

**Records Disposal Schedule
Professional Responsibility Regulation
NT Police Fire and Emergency Services**

Disposal Schedule No. 2008/5

September 2008

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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 Professional Responsibility of the NT Police Fire and Emergency Services.

Scope

Application of this Disposal Schedule is mandatory for Professional Responsibility records of the NT Police Fire and Emergency Services.

This Disposal Schedule applies to Professional Responsibility 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:

- ▶ Police Administration Act
- ▶ Ombudsman (Northern Territory) Act
- ▶ 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 Service
- ▶ current authorised disposal schedules for NT Police Fire and Emergency Services
- ▶ ^ NTPFES Records Disposal Schedule 1998/4

^ Note that this Disposal Schedule supersedes the NTPFES Records Disposal Schedule 1998/4 for Professional Responsibility which can no longer be used to sentence Professional Responsibility 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* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).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 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 and the Chief Executive of the NT Police Fire and Emergency Services on 9 September 2008 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.

Re-sentencing Records

All records sentenced under superseded disposal schedule NTPFES Records Disposal Schedule 1998/4 to be re-sentenced 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 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 Archives Service.

Acknowledgment

The NT Archives Service acknowledges 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 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 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 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

DISPOSAL SCHEDULE

1. PROFESSIONAL RESPONSIBILITY REGULATION

The function of ensuring accountable, corruption free policing services to the Northern Territory community. Also includes the promotion and maintenance of high standards of integrity, conduct, discipline, professionalism and performance within the NT Police Fire and Emergency Services.

1.1 AUDIT

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Class No.	Description of Records	Status and Disposal Action
1.1.1	Records relating to internal audits conducted to ensure integrity and ethical standards are maintained in accordance with approved policy, practices and procedures. Includes Station, Section and Unit inspections, final audit results, recommendations and determinations.	TEMPORARY Destroy 10 years after last action.

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. PROFESSIONAL RESPONSIBILITY REGULATION

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1.2 CONTROL

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

Class No.	Description of Records	Status and Disposal Action
1.2.1	Register of complaints received regarding the actions or inactions of a member. Details include name of complainant, subject of complaint and status of investigation.	PERMANENT Transfer to NT Archives Service 10 years after last action.
1.2.2	Register of disciplinary investigations undertaken. Details include name, disciplinary offence, and status of investigation.	PERMANENT Transfer to NT Archives Service 10 years after last action.

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1.3 DISCIPLINE

The activities and actions associated with the disciplinary process. Includes investigation, charges, formal inquiries, punishment and appeals.

Class No.	Description of Records	Status and Disposal Action
1.3.1	<p>Records relating to investigations and hearings conducted into alleged breaches of discipline which result in the suspension, termination or other form of penalty being taken against a police member.</p> <p>Includes service of notice, written response to notice, notice of termination, notice of suspension, results of medical examinations, recording of interviews and hearings, recommendations, transcripts, photographs and members notes.</p>	<p>TEMPORARY</p> <p>Destroy 71 years after date of birth of employee or 6 years after separation whichever is later.</p>
1.3.2	<p>Records relating to investigations and hearings conducted into alleged breaches of discipline which result in no action being taken against a police member.</p> <p>Includes service of notice, written response to notice, results from medical examinations, recording of interviews, recommendations, transcripts, photographs and members notes.</p> <p>Use PERSONNEL – DISCIPLINE for public service employees, Fire and Rescue Service employees and Emergency Service Employees.</p>	<p>TEMPORARY</p> <p>Destroy 5 years after last action.</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 INTEGRITY TESTING

The activities designed to measure the presence of corrupt, criminal or unethical behaviour by members in a given situation.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records relating to assessments conducted to determine the reaction, response and or behaviour of a serving member of the Northern Territory Police where corrupt, criminal or unethical behaviour is found. Includes assessments conducted where corrupt, criminal or unethical behaviour is not found to exist.	TEMPORARY Destroy 71 years after date of birth of employee or 6 years after separation.
1.4.2	Records relating to assessments conducted to determine the reaction, response, behaviour or suitability of a potential member.	TEMPORARY Destroy 2 years after last action.
1.4.3	Records relating to suitability assessments conducted on serving Northern Territory Police officers on behalf of interstate jurisdictions for the purpose of employment.	TEMPORARY Destroy 2 years after last action.
1.4.4	Records relating to the appointment of police officers from interstate jurisdictions as Special Constables to the Northern Territory Police.	TEMPORARY Destroy 2 years after last action.

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. PROFESSIONAL RESPONSIBILITY REGULATION

The function of ensuring accountable, corruption free policing services to the Northern Territory community. Also includes the promotion and maintenance of high standards of integrity, conduct, discipline, professionalism and performance within the NT Police Fire and Emergency Services.

