

Records disposal schedule

Records Disposal Schedule Teacher Regulation Teacher Registration Board of the Northern Territory Department of Education

Disposal Schedule No. 2019/009

September 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.

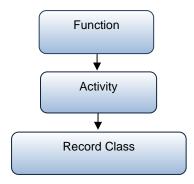
Disposal schedules are developed using the functional structure based on the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

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

NT Archives Service NT Records Service 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 Teacher Registration of the Teacher Regulation Board of the Northern Territory.

Scope

Application of this Records Disposal Schedule is mandatory for Teacher Regulation records of the Teacher Registration Board of the Northern Territory.

This Records Disposal Schedule applies to Teacher Regulation records in all formats.

Responsibility

The Chief Executive of the Department of Education 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. 2019/009 was approved by the Director of the NT Archives Service (The Archives Service), Senior Director of Digital Policy (The Records Service), and the Chief Executive of the Department of Education on 10 September 2019 and is effective immediately.

Regulatory Framework

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

- Mutual Recognition Act 1992 (CTH)
- Teacher Registration (Northern Territory) Act 2004
- Teacher Registration (Northern Territory) Regulations
- Trans-Tasman Mutual Recognition Act 1997 (CTH)
- 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 the [name of public sector organisation]
- current authorised disposal schedules for Department of Education

NT Archives Service NT Records Service

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.

Glossary

Independent Public Schools - are part of the public education system and follow the Australian curriculum, but the principal, teachers and the school community have a greater say in the way the school is run and can provide an alternative approved curriculum framework. The local governance varies to that of a normal public school. Independent Public Schools are still part of the public education system and receive public funding from the Government.

Private Schools – Private schools are non-government schools. These can be further broken down to religion based schools and independent non-denominational schools, such as Catholic Schools, Lutheran Schools and the Milkwood Steiner School.

Public Schools – Australian Schools fully supported by public funds. They are operated by the Northern Territory Government.

Co	ompliance Checklist	
	Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records	Stop applying sentences from previous schedules that have been revoked or amended
	Assign responsibility for the management and application of regular records disposal action using authorised records disposal	Retain all records in good order and condition to be available for retrieval during the retention period.
	schedules, to an appropriately skilled records manager who consults with the NT Archives Service and NT Records Service	Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
	Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records	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
	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	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
	Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule	Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
	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	Inactive records can be transferred to offsite service providers providing they have been sentenced
	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	Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
	Implement quality assurance mechanisms to periodically check that the disposal class	Notify the NT Records Service of destruction of all records

NT Archives Service NT Records Service

Compliance Checklist

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

Disposal Schedule

1. Teacher Regulation

The function of providing for the registration of teachers and the regulation of the teaching profession under the *Teacher Registration (Northern Territory) Act*. Includes the establishment of the Teacher Registration Board, the handling of complaints, investigations into compliance matters, the conduct of inquiries, the maintenance of statutory registers, statutory reporting and accreditation of initial teacher education programs.

1.1 Accreditation

The activities associated with gaining recognition for an educational institution to deliver courses in compliance with relevant standards and quality.

Class No.	Description of Records	Status and Disposal Action
1.1.1 Records documenting the accreditation of pre-	TEMPORARY	
	service teacher education programs, including reaccreditation of courses in accordance with the Accreditation of Initial Teacher Education Programs in Australia (AITSL) Standards and Procedures, the National Professional Standards for Teachers and the Australian Qualifications Framework (AQF).	Destroy 7 years after accreditation expires or is cancelled
	Includes programs:	
	- Batchelor of Education (Primary)	
	 Bachelor of Education (Secondary) Health and Physical Education 	
	- Batchelor of Education	
	- Batchelor of Education Graduate Entry	
	- Batchelor of Early Childhood Teaching	
	- Master of Teaching	
	Includes program applications for accreditation and re-accreditation, course outlines, draft accreditation reports, establishment of panels, responses to draft accreditation reports, accreditation decision and formal advice to AITSL and other supporting documentation.	
	Includes correspondence with institutions providing education courses in the Northern Territory, such as the Charles Darwin University.	
	May include appeals by the provider applicant.	

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1.1 Accreditation

The activities associated with gaining recognition for an educational institution to deliver courses in compliance with relevant standards and quality.

Class No.	Description of Records	Status and Disposal Action
1.1.2	Records documenting the appointments of accreditation panel members. Includes nominations, copies of experience and qualifications and national panel training.	TEMPORARY Destroy 3 years after appointment expires

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1.2 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
1.2.1	Records documenting the provision of formal advice to and from the Minister, other government bodies, non-government bodies and organisation in relation to teacher registration where a detailed response has been provided. Includes ministerials and briefing notes.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.2.2	Records documenting routine advice provided to persons in relation to teacher registration.	TEMPORARY Destroy 3 years after action completed

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1.3 Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements and/or exchange of letters between parties, as well as informal agreements.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records documenting the establishment, negotiation, maintenance and review of major agreements with other government bodies or organisations in relation to teacher registration. Includes national partnerships and memoranda of understandings.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.3.2	Records documenting the establishment, negotiation, maintenance and review of minor agreements with other government bodies or organisations in relation to teacher registration, such as information sharing agreements.	TEMPORARY Destroy 7 years after expiry or termination of agreement

The function of providing for the registration of teachers and the regulation of the teaching profession under the *Teacher Registration (Northern Territory) Act*. Includes the establishment of the Teacher Registration Board, the handling of complaints, investigations into compliance matters, the conduct of inquiries, the maintenance of statutory registers, statutory reporting and accreditation of initial teacher education programs.

