



Records disposal schedule

Records Disposal Schedule Licensed Surveyors Management Department of Lands, Planning and the Environment

Disposal Schedule No. 2015/16

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Preamble

Introduction

The *Information Act* states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so¹. Disposal of records is permitted through the use of records disposal schedules and enable regular, planned and authorised disposal of records controlled by an agency.

Records retention decisions are based on:

- the current and future business needs of the organisation
- compliance with legal and governance requirements of the organisation
- the current and future needs of internal and external stakeholders, including the wider community.

Records disposal schedules provide continuing authorisation for the legal disposal of records and are authorised by the records service, archives service and chief executive officer of the public sector organisation responsible for the schedule.

Records disposal schedules apply to records created and maintained in any format, including electronic records, records in business systems, and parts of records.

In the Northern Territory government there are two types of records disposal schedules:

- General records disposal schedules that apply to records common to most or all NT Government public sector organisations (http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records_disposal), and
- Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

Functional records disposal schedules should be used in conjunction with general records disposal schedules.

Structure of a Records Disposal Schedule

Records disposal schedules set out minimum requirements for the creation, maintenance, retention or destruction actions to be taken in relation to existing or future records described in each class. Records disposal schedules specify

- a) whether a class of record has temporary or permanent status;
- b) the retention period for a temporary class of record;
- c) authorised disposal actions for a class of record.²

Each class of records created by an agency is described using classifications based on business analysis.

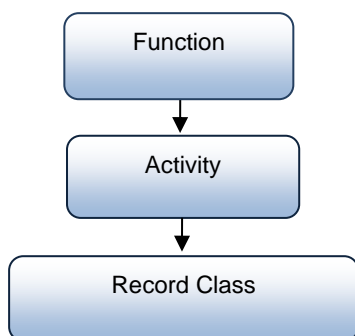
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

¹ S.145 *Information Act*

² S.136A(3) *Information Act*

Within the schedule, functions are documented as the highest level terms and business activities under the functions, followed by record classes, as shown in diagram 1.

Diagram 1



Function

The function or keyword is the highest level in the classification scheme in this disposal schedule. The function is indicated at the start of each section and a description (scope note) provided.

Activity

Activities are the processes or operations that make up the business function. This is the second level in the classification scheme in this disposal schedule. The description (scope note) provides details of the transactions that take place in relation to the activity, for example, REPORTING or POLICY.

Record Class

A record class is a group of records that relate to the same activity, function or subject and require the same disposal action. The descriptions can relate to one record (such as a register) or a group of records documenting a particular set of business transactions.

Status and Disposal Action

The appraisal status of a record class is assigned as either permanent or temporary.

Permanent Records: Records appraised with permanent status have been identified as archives and must be transferred to the NT Archives Service for their preservation and eventual public access.

The retention period for permanent records is the maximum period before the records must be transferred to the NT Archives Service. Permanent records must be transferred no later than 30 years after creation in accordance with the Information Act, unless exemption has been granted (see Archives Management Standards Transfer of Archives, and Exemption from Compulsory Transfer of Permanent Records to the NT Archives Service). An Application to Transfer Records form must be submitted to the NT Archives Service before records will be accepted for transfer.

Temporary records: The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal trigger such as 'date of action completed', 'date of audit' or 'date of birth'. Destruction should be done following consultation with relevant operational business employees responsible for the records.

Retention periods for temporary records in a records disposal schedule are minimum periods only and agencies may keep records for a longer period if considered necessary for business requirements.

Reasons for longer retention could include,

- administrative need or agency directives,
- legal requirements such as current or pending legal action,
- relevance to an investigation or inquiry which is in progress,
- is subject to an Information Access application, or
- subject to a disposal freeze.

Records created prior to 1 July 1978 must not be disposed of without the authorisation of the NT Archives Service in accordance with Archives Management Standard Records Created Prior to 1978, unless specified in a schedule.

Sentence records with this records disposal schedule using the following five steps:

1. Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
2. Identify the disposal class.
3. From the disposal action in the class, identify the trigger event and a date when the record can be disposed of, alternately, identify that the record is to be retained permanently as archives.
4. If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
5. If the trigger event has not occurred (e.g. the record is still in active use), set a review date for the future.

About this Records Disposal Schedule

Purpose

The purpose of this Records Disposal Schedule is to enable regular, planned and authorised disposal of records of Licensed Surveyors Management and activities of the Department of Lands, Planning and the Environment.

Scope

Application of this Records Disposal Schedule is mandatory for Licensed Surveyors Management records of the Department of Lands, Planning and the Environment.

