



NATIONAL ARCHIVES OF AUSTRALIA

BUILDING TRUST IN THE PUBLIC RECORD

managing information and data
for government and community



**SENTENCING
WORKSHEET**
INSTRUCTIONS

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HOW TO USE THE WORKSHEET

Follow these steps to use the sentencing worksheet.

1. Enter details of records into the columns under 'Record metadata'. The worksheet uses one row for each record (or aggregation of records) being sentenced.
2. Work across each row, from left to right, of the sentencing worksheet as you make decisions for each record being sentenced.

For each record, select the appropriate disposal class by matching the most appropriate class description to the record, using a current records authority. In the 'Disposal class number' column, type the selected class number or click on a cell in this column to search from a drop-down list.

If no appropriate disposal class can be found in a current records authority, the corresponding cell must be left blank as the record cannot be sentenced. Consult your supervisor overseeing the sentencing process for advice.

3. Check any auto-filled cells updated as a result of your selection of 'Disposal class number'. For some disposal classes, the 'Destruction permitted' column may give you further instruction to complete the sentencing decision or disposal action for each record.
4. If a 'Destruction due date' appears after completing the last step, check that the worksheet has calculated it correctly. If destruction is not permitted, the corresponding cell in the 'Destruction permitted' column will be highlighted in red and no destruction due date should appear.

If a date appears after selecting a class for which destruction is not permitted, the worksheet may be configured incorrectly. In this case, refer to the instructions in the next section, or contact the person in your agency responsible for configuring the worksheet.

5. Enter any other data that should be recorded in the 'Additional metadata' columns. The worksheet includes columns to note the business owner, any relevant disposal freezes or retention holds, security classification and comments. These are recommended for consideration for each record, but others can be added where there is a need.
6. After sentencing, approval processes can be monitored using the 'Approval metadata' columns.

PREPARING TO USE THE WORKSHEET

Before using the sentencing worksheet to support a sentencing project, you will need to make some decisions and gather information.

The team leader should:

- prepare the worksheet
- consult with their agency's records and information management unit if guidance is needed.

Overview

Step 1. Gather information for 'Record metadata' columns

- 1a Decide at which level you are going to sentence and identify records
- 1b Determine how record metadata can be retrieved from information systems

Step 2. Gather metadata for 'User-selected disposal metadata' columns

- 2a Review existing configuration of AFDA Express Version 2 within the worksheet
- 2b Identify other applicable records authorities
- 2c Configure disposal class data and categorise according to disposal action
- 2d Identify and configure general sentencing rules or assumptions

Step 3. Gather information for 'Additional metadata' columns

- 3a Identify and configure business owners of records being sentenced
- 3b Identify and configure relevant disposal freezes and destruction holds
- 3c Identify and configure required security classifications or protective markings
- 3d Identify and configure metadata required to coordinate approval
- 3e Add new columns to suit additional needs

Worksheets can be accessed by clicking the tabs at the bottom of the workbook. The currently selected worksheet will be highlighted in white.



The sentencing worksheet is used to enter the raw data about the records. Formulas in this worksheet use data entered and the data from 2 other worksheets: disposal class data and additional data.

In detail

Step 1. Gather information for ‘Record metadata’ columns

The first step is about adding details of records being sentenced to the ‘Record metadata’ columns. These details can be imported from an information system containing the records or updated from the records themselves during sentencing.

Record metadata			
<p>Record identifier</p> <p><i>Unique alphanumeric identifier for each record being sentenced</i></p>	<p>Title/description</p> <p><i>The title given to each individual record being sentenced or a meaningful description of the contents of each record</i></p>	<p>Contents start date</p> <p><i>The earliest date contents were added to the record being sentenced</i></p>	<p>Contents end date</p> <p><i>The latest date contents were added to the record being sentenced, which may help calculate a destruction due date</i></p>

Note: For a full list of the columns in the sentencing worksheet and their descriptions, see [Appendix](#).

1a Decide at which level you are going to sentence and identify records

For the purposes of these instructions, the term ‘record’ is used to describe each item or group of items being sentenced as one unit. Whether each record being sentenced is a document, file (folder) containing documents or an aggregation of many records or files is a decision for sentencing supervisors. It may be useful to review local sentencing guidelines or documentation from past sentencing projects to help you decide what approach to use to sentence records.

Once you have decided at what level you are going to sentence records, you need to decide how to identify records you are sentencing within the worksheet. There are 4 columns included in the ‘Record metadata’ section to identify records being sentenced. Understanding their purpose can help you decide how to use them to identify records being sentenced.

Record identifier	Intended to capture a unique, sequential alphanumeric identifier for each record being sentenced, individually or in aggregate, which is often derived from information systems containing records.
Title/description	<p>Intended to capture meaningful titles or descriptions for each record being sentenced, which can account for what is being sentenced and help people understand how they were used in an agency’s business activities.</p> <p>Many information systems will contain existing titles or descriptions for records. Sometimes these can be of limited use in helping you understand records being sentenced, but any existing titles or descriptions are often a useful starting point.</p> <p>For records being sentenced in aggregate, the title/description may need to meaningfully describe a range of records being sentenced as one unit, for example, ‘supplier invoices from 1 January 2021 to 30 June 2021’. The use of comments during sentencing can also aid description and accounting for records being sentenced.</p>

Contents start date	Intended to capture the earliest date contents were added to a record. This is often the same as the date of creation, which is recorded by many information systems as standard.
Contents end date	<p>Intended to capture the latest date contents were added to a record, which may often be the same as the date a record was last modified or made 'closed' with no further action. Essentially, it is the point at which a record was last modified or ceased documenting business activity in any meaningful way.</p> <p>Many information systems will record the last date records were modified or the date that records are 'closed' with no further business use, but some quality assurance is recommended to confirm that this accurately reflects when records were last used and that any business evidenced by these records has finished. This metadata is important to help people understand the active life of records, both for your agency's own records management practices and when transferring records to the National Archives or elsewhere. This is also useful for determining 'trigger dates' to help calculate due dates for destruction, as described further below.</p>

1b Determine how record metadata can be retrieved from information systems

Record metadata for the sentencing worksheet is usually derived from existing metadata in an information system containing the records to be sentenced, or sourced from the records themselves. It is recommended that, where possible, you import this data into the sentencing worksheet to reduce manual entry of the details of each record while sentencing.

Existing information systems that record metadata could be derived from include:

- records registries of business information systems
- network drive directories
- itemised records listings.

After a decision has been made about how record metadata in information systems corresponds to the columns in the sentencing worksheet, the data can be imported or copied into the required columns under the 'Record metadata' section.

