



Records disposal schedule

Records Disposal Schedule George Brown Darwin Botanic Gardens Management Parks and Wildlife Commission of the NT

Disposal Schedule No. 2013/7

October 2013

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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.

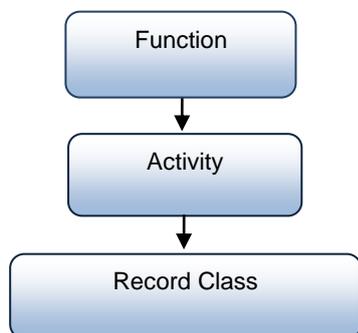
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

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 George Brown Darwin Botanic Gardens of the Parks and Wildlife Commission of the Northern Territory.

Scope

Application of this Records Disposal Schedule is mandatory for George Brown Darwin Botanic Gardens Management records of the Parks and Wildlife Commission of the Northern Territory.

This Records Disposal Schedule applies to George Brown Darwin Botanic Gardens Management records in all formats.

Responsibility

The Chief Executive of the Parks and Wildlife Commission of the Northern Territory 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. 2013/7 was approved by the Director of the NT Archives Service (The Archives Service), Director of Information Strategy (The Records Service), and the Chief Executive of the Parks and Wildlife Commission of the Northern Territory on 16 October 2013 and is effective immediately.

Re-sentencing Records

All records sentenced under a superseded records disposal schedule are to be re-sentenced using this schedule.

Regulatory Framework

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

- *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 Parks and Wildlife Commission of the Northern Territory
- current authorised disposal schedules for Parks and Wildlife Commission of the Northern Territory.

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* (Disposal Schedule 2003/10) 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.

The schedule was drafted principally by the Parks and Wildlife Commission of the Northern Territory in consultation with the NT Records Service.

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

- Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records
- 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
- Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records
- 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
- Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule
- 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
- 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
- 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
- Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly
- Identify records that require re-sentencing where a previous disposal schedule has been superseded
- Stop applying sentences from previous schedules that have been revoked or amended
- Retain all records in good order and condition to be available for retrieval during the retention period.
- Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
- 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
- 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
- Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
- Inactive records can be transferred to offsite service providers providing they have been sentenced
- Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
- Notify the NT Records Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule.
- Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

Disposal Schedule

1. GEORGE BROWN DARWIN BOTANIC GARDENS MANAGEMENT

The function of planning and managing for the care, protection and control of the George Brown Darwin Botanical Gardens for the purposes of promoting the understanding of the world's flora and the need for its conservation with particular reference to the tropical regions of the Northern Territory and near neighbours. Includes providing visitor facilities and venues for functions and events.

Note: Use PROPERTY MANAGEMENT – CONSTRUCTION for records documenting the design, construction, landscaping and renovations of the gardens.

1.1 AUTHORISATION

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

Class No.	Description of Records	Status and Disposal Action
1.1.1	<p>Records documenting applications for permits issued for the use of the George Brown Darwin Botanic Gardens grounds for events and functions such as the Darwin Festival, Bass in Grass, Tropical Garden Spectacular, Sustainable Arts Day, Teddy Bears Picnic, weddings, picnics, room bookings etc.</p> <p>Includes enquiries, proposals, applications, approvals, agreements, contracts, meetings, payments received, reimbursements, alcohol permits etc.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after authorisation expires/is withdrawn</p>
1.1.2	<p>Records documenting the approval for sponsorship of Living Trees or commemorative seats.</p> <p>Includes sponsorship application and receipts.</p> <p>Use 11.9 PERSONNEL – EMPLOYMENT HISTORY from the <i>Records Disposal Schedule for Administrative Functions of the Northern Territory Government</i> (Disposal Schedule 2013/5), for records documenting the engagement of volunteers wishing to be involved in the George Brown Darwin Botanic Gardens.</p> <p>Use 5.1 FINANCIAL MANAGEMENT - ACCOUNTING from the <i>Records Disposal Schedule for Administrative Functions of the</i></p>	<p>TEMPORARY</p> <p>Destroy 7 years after action completed</p>

Northern Territory Government (Disposal Schedule 2013/5), for records documenting the management of fees and charges for the George Brown Darwin Botanic Gardens programs, services and use of facilities.

