

- PROCEDURE -

Disposal of Official Records

Procedure Statement

Purpose

This Procedure details the processes to ensure TAFE SA official records are only disposed of in accordance with the provisions of the *State Records Act 1997* and relevant disposal schedules.

This procedure supports the [Records Management Policy](#).

Scope

This procedure applies to all TAFE SA staff (including contractors, volunteers, hourly paid instructors (HPIs) and casuals).

This procedure applies to applications and systems managed by TAFE SA.

This procedure applies to records that exist in both physical (hard copy, paper) and electronic formats, including electronic records stored in Shared Drives, SharePoint, OneDrive, emails or other business applications (e.g. SIS – Student Information System) and Content Manager (the TAFE SA Electronic Documents and Records Management System – EDRMS).

Roles and Responsibilities

Position	Responsibility
TAFE SA	<p>Records storage - Agencies are required to keep official records in their custody in good order and condition.</p> <p>Disposal management - Agencies are legally obliged to ensure that official records are only disposed of in accordance with the Act and under relevant disposal schedules.</p> <p>Agencies are required to ensure that their official records are maintained in such a way as to enable secure access. They hold responsibility for determining public access to their records that are in the custody of State Records.</p>
Individual Employees	<p>All staff are required to comply with the TAFE SA Records Management Policy and related procedures. Records management is the responsibility of all TAFE SA employees, that is, all employees have a responsibility for creation, receipt, maintenance, use, archiving and or disclosing records including processes for capturing and maintaining evidence of and information about business activities and transactions.</p>

Line managers and supervisors	Managers and supervisors must ensure that staff under their control understand their individual responsibilities and oversee the development of work instructions designed for their area.
Executive Directors and Directors	Executive Directors and Directors are responsible for discrete functions, processes or projects that generate records and have a responsibility to keep appropriate records, and to ensure employees under their control are aware of individual accountability and their requirements to keep records.
Records Management Unit	<p>The TAFE SA Records Management team has responsibility to train TAFE SA employees in the exercise of their responsibilities and to ensure TAFE SA records management practices meets the Information Management Standard and the State Records Act 1997.</p> <p>The Team Leader, Records Management leads the records management team and is responsible for maintaining corporate records management policies, systems, procedures and practices and ensuring compliance with recordkeeping policies, procedures and standards including requirements under the State Records Act 1997. The occupant of this position also exercises authorities under the State Records Act 1997 on behalf of TAFE SA.</p> <p>The Records Management team manages the sentencing and disposal of all official records once directorate staff have identified, listed and recorded their archive holdings which are to be transferred to an approved offsite storage location or disposed of according to the requirements of the State Records Act, including conserved permanently by transferral to State Records.</p>
ICT Services	<p>ICT Services has a role in ensuring the provision and development of corporate information systems which support the creation, capture, management and preservation of TAFE SA records and their associated metadata in accordance with the standards established under the State Records Act.</p> <p>An approval process is in place via the Enterprise Portfolio Management Office for the implementation of systems and applications that should be used for retaining sensitive information and official records.</p>
Facilities Management	Officers responsible for property and facility management must ensure appropriate secure storage environments and facilities are in place to ensure hard copy records remain accessible and usable for as long as required and that

	records are not put at risk though inappropriate or unsecured storage.
Student Supporting Systems team and Records Management Unit	Managing the records relating to the disposal of the digitised records in BDM, destruction reports and consultation with the Business Units.

Procedure Detail

TAFE SA official records shall only be disposed of in accordance with the provisions of the [State Records Act 1997](#).

All staff with intentions to destroy TAFE SA records must notify the Records Management Unit prior to any records being destroyed.

The process of record disposal encompasses not only the physical destruction of official records but also the transfer of official records to offsite storage with an approved offsite storage provider or to State Records custody for permanent archival retention. Disposal also includes the act of deleting records from business systems, shared drives and computer drives.

Official records may only be disposed of under the authority of either a current and approved General Disposal Schedule issued by State Records of South Australia, or a current agency specific Records Disposal Schedule(s) approved by State Records of South Australia.

Disposal, including destruction, of official records without authority is an offence under the State Records Act 1997. [Current approved TAFE SA Disposal Schedules are provided on the Intranet](#).