Organising record metadata to match the format of the sentencing worksheet for import, or any other data cleansing, can be done in another spreadsheet outside of the worksheet, if necessary. Otherwise, if the records being sentenced are in systems such as a network drive, there are methods for automatically retrieving metadata from the network drive directory for import into a worksheet. There are a number of ways to do this, such as a DOS command or features to import and process data in Excel. Software is freely available online to extract metadata from the directory of a network drive. This software can be found by using search terms such as 'directory', 'list', 'print' and 'tools'. Local IT support in your agency may also be helpful in retrieving record metadata from your information systems.

Where record metadata from existing information systems is unavailable, or needs to be modified for use within the worksheet, consult your sentencing supervisor about how it should be added, consistent with other systems used to identify records within your agency.

Make sure you outline how record metadata is sourced or being applied in the documentation supporting each sentencing project.

Step 2. Gather metadata for ‘User-selected disposal metadata’ columns

The second step is about arranging for details of all relevant records authorities to be available for selection within the ‘User-selected disposal metadata’ columns, sourced from the disposal class data worksheet. These details will also help calculate destruction due dates, when appropriate, in the ‘Calculated metadata’ column.

User-selected disposal metadata				Calculated metadata
Disposal class number <i>The unique number identifying a disposal class in a records authority</i>	Disposal action <i>The disposal action corresponding to the selected disposal class, identifying a disposal outcome for records being sentenced</i>	Destruction permitted <i>Indicates whether destruction is permitted under the relevant records authority, Yes or No</i>	Alternative disposal trigger date <i>A date other than the Contents end date, used to calculate a destruction due date</i>	Destruction due date <i>Earliest date sentenced records can be destroyed</i>

2a Review existing configuration of AFDA Express Version 2 within the worksheet

By default, the sentencing worksheet includes all disposal classes from AFDA Express Version 2, as the records authority most commonly used by all agencies.

These disposal classes have also been colour coded for easy reference according to:

- whether they do or do not permit destruction
- when further information may be required to calculate a destruction due date
- instructions to perform other disposal actions.

Always ensure that the disposal classes are still up to date if you are using a worksheet downloaded or configured at an earlier time.

2b Identify other applicable records authorities

Identify all general or agency-specific records authorities other than AFDA Express Version 2 that could be relevant to the records you are going to sentence. To edit the worksheet to use classes from additional records authorities, see Entering additional disposal classes from records authorities.

Data from records authorities can easily be updated over time, using the same instructions, to reflect amendments to records authorities, machinery-of-government changes or any other changes in requirements.

It is recommended that relevant records authorities are noted in the documentation supporting a sentencing project.

2c Configure disposal class data and categorise according to disposal action

A timesaving feature of the sentencing worksheet is automatic calculation of destruction due dates, based on time frames associated with disposal classes, permitting records to be destroyed.

Calculation of destruction due dates depends on identifying a ‘Disposal trigger date’ for records being sentenced using the worksheet. A disposal trigger date is the date the retention period ‘clock’ starts ticking and the time specified in a disposal action is when the clock can stop. The time when the clock stops is the earliest time destruction of a record could be carried out.

Within the worksheet, there are 2 sources for a disposal trigger date. The first is the ‘Contents end date’ column and the second is the ‘Alternative disposal trigger date’ column, as demonstrated in the following examples.

Example 1 – Calculation using ‘Contents end date’

	User-selected disposal metadata				Calculated metadata
Contents end date <i>The latest date contents were added to the record being sentenced, which may help calculate a destruction due date</i>	Disposal class number <i>The unique number identifying a disposal class in a records authority</i>	Disposal action <i>The disposal action corresponding to the selected disposal class, identifying a disposal outcome for records being sentenced</i>	Destruction permitted <i>Indicates whether destruction is permitted under the relevant records authority, Yes or No</i>	Alternative disposal trigger date <i>A date other than the Contents end date, used to calculate a destruction due date</i>	Destruction due date <i>Earliest date sentenced records can be destroyed</i>
3/4/2015	62392	Destroy 7 years after action completed	Yes		3/4/2022

This example shows a record with a contents end date of 3 April 2015, sentenced under disposal class 62392, which permits destruction ‘7 years after action completed’. The destruction due date calculated by the worksheet is 3 April 2022, which is the end of its minimum retention period and the earliest date the record can be destroyed.

Calculations using the ‘Contents end date’ are most often suitable for disposal actions where destruction is permitted ‘after action completed’ or ‘after last action’, as the dates for these disposal actions are likely to be the same as, or before, the last time the records were updated as evidence of business activities.

Example 2 – Calculation using ‘Alternative disposal trigger date’

	User-selected disposal metadata				Calculated metadata
Contents end date <i>The latest date contents were added to the record being sentenced, which may help calculate a destruction due date</i>	Disposal class number <i>The unique number identifying a disposal class in a records authority</i>	Disposal action <i>The disposal action corresponding to the selected disposal class, identifying a disposal outcome for records being sentenced</i>	Destruction permitted <i>Indicates whether destruction is permitted under the relevant records authority, Yes or No</i>	Alternative disposal trigger date <i>A date other than the Contents end date, used to calculate a destruction due date</i>	Destruction due date <i>Earliest date sentenced records can be destroyed</i>
4/5/2016	62547	Destroy 21 years after discharge or expiration of all obligations under the contract/deed	Manual entry of trigger date required	20/3/2019	20/3/2040

This example shows a record sentenced under disposal class 62547, which permits destruction ‘21 years after discharge or expiration of all obligations under the contract/deed’. The date 20 March 2019 has been entered into the ‘Alternative disposal trigger date’ date column, reflecting when the contract expired. The destruction due date calculated by the worksheet is 20 March 2040, which is the end of its minimum retention period and the earliest date the record can be destroyed.

Calculations using the ‘Alternative disposal trigger date’ are suitable for disposal actions which rely on a date other than the contents end date. Usually, this is because a date is required from details within the record being sentenced to calculate when destruction is appropriate.

Manually entering a date in the ‘Alternative disposal trigger date’ column of the worksheet will always override any calculations made using the ‘Contents end date’ column. Manually entering a date in the ‘Destruction due date’ column of the worksheet will always override any calculations made using dates in any other columns.

Categorising disposal class data

This step is about categorising the disposal classes in records authorities you plan to use according to:

- whether they do or do not permit destruction
- when further information may be required to calculate a destruction due date
- instructions to perform other disposal actions.

To use disposal classes from relevant records authorities to automate calculations, you need to categorise them as shown in the table below.

