



## Records disposal schedule

# Records Disposal Schedule Library Services Charles Darwin University

Disposal Schedule No. 2016/22

November 2016

For information and advice, please contact  
NT Records Service  
Department of Corporate and Information Services  
GPO Box 2391  
Darwin NT 0801

Email: [NTG.RecordsPolicy@nt.gov.au](mailto:NTG.RecordsPolicy@nt.gov.au)  
Telephone: (08) 8924 3847  
Facsimile: (08) 8924 3880  
Website: [http://www.nt.gov.au/dcis/info\\_tech/records\\_policy\\_standards/index.shtml](http://www.nt.gov.au/dcis/info_tech/records_policy_standards/index.shtml)

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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 so<sup>1</sup>. 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](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.<sup>2</sup>

Each class of records created by an agency is described using classifications based on business analysis.

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.

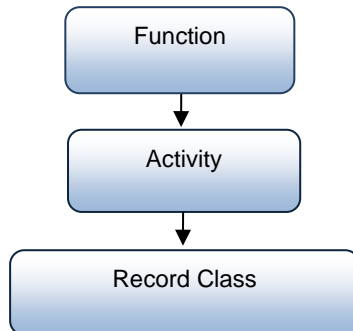
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<sup>1</sup> S.145 *Information Act*

<sup>2</sup> S.136A(3) *Information Act*

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 Charles Darwin University Library Services function of the Charles Darwin University.

### Scope

Application of this Records Disposal Schedule is mandatory for the function Charles Darwin University Library Services records of the Charles Darwin University. This Records Disposal Schedule applies to Charles Darwin University records in all formats.

### Responsibility

The Vice-Chancellor of the Charles Darwin University 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. [Year/No.] 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 Vice-Chancellor of the Charles Darwin University on 25 November 2016 and is effective immediately.

### Regulatory Framework

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

- *Australian Code for the Responsible Conduct of Research*
- *Copyright Act 1968 (Cth)*
- *Charles Darwin University Act*
- *Charles Darwin University (Library) By-Laws*
- *Information Act*
- *Privacy Act 1988 (Cth)*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489-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 Charles Darwin University
- current authorised disposal schedules for Charles Darwin University

## 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

<input type="checkbox"/>	Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records	<input type="checkbox"/>	Stop applying sentences from previous schedules that have been revoked or amended
<input type="checkbox"/>	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	<input type="checkbox"/>	Retain all records in good order and condition to be available for retrieval during the retention period.
		<input type="checkbox"/>	Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
<input type="checkbox"/>	Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records	<input type="checkbox"/>	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
<input type="checkbox"/>	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	<input type="checkbox"/>	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
<input type="checkbox"/>	Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule	<input type="checkbox"/>	Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
<input type="checkbox"/>	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	<input type="checkbox"/>	Inactive records can be transferred to offsite service providers providing they have been sentenced
<input type="checkbox"/>	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	<input type="checkbox"/>	Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
<input type="checkbox"/>	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	<input type="checkbox"/>	Notify the NT Records Service of destruction of all records
<input type="checkbox"/>	Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly	<input type="checkbox"/>	Do not destroy records that are not described in an authorised records disposal schedule.
<input type="checkbox"/>	Identify records that require re-sentencing where a previous disposal schedule has been superseded	<input type="checkbox"/>	Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

## Disposal Schedule

### 1. Library Services

The function of making available a collection of library materials, special collections, archives and research data, and the delivery of services and facilities to directly support the learning, teaching and research endeavours of the University.

#### 1.1 Access

The process of facilitating use of the University's archival and historical collections.

Class No.	Description of Records	Status and Disposal Action
1.1.1	Records documenting the process of applying to access the Library collections.  Includes applications, access terms and conditions and registers.	Temporary Destroy 7 years after action completed

## 1. Library Services

The function of making available a collection of library materials, special collections, archives and research data, and the delivery of services and facilities to directly support the learning, teaching and research endeavours of the University.

### 1.2 Acquisition

The process of gaining ownership or use of equipment, stores, services and other items required in the conduct of business where there is no tendering, quotation or contracting out process.

Class No.	Description of Records	Status and Disposal Action
1.2.1	Records documenting the acquisition of items for the University's collection, such as special collections and archives by means of purchase, including publications.  Includes purchase, negotiations and arrangements.	Permanent  Retain in organisation, or transfer to receiving organisation upon disposal of library collection
1.2.2	Records documenting the acquisition of the University's external publications and library materials, such as subscriptions to journals.  Includes the purchase arrangements.	Temporary  Destroy 7 years after action completed
	Use 1.8 - Donations for records documenting significant donations of library resources.	

