



Records disposal schedule

Records Disposal Schedule Animal Welfare Services Department of Primary Industry and Resources

Disposal Schedule No. 2018/4

July 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 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, 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.

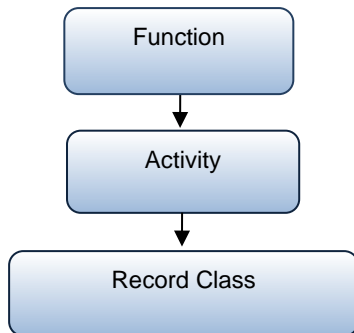
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

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 function Animal Welfare Services of the Department of Primary, Industry and Resources.

Scope

Application of this Records Disposal Schedule is mandatory for Animal Welfare Services records of the Department of Primary, Industry and Resources.

This Records Disposal Schedule applies to Animal Welfare Services records in all formats.

Responsibility

The Chief Executive Officer of the Department of Primary, Industry and Resources 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. 2018/4 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 Primary, Industry and Resources on 13 July 2018 and is effective immediately.

Regulatory Framework

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

- *Animal Welfare Act*
- *Animal Welfare Regulations*
- *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 Primary, Industry and Resources
- current authorised disposal schedules for Department of Primary, Industry and Resources.

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			
<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. Animal Welfare Services

The function of providing for the welfare and protection of animals, including the establishment of the Animal Welfare Advisory Committee, granting licences to organisations for the use of premises for teaching or research, providing education and awareness to the community, developing Codes of Practice, conducting investigations and appointments of authorised officers as required under the *Act*.

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	Examples	Status and Disposal Action
1.1.1	Records documenting high level advice provided to the Minister, other Government bodies, and other organisations both from the Chief Executive and the Animal Welfare Advisory Committee in relation to animal welfare, legislation and policies. Includes ministerials and briefing notes.	<ul style="list-style-type: none"> • Ministerials • High Level Advice 	Permanent Transfer to the NT Archives Service 10 years after action completed
1.1.2	Records documenting exemptions declared by the Minister under the Act, such as exempting a person or a class of persons from complying with the Act or that specified provisions do not apply to or in relation to an animal or class of animals. Includes ministerials, internal memoranda,	<ul style="list-style-type: none"> • Exemptions 	Permanent Transfer to the NT Archives Service 10 years after action completed
1.1.3	Records documenting routine advice provided to members of the community and organisation in relation to animal welfare services.	<ul style="list-style-type: none"> • Routine Advice 	Temporary Destroy 3 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 and / or exchange of letters between parties, as well as information agreements.

Class No.	Description of Records	Examples	Status and Disposal Action
1.2.1	Records documenting the establishment, negotiation, maintenance and review of agreements in relation to animal welfare services, such as with Veterinarian services providers and non-profit organisations, such as the RSPCA. Includes service level agreements.	<ul style="list-style-type: none"> Veterinarian Service Level Agreements 	Temporary Destroy 7 years after expiry or termination of agreement

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1.3 Authorisation

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

Class No.	Description of Records	Examples	Status and Disposal Action
1.3.1	Records documenting delegations of power or functions by the Chief Executive to authorised persons.	<ul style="list-style-type: none"> Delegations 	Permanent Transfer to the NT Archives Service 10 years after action completed
1.3.2	Records documenting approval of fees by the Chief Executive, including gazette notices.	<ul style="list-style-type: none"> Approval of Fees 	Temporary Destroy 7 years after action completed
1.3.3	Records documenting the appointments of authorised officers in relation to animal welfare services. Includes copies of qualifications, training and experience and other supporting documents. May include returned identity cards.	<ul style="list-style-type: none"> Authorised Officers 	Temporary Destroy 7 years after appointment ends
1.3.4	Records documenting approved applications for licences to use premises for teaching or research as required under the <i>Act</i> , including renewals, suspensions, cancellations or where the licence has been surrendered. Includes terms and conditions.	<ul style="list-style-type: none"> Teaching and Research Licences for Premises - Approved 	Temporary Destroy 7 years after licence expires or action completed

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1.3 Authorisation

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

Class No.	Description of Records	Examples	Status and Disposal Action
	May include applications to vary the licence, records relating to appeals to the local court and court orders.		
1.3.5	Records documenting applications for licences to use premises for teaching or research that have been refused, including withdrawn applications.	<ul style="list-style-type: none"> Teaching and Research Licences for Premises - Refused 	Temporary Destroy 3 years after action completed

