

Australian Capital Territory

# **Territory Records (Records Disposal Schedule – Teacher Quality Records) Approval 2018 (No 1)**

**Notifiable instrument NI2018—550**

made under the

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

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## **1. Name of Instrument**

This instrument is the Territory Records (Records Disposal Schedule – Teacher Quality Records) Approval 2018 (No 1)

## **2. Approval**

I approve the Records Disposal Schedule – Teacher Quality Records.

## **3. Commencement**

This instrument commences on the day after notification.

## **4. Revocation**

I revoke Notifiable Instrument NI 2013-376 notified on 29 August 2013.

Danielle Wickman  
Director of Territory Records  
11 October 2018

# **Records Disposal Schedule**



## **Teacher Quality Records**

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## INTRODUCTION

The *Records Disposal Schedule - Teacher Quality 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 Territory Records Disposal Schedules.

## PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of Teacher Quality records created or maintained by ACT Government Agencies.

## SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

## AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that 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.

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

## STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence or if there is a current records disposal freeze in effect.**

The *Records Disposal Schedule - Teacher Quality Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all Teacher Quality records regardless of titling conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

## **Whole of Government Thesaurus**

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA) (2010), a thesaurus incorporating 16 common Functions. All other Functions within the Whole of Government Thesaurus are considered Functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the TRO for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 - Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

## **GUIDELINES FOR USE**

### **Coverage of authority**

The *Records Disposal Schedule - Teacher Quality Records*:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Records Disposal Schedules;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

## **Layout of the schedule**

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

### **Function.**

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

### **Activity.**

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

### **Entry No.**

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

### **Description of Records.**

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

### **Disposal Action.**

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

## **FORMAT OF RECORD**

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

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

### **Electronic records**

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

## **DESTRUCTION OF RECORDS**

When the approved disposal date for the destruction of records has been reached, 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 agency 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 Director of Territory Records.

## **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 Director of Territory Records.



## **RELATED LEGISLATION**

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

*ACT Teacher Quality Institute Act 2010*

*Board of Senior Secondary Studies Act 1997*

*Education Act 2004*

*Evidence Act 2011*

*Freedom of Information Act 2016*

*Information Privacy Act 2014*

*Territory Records Act 2002*

*Training and Tertiary Education Act 2003*

## DEFINITIONS

### Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

### 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.

### Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

### Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

### Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

### Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

### Records Management Program

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

### Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass 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.

**Scope Note**

An explanation of terms used in describing the records and the context in which they were made and used.

**Sentencing**

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.

**Territory Archives**

Records preserved for the benefit of present and future generations.

# **BUSINESS CLASSIFICATION SCHEME**

## **TEACHER QUALITY**

The function of regulating the quality of teachers in the Territory, through the regulation of qualifications, promoting and encouraging continuous professional learning and the development of teachers and increasing levels of skill, knowledge, expertise and the professionalism of teacher; protecting students and the community by ensuring teachers are approved; enhancing the status of the teaching profession by recognising the professional learning and development of teachers and maintaining community confidence in the teaching profession.

Includes registration of teachers and authorising permits to teach. Also includes developing and implementing a regulatory framework for assessing teacher qualifications and suitability to teach in ACT schools, accrediting teacher education programs, setting standards of professional learning, managing certification of highly accomplished and lead teachers, developing and applying codes of professional practice and standards within a national framework, and liaison with teacher education institutions and other regulatory bodies.

*[For training and professional development of ACT Government teachers, use HUMAN RESOURCES.]*

### **Accreditation**

The activities associated with the granting of authoritative permission, approval, consent or accreditation to undertake specific tasks, after the required standards have been met. Includes the accreditation of individuals, groups or corporations.

### **Advice**

The activities associated with offering formal opinions and advice as to an action, judgement or topic. Includes legal advice, legislative drafting advice, publishing and public access to legislation advice and formal advices required by legislation.

### **Authorisation & Delegation**

The activities associated with delegating power to authorise an action and the seeking or granting permission to undertake a requested action.

*Note: For routine approvals supporting a more specific process, (e.g. Budgeting for budget approvals; or Acquisition for approvals to purchase goods or services), use the relevant activity.*

### **Compliance**

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

### **Events**

The activities associated with organising, arranging and managing internal or external conferences, exhibitions, functions, celebrations, ceremonies, visits or other events for the purpose of either informing attendees, promoting the activities, services and programs of the organisation or supporting local suppliers and organisations to attend, display or promote at events, (e.g. trade displays, Christmas pageants, Canberra Show). Includes the development of speeches and presentations at events, arrangements such as venue and facility bookings, catering and security arrangements, managing registrations and invitations, and event transcripts, proceedings and photographs.

### ***Grievances***

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion, or higher duties.

### ***Partnerships & Collaboration***

The activities associated with establishing and managing partnerships, joint ventures or similar collaborative arrangements where there is joint contribution of funds and/or time. Includes private sector ventures with public sector organisations.

### ***Planning***

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

### ***Policies & Procedures***

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

### ***Reporting & Statements***

The activities associated with drafting, preparing and providing reports relating to the function including in the form of informal or formal statements, statistics, returns, submissions or similar reports.

*Note: Where reports support a more specific activity, use the relevant classification, (e.g. use *Borrowing & Investment*, for reports on organisation investments).*

### ***Reviews (decisions)***

The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

### ***Standards***

The activities associated with developing and/or implementing industry or organisation specific benchmarks for services and processes to enhance the quality and efficiency of an organisation, business or industry.

