



Records disposal schedule

Records Disposal Schedule Major Events Management Department of Tourism and Culture

Disposal Schedule No. 2019/1

January 2019

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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.

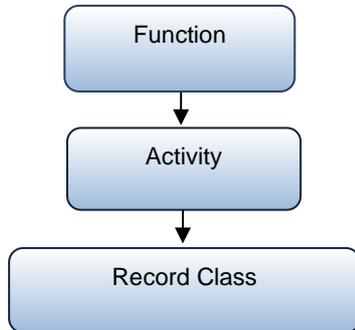
¹ S.145 *Information Act*

² S.136A(3) *Information Act*

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.

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 Major Events Management of the Department of Tourism and Culture.

Scope

Application of this Records Disposal Schedule is mandatory for Major Events Management records of the Department of Tourism and Culture.

This Records Disposal Schedule applies to Major Events Management records in all formats.

Responsibility

The Deputy Chief Executive of the Department of Tourism and Culture 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. 2019/1 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 Tourism and Culture on 25 January 2019 and is effective immediately.

Regulatory Framework

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

- *Corporations Act 2001 (cth)*
- *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 Tourism and Culture

- current authorised disposal schedules for Department of Tourism and Culture

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

- 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
- 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 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.
- Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

Disposal Schedule

1. Major Events Management

The function of developing, delivering and promoting world class events in the Northern Territory for the local community and visitors, which will create improved event experiences and outcomes as well as strengthen the visitor economy for the benefit of all Territorians. Includes the establishment and management of the Board of Directors, establishing sponsorship agreements and grant allocation to community organisations.

1.1 Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

Class No.	Description of Records	Status and Disposal Action
1.1.1	Records documenting the provision of formal detailed advice to the Minister, other Government Bodies and organisations in relation to major events management. Includes ministerials and briefing notes.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.1.2	Records documenting the provision of routine advice to government bodies, sporting organisations and the community in relation to major events management.	Temporary Destroy 5 years after action completed

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1.2 Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards 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, review and variation of significant major events management agreements with other Government bodies and organisations. Includes sanction agreements.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.2	Records documenting the establishment, negotiation, maintenance and review of agreements in relation to major events management, including service agreements with suppliers and booking agents.	Temporary Destroy 7 years after expiry or termination of agreement

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1.3 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
1.3.1	Records documenting the planning and conduct of internal and external audits in relation to major events management. Includes file notes, consultation notes, audit reports and responses to audit findings.	Temporary Destroy 7 years after audit completed

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1.4 Authorisation

The process of seeking and granting permission to undertake requested action.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records documenting delegations of powers and functions by the Board to staff members.	Permanent Transfer to the NT Archives Service 10 years after action completed

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1.5 Committee

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth etc.). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc

Class No.	Description of Records	Status and Disposal Action
1.5.1	Records documenting the establishment of the Board of Directors, including appointments of members by the Chief Minister, including resignations and terminations. Includes invitations for nominations for appointment, terms and conditions.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.5.2	Records documenting meetings of the Board of Directors. Includes agendas, minutes and discussion papers. May include disclosures of interest by members of the Board.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.5.3	Records documenting high level committees and interdepartmental committees where the Department is the NT Government's main representative in relation to major events management. Includes agendas, minutes and discussion papers.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.5.4	Records documenting committees formed by the Board in relation to major events management, such as the marketing committee. Includes agendas, minutes and discussion papers.	Temporary Destroy 10 years after action completed

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1.6 Contract Management

The activity of managing all aspects of the contract, including contract supervision and contract administration. Includes managing the performance of work or provisions of services provided by contractor, consultancy or external services provider to ensure completion of the work is within terms and requirements of the contract, and monitoring the financial performance of the contract.

Class No.	Description of Records	Status and Disposal Action
1.6.1	Records documenting contracting out services in relation to major events management, such as consultants.	Temporary Destroy 7 years after action completed

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1.7 Event Management

The activities associated with arranging, managing or attending events.

