



Records disposal schedule

Records Disposal Schedule Airwing NT Police, Fire and Emergency Services

Disposal Schedule No. 2018/5

August 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 (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.

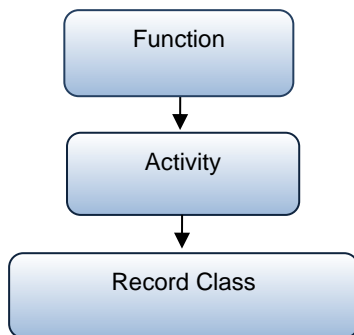
¹ S.145 *Information Act*

² S.136A(3) *Information Act*

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.

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 Airwing of the NT Police, Fire and Emergency Services

Scope

Application of this Records Disposal Schedule is mandatory for Airwing records of the NT Police, Fire and Emergency Services.

This Records Disposal Schedule applies to Airwing records in all formats.

Responsibility

The Commissioner of Police and CEO of Fire and Emergency Services 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. 208/5 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 Commissioner of Police and CEO of Fire and Emergency Services on 7 August 2018 and is effective immediately.

Re-sentencing Records

All records sentenced under a superseded records disposal schedule [name and number of schedule] are to be re-sentenced using this schedule.

Regulatory Framework

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

- Civil Aviation Act 1988
- Civil Aviation Regulations 1988
- Civil Aviation Safety Regulations 1998
- Civil Aviation Orders
- NTPFES Airwing Operations Manual
- NTPFES Policy, Police Aircraft 2015
- *Information Act*
- NT Government Records Management Standards
- NT Government Archives 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 [name of public sector organisation]
- current authorised disposal schedules for [name of public sector organisation]

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

- 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
- 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.

Compliance Checklist

- 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. Airwing

The function of the Airwing service is to provide a proactive and reactive aviation support to the whole of the Northern Territory Police, Fire and Emergency Services for members to carry out their duties. Includes an air transport service, required to provide a mail and supply delivery service, a transport service for Police Officers and their families, for transporting persons in police custody and to provide a search and rescue service.

1.1 Aircraft Maintenance

The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of premises, equipment, vehicles etc. Includes repairing and disposal of aircraft.

Class No.	Description of Records	Status and Disposal Action
1.1.1	<p>Records relating to Aircraft Maintenance Release, design and modification or repairs unique to the aircraft.</p> <p>Includes copies of reports from the maintenance provider detailing all the aircraft maintenance.</p> <p>Includes electronic records relating to the maintenance of aircraft including invoices.</p> <p>For example, Air Maestro, EIMS.</p>	<p>Temporary</p> <p>Destroy 1 year after disposal or decommissioning of aircraft</p>
1.1.2	<p>Records relating to the sale or decommission of an aircraft.</p> <p>Includes records relating to the sale or decommission of an aircraft.</p> <p>For example, Air Maestro.</p>	<p>Temporary</p> <p>Destroy 7 years after end of the financial year to which the last action relates</p>
	<p>Use FINANCIAL MANAGEMENT – ACCOUNTING – for the records documenting all financial transactions associated with invoices issued for the maintenance of aircraft, and also including landing fees and radio usage.</p>	

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1.2 Flight Planning

The activities associated with planning daily flight schedules and itineraries, compiling passenger manifests and maintaining aircraft logs in relation to all official purposes undertaken by the Northern Territory Police, Fire and Emergency Services.

Class No.	Description of Records	Status and Disposal Action
1.2.1	<p>Records relating to management of aircraft flight itineraries and flight schedules.</p> <p>Includes flight records inclusive of aircraft, pilot, route flown and timings, also A71 Flight Authorisations.</p> <p>For example, Air Maestro.</p>	<p>Permanent</p> <p>Transfer to NT Archives 30 years after action completed</p>
1.2.2	<p>Records relating to management of booking passengers on daily aircraft flights.</p> <p>For example, Passenger Manifests.</p> <p>Includes records relating to management of booking passengers on daily flights.</p> <p>For example, Air Maestro.</p>	<p>Temporary</p> <p>Destroy 35 years after action completed</p>
	<p>Use CUSTODY – PRISONER ESCORTS – for the activities associated with taking persons held in custody from one place to another.</p>	

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1.3 Pilot Management

The activities associated with the management of pilot employees of Airwing. Includes records documenting the pilot training records and proficiency checks.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records relating to pilot employee details including Pilot Licence and endorsement details. Includes qualifications, medical reports	Temporary Destroy 71 years after date of birth or 7 years after separation, whichever is the later
1.3.2	Records relating to employee attendance and participation in training seminars, nationally accredited courses and workshops specifically focussed on pilot proficiency function. Includes Pilot Recurrent and Proficiency Checks.	Temporary Destroy 71 years after date of birth or 7 years after separation, whichever is the later
	Use PERSONNEL – EMPLOYMENT HISTORY for records documenting the history of the employee.	

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1.4 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
1.4.1	<p>Master set of policy documents relating to the Airwing function.</p> <p>Includes master set of the Operations Manual and policy records endorsed by the agency Executive.</p>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after policy superseded</p>
1.4.2	<p>Working records relating to the development or review of agency policy regarding the Airwing function.</p> <p>Includes consultation papers, drafts, policy proposals, reports, research papers and comments.</p>	<p>Temporary</p> <p>Destroy 5 years after policy superseded</p>

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1.5 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
1.5.1	Records relating to final reports provided to the Executive or senior management regarding major incidents/disasters that result in or have the potential to result in a significant change in policy or procedure. Includes reports on major aircraft incidents, search and rescue major incidents.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.5.2	Records relating to incidents or events relating to aircraft safety incidents. Includes Incident Reports.	Temporary Destroy 1 year after disposal or decommissioning of the aircraft
1.5.3	Records relating to reports concerning a review of aeronautical data and information. Includes Annual Review of Aeronautical Data and Aeronautical Information.	Temporary Destroy when reference is superseded

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1.6 Risk Management

The process involving the identification of risks, and the implementation of appropriate practices and procedures which will address the impact from an incident.

Class No.	Description of Records	Status and Disposal Action
1.6.1	Records documenting the identification and assessment of organisational risks, in order to assist planning and the implementation of strategies to minimise their impact. Includes action plans, risk registers, treatment schedules.	Temporary Destroy 7 years after next risk assessment
1.6.2	Records relating to the provision of all safety briefing information issued before embarkation onto aircraft. Includes Safety Information Card and Electronic Safety Recordings.	Temporary Destroy when reference is superseded
	Use CUSTODY – PRISONER ESCORTS – for risk assessments relating to transporting a person in police custody.	