

Guideline for Mandatory Standard 2 – Disposal

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Contents

Introduction	3
1. Purpose	3
2. Authority and application	3
3. How to use this Guideline	3
PART 1: EXAMPLE COMPLIANCE INDICATORS	4
Requirement 1: Disposal is underpinned by appraisal.	5
Requirement 2: Public records are retained for as long as they are required.	6
Requirement 3: Disposal is managed and accountable.	7
Requirement 4: Disposal is complete and secure.	9
PART 2: IMPLEMENTATION ADVICE.....	10
Appendix A	11
Definitions	11
Related Documents	12
Document History.....	12
Contact Details.....	12

Introduction

1. Purpose

This Guideline supports *Mandatory Standard 2 – Disposal* (the Standard) issued under the *Public Records Act 2023* (the Act) and provides guidance about how public authorities can implement the minimum requirements set out in the Standard.

2. Authority and application

When approved - This guideline has been issued by the State Archivist under section 46(1)(c) of the Act and is proposed to come into effect on XXXX 2026.

This Guideline applies to all Queensland public authorities as defined under section 8 of the Act.

This Guideline should be read in conjunction with *Mandatory Standard 2 – Disposal*.

3. How to use this Guideline

This guideline supports the Standard and provides advice in two separate parts:

- **Part 1: Example Compliance Indicators** – outlines brief examples a public authority could adopt to meet the minimum requirements stated in the Standard. These compliance indicators are not mandatory – they are examples of the way in which the minimum requirements could be met and are not exhaustive. Public authorities may also have other ways in which the minimum requirements could be met.
- **Part 2: Implementation Advice** – outlines the methodology for meeting some of the compliance indicators in Part 1.

For a list of Definitions used in this document, please refer to Appendix A.

PART 1: EXAMPLE COMPLIANCE INDICATORS

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Requirement 1: Disposal is underpinned by appraisal.

Minimum compliance requirements in Mandatory Standard 2 – Disposal	Examples of how a public authority can demonstrate compliance with the requirement Note: these are examples only and are not an exhaustive list
1.1 Public records are assessed to identify value of these records to the community, to the public authority that makes and keeps these records and, to the government of Queensland.	• Appraisal is included in corporate records management policies, plans and procedures. • Assessment for permanent value of records is consistent with the QSA Appraisal Statement. • The value of public records is captured in an Information Asset Register or other instrument.
1.2 Public records are assessed to identify risk to records in relation to unlawful disposal, loss or damage, unauthorised use or over retention.	• Risk management of public records is included in all corporate risk management systems including specific records management policies, plans and procedures. This includes risk to physical and digital records (e.g. business systems are supported). • Risk assessment ratings for public records are captured in an Information Assets Register or another instrument. • Disposal authorisations are in place. • Systems are in place for notification and authorisation for disposal including for damaged and lost records and for seeking advice about remediation of damaged records.
1.3 Public records are assessed to determine if any changes in value, circumstances or risk have occurred, and a decision is made and documented to demonstrate whether disposal should occur.	• Document consultation with relevant internal and external stakeholders when undertaking appraisal prior to disposal. • Document the reappraisal of records prior to disposal to ensure disposal is appropriate and account for any changes in value, circumstances or risk.

Requirement 2: Public records are retained for as long as they are required.

Minimum compliance requirements in Mandatory Standard 2 – Disposal	Examples of how a public authority can demonstrate compliance with the requirement Note: these are examples only and are not an exhaustive list
2.1 Disposal of public records is undertaken in accordance with section 23 of the <i>Public Records Act 2023</i> .	Public authorities must apply lawful disposal instruments e.g. a current, State Archivist authorised disposal authorisation.
2.2 All staff, contractors and volunteers, are aware of their obligations regarding the retention of public records for as long as they are required to meet business, legislative, accountability and community purposes.	- Records are assessed in outsourced, cloud, contract and similar arrangements and included in contracts and other instruments. This includes the retention and disposal of public records. - Within the public authority, responsibilities are identified and monitored in outsourced, cloud, contracted and similar service arrangements and are assigned in records management policy.
2.3 When a permanent value record is converted into a different format or migrated to a different system, the source record can only be disposed of in accordance with an applicable disposal authorisation..	- A Disposal Plan relating to permanent value source public records must ensure any proposed disposal of those records meets the conditions and/or exclusions set out in a disposal authorisation issued by the State Archivist. - Disposal of permanent value source public records must be approved by the Chief Executive or authorised delegate of the public authority and comply with a disposal authorisation issued by the State Archivist.

Requirement 3: Disposal is managed and documented.