No official records can be deleted, destroyed or otherwise disposed of without prior approval from the Records Management Unit, Principal Officer Legislation, Delegations and Assurance, Legislation and Delegations and the Director, ICT Services.

[Appendix A](#) TAFE SA Records provides descriptions of TAFE SA records including official records.

Disposal Schedules

Disposal schedules are systematic listings of record types which determines the lifecycle of the record from the time of their creation to their disposal or permanent retention. [General Disposal Schedules](#) mandated by State Records of South Australia are used to allow the destruction or disposal of general administrative records which are common to many agencies.

Operational records specific to an agency are covered by and may only be disposed of under the authority of a current Records Disposal Schedule approved by State

Records and signed by the Chair of the State Records Council. The following approved Records Disposal Schedule covers TAFE SA records:

- > RDS 2015/21 V1 – approved on 16 February 2016, available from the [Records Management pages](#) of the TAFE SA intranet.

General Disposal Schedules and Operational Records Disposal Schedules do not preclude the disposal of low value records, duplicates and ephemera as per Normal Administrative Practice (NAP) rules as outlined in [Disposal of Material as a Normal Administrative Practice \(NAP\)](#), [The NAP Test](#) and [Appendix A](#) TAFE SA Records.

Principles

- > Proposals to destroy records must be documented and approved by the Records Management Unit and authorised by the Principal Officer Legislation, Delegations and Assurance, Legislation and Delegations and the Director, ICT Services
- > Disposal of official records will only be undertaken by staff trained and authorised to undertake this activity
- > A regular and ongoing program of record disposal will prevent backlogs of unsentenced records and ensure records storage facilities are used efficiently
- > Audits of records will be conducted to ensure record keeping compliance
- > Record storage areas and purchase of large record storage units such as Compactus shall not be established without reference to the Records Management Unit
- > Destruction of TAFE SA records will take place in a secure and environmentally responsible manner after destruction approval is granted. Secure disposal requires the use of cross-cut shredders, confidential bins or the use of a secure document shredding service
- > Sentencing of TAFE SA records will be undertaken by staff with State Records accreditation
- > Records will not be transferred to the approved offsite records storage provider without being sentenced in accordance with an approved and current disposal schedule
- > Content Manager will be used to maintain a record of all records disposed or held with the approved offsite storage provider or State Records
- > The Team Leader, Records Management will ensure an access determination is applied to all records transferred to State Records for permanent retention
- > Harm minimisation strategies and workplace health and safety policies apply to staff or contractors disposing of records

Storage of non-current records

Non-current records are those records not required for the conduct of current business. Due to their relatively low rate of access, non-current records may be stored in secondary or approved offsite storage locations.

Current records are those required for the conduct of current business. These may be stored in appropriate, secure, locked and designated storage areas within TAFE SA office spaces for the duration of their active use.

TAFE SA has established a contract with a State Records approved commercial offsite records storage provider for the storage, retrieval and destruction of temporary value non-current records. Records must not be transferred or stored with the approved offsite storage provider or in onsite secondary storage facilities without being listed and sentenced using an appropriate disposal schedule.

Long term in-house storage of non-current records must be approved, and an exemption must be sought from State Records. TAFE SA currently does not have an approved in-house storage facility for non-current records. Any proposed in-house storage facilities shall comply with State Records endorsed standards including requirements for acceptable levels of security, fire protection, and environmental control and have regular pest control programs in place.

Only approved storage boxes may be used for ongoing storage of TAFE SA records. Non-standard boxes such as removalist boxes or those typically supplied by stationery suppliers shall not be used. Individual boxes must be weight limited to 16kg. Without access to specialised handling equipment, boxes and records should not be stored above head height. All projects to sentence and dispose of current backlogs of records will comply with harm minimisation and safety standards and workplace health and safety policies.

In some cases it may be necessary to retrieve records from offsite storage or from State Records. This may be necessary when records are required for research, are requested by ex-students, or are required as evidence in litigation. The Records Management Unit should be contacted via [MyService](#) to arrange such retrievals.

Destruction of records

The physical destruction of TAFE SA official records must be undertaken in a secure and environmentally responsible manner. Secure disposal requires the use of cross-cut shredders, confidential bins or the use of a secure document shredding service. Plastic and other non-recyclable materials in paper waste may significantly increase the costs of disposal so should be avoided.

