed</p>

1. Young Territorian Services

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1.9 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
1.9.1	Records documenting major reports in relation to young Territorian services, such as the annual report. Includes the Round Table Alumni Report.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.9.2	Records documenting periodic reports in relation to young Territorian services, including youth round table reports. Includes operational updates, grant funding allocations and statistics.	TEMPORARY Destroy 5 years after action completed