

Australian Capital Territory

Territory Records (Records Disposal Schedule – Converted or Digitised Source Records) Approval 2020 (No 1)

Notifiable instrument NI2020—435

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Converted or Digitised Source Records) Approval 2020 (No 1)

2. Approval

I approve the Records Disposal Schedule – Converted or Digitised Source Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument:

Territory Records (Records Disposal Schedule – Source Records) Approval 2011 (No 1).
Notifiable instrument NI2011—170.

Danielle Wickman
Director of Territory Records
14 July 2020

Records Disposal Schedule



Converted or Digitised Source Records

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INTRODUCTION

The *Records Disposal Schedule – Converted or Digitised Source Records* is the official authority for the disposal of these ACT Government Records.

It is one of a series of Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with other Records Disposal Schedules.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of Source Records after a digital conversion.

SCOPE

This Records Disposal Schedule applies to records created or maintained by Agencies. It also applies to consultants, contractors and other third parties undertaking functions on behalf of Agencies.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council has approved this Records Disposal Schedule for use.

Officers using this Records Disposal Schedule should apply it with caution. The authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of Records in contravention of this Records Disposal Schedule or other requirements under the *Territory Records Act 2002*, including any other applicable Records Disposal Schedule or approved Records Management Program.

An Agency must take appropriate steps to meet the prerequisites for disposal in this and other applicable Records Disposal Schedules, including to ascertain whether disposal is prohibited, for example where the Records relate to any reasonably foreseeable legal action or current Records Disposal Freeze.

This Records Disposal Schedule will remain in force until a new schedule revokes it or the Director of Territory Records withdraws it from use.

GUIDELINES FOR USE

Coverage of authority

The *Records Disposal Schedule – Converted or Digitised Source Records*:

- covers all records that have or may become source records;
- is intended to be used in conjunction with other Records Disposal Schedules;
- is applicable to records created and maintained in physical formats.

Application of this Schedule

A Records Disposal Schedule specifies retention requirements for records.

This Records Disposal Schedule, in conjunction with other applicable Records Disposal Schedules, gives authority to dispose of certain source records before the applicable retention period expires. However, in order to do so, several prerequisites to disposal apply, relating to the conversion process and the resulting record, and subsequent management of the source record.

The prerequisites vary according to when the source record was created or received by the Agency and whether the Source Record is a temporary record, a permanent record or a record that has not been sentenced or to which a Record Disposal Schedule does not apply. The prerequisites are listed below under the heading ‘Authorised disposal of Source Records’.

The Converted or Digitised Source Records RDS in conjunction with an approved functions-based RDS, gives permission to dispose of certain source records after conversion. However, in order to do so, several conditions apply to the source records, the conversion process, and to the subsequent management of the records. The following conditions generally apply:

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed in another authorised Records Disposal Schedule, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- any other physical format able to be converted.

DESTRUCTION OF RECORDS

Once an Agency is authorised to dispose of Records, appropriate arrangements for their destruction should be made. It is the responsibility of each Agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the applicable Records Management Program.

UPDATING THE RECORDS DISPOSAL SCHEDULE

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Territory Records Office.

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Territory Records Office.

RELATED LEGISLATION

The following legislation is related to the records classes covered by this Records Disposal Schedule:

Criminal Code 2002

Evidence Act 2011

Financial Management Act 1996

Freedom of Information Act 2016

Government Procurement Act 2001

Information Privacy Act 2014

Public Interest Disclosure Act 2012

Public Sector Management Act 1994

Territory Records Act 2002

Please note this list may not be exhaustive and it is the responsibility of the officers using this Records Disposal Schedule to follow all applicable legislation, regardless of whether it is listed above or not.

DEFINITIONS

Agency

As defined in the *Territory Records Act 2002*.

Appraisal

The process of evaluating business activities to:

- determine which records need to be captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Conversion/Converting

The act of converting a source record from one format to another, for example by digitising, resulting in a converted record.

Converted Records

The copy of the record resulting from the conversion (compare source record). For example, the digitised or microfilm copy of a paper record.

Digitised Records

Converted records that are in a digital format.

Disposal Action

The direction relating to disposal or retention of a record that applies to a record once it has been sentenced, including any conditions about the necessary retention period and prerequisites for disposal.

Metadata

Structured or semi-structured information, which enables the creation, management, and use of records through time and within and across domains.

Permanent Record

A record that has been sentenced under a Records Disposal Schedule so that the applicable Disposal Action is Retain as Territory Archives. Permanent records are considered of archival value to the Territory and may not be destroyed.

Principal Officer

As defined in the *Territory Records Act 2002*

Record

As defined in the *Territory Records Act 2002*

Recordkeeping System

An information system that captures, maintains and provides access to records over time. While the term is often associated with computer software, the term ‘recordkeeping system’ also encompasses policies, procedures, practices and resources that are applied within an Agency to ensure that full and accurate records of business activity are made and kept.

Records Disposal Freeze

When the Director of Territory Records temporarily suspends the approval of all or part of a Records Disposal Schedule.