Electronic records on magnetic media may be destroyed by overwriting the record or alternatively processing the media to render the records unreadable. Records must be destroyed in a manner sufficient to prevent them being recovered by normal technical means. Deleting a record is not sufficient since it is not overwritten. For advice on destruction of records in other specialist formats, e.g. film or optical media, contact the Records Management Unit via [MyService](#).

Disposal of Material as a Normal Administrative Practice (NAP)

Material that does not constitute an official record can be destroyed according to 'Normal Administrative Practice' (NAP) criteria. This provides for the routine destruction of drafts, duplicates and publications, with the test that it is obvious that no information of continuing value to the organisation will be destroyed.

Material that can be disposed under NAP comprises items of an ephemeral or transitory nature created, acquired or collected by agency staff in the course of their

official duties. Such material has no ongoing value and is not usually incorporated into the agency recordkeeping system.

The NAP Test

To test whether material is an official record answer the following questions:

- > Does the material form part of an agency transaction?
- > Does it add value to an existing record?
- > Does it show how a transaction was dealt with?
- > Does it show how a decision was made?
- > Does it show when or where an event happened?
- > Does it indicate who was involved or what advice was given?
- > Is it a formal draft of a Cabinet submission, an agreement or a legal document?
- > Is the material included in a disposal class in a General Disposal Schedule or in an agency operational Records Disposal Schedule?

If the answer to any of the above questions is YES then the material must not be destroyed as NAP and instead be retained as an official record until formal documented destruction approval is granted.

See [Appendix A](#) TAFE SA Records for further information regarding what does and does not constitute an official record.

Definitions

Term	Definition
Record	<p>The State Records Act 1997 defines a record as being:</p> <ul style="list-style-type: none"> a) written, graphic or pictorial matter; or b) a disk, tape, film or other object that contains information or from which information may be reproduced (with or without the aid of another object or device) <p>The above definition is quite broad and includes records in both physical and electronic formats.</p>
Official Record	<p>An official record is any item that provides evidence of a business activity conducted by TAFE SA.</p> <p>The State Records Act 1997 defines an Official Record as being “a record made or received by an agency in the conduct of its business, but does not include:</p> <ul style="list-style-type: none"> a) a record made or received by an agency for delivery or transmission to another person or body (other than an agency) and so delivered or transmitted; or b) a record made by an agency as a draft only and not for further use or reference; or c) a record received into or made for the collection of a library, museum or art gallery and not otherwise associated with the business of the agency; or d) a Commonwealth record as defined by the <i>Archives Act 1983</i> of the Commonwealth, as amended from time to time, or an Act of the Commonwealth enacted in substitution for that Act; or e) a record that has been transferred to the Commonwealth;”
Records Management	<p>Records Management is defined in Australian Standard AS ISO 15489.1 – 2002 – Records Management as:</p> <p>“The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records”.</p>

Access	Defined by the <i>Australian Standard AS ISO 15489.1 – 2002</i> as the right, opportunity means of finding, using, or retrieving information.
Security	The protection of the assets owned or managed by TAFE SA, and the business processes they support, against unauthorised use, disclosure, modification or destruction, whether accidental or intentional.
User Permissions	Privileges allocated to employees determining the extent of access to records and authority to author/originate, alter and dispose of records in a recordkeeping system.

Associated Documents and References

Reference Number	Document/Reference Title
PPMF/TAFESA/140	<u>Records Management Policy</u>
PPMF/TAFESA/142	<u>Creation and Capture of Official Records Procedure</u>
PPMF/TAFESA/171	<u>Information Security Policy</u>
State Records of South Australia	<u>State Records Act 1997</u>
State Records of South Australia	<u>State Records Act 1997</u>
State Records of South Australia	<u>Information Management Standard</u>
State Records of South Australia	<u>State Records General Disposal Schedules</u>
State Records of South Australia	<u>State Records Information Privacy Principles Guidelines</u>
Freedom of Information (FOI)	<u>Citizens Rights to Information Charter</u>
TAFE SA	<u>TAFE SA Disposal Schedules</u>
Office of the Public Sector	<u>Code of Ethics for the South Australian Public Sector</u>
VERS PROS 99/007	<u>Public Record Office of Victoria Standard PROS 99/007 Specification 4 (version 2) VERS Long Term Preservation Formats</u>
PC030	<u>Protective Security Management Framework</u>
SACSF	<u>SA Cyber Security Framework</u>

Document Control

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Appendix A: TAFE SA Records

TAFE SA protects valuable information to ensure it is easily found when needed, it is efficiently managed and confidentiality, security and privacy are protected.

