

RECORDS DISPOSAL SCHEDULE

PLANT INDUSTRIES RECORDS

**Department of Primary Industry,
Fisheries and Mines**

Disposal Schedule No. 2007/4

January 2007



Northern Territory Government

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ABOUT THIS DISPOSAL SCHEDULE

Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of records of Plant Industries, of the Department of Primary Industry, Fisheries and Mines.

Scope

Application of this Disposal Schedule is mandatory for Plant Industries records of the Department of Primary Industry, Fisheries and Mines. This Disposal Schedule applies to Plant Industries records in all formats, including electronic records and records in business systems, copies of records and parts of records of the Northern Territory Government.

Regulatory Framework

The regulatory basis for this Disposal Schedule is defined in:

- ▶ Information Act 2002
- ▶ Australian Standards AS ISO 15489:2002-Records Management

Related Documents

This Disposal Schedule is to be read in conjunction with:

- ▶ NT Government Records Management Standard – Records Disposal
- ▶ policies and procedures of Department of Primary Industry, Fisheries and Mines.
- ▶ current authorised disposal schedules for administrative records of the NT Government

- ▶ Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN).

* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).

- ▶ Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).
- ▶ Disposal Schedule for the Financial Management Records of the Northern Territory Government – Disposal Schedule No. 2001/2 (FM).
- ▶ Disposal Schedule for the Human Resource Management Records of the Northern Territory Government – Disposal Schedule No. 2001/6 (HRM).
- ▶ Disposal Schedule for Records of Short Term Value – Disposal Schedule No. 2003/10
- ▶ NT Archives Service Guidelines on Normal Administrative Practice for Records Disposal

Responsibility

The Chief Executive of the Department of Primary Industry, Fisheries and Mines is responsible for the content and implementation of this Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Disposal Schedule was approved by the Director of the NT Archives Service and the Chief Executive of the Department of Primary Industry, Fisheries and Mines in January 2007 and is effective immediately.

Explanation

This schedule has been 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.

Records disposal schedules are policy documents that describe each class of records held, using thesaurus classifications based on business analysis. The 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.

Either permanent or temporary status is assigned to each class of records. Records appraised with permanent status have been identified as archives and must be transferred to the NT Archives Service not later than 30 years after creation. Temporary records will be destroyed at an appropriate time determined by the disposal action identified in the schedule and by consultation with relevant operational business employees responsible for the records.

NT Government Disposal Schedules

There are two types of records disposal schedules:

- ▶ “general” disposal schedules that apply to records common to most or all NT Government public sector organisations, and
- ▶ records disposal schedules specific to an NT Government public sector organisation or function.

There are presently five disposal schedules which provide disposal coverage for records common to most or all NT Government public sector organisations –the General Disposal Schedule for Financial Management Records, the General Disposal Schedule for Human Resource Management Records, the General Disposal for Administrative Records, the General Disposal Schedule for Information Management Records and the Disposal Schedule for Records of Short term Value. These can be used by all NT Government public sector organisations to assist with the disposal of administrative records.

Sentencing Records

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

- ▶ Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
- ▶ Identify the disposal class.
- ▶ 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 permanent as archives.
- ▶ If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
- ▶ If the trigger event has not occurred (eg. the record is still in active use), set a review date for the future.



Normal Administrative Practice

Some records and ephemeral documents can be destroyed as a normal administrative practice if they are:

- ▶ duplicate (eg information or reference copy)
- ▶ obviously unimportant (eg telephone message slips)
- ▶ of short term facilitative value (eg 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. The reason for destruction of all records must be recorded in full on the relevant control records. Normal administrative practice can be applied to electronic records as well as paper records (eg information on word processing systems where a hard copy has been captured into a recordkeeping system)

Notification of Destruction

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

Acknowledgment

The NT Archives Service wishes to acknowledge the use of material produced by National Archives of Australia, State Records Authority of New South Wales and Standards Australia in the development of this schedule.

The schedule was drafted principally by the Department of Primary Industry, Fisheries and Mines in consultation with the NT Archives 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

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
- 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
- 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 electronic recordkeeping systems to ensure disposal actions are implemented correctly.
- Identify records series that require re-sentencing
- 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
- Select and implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form migration to new systems 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 over permanent value to the NT Archives Service not later than 30 years after creation for retention as archives
- 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 Archives Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule unless they are ephemeral documents that are obviously duplicate and/or unimportant



1. PLANT INDUSTRIES

The function of assisting in the development and promotion of sustainable plant industries such as crops, forestry and horticulture in the Northern Territory. Includes improving the operating environment for business and industry; stimulating indigenous business growth; developing business and industry capabilities; promoting innovation, technology development and commercialisation; supporting regional economic commercialisation; focussed research, development and extension programs.