This Records Disposal Schedule applies to Licensed Surveyors Management records in all formats.

Responsibility

The Chief Executive of the Department of Lands, Planning and the Environment is responsible for the content and implementation of this Records Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Records Disposal Schedule is authorised in accordance with S. 136B of the *Information Act*.

Disposal Schedule No. 2015/16 was approved by the Director of the NT Archives Service (The Archives Service), Senior Director of ICT Policy and Governance (The Records Service), and the Chief Executive of the Department of Lands Planning and the Environment on 14 September 2015 and is effective immediately.

Regulatory Framework

The regulatory basis for this Records Disposal Schedule is defined in:

- *Licensed Surveyors Act*
- *Planning Act*
- *Information Act*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489:2002-Records Management

Related Documents

This Records Disposal Schedule is to be read in conjunction with:

- NT Government Records Management Standard – Records Disposal
- policies and procedures of the Department of Lands, Planning and the Environment
- current authorised disposal schedules for Department of Lands, Planning and the Environment

Normal Administrative Practice

Public sector organisations are permitted to dispose of some short term or ephemeral documents under the authority of the Disposal Schedule for Short Term Value Records. These include:

- duplicate (eg information or reference copy)
- obviously unimportant (e.g. telephone message slips)
- of short term facilitative value (e.g. compliment slips)
- a combination of these

The guiding principle is that organisations should be sure that destroying these records will not destroy evidence that might be needed.

Records that have been captured into a recordkeeping system should be destroyed using the Disposal Schedule for Short Term Value Records unless the class of records has been identified in a specific disposal schedule.

Notification of Destruction

Provide formal notification of destruction of all records to the NT Records Service.

Note: In the case of the Disposal Schedule for Records of Short Term Value (Disposal Schedule No. 2003/10), notification is only required for the destruction of records described in Disposal Class No. 1.10.1.

Acknowledgement

The NT Archives Service and the NT Records Service acknowledge that material produced by National Archives of Australia, State Records Authority of New South Wales, State Records of South Australia, Public Records Office of Victoria, Territory Records Office and Standards Australia was used in the development of this schedule.

This work is copyright. Apart from any use as permitted under the Copyright Act 1968, no part may be reproduced by any process without prior written permission of the NT Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, NT Archives Service. The terms in the business classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998), and are produced under a licence agreement between the NT Archives Service and the State Records Authority of New South Wales.

Compliance Checklist			
<input type="checkbox"/>	Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records	<input type="checkbox"/>	Stop applying sentences from previous schedules that have been revoked or amended
<input type="checkbox"/>	Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the NT Archives Service and NT Records Service	<input type="checkbox"/>	Retain all records in good order and condition to be available for retrieval during the retention period.
		<input type="checkbox"/>	Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
<input type="checkbox"/>	Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records	<input type="checkbox"/>	Implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form, migration to new systems, and conversion to long term medium
<input type="checkbox"/>	Identify and sentence all records described in this schedule in all formats including electronic records and records in business systems, copies of records and parts of records	<input type="checkbox"/>	Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
<input type="checkbox"/>	Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule	<input type="checkbox"/>	Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
<input type="checkbox"/>	Apply this records disposal schedule to records in the organisation's records management systems, including systems for the management of paper records, electronic records, or records in any other format	<input type="checkbox"/>	Inactive records can be transferred to offsite service providers providing they have been sentenced
<input type="checkbox"/>	Apply this records disposal schedule to records in the organisation's business systems, either directly or by linking the business system to a records management system	<input type="checkbox"/>	Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
<input type="checkbox"/>	Implement quality assurance mechanisms to periodically check that the disposal class originally assigned at the creation of the records is still applicable at the time of sentencing of the record	<input type="checkbox"/>	Notify the NT Records Service of destruction of all records
<input type="checkbox"/>	Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly	<input type="checkbox"/>	Do not destroy records that are not described in an authorised records disposal schedule.
<input type="checkbox"/>	Identify records that require re-sentencing where a previous disposal schedule has been superseded	<input type="checkbox"/>	Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

Disposal Schedule

1. Licensed Surveyors Management

The function of providing for the regulation of land boundary surveyors and the practice of land boundary surveying, including the establishment and running of the Surveyors Board of the Northern Territory and the Licensed Surveyors Appeal Tribunal.