Good recordkeeping practice helps us meet these goals by managing official records during their lifecycle. Requirements for keeping official records are based on legislation, audit practices and TAFE SA's business requirements.

What is a record?

An official record is any item that provides evidence of a business activity conducted by TAFE SA.

Records kept by TAFE SA include financial, employee, student, health and safety and corporate records. Emails are official records if they provide evidence of a business activity. Also included under the Freedom of Information Act 1991 (SA) are notes, Post-it notes, files notes etc and business information stored on private mobile devices (including SMS texts and private emails). The Act defines that a document "includes anything in which information is stored or from which information may be reproduced".

To test whether material is an official record answer the following questions:

- Does the material form part of an agency transaction?
- Does it add value to an existing record?
- Does it show how a transaction was dealt with?
- Does it show how a decision was made?
- Does it show when or where an event happened?
- Does it indicate who was involved or what advice was given?
- Is it a formal draft of a Cabinet submission, an agreement or a legal document?
- Is the material included in a disposal class in a General Disposal Schedule or in an agency operational Records Disposal Schedule?

If the answer to any of the above questions is YES, then the material is an official record and must be stored in an approved recordkeeping system.

No official records can be deleted or destroyed without prior approval from the Records Management Unit.

What is not a record?

Normal Administrative Practice (NAP) rules provide for the routine destruction of drafts, duplicates and publications, with the test being that no information of continuing value to TAFE SA can be destroyed. Material that does not relate to business activity such as promotional flyers, drafts and personal emails is NAP and can be destroyed.

The following table shows common TAFE SA records and the recordkeeping systems where they should be stored:

Types of Records created and captured in TAFE SA		Recordkeeping Repositories
Corporate Records	<ul style="list-style-type: none"> • Agreements, Contracts, MOUs • Briefings • Correspondence • Facilities and Procurement Forms and Requests • Freedom of Information applications and reports • Ministerials • Notes to Briefings and Ministerials • Official meeting documents (Agendas, meeting papers, minutes) • Plans – business, risk management, project, marketing • Policies and procedures • Program or project management documents • Reports • Security requests • ICT Forms 	<ul style="list-style-type: none"> • MyService – ICT forms • CM – All others
Student Records	<ul style="list-style-type: none"> • Counselling notes • Employment contracts (RTO and Employer) • Grade change forms • Graduation ceremonies • Individual Training Plan • Parchment Applications • Personal details (contact details, USI number) • Registration advice (SATAC) • Registration forms • Results • RPL and Credit transfer evidence • Student Assessments • Student enquiries • Student Refund Forms • Training contracts 	<ul style="list-style-type: none"> • SIS BDM – Student Records – Registrations, Contracts, Forms, RPL/Credit Transfer, Refund Forms, Training Contracts • SIS – Results • LEARN – Student Assessments
Financial Records	<ul style="list-style-type: none"> • Accounts receivable • Budgets • Debt recovery • Fee Exemption forms • Management Financial Reports • Procurement of Goods and Services • VISA reconciliations/approvals 	<ul style="list-style-type: none"> • CM – Budgets, Management Financial Reports • BASWARE – Invoices • ARPOS
Personnel Records	<ul style="list-style-type: none"> • Timesheets • Employment contracts • HR Forms – employee, leave and absence (HRB Forms) • HR Forms – Filling Positions (HRB Forms) • HR Forms – Managing Existing Positions (HRB Forms) • Industrial relations documents • Reclassification and redeployment documents • Salary related documents • Vehicle use documents 	<ul style="list-style-type: none"> • CM – Timesheets, Personnel Files, Employment Contracts, Claims • HR21 – Forms, Crystal Reports, Training • LEARN & LUMITT - Staff training modules and results
Workplace Health and Safety	<ul style="list-style-type: none"> • Incident reports • First Aid registers • Inspections • Registers of hazardous substances • WH&S training registers • WHS meetings – minutes, proceedings 	<ul style="list-style-type: none"> • MySafety – injury reporting system - Accident/Incident reports • CM – Registers, Meetings • LUMITT – Training