



# ARCHIVES OFFICE OF TASMANIA

RECORDS RETENTION AND DISPOSAL SCHEDULE

for

SOURCE RECORDS

Disposal Authorisation No. 2159

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77 Murray St Hobart Tasmania 7000

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## **INTRODUCTION**

### **Archives legislation**

The *Archives Act 1983* stipulates that State and local government organisations, must not dispose of **records of any type or format** without the written approval of the State Archivist. Disposal of records involves their destruction, their removal from the custody of their creating agency, or their transfer to the Archives Office.

### **Schedule elements**

#### ***Reference***

The heading and disposal classes are allocated a reference number. These reference numbers are used in conjunction with the schedule number to identify records in Archives Office disposal documentation. These numbers can also be used by agencies in the same way, to indicate disposal authorisation in their records control systems, where the records have been registered in these systems.

#### ***Disposal class***

The group of records described as 'temporary value source records' are listed as a disposal class in this schedule.

#### ***Status***

All records described in another Disposal Schedule can be destroyed under the authority of this schedule. The migrated version of those described as having 'TEMPORARY' status will be retained for the period specified in that other schedule and then destroyed. The The migrated version of those described as having 'PERMANENT' status must be retained until they are 25 years old and then transferred to the Archives Office.

#### ***Disposal action***

The source records approved for destruction in this schedule have a disposal action which specifies that the source records may be destroyed after they have been copied, converted or migrated, provided that adequate reproductions exist.

### **Review of the schedule**

It is the responsibility of agencies to monitor administrative, legal or regulatory changes which may result in the need to alter disposal class descriptions or disposal actions for records covered by this schedule. When this occurs, this schedule should not be used to dispose of those records and the State Archivist should be informed of the need to revise the schedule. If necessary, the procedures for the disposal of unscheduled records can be used in the interim.

## **Contacts**

Any enquiries relating to this schedule should be directed in writing to the Archives Office of Tasmania, 77 Murray Street, Hobart (email [archives.tasmania@education.tas.gov.au](mailto:archives.tasmania@education.tas.gov.au), fax 03 6233 7471), or by phoning 03 6233 7488 or 03 6214 48 93.

## **ACKNOWLEDGEMENT**

The Archives Office wishes to acknowledge the National Archives of Australia *General Disposal Authority for source records that have been copied, converted or migrated* as a principal source of definitions and conditions contained in this schedule.

**ARCHIVES OFFICE OF TASMANIA**

**DISPOSAL AUTHORISATION No. 2159**

**Title:** Disposal Schedule for Source Records

***Authorisation:***

Under Section 20 (2) (b) of the *Archives Act 1983*, I hereby authorise 'relevant authorities' (as defined in Section 3 of that Act) to manage the disposal of the records described in this schedule in accordance with the procedures specified herein.

Ian Pearce  
STATE ARCHIVIST

Date: 8 October 2007

## INTERPRETATION

### Definitions

**Agency** - is used throughout this schedule to refer to all agencies, authorities, statutory offices, departments, councils and other organisations that are subject to, and defined in, the *Archives Act 1983*.

**Conversion** – involves a change of the format of the record but ensures that the record retains the identical primary information (content). Examples include microfilming or digital imaging of paper records, and change of character sets.

**Copying** – is the production of an identical copy within the same type of medium (paper/microfilm/electronic) for example, from paper to paper, microfilm to microfilm or the production of backup copies of electronic records (which can also be made on a different kind of electronic medium).

**Migration** – involves a set of organised tasks designed to periodically transfer digital material from one hardware/software configuration to another, or from one generation of technology to another. The purpose of migration is to preserve the integrity of the records and to retain the ability for users to retrieve, display and otherwise use them. Migration may occur when hardware and/or software becomes obsolete or may be used to move electronic records from one file format to another.

**Reproduction** – the output of a copying, conversion, or migration process, i.e. the copy, converted, migrated or reformatted version of the source record.

**Source records** – documents or records that have been copied converted or migrated, or will be the input for such a process. A source record may be an original record or it may be a reproduction that was generated by an earlier copying, conversion or migration process.

**Temporary records** – are those that can be destroyed under the authority of an authorised Disposal Schedule after a minimum retention period, or once certain requirements have been met.

**Permanent records** – are those that must be transferred to the Archives Office 25 years after the date of creation of the source record.

