

Records Disposal Schedule
Risk Review Services
Department of the Chief Minister

Disposal Schedule No. 2006/4

June 2006

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ABOUT THIS DISPOSAL SCHEDULE

Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of Risk Review Services records of the Department of the Chief Minister.

Scope

Application of this Disposal Schedule is mandatory for Risk Review Services records of the Department of the Chief Minister.

This Disposal Schedule applies to Risk Review Services records in all formats, including electronic records and records in business systems, copies of records and parts of records of the Northern Territory Government.

Regulatory Framework

The regulatory basis for this Disposal Schedule is defined in:

- ▶ Information Act 2002
- ▶ 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 Department of the Chief Minister
- ▶ current authorised disposal schedules for the Department of the Chief Minister
- ▶ ^ Records Disposal Schedule for Risk Assessment and Strategic Review - Records Disposal Schedule No 2005/4

^ Note that this Disposal Schedule supersedes the Records Disposal Schedule for Risk Assessment and Strategic Review Records - Disposal Schedule No 2005/4 which can no longer be used to sentence records.

- ▶ * Disposal Schedule for Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN).

* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).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
- ▶ NT Archives Guidelines on Normal Administrative Practice for Records Disposal



Responsibility

The Chief Executive of the Department of the Chief Minister is responsible for the content and implementation of this Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Disposal Schedule was approved by the Director of the Northern Territory Archives Service and the Chief Executive of the Department of the Chief Minister June 2006 and is effective immediately.

Replacement of Existing Disposal Schedule

This disposal schedule replaces (supersedes) the Records Disposal Schedule for Risk Assessment and Strategic Review Records - Disposal Schedule No 2005/4 which can no longer be used to sentence records

Explanation

This schedule has been developed using the methodologies of the Australian Standard AS 4390–1996, *Records Management*. The functional structure is 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.

Records disposal schedules are policy documents that describe each class of records held, using thesaurus classifications based on business analysis. The 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.

Either permanent or temporary status is assigned to each class of records. Records appraised with permanent status have been identified as archives and must be transferred to NT Archives Service not later than 30 years after creation. Temporary records will be destroyed at an appropriate time determined by the disposal action identified in the schedule and by consultation with relevant operational business employees responsible for the 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 –the General Disposal Schedule for Financial Management Records, the General Disposal Schedule for Human Resource Management Records, the General Disposal for Administrative Records, the Disposal Schedule for Records of Short Term Value and the General Disposal Schedule for Information Management Records. These can be used by all NT Government public sector organisations to assist with the disposal of administrative records.

Sentencing Records

Sentence records with this records disposal schedule using the following five steps:

- ▶ Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
- ▶ Identify the disposal class.
- ▶ 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.
- ▶ If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
- ▶ If the trigger event has not occurred (eg. the record is still in active use), set a review date for the future.



Resentencing Records

Records sentenced under the superseded Records Disposal Schedule for Risk Assessment and Strategic Review Records Disposal Schedule No. 2005/4 to be resentenced using this schedule.

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.

Records that have been captured into a recordkeeping system can be destroyed using the Disposal Schedule for Short Term Value Records unless the class of records has been identified in a disposal schedule. The reason for their destruction must be recorded in full on the relevant control records. Normal administrative practice can be applied to electronic records as well as paper records (eg information on word processing systems where a hard copy has been captured into a recordkeeping system)

Notification of Destruction

Provide formal notification of destruction of all records to NT Archives Service.

Acknowledgment

The NT Archives Service wishes to acknowledge the use of material produced by National Archives of Australia, State Records Authority of New South Wales and Standards Australia.

The schedule was drafted principally by the Department of the Chief Minister in consultation with NT Archives Service.

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 Northern Territory Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, Northern Territory 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 Northern Territory Archives Service and the State Records Authority of New South Wales.)



COMPLIANCE

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
- 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
- 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 electronic recordkeeping systems to ensure disposal actions are implemented correctly.
- Identify records series that require resentencing
- 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
- 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 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 deletion/destruction beyond any possible reconstruction
- Notify NT Archives Service of destruction of all records
- 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



1. RISK REVIEW SERVICES

The function of providing services to Northern Territory public sector organisations to develop or assist to develop plans, programs or controls to manage identified risks, improve organisational effectiveness and establish and review strategic directions.

