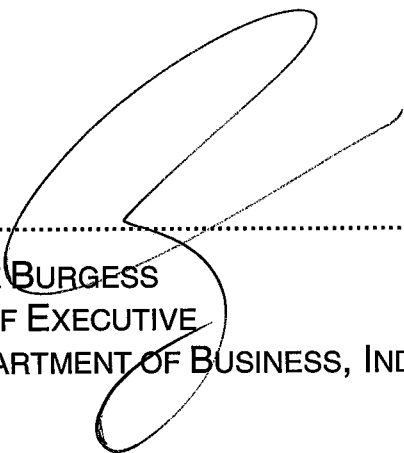


DISPOSAL SCHEDULE FOR THE GOVERNMENT STRATEGIES RECORDS OF THE DEPARTMENT
OF BUSINESS, INDUSTRY AND RESOURCE DEVELOPMENT

DISPOSAL SCHEDULE No 2005/5

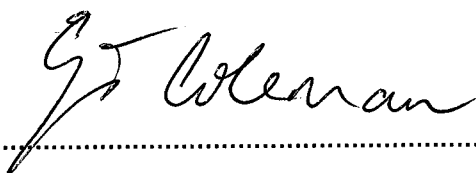
AUTHORITY IS HEREBY GRANTED FOR DISPOSAL OF RECORDS
IN ACCORDANCE WITH THE PROVISIONS SPECIFIED IN THIS SCHEDULE.



.....

DATED 21/4/5

MIKE BURGESS
CHIEF EXECUTIVE
DEPARTMENT OF BUSINESS, INDUSTRY AND RESOURCE DEVELOPMENT



.....

DATED 21/4/05

GREG COLEMAN
DIRECTOR
NORTHERN TERRITORY ARCHIVES SERVICE

RECORDS DISPOSAL SCHEDULE

Government Strategies

Department of Business, Industry and
Resource Development

Disposal Schedule No. 2005/5

21 April 2005



Northern Territory Government

For information and advice, please contact
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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 Government Strategies, of the Department of Business Industries and Resource Development.

Scope

Application of this Disposal Schedule is mandatory for Government Strategies records of the Department of Business Industries and Resource Development.

This Disposal Schedule applies to Government Strategies 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, Industry and Recourse Development
- ▶ 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 Business Industries and Resource 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 Director of the NT Archives Service and the Chief Executive of the Department of Business Industries and Resource Development in April 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 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 Business Industries and Resource 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 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. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

- Asian Engagement Strategy
- Manufacturing Industry Strategy
- Northern Territory Economic Development Strategy
- NT Business and Skilled Migration Strategy
- NT Trade Strategy
- Professional and Business Services Strategy

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.

Class No.	Description of Records	Status and Disposal Action
1.1.1	Records relating to the development, negotiation, maintenance and review of agreements including inter-government agreements, other governments and other elements of government. Includes service level agreements and signed copy of agreements.	PERMANENT Transfer to NT Archives Service 4 years after agreement expires.

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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.

Class No.	Description of Records	Status and Disposal Action
1.2.1	<p>Records relating to committees, including steering groups formed in the process of developing government strategies for business and industry development in the Northern Territory.</p> <p>Includes minutes, agendas, reports, submissions, attendance, briefing and discussion papers.</p>	<p>TEMPORARY Destroy 6 years after action completed.</p>
1.2.2	<p>Records relating to membership of external boards or committees attended to discuss issues for developing government strategies for business and industry development in the Northern Territory.</p> <p>Includes copies of minutes of meetings, discussion papers, agendas, and submissions.</p> <p>Use GOVERNMENT STRATEGIES – MEETINGS for the activities associated with ad hoc meetings convened to discuss developing government strategies for business and industry development in the Northern Territory.</p>	<p>TEMPORARY Destroy 6 years after action completed.</p>

1. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

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1.3 CONTRACTING-OUT

The activities involved in arranging, procuring and managing the performances of work or the provision of goods and 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. Sometimes referred to as outsourcing.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records relating to arranging, procuring and managing the provisions of service by external consultants. Includes terms of contract and copies of invoices. Use GOVERNMENT STRATEGIES – TENDERING for the activities associated with developing, issuing, receiving and assessing tenders.	TEMPORARY Destroy 7 years after completion of contract.

1. GOVERNMENT STRATEGIES

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1.4 EVENTS

The activities associated with arranging, managing or attending events.

Class No.	Description of Records	Status and Disposal Action
1.4.1	<p>Records relating to ceremonies and functions to launch government strategies for business and industry development in the Northern Territory.</p> <p>Includes briefing papers for Ministers, dignitaries and senior agency officials, guest lists, hospitality, invitations, programs, protocols, publicity, travel arrangements and photographs.</p>	<p>TEMPORARY Destroy 6 year after action completed.</p>
1.4.2	<p>Copies of records relating to the organisation of ceremonies to launch government strategies for business and industry development in the Northern Territory.</p> <p>Use GOVERNMENT STRATEGIES - PRESENTATIONS for the activities associated with addresses and seminars to introduce new and approved government strategies to interested parties.</p>	<p>TEMPORARY Destroy 1 year after action completed.</p>

1. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

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1.5 IMPLEMENTATION

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met.