1.4 Committees

The activities associated with the management of committees, sub-committees, councils, forums working groups, boards and task forces (internal and external, private, community, local, state, national, international, etc). Includes the committee's establishment, appointments of members, terms of reference, proceedings, minutes, reports, agenda etc.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records documenting the establishment of the Teacher Registration Board under the Act. Includes the appointment of the Director of the Teacher Registration Board by the Minister, members by the Administrator, alternative members appointed by the Minister, terms and conditions, resignations and terminations.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.4.2	Records documenting meetings held by the Teacher Registration Board. Includes agendas, minutes and discussion papers and member's disclosure of interests.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.4.3	Records documenting committees convened by or involving the Board relating to major policy issues in relation to teacher regulation, such as the Australasian Teacher Regulatory Authorities, Association of Northern Territory School Educational Leaders and the Australian Institute of Teaching and School Leadership.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
	Includes agendas, minutes and discussion papers.	
1.4.4	Records documenting committees established by the Board in relation to teacher regulation, such as the Initial Teacher Education Committee and the Employer Reference Committee,	TEMPORARY Destroy 5 years after action completed
	Includes agendas, minutes and discussion papers.	
	May include written directions by the Board.	

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1.5 Compliance

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

Class No.	Description of Records	Status and Disposal Action
1.5.1	Records documenting investigations into persons suspected of contravening the Act, such as employing a teacher that is not registered, employing a person that has not been approved as an authorised person to teach, making false or misleading information.	TEMPORARY Destroy 70 years after action completed
	Includes extracts of documents, investigation reports, witness statements and other supporting documentation.	
1.5.2	Records documenting the conduct of audits of teachers to monitor compliance as required under the Act. Includes lists of teachers from employers.	TEMPORARY Destroy 70 years after action completed
	Use LEGAL SERVICES – LITIGATION for records documenting legal proceedings.	

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1.6 Control

The activities associated with creating, maintaining and evaluating control mechanisms.

Class No.	Description of Records	Status and Disposal Action
1.6.1	Register of Teachers as required under the	PERMANENT
	Act. Includes:	(manage and migrate data to new platform during system upgrades)
		Transfer to NT Archives
	- Person's name	Service 10 years after date of
	- Business address	last entry.
	- Person's qualifications	
	 the date of the person's registration 	
	 conditions imposed on the person's registration 	
	- renewals	
	- suspensions	
	 removal from the register of a person's name 	
	 the restoration to the register of a person's name 	
	 change in the personal details or business address of a registered person 	
	May include additional information as directed by the Teacher Registration Board.	
1.6.2	Records documenting applications to the Board	PERMANENT
	for corrections to the register by persons, including notifications of change of name or address.	(manage and migrate data to new platform during system upgrades)
	May include requests by the Board for further supporting information.	Transfer to NT Archives Service 10 years after date of last entry.

The function of providing for the registration of teachers and the regulation of the teaching profession under the *Teacher Registration (Northern Territory) Act*. Includes the establishment of the Teacher Registration Board, the handling of complaints, investigations into compliance matters, the conduct of inquiries, the maintenance of statutory registers, statutory reporting and accreditation of initial teacher education programs.

1.6 Control

The activities associated with creating, maintaining and evaluating control mechanisms.

Class No.	Description of Records	Status and Disposal Action
1.6.3	Records documenting notification of cancellations and suspensions of teacher registrations as result of disciplinary action from other jurisdictions and New Zealand.	PERMANENT Retain in organisation

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1.7 Delegations

The process associated with delegating powers and functions to persons to carry out specific activities.

Class No.	Description of Records	Status and Disposal Action
1.7.1	Records documenting delegations by the Board to a Board member, a committee or the Director any of its powers and functions under the Act, including short term delegations.	PERMANENT Transfer to the NT Archives Service 10 years after action completed

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1.8 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	Status and Disposal Action
1.8.1	Records documenting requests for information from the Teacher's Register from Authorities. Includes written responses and copies of extracts.	TEMPORARY Destroy 7 years after action completed

The function of providing for the registration of teachers and the regulation of the teaching profession under the *Teacher Registration (Northern Territory) Act*. Includes the establishment of the Teacher Registration Board, the handling of complaints, investigations into compliance matters, the conduct of inquiries, the maintenance of statutory registers, statutory reporting and accreditation of initial teacher education programs.

