

**Records Disposal Schedule
Police Information Access
NT Police, Fire and Emergency
Services**

Disposal Schedule No. 2009/9

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 Police Information Access records of the NT Police, Fire and Emergency Services.

Scope

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

This Disposal Schedule applies to Police Information Access 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
- ▶ Victims of Crime Assistance 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 Services
- ▶ 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 Police Information Access records which can no longer be used to sentence Police Information Access 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* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).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 (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.

Re-sentencing Records

All records sentenced under superseded disposal schedule NTPFES Records Disposal Schedule 1998/4 are 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 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. POLICE INFORMATION ACCESS

The function of lawfully releasing, coordinating, making available and exchanging to approved individuals, entities and groups recorded information. Includes applications for access to, and requests for confidential information (including personal information) gathered on individuals, victims and offenders.

1.1 AGREEMENTS

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards and/or exchange of letters between parties, as well as information agreements.

Class No.	Description of Records	Status and Disposal Action
1.1.1	<p>Records relating to information sharing arrangements concerning the exchange of the NT Police's unique information to approved individuals, organisations or groups.</p> <p>Includes but is not limited to arrangements concerning the authorised release of:</p> <ul style="list-style-type: none">▪ police attendance reports;▪ criminal history, fingerprint, photographs, investigation reports, blood alcohol certificates;▪ vehicle registration, identification and image details;▪ sensitive and or personal information;▪ information from NTPFES specific databases including but not limited to PROMIS, Safer, CAD, IJIS, Drug Seizure database and PolCam;▪ personal information relating to individuals in particular employment streams▪ other circumstantial information required under statutory authority or by any other legislation.	<p>PERMANENT</p> <p>Transfer to NT Archives Service 7 years after agreement expires</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. POLICE INFORMATION ACCESS

The function of lawfully releasing, coordinating, making available and exchanging to approved individuals, entities and groups recorded information. Includes applications for access to, and requests for confidential information (including personal information) gathered on individuals, victims and offenders.

1.2 CRIMINAL HISTORY CHECKS

The activities associated with authorised checks of NT Police records to determine evidence of criminal offence including pending charges.

Class No.	Description of Records	Status and Disposal Action
1.2.1	Records relating to disputes resulting from the release of an individual's criminal history information. Includes disputes resulting from the release of complete traffic history checks.	TEMPORARY Destroy 2 years after resolution or finalisation of dispute
1.2.2	Records relating to requests from individuals, organisations, business or law enforcement agencies for recorded traffic history and infringement information regarding individuals where no dispute resulted.	TEMPORARY Destroy 6 months after action completed
1.2.3	Records relating to requests from individuals, volunteer organisations, business or law enforcement agencies for recorded criminal history information regarding individuals where no dispute resulted. Includes criminal history checks for the purpose of employment and visa applications. Does not include checks conducted for the purpose of working with children or adoption. Use FINANCIAL MANAGEMENT – ACCOUNTING / PAYMENTS for records supporting payments received regarding criminal history checks. Use WORKING WITH CHILDREN SCREENING – AUTHORISATION for clearance notice management and processing.	TEMPORARY Destroy 6 months 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. POLICE INFORMATION ACCESS

The function of lawfully releasing, coordinating, making available and exchanging to approved individuals, entities and groups recorded information. Includes applications for access to, and requests for confidential information (including personal information) gathered on individuals, victims and offenders.

1.3 INCIDENT ENQUIRIES

The activities associated with responding to requests for access to information concerning incidents which have been reported to the NT Police.

Use INFORMATION MANAGEMENT – ENQUIRIES for the activities associated with the processing of all Information Access Requests (FOI), Information Correction Requests and Protection of Privacy.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records relating to requests for access to information concerning incidents reported to NT Police where access or release of the information is undertaken in accordance with a statutory requirement or authority; an authorised Information Sharing Arrangement; any law of the Commonwealth, Northern Territory or interstate jurisdiction. For example – Centrelink, Teacher Registration Board, Commission for Children and Young People, other NT Government agencies or interstate law enforcement agencies.	TEMPORARY Destroy 7 years after action completed
1.3.2	Records relating to requests for information reported to the NT Police for the purpose of verifying an incident committed against a person or property where a financial loss or injury has occurred to the victim. Includes initial request, confirmation of incident date and time and incident type, statements, photographs and close circuit television (CCTV) footage.	TEMPORARY Destroy 2 years after action completed
1.3.3	Records relating to requests for the front page only of a motor vehicle crash report received and processed after 1 December 2008. Requests for information received prior to 1 December 2008 are retained as per the motor vehicle crash report – see ROAD SAFETY SERVICES – INVESTIGATION.	TEMPORARY Destroy 2 years after action completed
1.3.4	Records relating to requests for information from insurance agencies or bodies concerning incidents of theft, fire, criminal damage or incidents reported to NT Police. Includes subrogation orders issued by insurance agencies or bodies to the NT Police.	TEMPORARY Destroy 1 year 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. POLICE INFORMATION ACCESS

The function of lawfully releasing, coordinating, making available and exchanging to approved individuals, entities and groups recorded information. Includes applications for access to, and requests for confidential information (including personal information) gathered on individuals, victims and offenders.

1.3 INCIDENT ENQUIRIES

The activities associated with responding to requests for access to information concerning incidents which have been reported to the NT Police.

Use INFORMATION MANAGEMENT – ENQUIRIES for the activities associated with the processing of all Information Access Requests (FOI), Information Correction Requests and Protection of Privacy.

Class No.	Description of Records	Status and Disposal Action
1.3.5	<p>Records relating to requests by local, interstate and overseas Police jurisdictions concerning Police information. Includes but is not limited to details of possible offenders, victims or suspects, requests for confirmation of facts or details concerning events or incidents, items or situations.</p> <p>Also includes fax in fax out service, advice concerning permits, special licences, offender profiles, and licence, vehicle or weapon details.</p> <p>Use INFORMATION MANAGEMENT – ENQUIRIES for the processing of requests for the front page, back page and other associated information (including photographs) regarding a motor vehicle crash report.</p>	<p>TEMPORARY</p> <p>Destroy 1 year 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.

