

**Records Disposal Schedule for
Temporary Records that have been
Digitised**

Disposal Schedule No. 2009/13

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ABOUT THIS DISPOSAL SCHEDULE

Purpose

The purpose of this Disposal Schedule is to allow the authorised destruction of temporary value hard-copy original source records which have been digitised (also referred to as scanned or imaged) and captured into a compliant recordkeeping system, where the digital copy becomes the record relied upon in the normal course of business and for future evidentiary purposes.

Scope

Application of this Disposal Schedule is mandatory for all NT Government public sector organisations.

Regulatory Framework

The regulatory basis for this Disposal Schedule is defined in:

- ▶ Information Act
- ▶ Australian Standards AS ISO 15489:2002-Records Management

Related Documents

This Disposal Schedule is to be read in conjunction with:

- ▶ NT Government Records Management Standard – Records Disposal
- ▶ policies and procedures of the public sector organisation
- ▶ current authorised disposal schedules for the public sector organisation
- ▶ Records Management Advice No. 5 – *Scanning of Records*

NT Government Disposal Schedules

There are two types of records disposal schedules:

- ▶ “general” disposal schedules that apply to records common to most or all NT Government public sector organisations, and
- ▶ “records” disposal schedules specific to an NT Government public sector organisation or function.

There are presently five disposal schedules which provide disposal coverage for records common to most or all NT Government public sector organisations;

- ▶ Disposal Schedule for Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN).*
- * Note that section 6 of this schedule (covering Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).
- ▶ Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).
- ▶ Disposal Schedule for the Financial Management Records of the Northern Territory Government – Disposal Schedule No. 2001/2 (FM).
- ▶ Disposal Schedule for the Human Resource Management Records of the Northern Territory Government – Disposal Schedule No. 2001/6 (HRM).
- ▶ Disposal Schedule for Records of Short Term Value – Disposal Schedule No. 2003/10

Responsibility

The Chief Executive of the public sector organisation using this Disposal Schedule is responsible for implementing the schedule.

Authority

This Disposal Schedule was approved by the Director of the NT Archives Service and the Director of the Records Service on 30th November 2009 and is effective immediately.

Normal Administrative Practice

Some records and ephemeral documents can be destroyed as a normal administrative practice if they are:

- ▶ duplicate (eg information or reference copy)
- ▶ obviously unimportant (eg telephone message slips)
- ▶ of short term facilitative value (eg 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.

Notification of Destruction

No formal notification of destruction of records in accordance with this schedule is required.

Acknowledgment

The schedule was drafted by the NT Records Service, Department of Business and Employment.

The NT Records Service acknowledges that material produced by the National Archives of Australia, all Australian State and Territory archives and record authorities, Archives New Zealand and Standards Australia was used in the development of this schedule.

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DEFINITIONS

Authentic Copy	A copy resulting from processes and systems which ensure an accurate and complete reproduction of the source record is produced.
Compliant Recordkeeping System	A recordkeeping system which complies with the requirements of AS ISO 15489.1-2002
Digitisation	Process of converting analog information into a digital format.
Electronic Document and Records Management system	A compliant recordkeeping system capable of handling records in an electronic format.
Public Document	A document which is admissible as evidence of the facts it states upon its mere production from proper custody.
Source Record	The original from which a copy is made.
Temporary Value Records	Records which have been deemed not to have any archival value and can be legally destroyed when a defined retention period has elapsed.

GUIDELINES FOR USING THIS SCHEDULE

Only records of temporary value for which an approved disposal schedule exists can be destroyed in accordance with this schedule.

To destroy hard-copy originals that have been digitised using this schedule a number of conditions must be met. These are summarised below.

1. All requirements for retaining hard-copy originals have been assessed and fulfilled.

It is important that checks be made that no special requirements exist to retain records in their original form. If necessary, a legal opinion should be sought to confirm that no such requirement exists. Destruction of original hard-copy records should not be in breach of any legislative or regulatory requirement.

The investigation of fraud in particular may require the retention of original signed documents. Fingerprints are also obtained only from original documents. Record classes known to have been forensically examined in criminal proceedings may need to be retained in hard-copy form for an appropriate holding period before destruction in accordance with this schedule.