1.1 Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

Class No.	Description of Records	Status and Disposal Action
1.1.1	Records documenting detailed formal advice provided by the Board to government bodies and other organisations such as reviewing legislation and practices and professional development for licenced surveyors. Includes gazette notices for the prescribing of fees payable for applications and annual fees, and notifications of registered licensed surveyors.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.1.2	Records documenting notices by the Surveyor General via the gazette of survey plans to be in the prescribed format, the submission process, the number of copies of plans of land boundary surveys required to be submitted and prescribed fees approved by the Minister.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.1.3	Records documenting routine advice in relation to licensed surveyors practice directions such as advice on legislation requirements and application processes.	Temporary Destroy 3 years after action completed

1. Licensed Surveyors Management

The function of providing for the regulation of land boundary surveyors and the practice of land boundary surveying, including the establishment and running of the Surveyors Board of the Northern Territory and the Licensed Surveyors Appeal Tribunal.

1.2 Appeals

The activities involved in the process of appeals against decisions by application to a higher authority.

Class No.	Description of Records	Status and Disposal Action
1.2.1	<p>Records documenting appeal applications to the Tribunal Secretary by persons or licensed surveyors where the Board has refused an application, orders the removal of a licensed Surveyor from the Register, reprimands a licensed surveyor or suspends the registration of a licensed surveyor.</p> <p>Includes applications supporting documentation, copies of inquiry reports and final decisions made by the Tribunal.</p>	<p>Temporary</p> <p>Destroy 10 years after action completed</p>

1. Licensed Surveyors Management

The function of providing for the regulation of land boundary surveyors and the practice of land boundary surveying, including the establishment and running of the Surveyors Board of the Northern Territory and the Licensed Surveyors Appeal Tribunal.

1.3 Authorisation

The process of seeking and granting permission to undertake requested action.

Class No.	Description of Records	Status and Disposal Action
1.3.1	<p>Records documenting:</p> <ul style="list-style-type: none"> the appointment of the Surveyor-General for the Territory by the Minister delegations of powers from the Surveyor-General to approved delegates delegations of powers and functions from the Surveyors Board to the Chairperson or members <p>Includes gazette notices, legal instruments, terminations, resignations and terms and conditions.</p>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.3.2	<p>Records documenting approved certified plans and compiled plans requested by government bodies such as NT Police, Department of Infrastructure and Parks and Wildlife Commission Northern Territory for the purpose of defining parcels of land or land boundaries or other requests that require the Surveyor-General to certify the documents.</p> <p>Includes written requests, signed technical descriptions, plans, partial survey plans, diagrams and other related correspondence.</p>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.3.3	<p>Records documenting approved survey plans by the Surveyor-General that comply to relevant acts in the Northern Territory such as the <i>Planning Act</i>, <i>Unit Titles Act</i> and <i>Mining Act</i>.</p> <p>Includes copies of survey plans, receipts of prescribed fees.</p>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

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1.3 Authorisation

The process of seeking and granting permission to undertake requested action.

Class No.	Description of Records	Status and Disposal Action
	<p>May include where the Surveyor-General has requested the Licensed Surveyor to correct the survey plan in accordance to set terms and conditions. Includes written notices and receipts of prescribed fees.</p> <p>May also include where the Registrar-General has given notice that the land to which the plan relates is in order for dealings under the <i>Land Title Act 2000</i>.</p>	
1.3.4	<p>Records documenting declaration of areas of land in the Territory to be a coordinated survey area by the Surveyor General.</p> <p>Includes gazette notices.</p>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.3.5	<p>Records documenting approved applications for licensed surveyors by the Board.</p> <p>Includes copies of relevant education qualifications, applications to sit for examinations, examination results, letters of accreditation by a reciprocating board, copy of certificate of registration, receipts of annual fees and other related correspondence.</p> <p>May include applications to the Board to have name restored to the Register where they have failed to pay the annual licence fee before 1 December or applications for re-registration and appeals to the Tribunal against a decision by the Board to refuse an application where the person has been successful in getting the decision overturned by the judge, including applications to the Tribunal and final decisions by the Judge.</p>	<p>Temporary</p> <p>Destroy 10 years after registration has expired, cancelled or removed</p>

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1.3 Authorisation

The process of seeking and granting permission to undertake requested action.

Class No.	Description of Records	Status and Disposal Action
	May also include copies of overseas assessments and migration assessments for suitability in qualifications for persons to work in Australia.	
1.3.6	<p>Records documenting refused applications for licensed surveyors by the Board.</p> <p>Includes copies of relevant education qualifications, examination results, letters of accreditation by a reciprocating board, copy of certificate of registration and written notices of decisions for refused registrations.</p> <p>May include applications for re-registration where the Board has refused to authorise the licensed surveyor.</p>	<p>Temporary</p> <p>Destroy 5 years after action completed</p>

1. Licensed Surveyors Management

The function of providing for the regulation of land boundary surveyors and the practice of land boundary surveying, including the establishment and running of the Surveyors Board of the Northern Territory and the Licensed Surveyors Appeal Tribunal.