DESTRUCTION PERMITTED	APPLICABLE DISPOSAL CLASS	TYPICAL EXAMPLES
Yes	Any disposal class that can have a destruction due date calculated from the date in the 'Contents end date' column.	Destroy X years after action completed Destroy X years after last action
No	Any disposal class that should never have a destruction due date calculated.	Retain as National Archives
Manual entry of trigger date required	<p>Any disposal class that requires manual entry of a date into the 'Alternative disposal trigger date' column to calculate a destruction due date. Usually, this is required when a date detailed in the record is used as a trigger date. Once this date is identified, a calculation can be performed by the worksheet.</p> <p>A date entered into the 'Alternative disposal trigger date' column of the worksheet will also help document when the relevant trigger date occurred – for example, the date when a contract was completed.</p>	Destroy X years after completion or other termination of contract Destroy after indemnity ceases

DESTRUCTION PERMITTED	APPLICABLE DISPOSAL CLASS	TYPICAL EXAMPLES
Manual entry of trigger and destruction date required	<p>Any disposal class that requires manual entry of a date into the 'Alternative disposal trigger date' column that must be accompanied by manual entry of a 'Destruction due date' column. Usually, this is required when there is more than one option for the details within the record to determine a trigger date or destruction due date. Manually entering dates is required as no single calculation can be configured to allow for either option.</p> <p>A date entered in the 'Alternative disposal trigger date' column of the sentencing worksheet will also help document when the relevant trigger date occurred. It is recommended that you note which trigger date was chosen in the 'Comments' column.</p>	Destroy in the year 2040 or 75 years after date of birth, whichever is later
Other disposal action required	Any disposal class that specifies another type of action required to complete the decision or disposal process. This can also be selected when no other category is suitable, to instruct sentencing staff. It is recommended that you refer to full versions of records authorities for further instructions to complete other disposal actions.	Destroy in accordance with Cabinet Handbook instructions

The following table shows an example of each type, to help you understand the configuration for each category.

Disposal class	Disposal action	Destruction permitted	Number of months after Contents end date (Destruction permitted = Yes)	Number of months after trigger date (Destruction permitted = Manual entry of trigger date required)
62388	Destroy 30 years after last action	Yes	360	
62598	Retain as national archives	No		
62412	Destroy 3 years after intellectual property rights lapse	Manual entry of trigger date required		36
62658	Destroy in accordance with Cabinet Handbook instructions	Other disposal action required		

The existing configuration of AFDA Express Version 2 visible in the disposal class data worksheet can be a useful reference to help guide you when sorting classes from other records authorities.

Important notes on sorting disposal classes

The sentencing worksheet is configured to test for the exact terms ‘Yes’ or ‘Manual entry of trigger date required’ in the ‘Destruction permitted’ column before automatically calculating a destruction due date. The use of any other words in this column will prevent automatic calculation.

Automating a destruction due date is only possible for disposal classes which permit destruction a certain amount of time after the trigger date. Disposal classes with other outcomes specified in their respective disposal actions cannot have a destruction due date calculated. Automation may also be possible for other disposal classes if general rules or assumptions are adopted, using the following instructions.

Entering additional disposal classes from records authorities

Once disposal classes are sorted into categories, additional classes can be added to the disposal class data worksheet.

- Starting from the next empty row, enter the ‘Disposal class numbers’ and ‘Disposal actions’ from the records authorities you wish to use for sentencing.

	B	C	D
35	62644	Retain as national archives	No
36	62645	Destroy in the year 2040 or 75 years after date of birth whichever is later	Manual entry of trigger and destruction date required
37	62646	Destroy 75 years after last action	Yes
38	62647	Destroy 75 years after removal of asbestos	Manual entry of trigger date required
39	62648	Destroy 30 years after last action	Yes
40	62649	Destroy when person reaches 25 years of age, or 7 years after last action whichever is later	Manual entry of trigger and destruction date required
41	62650	Destroy 10 years after action completed	Yes
42	62651	Destroy 3 years after action completed	Yes
43	62652	Destroy 7 years after action completed	Yes
44			

	B	C	D
35	62644	Retain as national archives	No
36	62645	Destroy in the year 2040 or 75 years after date of birth whichever is later	Manual entry of trigger and destruction date required
37	62646	Destroy 75 years after last action	Yes
38	62647	Destroy 75 years after removal of asbestos	Manual entry of trigger date required
39	62648	Destroy 30 years after last action	Yes
40	62649	Destroy when person reaches 25 years of age, or 7 years after last action whichever is later	Manual entry of trigger and destruction date required
41	62650	Destroy 10 years after action completed	Yes
42	62651	Destroy 3 years after action completed	Yes
43	62652	Destroy 7 years after action completed	Yes
44	61079	Retain as National Archives	
45	61080	Destroy 7 years after action completed	
46		Destroy 1 year after reasonable efforts	
47	61081	have been made to return the items	

2. Complete the 'Destruction permitted' column based on the corresponding disposal action for each class:

- Enter 'Yes' for classes that allow the calculation of a destruction due date based on 'Contents end date'.
- Enter 'No' for all 'Retain as National Archives' classes.
- Enter 'Manual entry of trigger date required' for all classes that allow the calculation of a destruction due date based on the 'Alternative disposal trigger date'.

Note: To aid configuration, the colour will change automatically for all the above categories.

- Enter an alternative instruction as required for all other classes.

Disposal class	Disposal action	Destruction permitted
61079	Retain as National Archives	No
61080	Destroy 7 years after action completed	Yes
	Destroy 1 year after reasonable efforts	
61081	have been made to return the items	Manual entry of trigger date required

3. Enter the number of months into Column D: 'Number of months after Contents end date (Destruction permitted = Yes)' for each class where 'Destruction permitted' is 'Yes'.

Destruction permitted	Number of months after Contents end date (Destruction permitted = Yes)
No	
Yes	84
Manual entry of trigger date required	

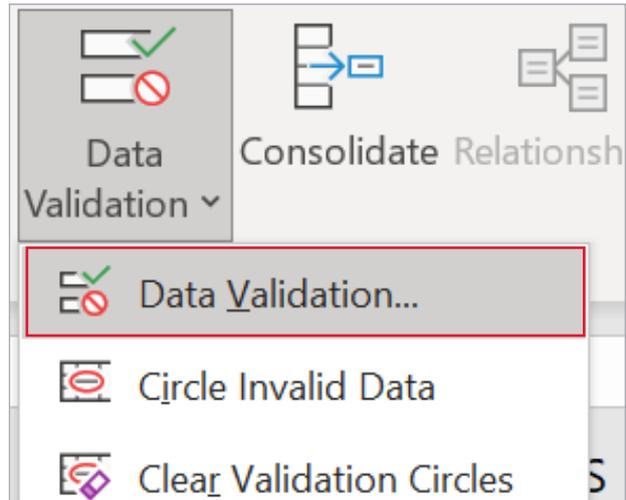
4. Enter the number of months into Column E: 'Number of months after trigger date (Destruction permitted = Manual entry of trigger date required)' for each class where 'Destruction permitted' is 'Manual entry of trigger date required'.