Other than a legal requirement, there may be a business need or expectation from stakeholders or the broader community that a record will be retained in its original format.

2. Copies are made which are authentic, complete and accessible.

Authentic copies are a true and accurate representation of the original hard-copy records. Policy and procedures dealing with document preparation, batching (if used), the scanning process itself (including scanner tests), quality control measures, and processes for lodging digitised copies into the electronic document and records management system should be documented and known to staff¹.

3. Copies are kept for the authorised retention period

Where the hard-copy original has been legally destroyed in accordance with this

schedule, the digital copy becomes the official record used and relied on in the normal course of business.

The digital copies of the hard-copy originals destroyed in accordance with this schedule need to be managed for the full retention period required by the applicable schedule.

4. Originals are kept for quality control purposes for an appropriate length of time after copying.

Originals should be kept for a holding period after digitisation to allow time for any errors to be detected and to allow re-scanning. The minimum period the source records must be retained following digitisation is three (3) months, providing that all quality checks have been made within this period.

Records excluded from the provisions of this schedule

- (a) Records of permanent value are **NOT** to be destroyed after digitisation, but are to be transferred to NT Archives Service as required by an approved disposal schedule.
- (b) Records created prior to 1 July 1978 (self-government) are **NOT** to be destroyed after digitisation, but referred to the NT Archives Service for appraisal.²
- (c) Records which are not covered by a current, approved disposal schedule are **NOT** to be destroyed in accordance with this schedule.
- (d) Contracts under seal, Powers of Attorney, public documents, charters, testimonials, proclamations, and intergovernmental agreements or treaties are **NOT** to be destroyed in accordance with this schedule.
- (e) Documents of a legislative or administrative character including written regulations, rules, by-laws, orders, determinations, awards, documents and authorities made, granted or issued under a power conferred by an Act are **NOT** to be destroyed in accordance with this schedule (seek legal advice for identification of documents in this category).

¹ Refer to NTG Records Management Advice no. 5 *Scanning of records* – NT Records Service, 2009 (Nov)

² Refer to Archives Management Standard *Disposal of Government Records Created Prior to 1 July 1978* - NT Archives Service, 2007 (Aug).

- (f) Photographs, maps, illustrations, original artworks and drawings are **NOT** to be destroyed but referred to the NT Archives Service for appraisal.
- (g) No original records are to be destroyed if there is a legal hold on the records, legal action current, pending or likely, or if a freedom of information application has been lodged³.

Records digitised prior to approval of this schedule

Original hard-copy records digitised into a compliant recordkeeping system prior to the authorisation of this schedule can be destroyed in accordance with this schedule in the following circumstances.

- ▶ If a class of paper document has been routinely captured into a recordkeeping system in a digital format and this digital reproduction is the version used and relied on in the normal course of business.
- ▶ Where a consistent batching/scanning process has been in place and incidents of missing records in normal operation of system have not been recorded or are at low levels (no more than 1 in 1000).
- ▶ There has been a risk assessment done on the impact of the loss of a particular class of record with the impact assessed as being negligible on loss of record, or where reconstruction of record is possible from other sources⁴.

³ Refer to NTG Records Management Advice no. 7 *legal hold order for Records* – NT Archives Service, 2005 (Sept).

⁴ Australian Standard AS ISO 15489.2-2002 *Records Management Part 2 : Guidelines* – see section 4.2.4

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 Records Service
- Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records
- 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 electronic recordkeeping systems to ensure disposal actions are implemented correctly.
- Identify records series that require re-sentencing
- 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.
- Select and implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form migration to new systems 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 not later than 30 years after creation for retention as archives
- 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 destruction beyond any possible reconstruction
- Do not destroy records that are not described in an authorised records disposal schedule unless they are ephemeral documents that are obviously duplicate and/or unimportant

DISPOSAL SCHEDULE

Class No.	Description of Records	Status and Disposal Action
1.1	Hard copy source records which have been digitised and captured within a compliant electronic document and records management system <i>providing</i> the original records are of temporary value in accordance with a current and approved records disposal schedule (see records excluded from this schedule on pages 5 and 6)	TEMPORARY Destroy 3 months after digitisation (provided that quality checks have been completed and there are no legal or business needs to retain them)

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