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	<p>Records relating to advice to or from sources i.e. the Portfolio Minister; Department of Natural Resources, Environment and the Arts, Department of Business, Economics and Research Development, Northern Territory Horticultural Association other elements of government and industry bodies. Strategic advice will be on issues i.e. Developing the industry, Weeds, Water, Plant Health and Industry Body Funding.</p> <p>Use COMMUNITY RELATIONS – ENQUIRIES for the activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation where no formal strategic advice was provided.</p> <p>Use GOVERNMENT RELATIONS - ADVICE for the activities associated with the unit providing comment on proposed policy or legislation formulated by other government bodies. eg Local, State, Commonwealth or overseas government.</p>	<p>TEMPORARY</p> <p>Destroy 8 years after action completed.</p>

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1.2 AGREEMENTS

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards and/or exchange of letters between parties, as well as informal agreements.

Class No.	Description of Records	Status and Disposal Action
1.2.1	Records relating to the development, negotiation, maintenance and review of major agreements for plant industries programs with other government and industry bodies such as IP Australia. Includes signed copy of agreement. eg Plant Breeders Rights.	PERMANENT Transfer to NT Archives Service 4 years after agreement expires.
1.2.2	Records relating to the establishment, maintenance, review and negotiation of minor agreements for plant industries programs with other government and industry bodies such as Horticulture Australia Limited, Rural Industry Research & Development Corporation and Australian Quarantine Inspection Service. Includes signed copy of agreements. Eg Top End Better Mangoes.	TEMPORARY Destroy 7 years after expiry of agreement

Use LEGAL SERVICES – AGREEMENTS for the original signed agreement, including supporting documents.

Use FINANCIAL MANAGEMENT – AUDIT for the activities associated with the financial management performance of the agency regarding the agreement, including those by the Auditor General of the Northern Territory and external auditors

Use FINANCIAL MANAGEMENT – GRANT FUNDING for the activities associated with the application and receipt of funding for projects within plant industries.

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1.3 COMMITTEES

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth 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
1.3.1	Records relating to the committees, convened by the agency, involving NTG agencies, other governments (state or national), business and industry organisations to discuss plant industries issues in the Northern Territory. Includes establishment of the committee, final agendas and minutes, reports, terms of reference, appointments, resignations and dismissal of members or the chairperson. eg Horticulture Partnership Group, Katherine Horticulture Advisory Forum.	PERMANENT Transfer to NT Archives Service 4 years after action completed.
1.3.2	Records relating to membership of external committees not convened by, but attended by agency staff to discuss issues relating to plant industries in the Northern Territory. eg State Extension Leaders Network (SELN).	TEMPORARY Destroy 6 years after action completed.
1.3.3	Records relating to the administrative arrangements made for the conduct of committees convened by plant industries. Includes draft agendas, distribution list, invitations to attend, organising of venues and travel arrangements.	TEMPORARY Destroy 2 years after action completed

Use PLANT INDUSTRIES - MEETINGS for forums and meetings of individuals that do not meet on a regular basis or have not been established as a formal group.

Use STRATEGIC MANAGEMENT – MEETINGS for the records relating to unit staff meetings.

1. PLANT INDUSTRIES

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1.4 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, such as the Records Management Standards AS ISO 15489 2002.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records documenting monitoring for compliance of live plant material submitted to the Post Entry Quarantine Facility. Includes copies of permit applications, reports and notifications.	TEMPORARY Destroy 10 years after action completed.
1.4.2	Records documenting monitoring for compliance of the Nursery Industry Accreditation Scheme of Australia for industry businesses that operate within best practice guidelines. Includes copies of reports and audit checklists.	TEMPORARY Destroy 5 years after action completed.
	Use FINANCIAL MANAGEMENT – CONSULTANCY SERVICES for records relating to the fee structure for services provided by the agency.	

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1.5 CONFERENCES

The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity, and reports of participants, etc. Place published reports and proceedings in the organisation's library or information centre, and cross-reference to files. Includes workshops and seminars.

Class No.	Description of Records	Status and Disposal Action
1.5.1	Records of conferences organised by the agency involving NTG agencies, other governments (state or national), business and industry organisations to discuss new techniques and latest research regarding plant industries. Includes papers presented by agency staff. eg Australian Citrus Growers' 54 th Annual Conference and Mango Code of Practice Forum.	PERMANENT Transfer to NT Archives Service 4 years after action completed. 1 copy of proceedings to be deposited in agency library.
1.5.2	Records relating to proceedings of conferences and/or agency attendance at conferences not organised by the agency or the administrative arrangements for conferences organised by the agency. Includes catering, draft programs, proceedings, publicity, speakers, travel arrangements, topics and venues.	TEMPORARY Destroy 5 years after action completed. 1 copy of proceedings to be deposited in agency library.