Number of months after Contents end date (Destruction permitted = Yes)	Number of months after trigger date (Destruction permitted = Manual entry of trigger date required)
84	
	12

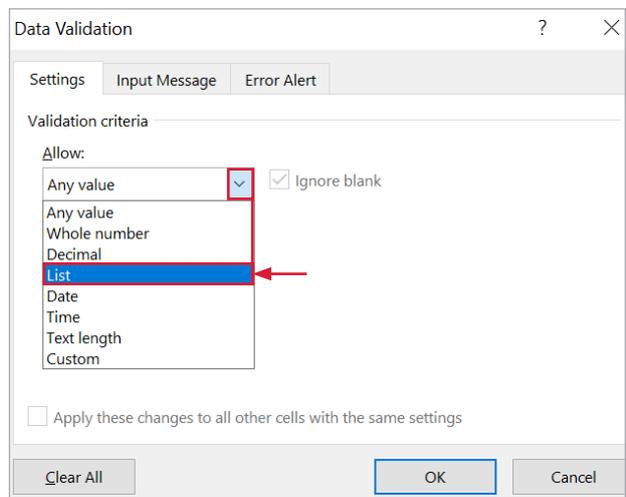
5. In the sentencing worksheet, select the cell at the top of the 'Disposal class number' column.

6. Press Ctrl+Shift+Down arrow key to select all the cells in that column.

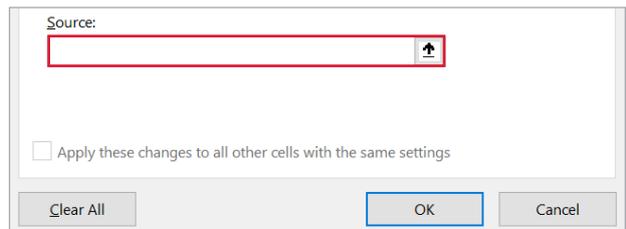
- Go to the 'Data' tab on the ribbon and click 'Data Validation'.



- The 'Data Validation' window will display.
Under 'Allow', select 'List' from the drop-down list.



- Click the icon under 'Source' to select the reference cells.
The 'Data Validation' window will collapse to a smaller size.



- While the 'Data Validation' box is open, click on the 'Disposal class data' tab to go to that worksheet.
Click on cell 'B4' and drag to select all other cells containing disposal class data in column B.

- Click the icon to expand the 'Data Validation' box.
Click 'OK'.



2d Identify and configure general sentencing rules or assumptions

To streamline sentencing and the use of this worksheet to support it, sentencing supervisors may choose to apply general rules to selected classes to allow an automated destruction date to be calculated based on available metadata. This can be done by creating general rules that help calculate a date with a minimum of effort.

Example 1 – General rule for personnel records

Consider the following disposal class from the ‘Personnel management’ function in AFDA Express Version 2, which usually requires identifying a date of birth or last action within each record being sentenced.

Class no.	Description of records	Disposal action
62629	Employment records of all ongoing (permanent), non-ongoing (temporary) and SES employees, heads of agencies and statutory appointees (other than members of tribunals, governing bodies and advisory bodies), and employment scheme participants (e.g. traineeships, cadetships, apprenticeships, scholarships, fellowships and similar relationships), kept in a consolidated format (as ‘personnel files’ or employee service history files) or as separate records . Excludes employees who commenced work prior to turning 18 years of age.	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later

It may be not be efficient to examine each record that could be sentenced using this class to determine the trigger. The relevant information (in this case, date of birth) may also be absent.

Instead, the following general rule could be applied: Calculate the destruction date by adding 60 years to the date created.

This is a risk-based decision based on the following:

- The minimum age of personnel is generally 15 years or older.
- Not many staff work beyond the age of 75.
- An approval process for sentencing decisions can check for exceptions, such as employees who have worked beyond the age of 75 who must have their records destroyed 7 years after last action.

Similar general rules could be established to help calculate a destruction date during sentencing projects, to cover cases such as:

- some agencies prefer to add 12 months to each record, to allow for records created at any time within 1 year to reach a minimum retention period. This also allows some margin for error while sentencing quality reviews are undertaken.
- the specific information to calculate a destruction due date is not available in the record, such as the end date for a contract. You may have to enter the retention period based on the maximum duration of similar contracts.

If a general rule is established for a disposal class, the ‘Number of months after trigger date (Destruction permitted = Yes)’ column in the disposal class data worksheet will need to be adjusted to suit the rule. To adjust the number of months after a trigger date, see [Entering additional disposal classes from records authorities](#).

Step 3. Gather information for ‘Additional metadata’ columns

The third step is about arranging other details that may be useful to record during sentencing activities in the ‘Additional metadata’ columns of the sentencing worksheet. This step is also about using the ‘Approval metadata’ columns to coordinate disposal activities after sentencing.

Entering data in these columns may be optional or mandatory depending on your agency’s requirements. These suggested columns and how they are used can be freely modified to meet your agency’s needs without interrupting the basic functions of other parts of the sentencing worksheet.

Additional metadata				Approval metadata		
Business owner <i>Record owner and area responsible</i>	Hold/freeze <i>A suspension of permission to destroy records</i>	Security classification <i>Key operational control to protect sensitive and security classified information</i>	Comments <i>(free text)</i>	Disposal status <i>Indicates current status of completing disposal actions according to sentencing decisions</i>	Approval reference <i>Identification of authority to help coordinate approval</i>	Date disposal action completed <i>(Date)</i>

Drop-down lists can be added within the sentencing worksheet, sourced from the additional data worksheet, for any values that need to be entered repeatedly and consistently. At a minimum, it is recommended that drop-down lists are configured for recording:

- business owners, for approval of sentencing decisions
- destruction holds and disposal freezes, which might temporarily suspend disposal actions
- security classifications, which may have changed since the records were created.

You should also decide on any other custom metadata that you want configured, and how it should be formatted as data values, for sentencing staff to select from.