1.9 Marketing and Promotion

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
1.9.1	Records documenting campaigns or advertising for raising awareness in relation to teacher registration within the Northern Territory. Includes marketing plans, market research, promotional photographs, publicity records, information sessions, brochures, leaflets, newsletters, email communication and updating websites.	TEMPORARY Destroy 5 years after action completed

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1.10 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
1.10.1	Records documenting final versions of plans in relation to teacher registration.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.10.2	Records documenting the development of plans in relation to teacher registration. Includes drafts, consultation notes and related correspondence.	TEMPORARY Destroy 5 years after action completed

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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	Status and Disposal Action
1.11.1	Master set of policies in relation to teacher registration, such as the Code of Ethics, Provisional to Full Registration, Authorisation Policy and the Mutual Recognition Policy.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.11.2	Records documenting the development of policies in relation to teacher registration. Includes draft versions, file notes, consultation notes and other related correspondence.	TEMPORARY Destroy 10 years after action completed

The function of providing for the registration of teachers and the regulation of the teaching profession under the *Teacher Registration (Northern Territory) Act*. Includes the establishment of the Teacher Registration Board, the handling of complaints, investigations into compliance matters, the conduct of inquiries, the maintenance of statutory registers, statutory reporting and accreditation of initial teacher education programs.

1.12 Procedures

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

Class No.	Description of Records	Status and Disposal Action
1.12.1	Master set of procedures and guidelines in relation to teacher regulation, such as the Protective Practices Guidelines for teaching staff in the Northern Territory.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.12.2	Records documenting the development of procedures and guidelines in relation to teacher regulation.	TEMPORARY Destroy 5 years after action completed

The function of providing for the registration of teachers and the regulation of the teaching profession under the *Teacher Registration (Northern Territory) Act*. Includes the establishment of the Teacher Registration Board, the handling of complaints, investigations into compliance matters, the conduct of inquiries, the maintenance of statutory registers, statutory reporting and accreditation of initial teacher education programs.

1.13 Registration

The activities associated with officially registering a document, object or persons into an official register.

Class No.	Description of Records	Status and Disposal Action
of registra certificate provisional application application application employ un refused a lincludes a copies of conditions. May inclust including and disquifurther do the Board teacher reference employment against the miscondust teach and Board if a a sexual disfounding certificate. May inclusion orders and complaint of Police made of reference of May inclusion of the provided of the made of reference of the made of reference of the made of reference of the made of	Records documenting applications for certificates of registration under the Act, including interim certificates of registration issued by the Board, provisional registrations, applications for renewal, applications under mutual recognition, including applications to the Board for authorisation to employ unregistered persons as a teacher and refused applications.	TEMPORARY Destroy 70 years after registration lapses, is cancelled, suspended or refused
	Includes applications, receipts of prescribed fees, copies of qualifications, referee reports, terms and conditions.	
	May include conditions imposed by the Board, including variations, revocations and suspensions and disqualifications, requests from the Board for further documentation, employer notifications to the Board, such as if a teacher is dismissed, teacher resigns or otherwise leaves the employment or the employer takes any action against the person in relation to serious misconduct or lack of competence or fitness to teach and relevant persons notifications to the Board if a teacher has been committed to trial for a sexual offence or another indictable offence or is found guilty and requests for replacement certificates.	
	May include appeals to the local courts, court orders and related correspondence, official complaints and notifications from the Commission of Police to the Board with regards to a complaint made of registered persons.	
	May include inquiries by the Board, includes notices of inquiries, inquiry reports, Board decisions and other supporting information.	

The function of providing for the registration of teachers and the regulation of the teaching profession under the *Teacher Registration (Northern Territory) Act*. Includes the establishment of the Teacher Registration Board, the handling of complaints, investigations into compliance matters, the conduct of inquiries, the maintenance of statutory registers, statutory reporting and accreditation of initial teacher education programs.

1.13 Registration

The activities associated with officially registering a document, object or persons into an official register.

Class No.	Description of Records	Status and Disposal Action
	May include applications for the Highly Accomplished and Lead Teacher (HALT) certification, pre-assessment consultation notes, evidence submitted against the Australian Professional Standards for Teachers, written statements, observation reports, referee comments, external assessor assessment, observation notes and other supporting documentation.	
1.13.2	Records documenting applications for certificates of registration that have been withdrawn. Includes applications and supporting documentation.	TEMPORARY Destroy 5 years after action completed

The function of providing for the registration of teachers and the regulation of the teaching profession under the *Teacher Registration (Northern Territory) Act*. Includes the establishment of the Teacher Registration Board, the handling of complaints, investigations into compliance matters, the conduct of inquiries, the maintenance of statutory registers, statutory reporting and accreditation of initial teacher education programs.

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, including annual reports in relation to teacher registration.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.14.2	Records documenting the development of major reports. Includes draft versions, consultation notes, statistic reports and other related correspondence.	TEMPORARY Destroy 5 years after action completed
1.14.3	Records documenting periodic reports in relation to teacher regulation. Includes statistics.	TEMPORARY Destroy 5 years after action completed