1.1 COMMITTEES

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

Class No.	Description of Records	Status and Disposal Action
1.1.1	Records of participation in Agency Audit Committees, Steering Committees or Working Parties which focus on developing Agency organisational capability; or on the development of Agency audit, risk management, or strategic management plans or programs. Includes copies of terms of reference, agendas, minutes or business papers in relation to the work of the Committee. (Note that the original documents are held by the client agency).	TEMPORARY Destroy 2 years after action completed

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1.2 CONSULTANCY SERVICES

The activities involved in providing and managing services to clients on a fee paying basis. Includes negotiating fees for service and preparing quotations.

Class No.	Description of Records	Status and Disposal Action
1.2.1	<p>Records relating to projects undertaken by in-house and external consultants to assist NT Government agencies to develop and review strategic and risk management plans and programs.</p> <p>Includes copies of terms of reference, draft and final reports or plans, and project evaluations. (Note that the original documents are held by the client agency)</p>	<p>TEMPORARY</p> <p>Destroy 5 years after action completed.</p>
1.2.2	<p>Working papers relating to consultancy projects and the provision of advisory services described in Class 1.2.1.</p> <p>Includes research, interview notes and other data collected in the course of the project.</p>	<p>TEMPORARY</p> <p>Destroy 12 months after action completed.</p>

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.

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The function of providing services to Northern Territory public sector organisations to develop or assist to develop plans, programs or controls to manage identified risks, improve organisational effectiveness and establish and review strategic directions.

1.3 CONTRACTING OUT

The activities involved in arranging, procuring and managing the performance of work or the provision of goods or services by a contractor, consultant, service provider, or by using external bureau services. Includes work done under contractual agreements and service agreements made under contract. Sometimes referred to as outsourcing.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records relating to the engagement of contractors to provide consultancy services to assist NT Government agencies to develop and review strategic and risk management plans and programs. Includes copies of contracts and evaluation sheets.	TEMPORARY Destroy 7 years after contract expires.

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.

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The function of providing services to Northern Territory public sector organisations to develop or assist to develop plans, programs or controls to manage identified risks, improve organisational effectiveness and establish and review strategic directions.

1.4 METHODOLOGIES

The activities involved in designing and establishing scientific or systematic approaches, based on recognised standards, for the conduct of audits, inquiries, analyses, evaluations, investigations or reviews.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Master sets of risk assessment, risk management, business management or strategic management methodologies and tools developed by Risk Management Services, such as Risk Mat ©, or Ops Map ©.	PERMANENT Transfer to the NT Archives Service 4 years after methodology is superseded.
1.4.2	Records relating to the development and testing of methodologies.	TEMPORARY Destroy 5 years after methodology is superseded.

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.

1. RISK REVIEW SERVICES

The function of providing services to Northern Territory public sector organisations to develop or assist to develop plans, programs or controls to manage identified risks, improve organisational effectiveness and establish and review strategic directions.

1.5 PROCEDURES

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

Class No.	Description of Records	Status and Disposal Action
1.5.1	Master set of operating procedures supporting the risk review services function.	PERMANENT Transfer to the NT Archives Service 4 years after procedure is superseded.
1.5.2	Records relating to the development of operating procedures supporting the risk assessment services function.	TEMPORARY Destroy 1 year after completion of procedures.
1.5.3	Copies of procedures.	TEMPORARY Destroy when reference ceases.

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.

1. RISK REVIEW SERVICES

The function of providing services to Northern Territory public sector organisations to develop or assist to develop plans, programs or controls to manage identified risks, improve organisational effectiveness and establish and review strategic directions.

1.6 TENDERING

The activities involved in developing, issuing, receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods or services, or for the production of work.

Class No.	Description of Records	Status and Disposal Action
1.6.1	Records relating to the development, issue and evaluation of tender documentation, where a contract is arranged on behalf of the NT Government or an NT Government Agency.	TEMPORARY Destroy 7 years after completion of contract.



DEPARTMENT OF CORPORATE
AND INFORMATION SERVICES