1.4 Committees

The activities associated with the management of committees, sub committees, councils, forums working groups, boards and task forces (internal and external, private, community. Local, state, national, international, etc.). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records documenting the establishment of the Surveyors Board of the Northern Territory, including appointments of the chairperson and the Deputy Chairperson of the Board and members and acting members. Includes gazette notices, resignations, terminations, terms and conditions, notices of meetings, minutes and agendas.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.4.2	Records documenting the establishment of Licensed Surveyors Appeal Tribunal, including appointments of Chairpersons by the Attorney General and appointments of members by the Minister. Includes notice of meetings, agendas, minutes and decision registers.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.4.3	Records documenting high level committees such as the Council of the Reciprocating Surveyors Board of Australia and New Zealand in relation to licensed surveyors management. Includes notices of meetings, agendas and minutes.	Permanent Transfer to the NT Archives Service 10 years after action completed

1. Licensed Surveyors Management

The function of providing for the regulation of land boundary surveyors and the practice of land boundary surveying, including the establishment and running of the Surveyors Board of the Northern Territory and the Licensed Surveyors Appeal Tribunal.

1.5 Compliance

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards.

Class No.	Description of Records	Status and Disposal Action
1.5.1	<p>Records documenting major investigations into complaints that have been made or persons are suspected of contravening the Act, such as fraudulent registration, has been identified as being unfit to hold a licence and / or certifies inaccurate surveys and licence has been cancelled or suspended.</p> <p>Includes notices of inquiries to the licensed surveyor, legal advice, file notes, copies of summons to persons, witness statements, photos, notices of intents to enter land, extracts of documentation, notices of decisions and surrendered certificates of registrations.</p> <p>May include where the Board has chosen to reprimand the licensed surveyor or where a suspension has been lifted and the Board has returned the certificate of registration back to the licensed surveyor and appeals to the Tribunal, including applications and final decisions by the Judge and receipts for reimbursements of expenses incurred by witnesses.</p>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.5.2	<p>Records documenting minor investigations into Licensed Surveyors where a warning notice has been issued only.</p> <p>Includes file notes, witness statements, photos, extracts of documents and other supporting documents.</p>	<p>Temporary</p> <p>Destroy 5 years after action completed</p>

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1.5 Compliance

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards.

Class No.	Description of Records	Status and Disposal Action
1.5.3	<p>Records documenting requests for prosecution and compliance by government bodies such as Department of Fisheries and NT Police for the purpose of clarifying boundaries such as reef exclusion zones and location of offences.</p> <p>Includes emails, plans, file notes, digital files and other supporting documents.</p>	<p>Temporary</p> <p>Destroy 15 years after action completed</p>

1. Licensed Surveyors Management

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1.6 Control

The activities associated with creating, maintaining and evaluating control mechanisms, eg Thesaurus.

Class No.	Description of Records	Status and Disposal Action
1.6.1	<p>Register of Licensed Surveyors.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Applicants name • Personal and contact details • Registration details • Date of registration • Conditions <p>Includes alterations to the Register where a licensed surveyor has died or requested his name to be removed or licence has been cancelled or suspended.</p>	<p>Permanent</p> <p>Retain in organisation</p> <p>(manage and migrate data to new platform during system upgrades)</p> <p>Transfer hardcopy register to the NT Archives Service 10 years after last entry</p>
1.6.2	<p>Register of survey plans.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Reference Points • Development Number • Map Reference Number • Hundred • Historical Data • Easement Notes • Measurements • Natural Boundaries 	<p>Permanent</p> <p>Retain in organisation</p> <p>(manage and migrate data to new platform during system upgrades)</p> <p>Transfer hardcopy register to the NT Archives Service 10 years after last entry</p>

1. Licensed Surveyors Management

The function of providing for the regulation of land boundary surveyors and the practice of land boundary surveying, including the establishment and running of the Surveyors Board of the Northern Territory and the Licensed Surveyors Appeal Tribunal.

1.7 Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Class No.	Description of Records	Status and Disposal Action
1.7.1	<p>Master set of survey guidelines for making land boundary surveys and preparing plans showing the results of such surveys that have been approved by the Board such as survey practice directions and Survey Drafting Standards.</p> <p>Includes gazette notices.</p>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.7.2	<p>Records documenting the development of survey procedures and guidelines.</p> <p>Includes draft versions, file notes, and consultation notes.</p>	<p>Temporary</p> <p>Destroy 5 years after action completed</p>