Class No.	Description of Records	Status and Disposal Action
1.5.1	<p>Records relating to the implementation government strategies for business and industry development in the Northern Territory.</p> <p>Includes monitoring to ensure that the implementation goes according to schedule and that the standards are met.</p> <p>Use GOVERNMENT STRATEGIES – REVIEWING for the activities associated with reviewing the implementation of government strategies.</p> <p>Use GOVERNMENT STRATEGIES – RESEARCH for the activities associated with the preliminary drafting of government strategies.</p>	<p>TEMPORARY</p> <p>Destroy 6 year after action completed.</p>

1. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

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1.6 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
1.6.1	<p>Records relating to contact with professional associations, business, industry, other governments and community groups in regards to developing government strategies for business and industry development in the Northern Territory.</p> <p>Includes the sharing of informal advice, information discussion, and memberships of professional associations.</p>	<p>TEMPORARY Destroy 6 years after action completed.</p>

1. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

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1.7 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
1.7.1	<p>Records relating to ad hoc meetings with business, industry, other governments and community groups to discuss issues relating developing government strategies for business and industry development in the Northern Territory.</p> <p>Includes agenda, attendance, briefing and discussion papers, minutes and reports.</p> <p>Use GOVERNMENT STRATEGIES – 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>

1. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

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- Professional and Business Services Strategy

1.8 PRESENTATIONS

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches, multi-media presentations, and presentation or conferring of honours or prizes. Add the title of the presentation as free text.

Class No.	Description of Records	Status and Disposal Action
1.8.1	<p>Records relating to addresses, seminars and workshops to introduce and discuss proposed and approved government strategies to key stakeholders and interested parties.</p> <p>Includes speeches and multi-media presentations</p> <p>Use GOVERNMENT STRATEGIES – EVENTS for the activities associated with the launch of government strategies.</p>	<p>TEMPORARY</p> <p>Destroy 6 years after action completed.</p>

1. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

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1.9 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
1.9.1	Records relating to the analysis, concept development, definition and initial planning of government strategies or projects for business and industry development in the Northern Territory, that are approved and proceeded with.	TEMPORARY Destroy 6 years after project completed.
1.9.2	Records relating to the analysis, concept development, definition and initial planning of government strategies or projects for business and industry development in the Northern Territory, which are not approved and not proceeded with.	TEMPORARY Destroy 2 years after project completed.

1. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

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- Professional and Business Services Strategy

1.10 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
1.10.1	Records relating to the activities of managing the achievement of goals and objectives for government strategies or projects for business and industry development in the Northern Territory. Includes ongoing project planning, reporting and resource management.	TEMPORARY Destroy 6 years after project completed.

1. GOVERNMENT STRATEGIES

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1.11 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
1.11.1	<p>Records relating to formal reports submitted by the agency in accordance with its function of developing government strategies for business and industry development in the Northern Territory.</p> <p>Includes briefing and discussion papers, comments received, status reports, surveys, returns and reviews.</p> <p>Use STRATEGIC MANAGEMENT – REPORTING for the activities associated with monthly and annual reports.</p>	<p>TEMPORARY Destroy 6 years after action completed.</p>

1. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

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1.12 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.

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

Class No.	Description of Records	Status and Disposal Action
1.12.1	Records relating to research for the purpose of developing government strategies for business and industry development in the Northern Territory. Includes audits, surveys, economic outcomes studies, strategic outcomes studies and final reports (consolidated results of research).	TEMPORARY Destroy 6 years after action completed.
1.12.2	Records relating to the preparation of preliminary drafts or outlines of addresses, reports, plans or sketches in the process of developing government strategies for business and industry development in the Northern Territory. Also includes copy of final published version of the strategy.	TEMPORARY Destroy 6 years after action completed.
1.12.3	Records relating to research data. Includes enquiries, literature searches, questionnaires, statistics, surveys, working papers and other raw data. Use GOVERNMENT STRATEGIES – IMPLEMENTATION for the activities associated with the implementation of government strategy. Use GOVERNMENT STRATEGIES – REVIEWING for the activities associated with reviewing the implementation of government strategies.	TEMPORARY Destroy 1 years after action completed.

1. GOVERNMENT STRATEGIES

The function of developing and facilitating formal Government approval for key new and amended strategies for business, industry development and the Territory's Asian and International Relations. Includes the initial implementation planning and commencement stages, and departmental contributions to local, state and national whole of government or multi-agency policies and strategies development, such as:

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1.13 REVIEWING

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

Class No.	Description of Records	Status and Disposal Action
1.13.1	<p>Records relating to reviews of implementation and success of government strategies for business and industry development in the Northern Territory.</p> <p>Includes review process, recommendations, final reports and action plans.</p> <p>Use GOVERNMENT STRATEGIES – IMPLEMENTATION for the activities associated with the implementation of government strategies.</p> <p>Use GOVERNMENT STRATEGIES – RESEARCH for the activities associated with drafting government strategies.</p>	<p>TEMPORARY Destroy 6 years after action completed.</p>

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1.14 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 of the supply or purchase of goods or services, or for the production of work.

Note: Where the activities involved in drawing up and issuing tenders are related to a particular business function of the organisation, classify with the relevant keyword from the organisation's functional thesaurus.

Class No.	Description of Records	Status and Disposal Action
1.14.1	<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>
1.14.2	<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. GOVERNMENT STRATEGIES

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1.14 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 of the supply or purchase of goods or services, or for the production of work.

Note: Where the activities involved in drawing up and issuing tenders are related to a particular business function of the organisation, classify with the relevant keyword from the organisation's functional thesaurus.

Class No.	Description of Records	Status and Disposal Action
1.14.3	<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>
1.14.4	<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>



dcis

DEPARTMENT OF CORPORATE
AND INFORMATION SERVICES