

**Records Disposal Schedule
Research Farm Management Records**

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

Disposal Schedule 2007/15.

October 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 Research Farm Management records of the Department of Primary Industry, Fisheries and Mines.

Scope

Application of this Disposal Schedule is mandatory for Research Farm Management records of the Department of Primary Industry, Fisheries and Mines. This Disposal Schedule applies to Research Farm Management 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* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).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 on 31 October 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. RESEARCH FARM MANAGEMENT

The function of providing appropriate, well maintained and well managed farm facilities for the conduct of research projects and demonstration trials to facilitate development and extension of profitable and sustainable primary industries in the Northern Territory. Includes working jointly with commercial producers and providing effective management of resources and collection of data to ensure projects and trials provide accurate and valid results.

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 relating to strategic advice and recommendations given or received by the Director of Research and Demonstration Farms from sources i.e. the Portfolio Minister; Chief Minister; NTG agencies, Commonwealth jurisdictions and Industry Bodies regarding investment ready farm facilities that may set a major precedent. Includes ministerials and current issue briefs.	PERMANENT Transfer to NT Archives Service 4 years after action completed
1.1.2	Records relating to the provision of routine advice given or received by research and demonstration farm staff to the public, internal and external government agencies and industry bodies that sets no precedent. Use COMMUNITY RELATIONS – EVENTS for the activities associated with hosting or attending community events. Use COMMUNITY RELATIONS – LIAISON for the activities associated with communication between the agency and community organisations and associations on matters of mutual interest such as the sharing of local facilities and information sharing. Use STRATEGIC MANAGEMENT – POLICY for the activities associated with research and demonstration farms policies. Use STRATEGIC MANAGEMENT – PROCEDURES for the activities associated with research and demonstration farms procedures.	TEMPORARY Destroy 5 years after action completed

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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 research and demonstration farms with other government and industry bodies such as the Northern Territory Land Corporation (NTLC). Includes copies of signed agreements.	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 research and demonstration farms with other government and industry bodies. Includes copies of signed agreements. Use FINANCIAL MANAGEMENT – ACCOUNTING / PAYMENTS for the activities associated with payment of monies related to the agreement. 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 LEGAL SERVICES – AGREEMENTS for the original signed agreement.	TEMPORARY Destroy 7 years after expiry of agreement

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1.3 JOINT VENTURES

The activities involved in managing joint operations between departments, either within the organisation or with other organisations, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations.

Class No.	Description of Records	Status and Disposal Action
1.3.1	<p>Records related to the establishment and management of primary industry commercial ventures between the agency and private companies such as the growing of crops on behalf of private companies. Includes copies of signed agreements, receipt of payments and progress reports.</p> <p>Use GOVERNMENT RELATIONS – JOINT VENTURES for the activities associated with negotiating and formalising the provision of services to other NT Government agencies such as the provision of power and water to the Douglas Daly School.</p>	<p>TEMPORARY</p> <p>Destroy 6 years after action completed</p>

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1.4 PROJECT MANAGEMENT

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

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records related to the establishment and history of research and demonstration farms for primary industry development research projects. Includes list of projects undertaken on the farm, managing land, cattle, crops, machinery and infrastructure, the use of fertilisers, irrigation, crop rotation, disease control, use of chemicals and pesticides.	PERMANENT Transfer to the NT Archives Service 4 years after action completed
1.4.2	Records relating to provision of support, such as secure farm land, infrastructure, machinery, equipment, irrigation, animals, labour and supplies to facilitate primary industry development research projects in the Northern Territory.	TEMPORARY Destroy 6 years after project completed
1.4.3	Records relating to the management of primary industry demonstration projects conducted by research farm staff for industry groups. Includes project brief, agreed project outcomes and draft and final reports.	TEMPORARY Destroy 6 years after project completed
1.4.4	Records relating to the development and testing of primary industry production systems. Includes data collected on cattle performance and pasture production. Use PROPERTY MANAGEMENT – ACQUISITION for activities associated with acquiring land and facilities to be used as research and demonstration farms. Use PROPERTY MANAGEMENT – CONSTRUCTION for activities associated with building, works and improvements on land used as research and demonstration farms. Use PROPERTY MANAGEMENT – DISPOSAL for activities associated with disposing of land and facilities used as research and demonstration farms. Use PROPERTY MANAGEMENT – MAINTENANCE for activities associated with repairs and maintenance of land and facilities used as research and demonstration farms.	TEMPORARY Destroy 6 years after project completed



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