Use 1.2 GEORGE BROWN DARWIN BOTANIC GARDENS MANAGEMENT – CONTROL for records documenting the placement of sponsorship of Living Trees and commemorative park benches.

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Note: Use PROPERTY MANAGEMENT – CONSTRUCTION for records documenting the design, construction, landscaping and renovations of the gardens.

1.2 CONTROL

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

Class No.	Description of Records	Status and Disposal Action
1.2.1	Registers and maps documenting the planting of trees or placement of seats to commemorate special events or dignitaries. Includes the Living Trees or commemorative seat register.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.2.2	Register documenting horticultural accessions and plant donations. Includes taxon name, origin, collector, GPS, parent plant (if collected in the George Brown Darwin Botanic Gardens) and seed store data.	TEMPORARY Destroy 3 years after system is superseded and all data supported by the system is migrated
1.2.3	Control record for functions formally booked at the George Brown Darwin Botanic Gardens. Includes birthdays, weddings, art exhibitions, workshops, corporate events, family days and memorials.	TEMPORARY Destroy 3 years after last entry

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Note: Use PROPERTY MANAGEMENT – CONSTRUCTION for records documenting the design, construction, landscaping and renovations of the gardens.

1.3 EXTENSION SERVICES

The activities involved in planning and developing educational activities and programs which raise awareness and understanding of the broader role of the organisation.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records documenting the planning and development of interpretative signage and labels for the purposes of educating visitors on trees and flora, cultural and historical information and safety guidelines within the George Brown Darwin Botanic Gardens. Includes approval memorandums, layouts, artwork, estimates, research, maps, plans, photographs etc.	TEMPORARY Destroy 10 years after replacement or removal of signage
1.3.2	Records documenting the development and delivery of education programs and materials to increase awareness of the George Brown Darwin Botanic Gardens in the community. Includes the development of programs for students, teachers and community groups. Includes research, presentations, flyers, brochures, workshops, working papers, drafts, program outlines, script notes, activity sheets, lesson plans, learning strategies etc.	TEMPORARY Destroy 7 years after program ceases or superseded
1.3.3	Records documenting the planning and development of exhibitions and displays such as Eco House Display. Includes brief, specifications, floor plans, lay outs, work instructions, schedules, approval memorandums, research, maps, plans, photographs etc. Use 1.15 COMMUNITY RELATIONS – VISITS from the <i>Records Disposal Schedule</i>	TEMPORARY Destroy 7 years after the conclusion of the campaign or display

for Administrative Functions of the Northern Territory Government (Disposal Schedule 2013/5), for records documenting requests for guided visits from community education programs and internal or external organisations such as the Heleconia Society.

Use 12.10 PROPERTY MANAGEMENT – MAINTENANCE from the *Records Disposal Schedule for Administrative Functions of the Northern Territory Government (Disposal Schedule 2013/5)*, for the installation and maintenance of interpretation signage and labels.

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Note: Use PROPERTY MANAGEMENT – CONSTRUCTION for records documenting the design, construction, landscaping and renovations of the gardens.

1.4 MAINTENANCE

The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of premises, equipment, vehicles etc.

Class No.	Description of Records	Status and Disposal Action
1.4.1	<p>Records documenting inspection, management and maintenance of heritage listed trees of the George Brown Darwin Botanic Gardens or trees of cultural significance such as magnificent trees or significant trees.</p> <p>Includes condition monitoring, inspection and hazard and arborist reports, maintenance schedules, treatment reports, recommendations, tree removal approvals/notices etc.</p>	<p>TEMPORARY Destroy 25 years after action completed</p>
1.4.2	<p>Records documenting inspections, management and control of specific flora collections in the George Brown Darwin Botanic Gardens such as significant group plantings and collections.</p> <p>Includes surveys, treatment and control programs, curatorial strategies, pest management plans (chemical and non-chemical pest control methods).</p> <p>Use 0.8 CONTRACTING OUT from the <i>Records Disposal Schedule for Administrative Functions of the Northern Territory Government</i> (Disposal Schedule 2013/5), where the maintenance is performed by external contractors.</p> <p>Use 3.10 EQUIPMENT AND STORES – MAINTENANCE from the <i>Records Disposal Schedule for Administrative Functions of the</i></p>	<p>TEMPORARY Destroy 25 years after action completed</p>