When sentencing, there may be data that is entered or used repeatedly. To reduce repetitive workloads and standardise common terms, drop-down lists can be added to any of the additional metadata columns in the sentencing worksheet – see [Creating a drop-down list](#).

You can use any lists of terms, names, acronyms or codes you prefer, to identify items in drop-down lists. It is recommended that you use a controlled set of terms to inform your lists. It is also important to note the lists and their sources in your sentencing project documentation so that their meaning can be understood over time.

Columns can also be added or deleted under the ‘Additional metadata’ heading in the worksheet to reflect any other requirements you may have.

3a Identify and configure business owners of records being sentenced

You will need to consult with all relevant stakeholders to ensure decisions made using this worksheet will meet approval within your agency. Typical stakeholders include records and information management staff, agency security advisers, legal staff and business owners of the records.

The worksheet is configured to capture decisions about who within an agency will be providing approval for sentencing decisions before any disposal actions resulting from sentencing take place. For the purposes of these instructions, those considered appropriate to approve the decisions are referred to as business owners. There are likely to be different business owners relevant to different records being sentenced and for each sentencing project. In some cases, the business owners may be individual senior staff members. In others, they may be business units or sections within your agency.

3b Identify and configure relevant disposal freezes and destruction holds

Check the current disposal freezes and retention notices issued by the National Archives to see whether they are likely to apply to the records you are going to sentence. Also identify other internal destruction holds relevant to your agency such as pending judicial proceedings, freedom-of-information applications or agency-imposed embargoes.

Records that are subject to a freeze or destruction hold can still be sentenced. The worksheet can be used to keep track of the sentenced records and prevent them being destroyed until a freeze or hold is no longer in effect.

3c Identify and configure required security classifications or protective markings

Security classification metadata needs to accompany records so that they can be managed appropriately over time, both within your agency and when being transferred to the National Archives and elsewhere. Consult your agency security adviser about what security classifications or protective markings are appropriate to record in this worksheet during sentencing.

If you are sentencing aggregated records, they need to be managed consistently with the highest security classification of any records included.

3d Identify and configure metadata required to coordinate approval

The sentencing worksheet includes 3 columns under the 'Approval metadata' heading to help coordinate approval for disposal as a result of sentencing decisions:

- 'Disposal status' indicates the current disposal status such as 'pending review', 'approved for destruction', 'destroyed' or 'transferred to the National Archives'.
- 'Approval reference' identifies a source of authority for approval, such as contact details for a business owner or the location where a record of the approval is captured.
- 'Date disposal action completed' is used to record a date when the disposal action has been completed.

These columns and their purpose can be modified to suit your agency's needs, provided they can still function to account for the current status of disposal actions of records after sentencing. It is recommended that details in this worksheet complement other records around disposal, such as destruction certificates, transfer proposals and sentencing project documentation.

3e Add new columns to suit additional needs

Depending on what other information you wish to record in the worksheet, you can add new columns under the 'Additional metadata' or 'Approval metadata' headings and set them up as options that users can select during sentencing. Like the existing 'Additional metadata' columns, it can be useful to configure drop-down lists for data likely to be entered repetitively.

Creating a drop-down list

To create drop-down lists for the 'Additional metadata' columns of the sentencing worksheet, follow these steps.

1. In the additional data worksheet, enter each option that should be available in your drop-down list with a column heading that describes the contents of the list.

Hold/freeze
HOLD - Director request
HOLD - Records authority class requirement
HOLD - Ongoing use in legal proceedings
FREEZE - Superannuation
FREEZE - Atomic testing
FREEZE - The Vietnam War

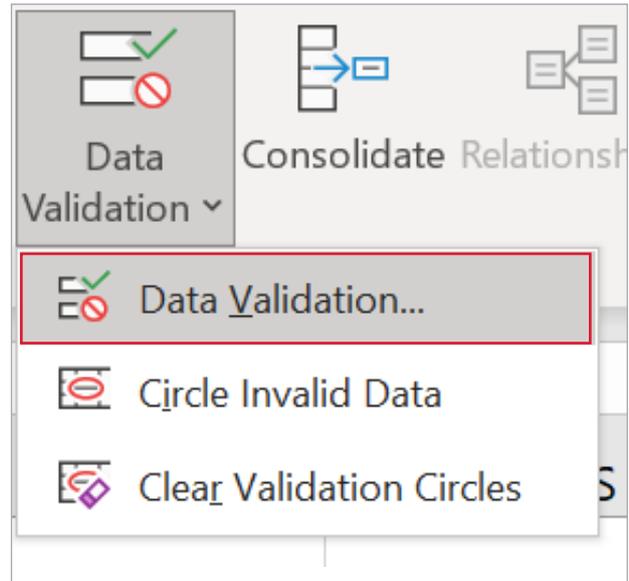
2. In the sentencing worksheet, select the cell at the top of the column that corresponds to the column with the data for the drop-down list in the additional data worksheet.

Additional metadata		
Business owner <i>Record owner and area responsible</i>	Hold/freeze <i>A suspension of permission to destroy records</i>	Security classification <i>Key operational control to protect sensitive and security classified information</i>

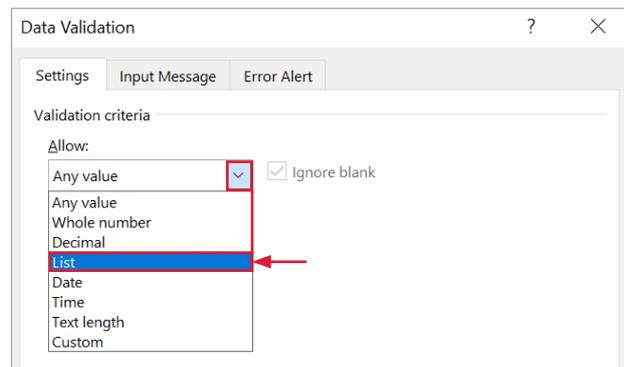
3. Press Ctrl+Shift+Down arrow key to select all the cells in that column.

	Additional metadata		
2			
3	Business owner <i>Record owner and area responsible</i>	Hold/freeze <i>A suspension of permission to destroy records</i>	Security classification <i>Key operational control to protect sensitive and security classified information</i>
4			
1048550			
1048551			
1048552			
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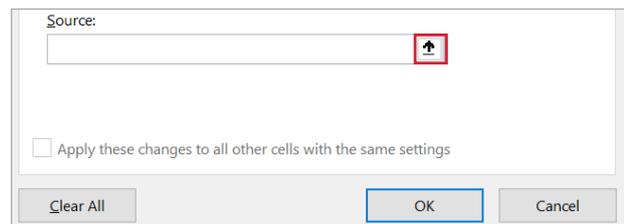
- Go to the 'Data' tab on the ribbon and click 'Data Validation'.



