

**Disposal Schedule
Records of Short Term Value
Disposal Schedule No. 2003/10**

December 2003



Northern Territory Government

For information and advice, please contact
Records Policy Unit
NT Archives Service
GPO Box 874
Darwin NT 0801

Telephone: (08) 8924 7677
Facsimile: (08) 8924 7660
Website: <http://www.nt.gov.au/dcis/nta/>

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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 short term value of all public sector organisations.

SCOPE

Application of this disposal schedule is mandatory for records of all NT Government public sector organisations, including NT Government Departments or Agencies, NT Government Statutory Bodies, NT Government Business Divisions and NT Government Owned Corporations.

This disposal schedule does not apply to NT Local Government Authorities.

This disposal schedule applies to all short term value 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 the:

- ▶ Information Act 2002

RELATED DOCUMENTS

This disposal schedule is to be read in conjunction with:

- ▶ NT Government Records Management Standard – Records Disposal
- ▶ policies and procedures for individual organisations
- ▶ current authorised general disposal schedules for records of the NT Government
- ▶ current authorised disposal schedules for unique functional records of individual organisations
- ▶ NT Archives Guidelines on Normal Administrative Practice for Records Disposal

RESPONSIBILITY

In accordance with Part 9 of the Information Act 2002, the NT Archives Service is responsible for the content of this disposal schedule including the provision of advice and training, and for monitoring NT public sector compliance.

Implementation of this disposal schedule is the responsibility of the Chief Executive Officer in each NT Government public sector organisation.

AUTHORITY

This disposal schedule was approved by the Director of the NT Archives Service on 19 December 2003 and is effective immediately.

EXPLANATION

This schedule has been developed using the principles of the Australian Standard AS ISO 15489:2002-Records Management.

Records disposal schedules are policy documents that describe each class of records held 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.

Temporary status is assigned to each class of records in this schedule because the records are of short term value. Previously these records would have been destroyed using normal administrative practice principles.

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 – this one, the General Disposal Schedule for Information Management Records, the General Disposal Schedule for Financial Management Records, the General Disposal Schedule for Human Resource Management Records and the General Disposal Schedule for Administrative Records. These can be used by all NT Government public sector organisations to assist with the disposal of administrative records.

SENTENCING RECORDS

Records should be sentenced with this 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 when the record can be disposed of.
- ▶ If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.

This schedule was drafted by the NT Archives Service based on a similar disposal schedule issued by the Archives Office of Tasmania.

NOTIFICATION OF DESTRUCTION

Formal notification of destruction of records described in Disposal Class 1.10.1 ONLY should be provided to NT Archives Service. Notification of destruction of other records in accordance with this schedule is not required.

ACKNOWLEDGMENT

The NT Archives Service wishes to acknowledge the use of material produced by National Archives of Australia, State Records Authorities of New South and the Archives Office of Tasmania in the development of this schedule.

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.
- 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
- 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
- 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 records described in Class 1.10.1 of this schedule

SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.1 External Sources

Information and reference material received from sources outside the organisation that are kept for reference.

Class No.	Description of Records	Status and Disposal Action
1.1.1	Records received from outside sources that are kept solely for reference.	TEMPORARY Destroy when reference ceases
	<p>These may include:</p> <ul style="list-style-type: none"> • unsolicited letters or promotional material which offer goods or services • anonymous letters • invitations to functions • price lists • catalogues • advertising material • statistical information • instructions and circulars • letters of appreciation • seasonal greetings • external publications (including annual reports, government gazettes) 	

SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.2 Internal Sources

Information and reference material received from internal sources of the organisation that are kept for reference.

Class No.	Description of Records	Status and Disposal Action
1.2.1	Records received from internal sources that are kept solely for reference. These may include: <ul style="list-style-type: none"> • circulation copies of internal circulars, the master of which has already been captured into the agency recordkeeping system • duplicate copies of agency publications • summaries or extracts from records held in the agency recordkeeping system 	TEMPORARY Destroy when reference ceases

SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.3 Duplicates of Official Records

Duplicates or exact copies of records used solely for reference where the original is managed in the official recordkeeping system.

NOTE: Use only for duplicates not specified in other disposal schedules.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records created solely for reference purposes where the original/source record is managed in the agency recordkeeping system.	TEMPORARY Destroy when reference ceases

These may include:

- duplicates or exact copies
- duplicate copies of organisation procedure manuals, guidelines and instructions
- duplicate copies of organisation plans
- abstracts or copies of formal financial records maintained for convenient reference
- reference copies of microfilm or microfiche
- reference copies of film or video recordings

SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.4 Preparation of Other Records

Records that are used solely in the preparation of other records eg working papers, background notes, working drafts (not consultation drafts). Includes records that are primarily facilitative and when the retention of the final version of a document is sufficient to meet the recordkeeping requirements of the organisation.