Class No.	Description of Records	Status and Disposal Action
1.7.1	Records documenting key documentation in relation to significant events organised and presented by Northern Territory Major Events Corporation. Includes briefing papers for the Minister, final versions of programs, protocol arrangements, photographs, multimedia formats of coverage of events and final versions of artwork.	Permanent Transfer to NT Archives Service 10 years after action covered
1.7.2	Records documenting the organisation and presentation of significant community entertainment, sporting and cultural events, such as the Supercars Championship, Bass in the Grass and the Parrjima – A festival in light. Includes operational plans, crisis plans, risk management plans, budget plans, copies of legal advice, event procedures, overlay plans, ministerials, debrief reports and post event marketing information. May include incident reports and copies of internal audits.	Temporary Destroy 10 years after action completed
1.7.3	Records documenting feasibility studies and scoping plans for major events that do not go ahead. Includes ministerials.	Temporary Destroy 10 years after action completed
1.7.4	Records documenting administrative arrangements in relation to major events.	Temporary Destroy 7 years after action completed

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1.7 Event Management

The activities associated with arranging, managing or attending events.

Class No.	Description of Records	Status and Disposal Action
	Includes venue, accommodation, travel and catering arrangements, invoices, purchase orders and related correspondence.	
1.7.5	Records documenting other events not considered as major events, such as events organised under the CBD activation program. Includes operational plans, risk management plans, budget plans and other supporting documents.	Temporary Destroy 7 years after action completed

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1.8 Grant Allocation

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

Class No.	Description of Records	Status and Disposal Action
1.8.1	Records documenting the receipt of applications from persons in the community and community organisations for grant funding in relation to special events, such as the Garma Festival, Greek Glenti Festival, Carols by Candle Light and Darwin Fringe Festival. Includes applications, funding agreements, payment approvals, progress reports, financial statements and acquittal reports.	Temporary Destroy 7 years after grant acquitted
1.8.2	Records documenting unsuccessful applications for grants in relation to special events. Includes applications and notice of decision.	Temporary Destroy 3 years after action completed
	Use REPORTING for records documenting final outcome reports in relation to special events.	

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1.9 Investigations

The acts and processes involved in ascertaining facts by enquiry or examination.

Class No.	Description of Records	Status and Disposal Action
1.9.1	Records documenting investigations into incidents that happen at major events. Includes investigation reports, copies of legal advice, witness statements, extracts of documents, photographs, video footage and other supporting documents.	Permanent Transfer to the NT Archives Service 10 years after action completed
	Use NTG Administrative Functions – 10.2 – LEGAL SERVICES – CLAIMS for legal action taken following an investigation.	

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1.10 Marketing and Promoting

The process of analysing, creating, promoting and/or selling products and services, including corporate image. Includes market research, sales forecasting, advertising, media releases, pricing and product evaluation.

Class No.	Description of Records	Status and Disposal Action
1.10.1	Records documenting the marketing and promotion of the Northern Territory Events Guide. Includes the calendar of events, type of events, dates of event, region and location. May also include social media links, photographs, website links and event manager contact details.	Temporary Destroy 3 years after action completed
1.10.2	Records documenting approved applications to register an event with the Northern Territory Events Guide. Includes related correspondence.	Temporary Destroy 3 years after action completed
1.10.3	Records documenting applications to register an event with the Northern Territory Events Guide that have not been approved, incomplete or have been withdrawn. Includes related correspondence.	Temporary Destroy 1 year after action completed

1. Major Events Management

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1.11 Planning

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

Class No.	Description of Records	Status and Disposal Action
1.11.1	Final versions of strategic marketing plans in relation to major events managements. Includes original artwork	Permanent Transfer to the NT Archives Service 10 years after action completed
1.11.2	Records documenting the development of plans in relation to major events management. Includes draft versions and consultation notes.	Temporary Destroy 10 years after action completed

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1.12 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
1.12.1	Master set of policies in relation to major events management.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.12.2	Records documenting the development of policies, in relation to major events management. Includes draft versions, file notes, consultation notes and other related correspondence.	Temporary Destroy 10 years after action completed

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1.13 Procedures

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

Class No.	Description of Records	Status and Disposal Action
1.13.1	Master set of guidelines in relation to major events management.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.13.2	Records documenting the development of procedures and guidelines in relation to major events management. Includes consultation notes, draft versions and implementation plans.	Temporary Destroy 10 years after action completed

1. Major Events Management

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1.14 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
1.14.1	Final versions of major reports in relation to major events management, including the NT Major Events annual report. Includes formal draft versions.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.14.2	Final reports from community organisations that have received funding by NT Major Events for special events. Includes visitor numbers and evaluation reports.	Temporary Destroy 10 years after action completed