1.5 INVESTIGATION

The acts and processes involved in ascertaining facts by enquiry or examination.

Class No.	Description of Records	Status and Disposal Action
1.5.1	<p>Records relating to investigations into complaints against police that result in legal action involving a member or the department or lead to policy or procedural changes.</p> <p>Includes notification of complaint, investigation reports, recommendations, determinations, electronic recordings of interview (EROI), transcripts, statements, photographs and copies of member's notes.</p>	<p>TEMPORARY</p> <p>Destroy 20 years after action completed.</p>
1.5.2	<p>Records relating to joint investigations conducted by the Northern Territory Police Fire and Emergency Services, and the Ombudsman's Office in relation to complaints of an action or inaction of the NT Police Fire and Emergency Services or a member, that is of a serious, complex nature or raises significant questions as to the practices or procedures of Police.</p> <p>Includes notification of complaint, investigation reports, recommendations, determinations, electronic recordings of interview (EROI), transcripts, statements, photographs and copies of member's notes.</p>	<p>TEMPORARY</p> <p>Destroy 15 years after action completed.</p>
1.5.3	<p>Records relating to investigations conducted by NT Police Fire and Emergency Services of complaints received about an action or inaction of the NT Police Fire & Emergency Services or a member where the issues is of a serious, complex nature that does not require oversight by the Joint Review Committee.</p> <p>Includes notification of complaint, investigation reports, recommendations, determinations, electronic recordings of interviews (EROI), transcripts, statements, photographs and copies of members' notes.</p>	<p>TEMPORARY</p> <p>Destroy 15 years 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.

1. PROFESSIONAL RESPONSIBILITY REGULATION

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1.5 INVESTIGATION

The acts and processes involved in ascertaining facts by enquiry or examination.

Class No.	Description of Records	Status and Disposal Action
1.5.4	<p>Records relating to investigations conducted by the NT Police Fire & Emergency Services regarding complaints received or referred, of an action or inaction of the NT Police Fire & Emergency Service and or member, whereby the complainant agrees to resolve the complaint with the NT Police Fire & Emergency Services by the Conciliation Resolution Process.</p> <p>Includes investigation report, recommendations, determinations, electronic recordings of interviews (EROI), transcripts, statements, photographs and copies of members' notes. Also includes false reports and reports withdrawn by complainants.</p>	<p>TEMPORARY</p> <p>Destroy 10 years after action completed.</p>
1.5.5	<p>Records relating to investigations conducted by the NT Police Fire & Emergency Services regarding complaints received or referred concerning the behaviour of a member of the NT Police Fire and Emergency Services not arising from the execution of their duty.</p> <p>Includes notification of complaint, investigation report, recommendations, determinations, electronic recording of interviews (EROI), transcripts, statements, photographs and copies of members' notes. Also includes false reports and reports withdrawn by complainants.</p>	<p>TEMPORARY</p> <p>Destroy 10 years 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.

1. PROFESSIONAL RESPONSIBILITY REGULATION

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1.6 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
1.6.1	Records relating to the development and review of policies regarding ethical values and policies. Includes master records.	PERMANENT Transfer to NT Archives Service 5 years after policy is superseded.
1.6.2	Working papers relating to the development and review of policies regarding the ethical values and policies of the NT Police. Includes working papers, policy proposals, options considered, research and drafting documentation, and consultation with internal and external stakeholders. Also includes recommendations and determination resulting from disciplinary investigations into police actions; complaints against police; death in custody investigations; investigations into serious incidents arising from police contact with the public and coronial investigations. Use STRATEGIC MANAGEMENT – POLICY for the formulation and implementation of Agency policy.	TEMPORARY Destroy 5 years after policy 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. PROFESSIONAL RESPONSIBILITY REGULATION

The function of ensuring accountable, corruption free policing services to the Northern Territory community. Also includes the promotion and maintenance of high standards of integrity, conduct, discipline, professionalism and performance within the NT Police Fire and Emergency Services.

1.7 PROCEDURE

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

Class No.	Description of Records	Status and Disposal Action
1.7.1	Records relating to the development and review of procedures regarding ethical values and procedures. Includes master records.	PERMANENT Transfer to NT Archives Service 5 years after procedure is superseded.
1.7.2	Records relating to the development and review of procedures regarding ethical standards and practices. Includes working papers, proposals, options considered, research and drafting documentation, and consultation with internal and external stakeholders. Also includes recommendations and determination resulting from disciplinary investigations into police actions; complaints against police; death in custody investigations; investigations into serious incidents arising from police contact with the public and coronial investigations.	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.