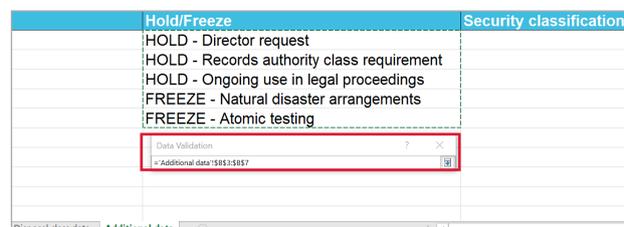
- The 'Data Validation' window will display.
Under 'Allow', select 'List' from the drop-down list.



- Click the icon under 'Source' to select the reference cells.
The 'Data Validation' window will collapse to a smaller size.



- While the 'Data Validation' box is open, click on the 'Additional data' tab to go to that worksheet.
Click on the top cell containing the data for the list and drag to select the other cells containing data.



- Click the icon to expand the 'Data Validation' box.
Click 'OK'.



Worksheet preparation checklist

Use this checklist to ensure you have covered all the necessary steps.

Step 1. Gather information for 'Record metadata' columns

- 1a Decide at which level you are going to sentence and identify records
- 1b Determine how record metadata can be retrieved from information systems

Step 2. Gather metadata for 'User-selected disposal metadata' columns

- 2a Review existing configuration of AFDA Express Version 2 within the worksheet
- 2b Identify other applicable records authorities
- 2c Configure disposal class data and categorise according to disposal action
- 2d Identify and configure general sentencing rules or assumptions

Step 3. Gather information for 'Additional metadata' columns

- 3a Identify and configure business owners of records being sentenced
- 3b Identify and configure relevant disposal freezes and destruction holds
- 3c Identify and configure required security classifications or protective markings
- 3d Identify and configure metadata required to coordinate approval
- 3e Add new columns to suit additional needs

Record details of the configuration in your project documentation (for example, decisions made and general rules applied throughout steps 1 to 3). Ensure that they are consistent with local sentencing guidelines and information management policies.

EXPORTING AND REUSING DATA FROM THE WORKSHEET

Exporting data recorded in the sentencing worksheet can be useful for a number of activities following sentencing.

New records exported from the worksheet can support related tasks such as:

- arranging approval within your agency for sentencing decisions
- sorting records according to disposal outcomes
- preparing transfer documentation for the National Archives
- preparing data that could later be imported into an information system
- updating a master control record in another system or location.

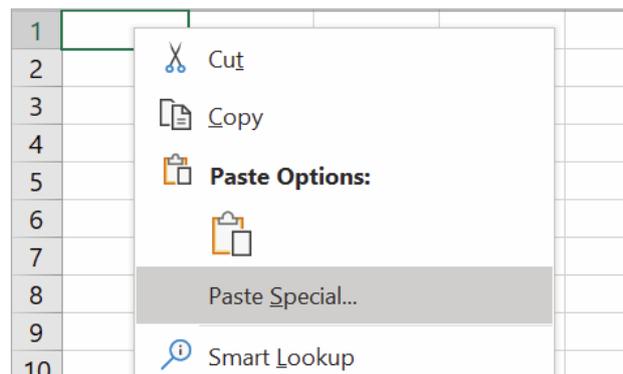
To support tasks following sentencing, it can be helpful to export the details of the records and your decisions into a new Excel spreadsheet as a separate record. This provides a 'clean' version of the record metadata and data about your sentencing decision, without formulas or drop-down lists. This is mostly recommended for further processing of the data captured during sentencing, as doing so in the original worksheets can cause the data or formulas to become misaligned.

Exporting data into a separate Excel spreadsheet

1. Select all the data you want to export from the sentencing worksheet, including headings in row 3.

Record metadata					Us
Record Identifier <small>Unique alphanumeric identifier for each record being sentenced</small>	Title / Description <small>The title given to each individual record being sentenced or a meaningful description of the contents of each record</small>	Contents start date <small>The earliest date contents were added to the record being sentenced</small>	Contents end date <small>The latest date contents were added to the record being sentenced, which may help calculate a destruction due date</small>	Disposal class number <small>The unique number identifying a disposal class in the records authority</small>	The d <small>There are a disp</small>
File 1	Test A	1/1/2000	1/1/2005	62388	Det
File 2	Test B	1/1/2001	1/1/2006	62389	Tra
File 3	Test C	1/1/2002	1/1/2007	62546	Ret

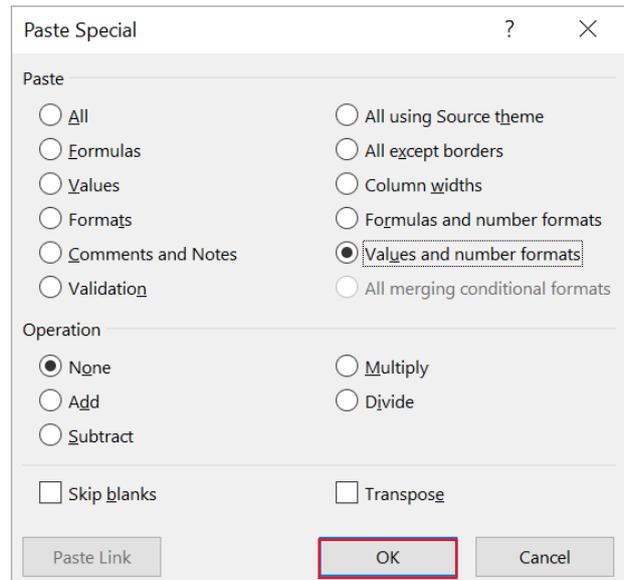
2. Press Ctrl+C to copy.
3. Press Ctrl+N to open a new Excel workbook.
4. Right click on an empty cell in the new workbook and select 'Paste Special'.



- The 'Paste Special' window will appear.

Select 'Values and number formats' and click 'OK'.

The file will now only contain the data copied from the sentencing worksheet, minus formulas used to calculate it, and will also maintain the correct format for representing dates.



