

Records Disposal Schedule
Industry Economics Records
**Department of Business, Economic
and Regional Development**
Disposal Schedule No. 2006/3

March 2006

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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 Industry Economics of Department of Business, Economics and Regional Development.

Scope

Application of this Disposal Schedule is mandatory for Industry Economics records of the Department of Business, Economics and Regional Development.

This Disposal Schedule applies to Industry Economics 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 Business, Economics and Regional Development
- ▶ current authorised disposal schedules for Department of Business, Economics and Regional Development
- ▶ * Disposal Schedule for 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* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).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 Business, Economics and Regional Development 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 Chief Executive of the Department of Business, Economics and Regional Development and the Director of the NT Archives Service March 2006 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 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 permanently 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 Business, Economics and Regional Development 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 of 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. INDUSTRY ECONOMICS

The function is to provide key economic information on the performance, outlook and development opportunities of all Northern Territory industries. This information is provided to government, industry and the public and is primarily derived from research activities and interacting with industry and government agencies at both the Territory and national levels. Includes various levels of the economy (eg business, industry, resource and economy wide.)

1.1 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
1.1.1	<p>Records relating to committees convened by the agency in regards to industry economic performance, outlook and development opportunities for all Northern Territory industries.</p> <p>Includes minutes, agendas, reports, submissions, attendance, briefing and discussion papers.</p>	<p>PERMANENT Transfer to the NT Archives Service 4 years after action completed.</p>
1.1.2	<p>Records relating to committees not convened by the agency including boards attended to discuss industry economic performance, outlook and development opportunities for all Northern Territory industries eg NT Statistical Liaison Committee.</p> <p>Includes copies of minutes of meetings, discussion papers, agenda and submissions.</p>	<p>TEMPORARY Destroy 6 years after action completed</p>
1.1.3	<p>Records relating to the administration of committees.</p> <p>Includes draft agenda, distribution lists, invitations to attend, organising of venue and travel arrangements.</p> <p>Use INDUSTRY ECONOMICS – MEETINGS for the activities associated with ad hoc meetings convened to discuss industry economic performance, outlook and development opportunities for all Northern Territory industries.</p>	<p>TEMPORARY Destroy 2 years after action completed.</p>

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1.2 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
1.2.1	Master copies of proceedings of conferences organised by the agency relating to Industry Economics eg Regional Outlook Conference including papers presented.	PERMANENT Transfer to the NT Archives Service 4 years after action completed. (1 Legal Deposit copy of proceedings to be sent to the NT library)
1.2.2	Records relating to proceedings of conferences and/or agency attendance at conferences or the administrative arrangements of conferences organised by the agency. Includes catering, draft programs, proceedings, publicity, speakers, travel arrangements, topics, venues.	TEMPORARY Destroy 3 years after action completed. (1 copy of proceedings to be deposited in agency library)

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1.3 ENQUIRIES

The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records relating to general enquiries received from business, industry, government agencies, and the public on industry economic performance, outlook and development opportunities for all Northern Territory industries. Includes requests for information for published papers, industry statistics reports and surveys.	TEMPORARY Destroy 6 years after action completed.

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1.4 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
1.4.1	Records relating to the activities in managing joint operations between the agency and other organisations in regards to industry economic performance, outlook and development opportunities for all Northern Territory industries eg Agricultural Statistics Program in conjunction with Australian Bureau of Statistics (ABS)	TEMPORARY Destroy 10 years after action completed.

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1.5 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
1.5.1	Records relating to contact with professional associations, industry, other government agencies, private sector organisations, community groups, and the public in regards to industry economic matters such as performance, outlook and development opportunities for all Northern Territory industries. Includes the sharing of informal advice, informal discussions and membership of professional associations.	TEMPORARY Destroy 6 years after action completed.

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1.6 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
1.6.1	<p>Records relating to ad hoc meetings with business, industry, government agencies and community groups to discuss issues in regards to industry economic performance, outlook and development opportunities for all Northern Territory industries.</p> <p>Includes agenda, attendance, briefing and discussion papers, minutes and reports.</p> <p>Use INDUSTRY ECONOMICS – COMMITTEES for the activities associated with steering groups, task forces or any formal group that meets on a regular basis.</p>	<p>TEMPORARY Destroy 6 years after action completed.</p>

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1.7 REPORTING

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Class No.	Description of Records	Status and Disposal Action
1.7.1	Records relating to statistical reports compiled in response to specific requests received from the agency by the Australian Bureau of Statistics (ABS) to assist in providing information on industry economic performance, outlook and development opportunities for all Northern Territory industries.	TEMPORARY Destroy 25 years after action completed.
1.7.2	Records relating to formal reports and economics summaries provided by the agency in response to requests received from within the agency, other departments, industry and business in regards to industry economics performance, outlook and development opportunities for all Northern Territory industries. Includes request, briefing and discussion papers, comments received, surveys, research papers, returns and reviews.	TEMPORARY Destroy 10 years after action completed
1.7.3	Records relating to routine statistical reports provided to Australian Bureau of Statistics (ABS) by the agency on industry economic issues within the Northern Territory. Use STRATEGIC MANAGEMENT – REPORTING for the activities associated with monthly and annual reports.	TEMPORARY Destroy 6 years after action completed

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1.8 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.

Also includes preparation of preliminary drafts or outlines of addresses, reports, plans, sketches, discussions papers, consultation draft, comments, feedback, revisions and final draft for approval before publishing and production.

Class No.	Description of Records	Status and Disposal Action
1.8.1	Records relating to research for the purpose of providing information on industry economic performance, outlook and development opportunities for all Northern Territory industries. Includes audits, surveys, economic outcomes studies, strategies outcomes studies and final reports (consolidated results of research).	TEMPORARY Destroy 10 years after action completed.

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1.9 REVIEWING

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Class No.	Description of Records	Status and Disposal Action
1.9.1	Records relating to reviewing of processes, procedures, standards and systems that support the industry economic function of providing information on industry economic performance, outlook and development opportunities for all Northern Territory industries. Includes review process, economic profiles, recommendations, action plans and final reports.	TEMPORARY Destroy 6 years after action completed.



DEPARTMENT OF CORPORATE