NOTE: Records that must NOT be disposed of in accordance with this schedule include drafts with significant or substantial changes or annotations, particularly relating to legislation, policy, legal documents or significant projects. These records must be disposed of in accordance with relevant functional disposal schedule.

Class No.	Description of Records	Status and Disposal Action
1.4.1	<p>Records that are used solely in the preparation of other records and are not required to be retained to account for policies, decisions, reasons and actions or not required to function as evidence.</p> <p>These may include:</p> <ul style="list-style-type: none"> • working papers, background notes and reference material used to prepare or complete other documents • drafts of reports or correspondence, not circulated to other staff in the organisation and of which a final draft has been produced and captured into the agency recordkeeping system • drafts of documents relating to matters of minor importance • annual reports of branches or divisions that are incorporated in the organisation's annual report • spreadsheets or word processing documents which are incorporated into correspondence or a report • budget calculations that are incorporated in the agency budget • audio recordings that are used in the preparation of other records 	<p>TEMPORARY</p> <p>Destroy when reference ceases</p>

SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.5 Personal Information

Copies of personal documents, acquired by the organisation, which are not required on a continuing basis to support the business transactions to which they relate.

Class No.	Description of Records	Status and Disposal Action
1.5.1	Copies of personal documents, acquired by the organisation, which are not required on a continuing basis to support the business transactions to which they relate.	TEMPORARY Destroy when reference ceases

These may include documents such as:

- copies of birth certificates
- copies of drivers licences
- copies of marriage certificates
- copies of references
- copies of qualifications
- change of address notices

SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.6 Informal Communications

Records of informal communications that do not contribute to business functions of the agency.

Class No.	Description of Records	Status and Disposal Action
1.6.1	Records documenting informal communications which do not support, or contribute to the business functions of the agency.	TEMPORARY Destroy when reference ceases

These may include:

- 'with compliments' slips
 - cover notes
 - informal messages (including telephone, voicemail, email and post-it notes)
 - e-mail messages of a personal nature
 - subscription listserv messages
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SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.7 Publicly Available Material

Records of requests for, and provision of information that is readily available to the public and authorised for unlimited public access.

NOTE: Use the Disposal Schedule for Information Management Records 2003/2 for Freedom of Information (FOI) requests.

Class No.	Description of Records	Status and Disposal Action
1.7.1	Records documenting requests for, and the provision of, information that is readily available to the public or authorised for unlimited public access.	TEMPORARY Destroy when reference ceases

These may include:

- requests for the provision of promotional material
- requests for copies of publications including the annual report
- requests for the provision of routine information including information brochures provided for the public

SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.8 Appointment Timetabling

Records of appointment timetabling including appointment diaries and desk calendars.

NOTE: This schedule does not include diaries used to records significant personnel or work issues such as counselling, meeting or case notes. These records must be disposed of in accordance with the relevant functional disposal schedule.

Class No.	Description of Records	Status and Disposal Action
1.8.1	<p>Appointment timetabling records.</p> <p>These may include:</p> <ul style="list-style-type: none"> • appointment diaries • electronic meeting schedules • electronic calendars • office or desk calendars 	<p>TEMPORARY</p> <p>Destroy when reference ceases</p>

SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.9 Bookings

Records of bookings made for use of equipment, vehicles and property including meeting rooms. Includes booking diaries and registers

Note:- This schedule does not cover booking records where payment of fee is associated with the use of equipment, vehicles or property.

Class No.	Description of Records	Status and Disposal Action
1.9.1	Records of bookings made for the use of equipment, vehicles and property including meeting rooms etc. These may include: <ul style="list-style-type: none"> • booking registers • schedules • diaries 	TEMPORARY Destroy when reference ceases

SHORT-TERM VALUE RECORDS

Records of such short-term value that they do not support or contribute to the business functions of the organisation. Includes short term value records that have been captured into the organisation's recordkeeping systems.

Includes:

- records with little or no administrative, fiscal, evidential, cultural, or no known historical, value.
- records which duplicate (or extract) information which is already held elsewhere

1.10 Empty File Covers

Files created in recordkeeping systems where no documentation has been added to the file cover.

Class No.	Description of Records	Status and Disposal Action
1.10.1	Files created in recordkeeping systems where no documentation has been added to the file.	TEMPORARY Destroy when it is established that the record is redundant



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