

**Records Disposal Schedule
Working with Children Screening
NT Police, Fire and Emergency
Services**

Disposal Schedule No. 2009/8

July 2009

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ABOUT THIS DISPOSAL SCHEDULE

Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of records of the Working with Children Screening function of the NT Police, Fire and Emergency Services.

Scope

Application of this Disposal Schedule is mandatory for Working with Children Screening records of the NT Police, Fire and Emergency Services.

This Disposal Schedule applies to Working with Children Screening 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:

- ▶ Care and Protection of Children Act 2007
- ▶ 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 NT Police, Fire and Emergency Services.
- ▶ Current authorised disposal schedules for NT Police, Fire and Emergency Services.
- ▶ * 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* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).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 Service Guidelines on Normal Administrative Practice for Records Disposal

Responsibility

The Chief Executive of the NT Police, Fire and Emergency Services 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 NT Archives Service (The Archives Service), Director of Information Strategy (The Records Service), and the Chief Executive of the NT Police, Fire and Emergency Services on 27 July 2009 and is effective immediately.

Explanation

This schedule has been 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.

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 the 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 General Disposal Schedule for Information Management Records and the Disposal Schedule for Records of Short term Value. 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.

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 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. The reason for destruction of all records 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 the NT Records Service.

Acknowledgment

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 and Standards Australia was used in the development of this schedule.

The schedule was drafted principally by the NT Police, Fire and Emergency Services in consultation with the NT Records 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 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

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 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
- 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 re-sentencing
- 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 the 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 the NT Records 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

DISPOSAL SCHEDULE

1. WORKING WITH CHILDREN SCREENING

The function of screening individuals to ensure that those who pose an unacceptable risk of harm or exploitation to children are prevented from working in child related employment.

1.1 ADVICE

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

Class No.	Description of Records	Status and Disposal Action
1.1.1	Notifications and related records from the Commissioner of Police regarding administrative guidelines for the Screening Authority to make a decision for the purpose of working with children. Includes gazette notices.	PERMANENT Transfer to NT Archives Service 6 years after action completed

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. WORKING WITH CHILDREN SCREENING

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1.2 APPEALS (DECISIONS)

The activities involved in the process of appeals against decisions by application to a higher authority.

Class No.	Description of Records	Status and Disposal Action
1.2.1	<p>Records relating to appeals lodged by candidates regarding the refusal to issue a clearance notice; the revocation of a clearance notice or the imposition of conditions to a clearance notice by the Screening Authority.</p> <p>Includes application form, proof of identity form, authorisation to provide information, decision of Screening Authority, advice of decision to candidate or applicant, any additional information as requested by or provided to the Screening Authority, entitlements regarding the right to review and notification of change of circumstances.</p>	<p>TEMPORARY</p> <p>Destroy 10 years after appeal process 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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1.3 AUTHORISATION

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

Class No.	Description of Records	Status and Disposal Action
1.3.1	<p>Records relating to the refusal to issue a clearance notice by the Screening Authority due to the existence of a criminal history or other information recorded against the applicant.</p> <p>Includes application form, proof of identity form, authorisation to provide information, advice of decision to candidate or applicant, any additional information as requested by the Screening Authority or provided to the Screening Authority, entitlements regarding the right to review.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after action completed</p>
1.3.2	<p>Records relating to the review of a clearance notice application by the Vetting Panel where the Panel determines a clearance notice will not be issued.</p> <p>Includes information supplied to the Screening Authority regarding a candidate, information regarding a change in circumstances, notification to the candidate or person who engages a candidate of the revocation, the right of review and time limits concerning review.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after review completed</p>
1.3.3	<p>Records relating to the review of a clearance notice application by the Vetting Panel where the Panel determines a clearance notice will be issued.</p> <p>Includes information supplied to the Screening Authority regarding a candidate, information regarding a change in circumstances, notification to the candidate or person who engages a candidate of the determination, the right of review and time limits concerning review, special conditions or limitations imposed on the clearance notice.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after review completed</p>
1.3.4	<p>Records relating to the issue of a clearance notice by the Screening Authority where no criminal history or information is recorded against the candidate.</p> <p>Includes application form, proof of identity form, authorisation to provide information, advice of decision to candidate or applicant or any additional information as requested by the Screening Authority or provided to the Screening Authority.</p> <p>Use WORKING WITH CHILDREN SCREENING – CONTROL for electronic records used to manage the processing and issue of clearance notices</p>	<p>TEMPORARY</p> <p>Destroy 6 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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1.4 CONTROL

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

Class No.	Description of Records	Status and Disposal Action
1.4.1	Database used to manage the processing and issue of clearance notices.	PERMANENT Transfer to NT Archives Service 20 years after action completed (manage and migrate data to new media / platform during system upgrades)

1. WORKING WITH CHILDREN SCREENING

The function of screening individuals to ensure that those who pose an unacceptable risk of harm or exploitation to children are prevented from working in child related employment.

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 administrative guidelines and legislative regulations documenting decision making procedures and matters to be taken into account by the Screening Authority. Includes master set of procedure manuals and endorsed directives.	PERMANENT Transfer to NT Archives Service 10 years after guidelines superseded
1.5.2	Records relating to the development and review of administrative guidelines and legislative regulations. Includes working papers, proposals, options considered, recommendations and determinations, research and drafting documentation, consultation with internal and external stakeholders.	TEMPORARY Destroy 2 years after procedure 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.

