

**Records Disposal Schedule**  
**Agribusiness Development Records**  
**Department of Primary Industry,  
Fisheries and Mines**

**Disposal Schedule No. 2005/11**

**December 2005**

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## ABOUT THIS DISPOSAL SCHEDULE

### Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of Agribusiness Development Records of Department of Primary Industry, Fisheries and Mines.

### Scope

Application of this Disposal Schedule is mandatory for Agribusiness Development records of the Department of Primary Industry, Fisheries and Mines.

This Disposal Schedule applies to Agribusiness Development 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
- ▶ 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 Department of Primary Industry, Fisheries and Mines
- ▶ \*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\* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).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 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 December 2005 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 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 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. AGRIBUSINESS DEVELOPMENT

The function of advancing major agribusiness development projects and identifying new agribusiness opportunities. Includes new strategic directions in agribusiness development projects, investments, trading infrastructure, water storages, animal feeds and fertiliser resources.

### 1.1 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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.1.1	<p>Records relating to the development, negotiation, maintenance and review of agreements including inter-government agreements, other governments and other elements of government for the benefit of advancing major agribusiness development in the Northern Territory eg Agriculture Development Agreement.</p> <p>Includes draft agreements, file notes, internal memorandums, ministerials and signed copy of agreements</p>	<p>PERMANENT Transfer to NT Archives Service 4 years after agreement expires.</p>



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### 1.2 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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.2.1	<p>Records relating to committees convened by the agency to discuss matters concerning major agribusiness development in the Northern Territory or new opportunities for industry eg Agribusiness Development Working Committee.</p> <p>Includes agendas, minutes, reports, submissions, briefing and discussion papers.</p>	<p>PERMANENT Transfer to NT Archives Service 4 years after action completed.</p>
1.2.2	<p>Records relating to memberships to all other committees, including boards attended to discuss matters concerning major agribusiness development in the Northern Territory or new opportunities for industry.</p> <p>Includes agenda, appointments, attendance, briefing and discussion papers, minutes, reports and submissions.</p>	<p>TEMPORARY Destroy 6 years after action completed.</p>
1.2.3	<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>TEMPORARY Destroy 2 years after action completed.</p>

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### 1.3 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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.3.1	Records relating to arranging, procuring and managing the provisions of service by external consultants eg NT Agribusiness Development Trust Investment Plan.  Includes project scope, specifications, approvals, procurement compliance documentation, terms of contract, copies of invoices, status and final reports.	TEMPORARY Destroy 7 years after contract expires.

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### 1.4 Control

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.4.1	Records relating to the creation and maintenance of a register of key investors working across government for the purpose of investing in the Northern Territory and developing industry.  Includes liaison correspondence, copies of register.	TEMPORARY Destroy 6 years after reference ceases.

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### 1.5 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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.5.1	<p>Records relating activities in managing joint operations between the agency and other organisations in regards to major agribusiness development in the Northern Territory or new opportunities for industry eg ORD River Irrigation Project.</p> <p>Includes agreements, liaison correspondence, progress and technical reports.</p>	<p>PERMANENT Transfer to NT Archives Service 4 years after action completed.</p>

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### 1.6 Legislation

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.6.1	<p>Records relating to the formulation, amendment and review of legislation that facilitates major agribusiness development in the Northern Territory or new opportunities for industry eg Cross border Agreement legislation.</p> <p>Includes proposals for amendments to existing legislation, comments on draft legislation, cabinet submissions, explanatory memorandum, drafting instructions and working papers to the Minister.</p>	<p>PERMANENT Transfer to NT Archives Service 4 years after action completed.</p>

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### **1.7 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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.7.1	<p>Records relating to contact with professional associations, other government agencies, private sector organisations, community groups and the public in regards to major agribusiness development in the Northern Territory or new opportunities for industry.</p> <p>Includes the sharing of informal advice, informal discussions and membership of professional associations.</p>	<p>TEMPORARY Destroy 4 years after action completed.</p>

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### **1.8 Project Management**

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.8.1	Records relating to the activities associated with the management and achievement of projects for major agribusiness development in the Northern Territory eg ORD River Irrigation Project Stage 2.  Includes project planning, progress reports, survey reports, final reports, file notes and other liaison correspondence.	PERMANENT Transfer to NT Archives Service 4 years after action completed.