### ***Training & Development***

The activities associated with all aspects of managing and providing training and development to an organisation's staff or to other individuals, community groups, organisations or industry.

# **RECORDS DISPOSAL SCHEDULE**





### **Accreditation (Continued)**

The activities associated with the granting of authoritative permission, approval, consent or accreditation to undertake specific tasks, after the required standards have been met. Includes the accreditation of individuals, groups or corporations.

*[For guidelines used to accredit programs, use TEACHER QUALITY - Procedures.*

*For the criteria used to accredit programs, use TEACHER QUALITY – Policy.*

*For training accreditation panels, use TEACHER QUALITY – Training & Development.*

*For appeals or reviews of an accreditation decision, use TEACHER QUALITY - Reviews (decisions).*

*For teacher participation in accreditation programs for registration renewal purposes, use TEACHER QUALITY - Accreditation].*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
186.158.003 ■■■■■■■■■■■■■■■■■■■■	Records documenting the results, including evaluation reports, etc., of assessments of teachers against the relevant professional codes and standards for Teachers to achieve professional registration, including renewals. Includes: <ul style="list-style-type: none"><li>• applications for registration or permit to teach as a teacher including renewals;</li><li>• correspondence relating to application and renewal.</li></ul>	Destroy 75 years after date of birth of teacher or 7 years after last action, whichever is later
186.158.004 ■■■■■■■■■■■■■■■■■■■■	Records documenting regulatory action in relation to the professional registration or permit to teach of teachers. Includes <ul style="list-style-type: none"><li>• notifications from employers</li><li>• notifications from other teacher regulatory authorities</li><li>• Reports</li><li>• Records documenting suspension or cancellation of a teacher's registration;</li><li>• records documenting 'persons of interest'</li></ul>	Destroy 75 years after date of birth of teacher or 45 years after last action, whichever is later





















**RETAIN AS TERRITORY ARCHIVES**

## TEACHER QUALITY

The function of regulating the quality of teachers in the Territory, through the regulation of qualifications, promoting and encouraging continuous professional learning and the development of teachers and increasing levels of skill, knowledge, expertise and the professionalism of teacher; protecting students and the community by ensuring teachers are approved; enhancing the status of the teaching profession by recognising the professional learning and development of teachers and maintaining community confidence in the teaching profession.

Includes registration of teachers and authorising permits to teach. Also includes developing and implementing a regulatory framework for assessing teacher qualifications and suitability to teach in ACT schools, accrediting teacher education programs, setting standards of professional learning, managing certification of highly accomplished and lead teachers, developing and applying codes of professional practice and standards within a national framework, and liaison with teacher education institutions and other regulatory bodies.

*[For training and professional development of ACT Government teachers, use HUMAN RESOURCES.]*

### **Accreditation**

The activities associated with the granting of authoritative permission, approval, consent or accreditation to undertake specific tasks, after the required standards have been met. Includes the accreditation of individuals, groups or corporations.

*[For guidelines used to accredit programs, use TEACHER QUALITY - Policies & Procedures.*

*For the criteria used to accredit programs, use TEACHER QUALITY – Policies & Procedures.*

*For training accreditation panels, use TEACHER QUALITY – Training & Development.*

*For appeals or reviews of an accreditation decision, use TEACHER QUALITY - Reviews (decisions).*

*For teacher participation in accreditation programs for registration renewal purposes, use TEACHER QUALITY - Accreditation].*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
186.158.001 ■■■■■■■■■■■■■■■■■■■■	Registers of teachers.	Retain as Territory Archives
186.158.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the management of the accreditation of teacher education programs. Includes review and renewal of programs and final external and internal reports evaluating potential, action plans or existing services and programs. Also includes detailed research carried out to support the accreditation of education programs.	Retain as Territory Archives



### **Policies & Procedures**

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

*[For policy proposals and guidelines which form legislative instruments, use STRATEGY & GOVERNANCE - Legislation.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
186.273.001 ■■■■■■■■■■■■■■■■■■■■	Final version of policies relating to teacher quality.	Retain as Territory Archives

### **Reporting & Statements**

The activities associated with drafting, preparing and providing reports relating to the function including in the form of informal or formal statements, statistics, returns, submissions or similar reports.

*Note: Where reports support a more specific activity, use the relevant classification, (e.g. use Borrowing & Investment, for reports on organisation investments).*

*[For the Annual Report drafting process, use GOVERNMENT & STAKEHOLDER RELATIONS - Marketing & Publication.]*

*For submissions of annual reports to the Portfolio Minister, use STRATEGY & GOVERNANCE - Compliance.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
186.295.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of internal formal reports and reports made to external agencies.	Retain as Territory Archives

### **Reviews (decisions)**


The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
186.094.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting reviews of decisions relating to the registration and certification of teachers which resulted in a change in policies, procedures or had significant political or public interest.	Retain as Territory Archives

### ***Standards***

The activities associated with developing and/or implementing industry or organisation specific benchmarks for services and processes to enhance the quality and efficiency of an organisation, business or industry.

*[For compliance with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements, use Compliance.]*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
186.100.001 	Records documenting the determination of standards and codes of practice for the teaching profession within the national framework. Including assessment and certification standards.	Retain as Territory Archives