Minimum compliance requirements in Mandatory Standard 2 – Disposal	Examples of how a public authority can demonstrate compliance with the requirement Note: these are examples only and are not an exhaustive list
3.1 Disposal of public records is documented and includes information about appraisal justifications for the disposal action.	• Policy, business rules and procedures identify how disposal of records and information is managed, including the deletion of data. • Disposal is in accordance with current, authorised instruments e.g. disposal authorisations authorised by the State Archivist. • Ensure appraisal covers all legacy information assets (physical and digital format) regardless of locations and/or systems.
3.2 When systems are decommissioned, appraisal of public records within the decommissioned system is considered and documented.	• Consultation with relevant internal and external stakeholders when undertaking appraisal of decommissioned systems prior to disposal is documented. • Reappraisal of records in decommissioned systems prior to disposal is documented to ensure disposal is appropriate and account for any changes in value, circumstances or risk.
3.3 Disposal actions for public records are authorised by the Chief Executive of the public authority or their authorised delegate and the decision is documented.	• Any disposal is planned, authorised, approved, verified and fully documented. • Disposal service providers are evaluated in terms of security, capabilities, facilities and protocols.
3.4 Disposal requirements are identified and included (or defined) in all outsourced, cloud, contracted and similar service arrangements.	• All contractors are aware of their responsibilities for the retention and disposal of public records and information assets through provisions in contracts. • Disposal of any public records is only undertaken with approval of the Chief

Minimum compliance requirements in Mandatory Standard 2 – Disposal	Examples of how a public authority can demonstrate compliance with the requirement Note: these are examples only and are not an exhaustive list
	Executive or their authorised delegate in the public authority. • Formal certification is provided by any contracted service provider of destruction. • Destruction methods are appropriate to format. • Destruction methods are appropriate to security classification and sensitivity. • System architecture for vendor/third party applications, including disposal functionality, is documented by the supplier and made readily available to the public authority.
3.5 Risk is assessed and reported internally via governance mechanisms, where any public record has exceeded its minimum retention period by five years.	• Disposal plans are reported internally through risk governance mechanisms. • Disposal plans explain the retention of any public record or groups of public records that have exceeded their minimum retention period by five years and consider: - risks associated with the over-retention of the records, including potential security issues - cost implications - other relevant issues.

Requirement 4: Disposal is complete and secure.

Minimum compliance requirements in Mandatory Standard 2 – Disposal	Examples of how a public authority can demonstrate compliance with the requirement Note: these are examples only and are not an exhaustive list
4.1 Methods for destruction of public records are secure and appropriate to the format/medium. As far as practicable, methods of destruction are irreversible.	• Disposal process is in accordance with approved and established corporate policies, plans and procedures. • Disposal service providers are evaluated in terms of security, capabilities, facilities and protocols. • Formal certification is provided by any contracted service provider of destruction. • Any applications or software making and storing public records have disposal functionalities built into the system to ensure the records can be fully and completely disposed. • All destruction of digital records is carried out in a manner that ensures they cannot be retrieved, reused or read in the future, for example wiping or overwriting digital files or physically destroying digital carriers.
4.2 Complete disposal of a public record includes disposal of any copies of that record whenever practicable. Disposal of copies is undertaken in accordance with the appropriate disposal authorisation.	• Original files are managed in a way that enables public authorities to easily identify any copies so that they can be routinely and systematically disposed, where disposal is authorised.
4.3 Disposal of public records does not compromise information security or information privacy.	• Destruction methods are appropriate to security classification and sensitivity. • Destruction methods are appropriate to the format. • Methods of destruction/deletion are carried out by authorised personnel, with the approval of the Chief Executive or their authorised delegate. • All destruction of digital records is carried out in a manner that ensures they cannot be retrieved, reused or read in the future, for example wiping or overwriting digital files or physically destroying digital carriers.

PART 2: IMPLEMENTATION ADVICE

To be developed

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Appendix A

Definitions

Term	Definition
Accessible	The ability of authorised individuals to locate, retrieve and use records and information
Appraise	Evaluate the merit, significance or value of records and information
Availability	The degree to which records are accessible to authorised users when needed
Defensible	The requirements can be supported by logical argument or sufficient evidence
Digital by default	A principle that prioritises the creation and management of records in digital form as the primary and official version
Disposal authorisation	An authorisation given by the State Archivist to dispose of a public record, or class of public records, for a public authority or multiple public authorities.
Governance framework	A structured set of guidelines, policies and processes designed to ensure activities are conducted in a compliant manner and uphold the principles of accountability, transparency and integrity
Metadata	Structured or semi-structured descriptive information about a record that enables the management, use and preservation of records through time. It provides context such as creator, date, activity, and relationships.
Source records	Documents or records that have been copied, converted or migrated from one format or system to another. The source records are those that remain following the successful conversion or migration. Source records may be an original record or a reproduction generated by an earlier copying, conversion or migration process.

Related Documents

- *Mandatory Standard 1 – Make and Keep*
- *Guideline for Mandatory Standard 1 - Make and Keep*
- *Mandatory Standard 2 – Disposal*

Document History

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