<p>1. Animal Welfare Services</p> <p>The function of providing for the welfare and protection of animals, including the establishment of the Animal Welfare Advisory Committee, granting licences to organisations for the use of premises for teaching or research, providing education and awareness to the community, developing Codes of Practice, conducting investigations and appointments of authorised officers as required under the <i>Act</i>.</p>			
<p>1.4 Committees</p> <p>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.</p>			
Class No.	Description of Records	Examples	Status and Disposal Action
1.4.1	Records documenting the establishment of the Animal Welfare Authority. Includes ministerial appointments,	<ul style="list-style-type: none"> Establishment of the Authority 	Permanent Transfer to the NT Archives Service 10 years after action completed
1.4.2	Records documenting the establishment and the management of the Animal Welfare Advisory Committee. Includes written authority by the Minister, agendas, minutes and discussion papers. Includes appt of members	<ul style="list-style-type: none"> Animal Welfare Advisory Committee meetings 	Permanent Transfer to the NT Archives Service 10 years after action completed
1.4.3	Records documenting high level committees and interdepartmental committees where the Department is the NT Government's main representative in relation to animal welfare services. Includes agendas, minutes and discussion papers.	<ul style="list-style-type: none"> High Level Committees 	Permanent Transfer to the NT Archives Service 10 years after action completed

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1.5 Compliance

The activities associated with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards.

Class No.	Description of Records	Examples	Status and Disposal Action
1.5.1	<p>Records documenting investigations into persons suspected of contravening the Act where there has been public-wide interest, or a legal precedent is set.</p> <p>Includes written letters of complaints, investigation reports, extracts of documents, witness statements, professional assessments, photographs, audio and visual footage, search warrants, inspection reports and other supporting documentation.</p> <p>May include written notifications given to persons under the Act.</p> <p>May include records where an authorised officer has seized an animal, including the sale or the disposal of animal or thing, including court orders, detail of refunds for costs incurred by authorised persons.</p>	<ul style="list-style-type: none"> • Major Investigations • Animal welfare direction • Improvement notices 	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.5.2	<p>Records documenting investigations into persons suspected of contravening the Act where a legal precedent has not been set and of minimal public interest., such as breaching the duty of care,</p>	<ul style="list-style-type: none"> • Minor Investigations • Animal welfare direction 	<p>Temporary</p>

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1.5 Compliance

The activities associated with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards.

Class No.	Description of Records	Examples	Status and Disposal Action
	<p>being cruel to an animal, aggravated cruelty, administering poison, trapping an animal, use, have or sell an electric device, the use of spurs etc.</p> <p>Includes written letters of complaints, investigation reports, extracts of documents, witness statements, professional assessments, photographs, audio and visual footage, search warrants, inspection reports and other supporting documentation.</p> <p>May include written notifications given to persons under the Act.</p>	<ul style="list-style-type: none"> Improvement notices 	<p>Destroy 10 years after action completed</p>
1.5.3	<p>Records documenting compliance activities required by licensees that uses premises for teaching and researching activities as required under the Act.</p> <p>Includes copies of annual reports.</p> <p>May include reports of breaches.</p>	<ul style="list-style-type: none"> Compliance reports 	<p>Temporary</p> <p>Destroy 7 years after action completed</p>
	<p>Use LEGAL SERVICES – LITIGATION for records documenting lawsuits or legal proceedings in relation to animal welfare services.</p>		

<p>1. Animal Welfare Services</p> <p>The function of providing for the welfare and protection of animals, including the establishment of the Animal Welfare Advisory Committee, granting licences to organisations for the use of premises for teaching or research, providing education and awareness to the community, developing Codes of Practice, conducting investigations and appointments of authorised officers as required under the <i>Act</i>.</p>			
<p>1.6 Emergency Response</p> <p>The activities of saving lives and property that may be exposed to harmful conditions and to reduce the effect and consequences of emergencies, including natural disasters.</p>			
Class No.	Description of Records	Examples	Status and Disposal Action
1.6.1	<p>Records documenting input to emergency response plans in relation to animal welfare services in the event of a natural disaster or emergency, such as flooding, cyclones and bushfires.</p> <p>Includes correspondence with other agencies, such as the NT Police, Local Government, Power and Water Corporation and Territory Families.</p>	<ul style="list-style-type: none"> Emergency Responses Plans 	<p>Temporary</p> <p>Destroy 10 years after action completed</p>

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1.7 Enquiries

The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.

