



## **Records disposal schedule**

# **Records Disposal Schedule Department of the Legislative Assembly**

**Disposal Schedule No. 2015/7**

**June 2015**

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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 so<sup>1</sup>. 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](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.<sup>2</sup>

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.

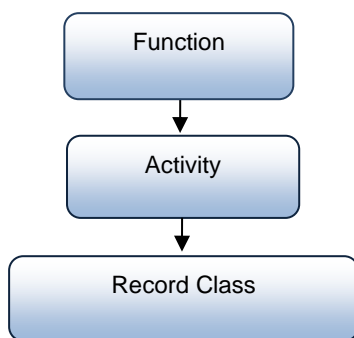
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<sup>1</sup> S.145 *Information Act*

<sup>2</sup> 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 Northern Territory Legislative Assembly of the Department of the Legislative Assembly.

### Scope

Application of this Records Disposal Schedule is mandatory for Legislative Assembly records of the Department of the Legislative Assembly.

This Records Disposal Schedule applies to Legislative Assembly records in all formats.

### Responsibility

The Clerk of the Legislative Assembly 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. 2015/7 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 Clerk of the Legislative Assembly on 12 June 2015 and is effective immediately.

### Regulatory Framework

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

- *Assembly Members and Statutory Officers (Remuneration and Other Entitlements) Act (AMSORE)*
- *Electoral Act*
- *Interpretation Act*
- *Legislative Assembly (Disclosure of Interests) Act*
- *Legislative Assembly (Members' Code of Conduct and Ethical Standards) Act*
- *Legislative Assembly (Powers and Privileges) Act*
- *Legislative Assembly (Security) Act*
- *Legislative Assembly Members (Miscellaneous Provisions) Act*
- *Legislative Assembly Members' Superannuation Contributions Act*
- *Legislative Assembly Members' Superannuation Fund Act*
- *NT Self Government Act 1978 (CW)*
- *NT Self Government Regulations (CW)*
- *Ombudsman (Northern Territory) Act*
- Speaker of the Legislative Assembly Determinations

### Other Relevant Legislation

- *Information Act*
- *Information Regulations*
- NT Government Archives Management Standards
- NT Government Records Management Standards
- Australian Standards AS ISO 15489:2002-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 the Legislative Assembly

## 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.

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## Compliance Checklist

- Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records
- Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the 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. Assembly Committees

The function of supporting the standing and select committees of the Assembly. Includes the provision of information on the Assembly committee system. Excludes Secretariat committees such as Risk Management Committee.

#### 1.1 Committee Management

The activity of arranging and supporting private and public meetings of standing and select committees.

Class No.	Description of Records	Status and Disposal Action
1.1.1	Final minutes of proceedings.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.1.2	Records documenting the development and review of the circulation of minutes of proceedings. Records include: <ul style="list-style-type: none"> <li>• comments received on drafts from other organisations/ stakeholders</li> <li>• major draft versions containing significant changes/alterations or formally circulated for comment</li> <li>• results of consultations</li> <li>• supporting records</li> </ul>	Temporary Destroy 8 years after action completed

## 1. Assembly Committees

The function of supporting the standing and select committees of the Assembly. Includes the provision of information on the Assembly committee system. Excludes secretariat committees such as Risk Management Committee.

### 1.2 Committee Transcripts

The activities associated with producing verbatim transcripts of the Assembly and its committees.

Class No.	Description of Records	Status and Disposal Action
1.2.1	Final version of transcripts of committee hearings.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.2	Records documenting the development and review of the circulation of transcripts. Records include: <ul style="list-style-type: none"> <li>• comments received on drafts from other organisations/ stakeholders</li> <li>• major draft versions containing significant changes/alterations or formally circulated for comment</li> <li>• results of consultations</li> <li>• supporting records</li> </ul>	Temporary Destroy 8 years after action completed
1.2.3	Records documenting recording and transcription arrangements.	Temporary Destroy 8 years after action completed
	Use the common activity COMMITTEES – for agency specific committees	

## 2. Assembly Members

The function of advising, reviewing and documenting the eligibility, conduct, attendance, remuneration, entitlements, and Assembly service of Members of the Legislative Assembly. Excludes condolences for Members and former Members.

### 2.1 Advice

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.1.1	Records relating to the receipt and provision of advice relating to Assembly Members' entitlements.  Includes working papers.	Temporary  Destroy 8 years after action completed

## 2. Assembly Members

The function of advising, reviewing and documenting the eligibility, conduct, attendance, remuneration, entitlements, and Assembly service of Members of the Legislative Assembly. Excludes condolences for Members and former Members.

### 2.2 Members Entitlements

The activities associated with managing Members' entitlements.

Class No.	Description of Records	Status and Disposal Action
2.2.1	Records documenting Remuneration Tribunal decisions affecting Members and other monetary entitlements such as electorate allowance.	Permanent Transfer to the NT Archives Service 10 years after action completed
2.2.2	Records relating to submissions by Department of the Legislative Assembly to the Remuneration Tribunal.	Temporary Destroy 8 years after action completed

## 2. Assembly Members

The function of advising, reviewing and documenting the eligibility, conduct, attendance, remuneration, entitlements, and Assembly service of Members of the Legislative Assembly. Excludes condolences for Members and former Members.

### 2.3 Members Induction

The activities associated with managing and arranging induction programs for Members.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.3.1	Master set of manuals, handbooks and directives relating to induction programs, such as the Members' Guide.	Temporary Destroy 8 years after document superseded
2.3.2	Records documenting the development of induction programs supporting the Assembly Members function.	Temporary Destroy 4 years after action completed

### 3. Chamber Proceedings

The function of providing support for the sittings of the Legislative Assembly, including:

- administering tabled papers
- administrative support for passage and assent of bills
- procedural notes for conduct of business in the committee of the whole
- production of minutes of proceedings
- receipt and processing of written questions and answers, petitions, bills, bill amendments and procedural motions.