Records Disposal Schedule

A document approved by the Director of Territory Records, in accordance with section 19 of the Territory Records Act 2002, which sets out the types of records created or received by an Agency and how long these Records must be retained by the Agency.

Records Management Program

A document setting out the means by which an Agency must manage its records that complies with section 16 of the *Territory Records Act 2002* and is approved in accordance with section 17 of the *Territory Records Act 2002*.

Retention Period

The period of time during which an Agency must retain a record, as specified in the relevant Records Disposal Schedule.

Sentenced

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Source Record

The record that is being converted into another format. For example, the paper record that is being digitised.

Temporary Record

A record that has been sentenced under a Records Disposal Schedule so that the applicable disposal action is something other than Retain as Territory Archives, and therefore the Record may be destroyed after the relevant retention period.

Territory Archives

Records considered of archival value to the Territory, which, in order to be preserved for the benefit of present and future generation, may not be destroyed. All records sentenced with the applicable disposal action being Retain as Territory Archives are permanent records.

RECORDS DISPOSAL SCHEDULE

DISPOSAL ACTIONS FOR CONVERTED OR DIGITISED SOURCE RECORDS

The Record that is being converted into another format. For example, the paper record that is being digitised.

Entry No.	Description of Records	Disposal Action
GE8.GE1.001 ■	All source or original records created in 1931 and before	DO NOT DESTROY: Retain as Territory Archives
GE8.GE1.002 ■	Source or original records created or received <u>AFTER</u> 1931 that are temporary records	Destroy the source record after the prerequisites in Part A (below) have been met.
GE8.GE1.003 ■	Source or original records created or received <u>ON OR AFTER</u> 1 January 2000 that are permanent records	Destroy the source record after the prerequisites in Part B (below) have been met.
GE8.GE1.004 ■	Source or original records created or received <u>AFTER</u> 1931 and <u>BEFORE</u> 1 January 2000 that are permanent records	DO NOT DESTROY <u>UNLESS</u> the prerequisites in Part C (below) have been met and the agency has received specific authorisation from the Territory Records Office.
GE8.GE1.005 ■ ■	Source or original records that are not covered by a Records Disposal Schedule or that have not been sentenced	DO NOT DESTROY: Contact the Territory Records Office to discuss how the records should be sentenced

Explanatory note

‘Entry No.’ is the disposal class number allocated to a source record that fits the corresponding description under ‘Description of Records’.

Part A: Prerequisites to disposal of converted or digitised source records created or received AFTER 1931 that are Temporary Records

1. The record has been sentenced as a temporary record.
2. An assessment has been carried out of the risks an agency incurs in converting the records. (It is recommended that agencies gain experience with low risk conversions before attempting large-scale high-risk conversions).
3. A full and accurate copy of the source record has been created.

4. The converted record becomes the official record of the business of the Agency.
5. The converted record is captured in a system designed to ensure access for the full retention period of the source record that is managed (and manages records) in accordance with Territory Records Office standards.
6. The source record does not have intrinsic value in its original format because it:
 - is not a rare or archaic format;
 - is not a rare or original object that may have monetary value;
 - does not have unique physical features (for example, a wax seal);
 - does not have artistic value or cultural significance;
 - is not of questionable authenticity that may warrant the Source Record to be retained for later forensic proof;
 - is not of value for use in exhibits;
 - is not of significance or value to individuals as an artefact or evidence of their ancestry or heritage (for example, source records which contain original photographs, etc.)
7. There is no requirement imposed upon the Agency by legislation, regulation, government policy/directive, Agency policy, standard, or written direction that the source record be retained in a specific format or is subject to a disposal freeze.
8. Appropriate quality assurance check processes have been completed.

Part B: Prerequisites to disposal of converted or digitised source records created or received ON OR AFTER 1 January 2000 that are permanent records

The same prerequisites listed in Part A (2) to (8) apply in Part B, plus:

9. The source record has been Sentenced as a permanent record.
10. There is a documented process to ensure the long-term retention of, and access to the converted records in the Agency system/s.
11. Processes for making and keeping accurate reproductions of source records are documented and the converted record complies with these processes.
12. For source records that are digitally converted, a digitisation plan is developed and implemented including details of the digitisation process, minimum digital image specifications, management of the converted records in preservation formats, and minimum metadata, and the converted record complies with the digitization plan.
13. Documented approval has been given by the Principle Officer or delegate.

Part C: Prerequisites to disposal of converted or digitised source records created or received AFTER 1931 and BEFORE 1 January 2000 that are permanent records

The same prerequisites listed in Part A (2) to (8) and Part B apply in Part C, plus:

14. A documented ‘Application to dispose of Territory Archive source records created before 1 January 2000’ lodged with the Territory Records Office
15. Documented approval has been given by the Territory Records Office

SCHEDULE OF AMENDMENTS

– this information is provided for the assistance of users but does not form part of the Notifiable Instrument.

Amendments to the Source Records Disposal Schedule

Dated xxxxx 2020

Changes

Activity	Entry no.	Description

The [Technical Guidance for Records Digitisation and Conversion](#) provides advice for converting a record from one format to another; in particular, it provides the conditions under which the source record may be disposed of after such a conversion.