- Content from formulas used in the worksheet, which are otherwise hidden, will also be exported into columns I to S. These can be hidden or deleted when you have finished exporting data into the new workbook.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T													
1	Record	Id	File	Desc	Comments	Comments	Disposition	Disposition	Disposition	Alternative	Deconstruct	Number of	Number of	Test	Which	Test	Color	Sum	Class	Sum	Label	True	False	True	Which	Test	Which	Test	Color	Deconstruct	Deconstruct		
2	File 1	Test A	1/1/2000	1/1/2005	62388	Quarant	0	File	TRUE	360	0	360	1/1/2006	1/1/2015	1/1/2015	FALSE	1/1/2015	TRUE	1/1/2015	1/1/2015													
3	File 2	Test B	1/1/2001	1/1/2006	62389	Transfer to Other	disposal	action	FALSE	0	0	0	1/1/2006	1/1/2006	1/1/2006	TRUE	1/1/2006	FALSE	1/1/2006	1/1/2006													
4	File 3	Test C	1/1/2002	1/1/2007	62386	Retain as	File		FALSE	0	0	0	1/1/2007	1/1/2007	1/1/2007	TRUE	1/1/2007	FALSE	1/1/2007	1/1/2007													
5																																	
6																																	
7																																	

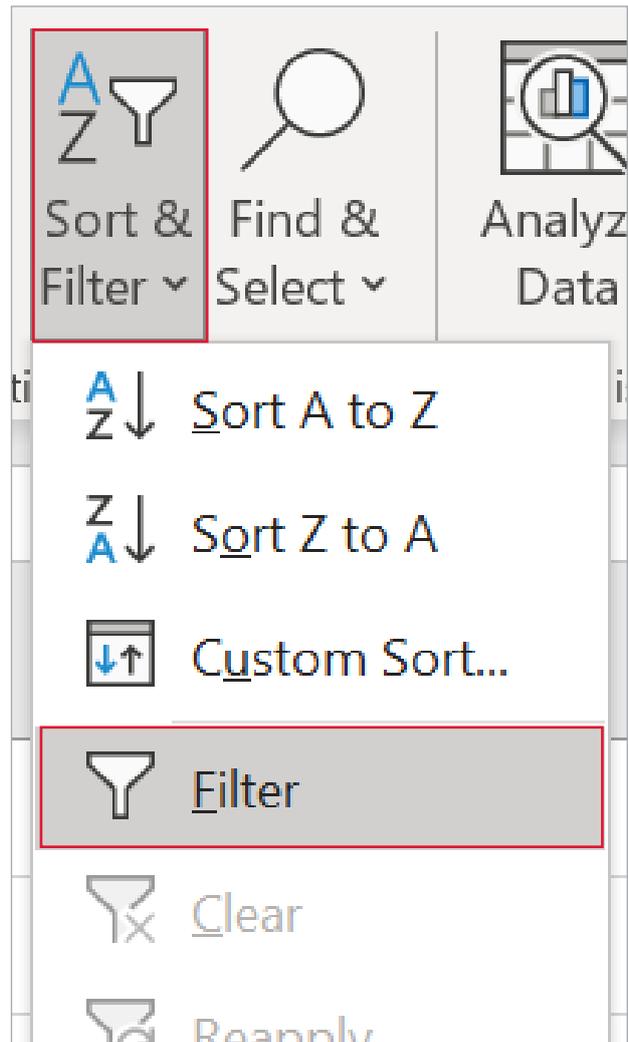
Sorting records by metadata

After exporting the data, you can use the sort and filter function to separate records by their metadata to suit different purposes. A common use for this would be to sort records according to the different disposal actions being applied to them, as demonstrated below.

1. Select all the columns containing data entered during sentencing.

	A	B	C	D	E
1	Contents start date	Contents end date	Disposal class no	Disposal action	Destruction permission
2	1/1/2005	1/1/2009	62640	Retain as National Archives	No
3	1/1/2007	4/9/2011	62617	Destroy 50 years after date of agreement or Manual entry of	
4	1/7/2009	1/8/2009	62638	Destroy 7 years after action completed	Yes
5	14/3/2010	14/5/2010	62629	Destroy 75 years after date of birth of empl	Manual entry of

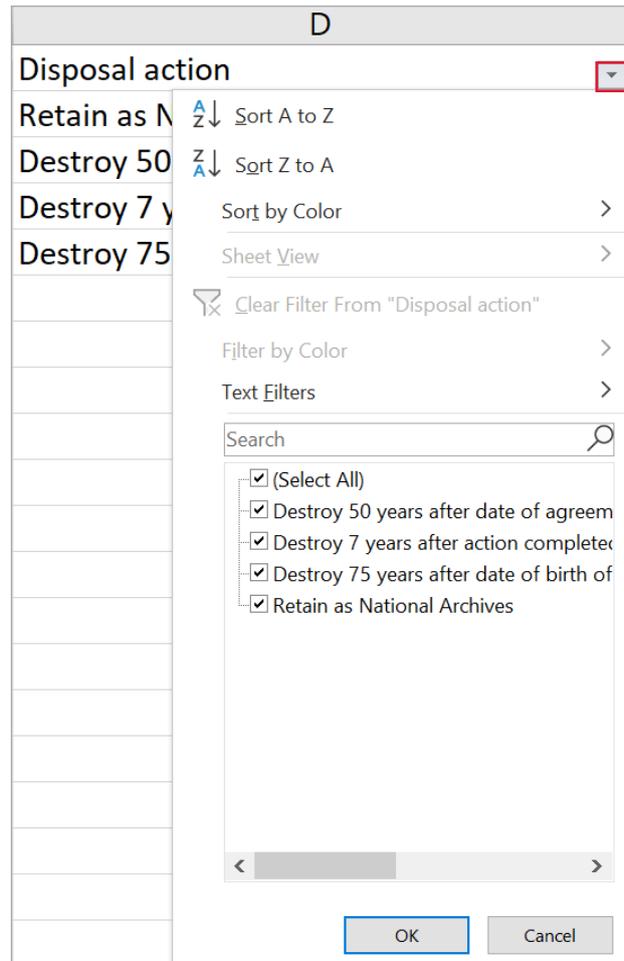
2. Under the 'Home' tab, click on 'Sort & Filter' and then select 'Filter'.



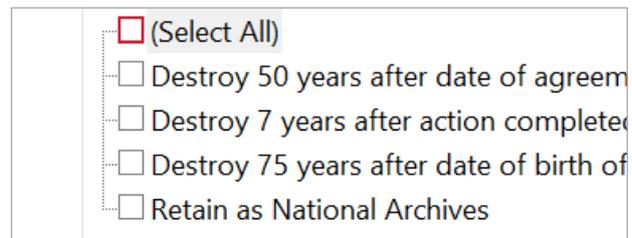
3. A small arrow will appear next to each column heading.