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### 1.9 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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.9.1	<p>Records relating to periodic reports on recurring or ad hoc activities to management, across government or other governments (State or National) in regards to major agribusiness development in the Northern Territory.</p> <p>Includes briefing and discussion papers, comments received, drafts, ministerial briefings, status reports, returns and reviews.</p>	TEMPORARY Destroy 6 years after action completed.
1.9.2	<p>Records relating to reports on surveys prepared by the agency on industry issues for the purpose of major agribusiness development in the Northern Territory or new opportunities for industry eg Stockfeed for larger animals.</p> <p>Use STRATEGIC MANAGEMENT – REPORTING for the activities associated with monthly and annual reports.</p>	TEMPORARY Destroy 6 years after action completed



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### **1.10 Representations**

The activities involved in representing the NT Government or an agency by speaking or acting on behalf of the organisation. Includes political and/or community representations made to or received by the organisation. Also includes activities involved in preparing responses to questions raised in Parliament by Members of Parliament on behalf of their constituents.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.10.1	Records relating to trade delegations by agency representatives and the minister overseas to promote the Northern Territory agribusiness to potential investors and to identify new opportunities, including infrastructures for export trade.  Includes official reports, approvals, itineraries, and submissions.	PERMANENT Transfer to NT Archives Service 4 years after action completed.
1.10.2	Records relating to trade delegations from international government dignitaries, business groups and other potential investors to the Northern Territory for the purpose of agribusiness development.  Includes official reports, approvals, itineraries, attendance and submissions.	TEMPORARY Destroy 10 years after action completed.

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### **1.11 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.

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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.11.1	Records relating to performing research for the purpose of major agribusiness development in the Northern Territory or new opportunities for industry.  Includes audits, surveys, economics outcomes studies, strategic outcomes studies and final reports (consolidated results of research).	TEMPORARY Destroy 6 years after action completed.

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### 1.12 Tendering

The activities involved in developing, issuing, receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods or services, or for the production of work.

Class No.	Description of Records	Status and Disposal Action
1.12.1	<p>Records relating to the development, issues and evaluation of tender documentation where a signed contract by deed is executed under seal, (ie contracts executed under seal or signed by officers authorised by the contracting parties.) Deeds may be the form of contract used for any requirement, however contracts arranged under deed on behalf of the Northern Territory Government are generally restricted to National Public Works Council Conditions of Contract and major contracts such as the IT Outsourcing Contract.</p> <p>Includes Statement of Requirements, Request for Proposals, Approvals, Expression of Interest, Request for Tender (RFT), tenders received, record of arrangements for carrying out the evaluation process, evaluation report, recommendations, final report, public notices and records relating to post-offer negotiations and due diligence checks</p>	<p>PERMANENT Transfer to the NT Archives Service 4 years after action completed.</p>
1.12.2	<p>Records relating to the development, issues and evaluation of tender documentation where a simple contract is arranged on behalf of the Northern Territory Government. A simple contract may be made by an exchange of letters eg. The Tenderers Offer (Tender) and the Governments Acceptance documentation, alternatively service orders are another form of acceptance documentation.</p> <p>Includes Statement of Requirements, Request for Proposals, Approvals, Expression of Interest, Request for Tender (RFT), tenders received, record of arrangements for carrying out the evaluation process, evaluation report, recommendations, final report, public notices and records relating to post-offer negotiations and due diligence checks.</p>	<p>TEMPORARY Destroy 7 years after completion of contract.</p>
1.12.3	<p>Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcomes and reports on debriefing sessions.</p> <p>Includes Statement of Requirements, Request for Proposals, Approvals, Expression of Interest, Request for Tender (RFT), tenders received, record of arrangements for carrying out the evaluation process, evaluation report, recommendations, final report, public notices and records relating to post-offer negotiations and due diligence checks.</p>	<p>TEMPORARY Destroy 2 years after tender process completed or decision made not to continue with the tender.</p>
1.12.4	<p>Tender evaluation working papers and copies of records described in Classes 1.42.1, 1.42.2, 1.42.3 and 1.42.4</p> <p>Use GOVERNMENT STRATEGIES – CONTRACTING-OUT for the activities associated with outsourcing operations or arranging, procuring and managing the provision of service by an external consultant once the tender has been decided.</p>	<p>TEMPORARY Destroy 1 year after action completed.</p>



DEPARTMENT OF CORPORATE  
AND INFORMATION SERVICES