Northern Territory Government (Disposal Schedule 2013/5), for the records documenting routine maintenance of assets and equipment. Such as mowers, gates etc.

Use 12.3 PROPERTY MANAGEMENT – CONSTRUCTION from the *Records Disposal Schedule for Administrative Functions of the Northern Territory Government (Disposal Schedule 2013/5)*, for records documenting major work maintenance requiring capital works expenditure.

Use 12.10 PROPERTY MANAGEMENT – MAINTENANCE from the *Records Disposal Schedule for Administrative Functions of the Northern Territory Government (Disposal Schedule 2013/5)*, for records documenting maintenance of water related infrastructure, park benches, sites identified as having asbestos, trees not listed under the heritage act or of cultural significance and general ground maintenance.

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Note: Use PROPERTY MANAGEMENT – CONSTRUCTION for records documenting the design, construction, landscaping and renovations of the gardens.

1.5 POLICY

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

Class No.	Description of Records	Status and Disposal Action
1.5.1	Master set of policies specific to the George Brown Darwin Botanic Gardens.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.5.2	Records documenting the development of policies specific to the George Brown Darwin Botanic Gardens. Includes drafts, consultation with stakeholders and legal advice. Use 0.12 POLICY from the <i>Records Disposal Schedule for Administrative Functions of the Northern Territory Government</i> (Disposal Schedule 2013/5), for the activities associated with developing directions for future decision making for which the organisations operating procedures are determined.	TEMPORARY Destroy 7 years after policy is superseded

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Note: Use PROPERTY MANAGEMENT – CONSTRUCTION for records documenting the design, construction, landscaping and renovations of the gardens.

1.6 PROJECT MANAGEMENT

The activities and techniques associated with managing the achievement of project goals and objectives, including ongoing project planning, resource management and reporting. Add the project name as free text.

Class No.	Description of Records	Status and Disposal Action
1.6.1	Records documenting the management of significant projects relating to the George Brown Darwin Botanic Gardens such as the Helicteres Research Project. Includes ongoing project planning, agreements, reporting to the Commonwealth and resource management.	PERMANENT Transfer to the NT Archives Service 10 years after action completed
1.6.2	Records documenting other projects addressing routine George Brown Darwin Botanic Gardens function in the Northern Territory such as the water management program and wireless Wi-Fi project. Includes ongoing project planning, reporting and resource management.	TEMPORARY Destroy 10 years after action completed

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Note: Use PROPERTY MANAGEMENT – CONSTRUCTION for records documenting the design, construction, landscaping and renovations of the gardens.

1.7 RESEARCH

The activities involved in enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc., and the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc. Add the name of the research topic as free text.

Class No.	Description of Records	Status and Disposal Action
1.7.1	<p>Records documenting original scientific research conducted by the George Brown Darwin Botanic Gardens.</p> <p>Includes research proposals, botanical research notes, final report and supporting documentation, questionnaires, surveys etc.</p> <p>Use 1.1 COMMUNITY RELATIONS – CLIENT SERVICE from the <i>Records Disposal Schedule for Administrative Functions of the Northern Territory Government</i> (Disposal Schedule 2013/5), for records documenting visitor surveys and monitoring of visitor numbers to the gardens. Includes visitor details, visitor surveys and visitor numbers.</p> <p>Use 1.1 EXTERNAL SOURCES from the <i>Disposal Schedule for Records of Short Term Value</i> (Disposal Schedule 2003/10), for copies of research papers or journals gathered for background information. Such as the BG Journal, Roots and Nature Territory.</p>	<p>PERMANENT</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>