	A	B	C	D
1	Contents start date	Contents end date	Disposal class no	Disposal action
2	1/1/2005	1/1/2009	62640	Retain as National Archives
3	1/1/2007	4/9/2011	62617	Destroy 50 years after date of agreement
4	1/7/2009	1/8/2009	62638	Destroy 7 years after action completed
5	14/3/2010	14/5/2010	62629	Destroy 75 years after date of birth of em

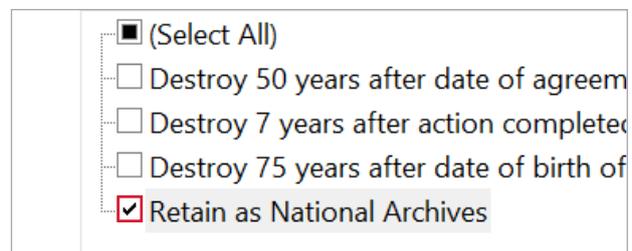
- Clicking on the arrow next to a column heading will bring up a menu allowing you to sort by any unique data entered within that column.



- Click on the checkbox next to '(Select All)' to deselect all items.



- Select the item you wish to sort by. In this example, 'Retain as National Archives' has been selected.



- Now only the 'Retain as National Archives' item is displayed in the column.

C	D
Disposal class ▾	Disposal action
62640	Retain as National Archives
62602	Retain as National Archives
62598	Retain as National Archives

Once a list has been filtered to show the desired results, they can then be copied to create a separate list. By resetting the filter to show all items, the original list can then be filtered again to show another set of results.

MORE INFORMATION

Disposing of information

HELP AND ADVICE

Contact the Agency Service Centre.

APPENDIX: DESCRIPTION OF WORKSHEET COLUMNS

TYPE	DESCRIPTION	COMMENTS ON PURPOSE/USE
Record metadata		
Record identifier	Unique alphanumeric identifier for each record being sentenced	Usually an existing identifier from an information system containing the (individual or aggregate) records being sentenced, but could also be applied systematically during sentencing. It is recommended that identifiers are applied consistently with established conventions or information systems within your agency.
Title/description	The title given to each individual record being sentenced or a meaningful description of the contents of each record	Usually the title applied during active business use, or a description to account for the range of contents included in an aggregation of records. Will usually be derived from information systems within your agency.
Contents start date	The earliest date contents were added to the record being sentenced	Shows when a record was first created or entered active business use. Formatted as a date DD/MM/YYYY.
Contents end date	The latest date contents were added to the record being sentenced, which may help calculate a destruction due date	Shows when a record was last in active business use, usually the date last modified, made read-only or closed. This is one type of date used in the worksheet to determine the start of the retention period for a record and enable calculation of a 'Destruction due date' for disposal classes that have 'after action completed' or 'after last action' as the relevant disposal action. Formatted as a date DD/MM/YYYY.

TYPE	DESCRIPTION	COMMENTS ON PURPOSE/USE
User-selected disposal metadata		
Disposal action	The unique number identifying a disposal class in a records authority	Derived from a <u>records authority</u> currently authorised for sentencing by the National Archives. Instructions allow for configuration of any disposal classes required for sentencing projects, with AFDA Express Version 2 configured by default.
Destruction permitted	The disposal action corresponding to the selected disposal class, identifying a disposal outcome for records being sentenced	<p>In the configuration of the worksheet, this will either be:</p> <ul style="list-style-type: none"> • ‘Yes’: permitting destruction after minimum retention period complete, calculated from the ‘Contents end date’ • ‘No’: for permanent retention/retain as National Archives • ‘Manual entry of trigger date required’/‘Manual entry of trigger and destruction date required’: permitting destruction after minimum retention period complete, calculated from the ‘Alternative disposal trigger date’ input manually during sentencing. Some disposal classes will also require manual input of a ‘Destruction due date’. Usually reliant on a date from the record to sentence. • ‘Other disposal action’: instructions for other disposal outcomes by records authority.
Alternative disposal trigger date	A date used to calculate a destruction due date when the manual entry of a disposal trigger date is required	The other type of date used in the worksheet to determine the start of the retention period for a record and enable calculation of a ‘Destruction due date’ based on manual input. This will override any calculations based on the ‘Contents end date’. Usually required when a date from the record is required to make a sentencing decision. Formatted as a date DD/MM/YYYY.

TYPE	DESCRIPTION	COMMENTS ON PURPOSE/USE
Calculated metadata		
Destruction due date	Earliest date sentenced records can be destroyed	<p>Calculation based on disposal trigger dates derived from either a date in the 'Contents end date' or the 'Alternative disposal trigger date' columns. Manual entry of a date in this column will override any calculations based on other disposal trigger dates.</p> <p>Calculations are based on data entered by users when configuring disposal classes, which allows agencies to customise business rules to streamline sentencing according to their needs. Instructions allow for configuration and give some guidelines for assessing risk around customised business rules.</p>
Additional metadata		
Business owner	Record owner and area responsible	Used to nominate the business owner for concurrence of sentencing decisions. The format will usually be a name, acronym or code used to identify business areas in your agency. Instructions allow for configuration of any relevant selections, based on your agency's requirements.
Hold/freeze	A suspension of permission to destroy records	Helps note any retention holds or <u>disposal freezes</u> issued by the National Archives or any other directive within your agency suspending permission to destroy records after sentencing, otherwise provided from records authorities. Instructions allow for configuration of any relevant holds or freezes.
Security classification	Key operational control to protect sensitive and security classified information	Helps note any relevant sensitivities or security classifications. Instructions allow for configuration of any relevant selections, based on your agency's requirements.
Comments	Free text to support and account for sentencing decisions	Allows entry of any free text which will help account for sentencing decisions, for example, improved descriptions of contents or sources of disposal trigger dates.

TYPE	DESCRIPTION	COMMENTS ON PURPOSE/USE
Approval metadata		
Disposal status	Current status of approval sought for sentencing decisions	Can record the current status of processes for actioning disposal of records.
Approval reference	Identification to help coordinate approval	Captures details to help coordinate approval, for example, contact details for person responsible for approval decisions, or reference to records providing evidence of their approval.
Date disposal action completed	Records the date that disposal actions, as a result of sentencing decisions, are completed	Helps give an overview of when disposal actions were completed and indicate whether or not they remain within an agency's holdings. This can contribute to an authoritative control record, complementing other records of disposal maintained outside the worksheet, such as destruction certificates or transfer proposals. Formatted as a date DD/MM/YYYY.



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