### Coverage

This *Disposal Schedule for Source Records – DA No. 2159* covers the disposal of source records that have TEMPORARY status in a current disposal schedule, or have PERMANENT status and were created after 1 January 2000, and have been either copied, converted into another medium or format, or migrated from one system to another. The reproductions of these records must be retained for the retention periods specified in the relevant disposal schedule. In the case of PERMANENT records they must be retained for 25 years after creation of the source record then transferred to the Archives Office.

This schedule has been approved by the State Archivist under Section 20 (2) (b) of the *Archives Act 1983* and **only applies where the reproductions of these records have the required degree of authenticity, integrity, reliability and useability necessary to substitute for the source records in business and regulatory applications.**

This schedule **does not cover pre-1950 TEMPORARY records nor pre-2000 PERMANENT records.** The disposal of those records should be managed according to the procedures for unscheduled records.

The *Electronic Transactions Act 2000* facilitates electronic communications and the *Evidence Act 2001* changes the requirements for admissibility of evidence for records created or maintained in electronic systems. It should be noted that the provisions of these two acts do not override the provision in the *Archives Act 1983* for the disposal of all State records to be authorised by the State Archivist.

## **Preservation of records**

Section 10 (1) (a) of the *Archives Act 1983* requires agencies to preserve records until they are dealt with under the Act. This places a statutory obligation on agencies to ensure that all records, regardless of format, remain accessible while they are in the custody of the agency.

## **Conditions**

Source records should not be destroyed if they are required or likely to be required for judicial proceedings, government inquiries or investigations, and for applications for access under Freedom of Information or other legislation. While reproductions may be acceptable for the conduct of these proceedings, the destruction of any relevant record at or around the times concerned may lead to claims of impropriety and impact on the outcome of the investigation or action.

Before destroying source records agencies must ensure that the following conditions are met to ensure the reproductions of these records have the required degree of authenticity, integrity, and reliability.

### ***Reproduction standards***

Agencies must ensure that:

- the reproductions have the degree of authenticity, reliability, integrity and useability necessary to meet the identifiable purposes of the source records
- the reproductions are complete and reproduce the information contained in the source records as accurately as possible
- the reproductions can be taken to be true copies

### ***Conversion process***

Agencies must ensure that:

- all material intended to be reproduced is captured
- quality and verification procedures are in place
- errors and defects are corrected
- documentation of the process is comprehensive

### ***Management of the reproductions***

Agencies must ensure that:

- the reproductions are captured into a recordkeeping system prior to the destruction of the source records
- the context, meaning and accessibility of the record is maintained
- backup arrangements are maintained
- migration strategies are developed when required, to move the records from one hardware/software configuration to another, or from one generation of technology to another

### **Destruction of records**

The destruction method chosen for records authorised for destruction in this schedule should be appropriate to the medium in which the record exists. It is the responsibility of the agency to ensure that the identified records are actually destroyed, and that this process is confidential and secure.

**Destruction under this schedule need not be recorded in the agency's Register of Records Destroyed. However destruction of the migrated version of temporary value records, which will be retained for the period specified in the relevant Disposal Schedule, must be recorded. The migrated version of permanent value records will, in due course, be transferred to the Archives Office.**

| Reference              | Disposal Class   | Status and   |
|------------------------|--|--|
| <p><b>01.01.00</b></p> | <p><b>Source records</b><br/>Records that have been either copied; converted into another medium or format; or migrated from one system to another and have temporary or permanent status in a current disposal schedule.</p> <p><b>Note:</b><br/><i>The reproductions of these records must have the required degree of authenticity, integrity, reliability and useability necessary to substitute for the source records in business and regulatory applications.</i></p> <p><i>The reproductions of temporary records must be retained for the retention periods specified in the relevant disposal schedule. The reproductions of permanent records will, in due course, be transferred to the Archives Office.</i></p> |  |
| <p>01.01.01</p>        | <p>Source records having temporary status in a disposal schedule authorised by the State Archivist.</p>  | <p>TEMPORARY<br/>Destroy after records have been copied, converted or migrated, provided adequate reproductions exist.</p> |
| <p>01.01.02</p>        | <p>Source records having permanent status in a disposal schedule authorised by the State Archivist <b>and</b> created after 1 January 2000.</p> <p><u>Note:</u> <i>The reproductions must be retained until they are 25 years old and then transferred to the Archives Office.</i></p>   | <p>TEMPORARY<br/>Destroy after records have been copied, converted or migrated, provided adequate reproductions exist.</p> |