Class No.	Description of Records	Examples	Status and Disposal Action
1.7.1	Records documenting requests for the handling of enquiries regarding animal welfare services from members of the public, such as students.	<ul style="list-style-type: none"> Requests for information 	Temporary Destroy 5 years after action completed

<p>1. Animal Welfare Services</p> <p>The function of providing for the welfare and protection of animals, including the establishment of the Animal Welfare Advisory Committee, granting licences to organisations for the use of premises for teaching or research, providing education and awareness to the community, developing Codes of Practice, conducting investigations and appointments of authorised officers as required under the <i>Act</i>.</p>			
<p>1.8 Extension Services</p> <p>The activities involved in planning and developing educational activities and programs which raise awareness and understanding of the broader role of the organisation.</p>			
Class No.	Description of Records	Examples	Status and Disposal Action
1.8.1	Records documenting the education and promotion of animal welfare services, such as the regional show circuit, Million Paws Walk, Pet Expo and other relevant community events and industry meetings. Includes presentations, handouts and plans.	<ul style="list-style-type: none"> • Information Handouts • Fact Sheets 	Temporary Destroy 5 years after action completed

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1.9 Grant Allocation

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

Class No.	Description of Records	Examples	Status and Disposal Action
1.9.1	Records documenting the receipt of applications from non-government sources for grant funding by the Department where the application was successful. Includes grant application, letter of notification, performance reports, acquittals and finance reports.	<ul style="list-style-type: none"> Grant Files 	Temporary Destroy 7 years after grant acquitted
1.9.2	Records documenting unsuccessful applications for grant funding. Includes grant application and letter of notification.	<ul style="list-style-type: none"> Unsuccessful Grants 	Temporary Destroy 2 years after action completed
1.9.3	Records documenting the advertising and assessment of grant funding opportunities to non-government organisations in relation to animal welfare services. Includes copies of advertisement publications, list of panel assessors, assessment notes and related correspondence.	<ul style="list-style-type: none"> Advertising of Grants Assessments of applications 	Temporary Destroy 3 years after action completed

<p>1. Animal Welfare Services</p> <p>The function of providing for the welfare and protection of animals, including the establishment of the Animal Welfare Advisory Committee, granting licences to organisations for the use of premises for teaching or research, providing education and awareness to the community, developing Codes of Practice, conducting investigations and appointments of authorised officers as required under the <i>Act</i>.</p>			
<p>1.10 Planning</p> <p>The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.</p>			
Class No.	Description of Records	Examples	Status and Disposal Action
1.10.1	Final approved versions of strategic plans in relation to animal welfare services.	<ul style="list-style-type: none"> Animal Welfare Strategic Plans 	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.10.2	<p>Records documenting the development and review of plans in relation to animal welfare services.</p> <p>Includes draft versions, consultation notes and related correspondence.</p>	<ul style="list-style-type: none"> Draft versions of plans 	<p>Temporary</p> <p>Destroy 5 years after action completed</p>

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1.11 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	Examples	Status and Disposal Action
1.11.1	Final set of policies in relation to animal welfare services, including the Codes of Practice. Includes ministerials, briefing notes, gazette notices and recommendations by the Animal Welfare Advisory Committee. '	<ul style="list-style-type: none"> Codes of Practice 	Permanent Transfer to the NT Archives Service 10 years after action completed
1.11.2	Records documenting the development and review of policies in relation to animal welfare services. Includes draft versions, consultation notes, copies of legal advice and related correspondence.	<ul style="list-style-type: none"> Review of Policies Draft versions 	Temporary Destroy 10 years after action completed

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1.12 Procedure

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

Class No.	Description of Records	Examples	Status and Disposal Action
1.12.1	Final set of procedures in relation to animal welfare services, including the Standard Operating Procedures.	<ul style="list-style-type: none"> Standard Operations Procedures 	Permanent Transfer to the NT Archives Service 10 years after action completed
1.12.2	Records documenting the development and review of procedures in relation to animal welfare services. Includes draft versions, consultation notes and related correspondence.	<ul style="list-style-type: none"> Draft procedures 	Temporary Destroy 10 years after action completed

<p>1. Animal Welfare Services</p> <p>The function of providing for the welfare and protection of animals, including the establishment of the Animal Welfare Advisory Committee, granting licences to organisations for the use of premises for teaching or research, providing education and awareness to the community, developing Codes of Practice, conducting investigations and appointments of authorised officers as required under the <i>Act</i>.</p>			
<p>1.13 Reporting</p> <p>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.</p>			
Class No.	Description of Records	Examples	Status and Disposal Action
1.13.1	Records documenting major reports in relation to animal welfare services, such as the annual report by the Animal Welfare Advisory Group.	<ul style="list-style-type: none"> • Major reports • Annual report 	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.13.2	Records documenting draft versions of major reports, including consultation notes, statistics and other supporting documents.	<ul style="list-style-type: none"> • Working Papers 	<p>Temporary</p> <p>Destroy 5 years after action completed</p>
1.13.3	Records documenting periodic reports in relation to animal welfare services, such as monthly reports on statistics, funding and related activities.	<ul style="list-style-type: none"> • Periodic reports 	<p>Temporary</p> <p>Destroy 5 years after action completed</p>