## 1. Library Services

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### 1.3 Agreements

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

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records documenting high level agreements entered into by Library Services, such as the Australian Research Library Acquisitions Consortium and the Queensland University Libraries Office of Cooperation (QULOC)	Permanent Transfer to NT Archives Services 10 years after action completed
1.3.2	Records documenting minor agreements entered in to by Office of Library Services, such as the DisNT.  Includes memoranda of understandings and service level agreements.	Temporary Destroy 7 years after expiry or termination of agreement

## 1. Library Services

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### 1.4 Client Service

The activities associated with the planning, monitoring, evaluating and delivery of services provided to clients by the organisation.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records documenting formal satisfaction surveys, such as the bi-annual Library Client Satisfaction Survey and other related correspondence.  Includes final reports.	Temporary Destroy 7 years after action completed
1.4.2	Records documenting the management of specific client services, such as: <ul style="list-style-type: none"> <li>• service desks</li> <li>• websites</li> <li>• events and exhibitions</li> </ul> Includes planning, monitoring and evaluation of services, survey results and documenting the development of service charters.	Temporary Destroy 7 years after action completed

## 1. Library Services

The function of making available a collection of library materials, special collections, archives and research data, and the delivery of services and facilities to directly support the learning, teaching and research endeavours of the University.

### 1.5 Committees

The activities associated with the management of committees, sub committees, councils, forums working groups, boards and task forces (internal and external, private, community, local, state, national, international, etc.). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

Class No.	Description of Records	Status and Disposal Action
1.5.1	Records documenting high level committees where the Library Service is the convenor, such as the Arafura Research Archive Advisory Committee.  Includes notices of meetings, agendas, minutes and discussion papers.	Permanent  Transfer to the NT Archives Service 10 years after action completed
1.5.2	Records documenting internal Library Service committees, such as the Collections Management Working Group.	Temporary  Destroy 7 years after action completed

## 1. Library Services

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### 1.6 Control

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.6.1	Library information containing special collections and archives.	Permanent Retain in organisation or transfer to receiving organisation upon disposal of library collection
1.6.2	Library information containing general collections in relation to teaching and learning, and research support.	Temporary Destroy when reference ceases

## 1. Library Services

The function of making available a collection of library materials, special collections, archives and research data, and the delivery of services and facilities to directly support the learning, teaching and research endeavours of the University.

### 1.7 Disposal

The process of disposing of property no longer required by the organisation, by sale, transfer, termination of lease, auction, or destruction. Includes destruction or transfer of records to archives, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into secondary or archival storage.

Class No.	Description of Records	Status and Disposal Action
1.7.1	Records documenting the disposal arrangements of collections or items, held in Special Collections or Archives.	Permanent Retain in organisation
1.7.2	Records documenting the routine disposal of library materials which are not of historical significance.	Temporary Destroy 7 years after action completed



## 1. Library Services

The function of making available a collection of library materials, special collections, archives and research data, and the delivery of services and facilities to directly support the learning, teaching and research endeavours of the University.

### 1.8 Donations

The activities associated with managing items, artefacts or property donated to the organisation, or donated by the organisation and its staff to external parties. Includes donations made under the Australian Government's Cultural Gifts Program.

Class No.	Description of Records	Status and Disposal Action
1.8.1	Records documenting donations to Library collections of significance or long term value.  Includes related correspondence, terms and conditions of the donation.	Permanent  Retain in organisation or transfer to receiving organisation upon disposal of library collection
1.8.2	Records documenting donations to the Library collections of temporary value.  Includes related correspondence, terms and conditions of the donation.	Temporary  Destroy 7 years after action completed
	Use 1.2 Acquisition for records documenting the acquisition of the University's Library collection.	

## 1. Library Services

The function of making available a collection of library materials, special collections, archives and research data, and the delivery of services and facilities to directly support the learning, teaching and research endeavours of the University.

### 1.9 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Class No.	Description of Records	Status and Disposal Action
1.9.1	Final set of approved plans in relation to the University's Library Services.	Permanent Retain in organisation
1.9.2	Records documenting the development of strategic operational plans in relation to library services.  Includes draft versions and related correspondence.	Temporary Destroy 3 years after action completed

## 1. Library Services

The function of making available a collection of library materials, special collections, archives and research data, and the delivery of services and facilities to directly support the learning, teaching and research endeavours of the University.

### 1.10 Preservation

The activities involved in the protection, maintenance, restoration and enhancement of library items, properties and environmental control.

Class No.	Description of Records	Status and Disposal Action
1.10.1	Records documenting the preservation of items within the special collection or archives. Includes preservation plans.	Permanent Retain in organisation or transfer to receiving organisation upon disposal of library collection
1.10.2	Records relating to restoration and conservation of objects within the collection, that do not have historical significance. Includes formal shifting of materials.	Temporary Destroy 7 years after action completed
1.10.3	Records documenting the routine preservation activities such as environmental control and pest treatment of storage areas.	Temporary Destroy 7 years after action completed

## 1. Library Services

The function of making available a collection of library materials, special collections, archives and research data, and the delivery of services and facilities to directly support the learning, teaching and research endeavours of the University.

### 1.11 Valuations

The activities associated with the valuation of collections and items.

Class No.	Description of Records	Status and Disposal Action
1.11.1	Records documenting the valuation of significant collections and archives.  Includes master copies of surveys, final reports and plans.	Permanent  Retain in organisation or transfer to receiving organisation upon disposal of library collection
1.11.2	Records documenting routine valuations on the Library collection that do not have significant value.	Temporary  Destroy 7 years after action completed