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1.6 CONTRACTING OUT

The activities involved in arranging, procuring and managing the performance of work or the provision of goods or services by a contractor, consultant, service provider, or by using external bureau services. Includes work done under contractual agreements, and service agreements made under contract. Includes work done under formal contractual agreements such as service agreements. Sometimes referred to as outsourcing.

Class No.	Description of Records	Status and Disposal Action
1.6.1	Records relating to arranging, procuring and managing the provisions of service by external consultants. Includes terms of contract, project scope, specifications, approvals, procurement compliance documentation, copies of invoices, status and final reports. eg Review of the National Experiences for Agricultural/Horticultural Industries Adjustment Programmes. Use FINANCIAL MANAGEMENT - TENDERING for the activities associated with developing, issuing, receiving and assessing tenders.	TEMPORARY Destroy 7 years after completion of contract.

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1.7 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
1.7.1	<p>Record relating to delivering and developing extension services to the community, industry and other governments. Includes educational programs promoting the good management of plant industries. eg Workshops with landholders and grower groups.</p> <p>Use PUBLISHING – COMPLIANCE for the activities associated with the lodgement of the legal deposit publication.</p> <p>Use PUBLISHING – INTELLECTUAL PROPERTY for the activities associated with superseded material that may have legal ramifications.</p> <p>Use PUBLISHING - PRODUCTION for records relating to the production of the units publications (hard copy or electronic). Includes the final report and master copy of extension material.</p> <p>Use STAFF DEVELOPMENT – TRAINING for the activities associated with encouraging staff to develop their skills and abilities.</p>	<p>TEMPORARY</p> <p>Destroy 6 years after action completed.</p>

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1.8 LIAISON

The activities associated with maintaining regular general contact between the organisation and others, including: professional associations; professionals in related fields; private sector organisations; community groups; and individuals. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Class No.	Description of Records	Status and Disposal Action
1.8.1	Records relating to contact with other government agencies, professional associations, private sector organisations and community groups in regard to plant industries issues. Includes the sharing of informal advice, informal discussions and membership of professional associations. eg Horticulture, Research & Development Corporation (HRDC).	TEMPORARY Destroy 6 years after action completed.

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1.9 MEETINGS

The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes, etc. May be used for staff meetings.

Class No.	Description of Records	Status and Disposal Action
1.9.1	Records relating to meetings attended by plant industries staff to discuss programs in the Northern Territory. Includes administrative arrangements, agenda, attendance, briefing and discussion papers, minutes and reports. Use PLANT INDUSTRIES - CONFERENCES for meetings at conferences. Use STRATEGIC MANAGEMENT - MEETINGS for the units staff meetings.	TEMPORARY Destroy 5 years after action completed.

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1.10 PROJECT DEVELOPMENT

The activities involved in defining the potential and scope for projects, including concept development, analysis and initial planning. Add the project name as free text.

Class No.	Description of Records	Status and Disposal Action
1.10.1	Records relating to the activities associated with the analysis, concept development, definition and initial planning of plant industries projects that are approved and proceeded with. Includes project proposal, business case, plans and approvals. eg Water Management in Plant Industries.	TEMPORARY Destroy 6 years after action completed.
1.10.2	Records relating to the activities associated with the analysis, concept development, definition and initial planning of plant industries projects that are not approved. Includes project proposal, business case, plans and non approval outcome.	TEMPORARY Destroy 2 years after action completed.

Use FINANCIAL MANAGEMENT – GRANT FUNDING for the activities associated with the application and receipt of funding for projects within plant industries.

Use PLANT INDUSTRIES – PROJECT MANAGEMENT for the activities associated with the management and achievement of goals and objectives for approved plant industries projects.

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1.11 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
1.11.1	Records relating to the activities associated with the management and achievement of goals and objectives of plant industries projects. Includes project planning, progress reports, survey reports, final reports, file notes, copies of invoices and other liaison correspondence. eg Product Description Languages.	TEMPORARY Destroy 6 years after action completed. 1 copy of final outcome report to be deposited in agency library.
	Use PLANT INDUSTRIES – PROJECT DEVELOPMENT for the activities associated with defining the scope for projects.	

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1.12 RESEARCH

The activities involved in researching or 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
1.12.1	Records relating to performing research for the purpose of plant industries development in the Northern Territory or new opportunities for industry. Includes audits, surveys, economic outcome studies, strategic outcomes studies and final reports (consolidated results of research). eg Biological Growing Systems.	TEMPORARY Destroy 6 years after action completed. 1 copy of final report to be deposited in agency library.
1.12.2	Records relating to data that has been used to achieve the final outcome reports regarding the research. Includes enquiries, literature searches, questionnaires, statistics, survey, working papers and other raw data that has been used and captured in reports. Use PUBLISHING - PRODUCTION for records relating to the production of the units publications (hard copy or electronic). Includes the final report.	TEMPORARY Destroy 3 years after action completed.



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