#### 3.1 Assembly Meetings

The activities associated with arranging and supporting the meetings of the Assembly.

Class No.	Description of Records	Status and Disposal Action
3.1.1	<p>Records documenting the proceedings of the Assembly.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• condolences</li> <li>• minutes of proceedings</li> <li>• notice papers</li> <li>• petitions</li> <li>• questions on notice</li> <li>• resolutions</li> <li>• standing Orders</li> <li>• tabled documents</li> </ul>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

### 3. Chamber Proceedings

The function of providing support for the sittings of the Legislative Assembly, including:

- administering tabled papers
- administrative support for passage and assent of bills
- procedural notes for conduct of business in the committee of the whole
- production of minutes of proceedings
- receipt and processing of written questions and answers, petitions, bills, bill amendments and procedural motions.

#### 3.2 Assembly Transcripts

The activities associated with producing verbatim transcripts of the Assembly and its committees.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
3.2.1	Final version of transcripts of Chamber proceedings (Hansard).	Permanent Transfer to the NT Archives Service 10 years after action completed.
3.2.2	Records documenting recording and transcription arrangements.	Temporary Destroy 8 years after action completed



### 3. Chamber Proceedings

The function of providing support for the sittings of the Legislative Assembly, including:

- administering tabled papers
- administrative support for passage and assent of bills
- procedural notes for conduct of business in the committee of the whole
- production of minutes of proceedings
- receipt and processing of written questions and answers, petitions, bills, bill amendments and procedural motions.

#### 3.3 Broadcasting of Proceedings

The activities associated with the broadcasting of the proceedings of the Assembly and its committees.

Class No.	Description of Records	Status and Disposal Action
3.3.1	Recording of proceedings of the Assembly and its committees.	Permanent Transfer to the NT Archives Service 10 years after action completed.
3.3.2	Records documenting approved guidelines for broadcasting of the proceedings of the Assembly and its committees.	Temporary Destroy 8 years after action completed

### 3. Chamber Proceedings

The function of providing support for the sittings of the Legislative Assembly, including:

- administering tabled papers
- administrative support for passage and assent of bills
- procedural notes for conduct of business in the committee of the whole
- production of minutes of proceedings
- receipt and processing of written questions and answers, petitions, bills, bill amendments and procedural motions.

#### 3.4 Ceremonies

The activities associated with arranging and managing a formal act performed for a special occasion.

Class No.	Description of Records	Status and Disposal Action
3.4.1	<p>Records documenting the organisation and staging of events and celebrations of significant interest to the Northern Territory. Includes ceremonies held to mark special occasions.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• briefing papers</li> <li>• guest lists, invitations, programs and protocol arrangements</li> <li>• photographs and multimedia</li> <li>• senior organisation officials</li> <li>• speeches or addresses.</li> </ul>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
3.4.2	<p>Working documents relating to the organisation and staging of events and celebrations of interest to the Northern Territory.</p> <p>Includes records documenting minor ceremonies.</p>	<p>Temporary</p> <p>Destroy 8 years after action completed</p>

## 4. Interparliamentary Relations

The function of managing relations between the Northern Territory Legislative Assembly and other Parliaments. Includes; the Department of the Legislative Assembly's participation in regional and international parliamentary organisations and liaison with the Federal Parliament, State Parliaments and the ACT Legislative Assembly.

### 4.1 Addresses

The activity of giving addresses for training, professional or community relations purposes. Includes speeches and multi-media presentations.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
4.1.1	Records documenting the giving of addresses.	Permanent Transfer to the NT Archives Service 10 years after action completed

## 4. Interparliamentary Relations

The function of managing relations between the Northern Territory Legislative Assembly and other Parliaments. Includes; the Department of Legislative Assembly's participation in regional and international parliamentary organisations and liaison with the Federal Parliament, State Parliaments and the ACT Legislative Assembly.

### 4.2 Interparliamentary Organisations

The activities associated with the participation in national and international associations and committees concerned with interparliamentary relations, such as Commonwealth Parliamentary Association, Australasian Study of Parliament Group, Australian and New Zealand Association of Clerks at the Table. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No.	Description of Records	Status and Disposal Action
4.2.1	Final minutes of proceedings of the Northern Territory branch of interparliamentary organisations.	Permanent Transfer to the NT Archives Service 10 years after action completed

## 5. Legislative Process

The function of processing legislation through the Assembly to certification by the Clerk and forwarding to the Office of the Administrator for assent.

### 5.1 Advice

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

Class No.	Description of Records	Status and Disposal Action
5.1.1	Records documenting advice provided or received in relation to the legislative process function to his Honour the Administrator from the Clerk certifying bills to assent.	Permanent Transfer to the NT Archives Service 10 years after action completed

## 6. Parliamentary Procedure

The function of developing, reviewing and implementing procedures, practices and policies relevant to carrying out the business of the Assembly and its committees. Includes advice from the Clerk.

### 6.1 Advice

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

Class No.	Description of Records	Status and Disposal Action
6.1.1	Final version of advice provided on parliamentary procedure relating to the Assembly and its committees.	Permanent Transfer to the NT Archives Service 10 years after action completed
6.1.2	Working papers on advice provided on parliamentary procedure relating to the Assembly and its committees.	Temporary Destroy 8 years after action completed