

Records Disposal Schedule
Gene Technology Records
**Department of Primary Industry,
Fisheries and Mines**

Disposal Schedule No. 2005/9

December 2005

For information and advice, please contact
Records Policy Unit
NT Archives Service
GPO Box 874
Darwin NT 0801

Telephone: (08) 8924 7677
Facsimile: (08) 8924 7660
Website: <http://www.nt.gov.au/dcis/nta/>

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ABOUT THIS DISPOSAL SCHEDULE

Purpose

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

Scope

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

This Disposal Schedule applies to Gene Technology 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:

- ▶ Commonwealth Gene Technology Act 2000
- ▶ Commonwealth Gene Technology (Licence Charge) Act 2002
- ▶ 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.
- ▶ * 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* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).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. GENE TECHNOLOGY

The function of developing and maintaining systems, policies and legislation in the Northern Territory, and at the national level, in regard to technology to alter the genetic material of living cells or organisms. Includes collaboration with other agencies and providing advice and evaluation reports regarding gene technology issues.

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 advice, opinions, and recommendations given to the Minister, across government and other external bodies in regards to gene technology legislation, strategies, and policy development in the Northern Territory. | PERMANENT Transfer to the NT Archives Service 6 years after action completed. |
| 1.1.2 | Records relating to routine advice and opinions given and received on gene technology issues which lead to no significant policy changes or major precedents. | TEMPORARY Destroy 6 years after action completed. |

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

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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 | <p>Records relating to the development, negotiation, maintenance and review of agreements including inter-government agreements, other government and other elements of government for the purpose of developing systems and policies for gene technology in the Northern Territory eg Inter-Governmental Agreement on Gene Technology.</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. GENE TECHNOLOGY

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1.3 Committees

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth etc.). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|--|--|
| 1.3.1 | Records relating to committees convened by the agency to discuss gene technology issues in the Northern Territory. Includes agenda, appointments, attendance, briefing and discussion papers, minutes, reports and submissions. | PERMANENT Transfer to the NT Archives Service 4 years after action completed. |
| 1.3.2 | Records relating to memberships to all other committees not convened by the agency, including boards attended to discuss gene technology issues in the Northern Territory and at the national level. Includes agenda, appointments, attendance, briefing and discussion papers, minutes, reports and submissions. | TEMPORARY Destroy 6 years after action completed. |
| 1.3.3 | Records relating to the administration of committees. Including draft agenda, distribution lists, invitations to attend, organising of venue and travel arrangements. Use GENE TECHNOLOGY – MEETINGS for forums and meetings of individuals and groups that do not meet on a regular basis or have not been established as a formal group. | TEMPORARY Destroy 2 years after action completed. |

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1. GENE TECHNOLOGY

The function of developing and maintaining systems, policies and legislation in the Northern Territory, and at the national level, in regard to technology to alter the genetic material of living cells or organisms. Includes collaboration with other agencies and providing advice and evaluation reports regarding gene technology issues.

1.4 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 |
|------------------|--|--|
| 1.4.1 | Master copies of proceedings of conferences organised by the agency relating to gene technology including papers presented. | PERMANENT Transfer to the NT Archives Service 4 years after action completed 1 Legal Deposit Copy to be sent to the NT Library |
| 1.4.2 | Records relating to proceedings of conferences and/or agency attendance at conferences or the administrative arrangements organised by the agency. Includes catering, draft programs, proceedings, publicity, speakers, travel arrangements, topics and venues. | TEMPORARY Destroy 4 years after action completed. 1 copy of proceedings to be deposited in agency library. |

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1. GENE TECHNOLOGY

The function of developing and maintaining systems, policies and legislation in the Northern Territory, and at the national level, in regard to technology to alter the genetic material of living cells or organisms. Includes collaboration with other agencies and providing advice and evaluation reports regarding gene technology issues.

1.5 Evaluation

The process of determining the suitability of potential or existing personnel; programs; systems; services; or items of equipment in relation to meeting the needs of the given situation. May include detailed analysis and/or ongoing monitoring.

| Class No. | Description of Records | Status and Disposal Action |
|-----------|--|---|
| 1.5.1 | <p>Records relating to requests received from the regulator (Office of Gene Technology) to evaluate applications for intentional release into the environment of genetically modified organisms including environmental, health risk and commercial use assessments where the agency provides comments.</p> <p>Includes requests for agency assessment, copy of applications, applications summaries, agency comments, notifications of granted or not granted licences, liaison correspondence, executive summary of risk assessment and risk management plans.</p> | <p>PERMANENT Transfer to the NT Archives Service 4 years after action completed</p> |
| 1.5.2 | <p>Records relating to requests received from the regulator (Office of Gene Technology) to evaluate applications for intentional release into the environment of genetically modified organisms including environmental, health risk and commercial use assessments where the agency provides no comment.</p> <p>Includes requests for agency assessment, copy of applications, applications summaries, agency comments, notifications of granted or not granted licences, liaison correspondence, executive summary of risk assessment and risk management plans.</p> | <p>TEMPORARY Destroy 4 years after action completed.</p> |

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1. GENE TECHNOLOGY

The function of developing and maintaining systems, policies and legislation in the Northern Territory, and at the national level, in regard to technology to alter the genetic material of living cells or organisms. Includes collaboration with other agencies and providing advice and evaluation reports regarding gene technology issues.

1.6 Legislation

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

| Class No. | Description of Records | Status and Disposal Action |
|------------------|--|--|
| 1.6.1 | <p>Records relating to the formulation, amendment and review of legislation for gene technology in the Northern Territory</p> <p>Includes proposals for new legislation and amendments to existing legislation, cabinet submissions, and comments on draft legislation, drafting instructions, explanatory memorandum, parliamentary speeches and working papers to the minister.</p> | <p>PERMANENT Transfer to NT Archives Service 4 years after action completed.</p> |
| 1.6.2 | <p>Records relating to the agency's participation in the formulation, amendment and review of legislation for gene technology at a national level.</p> <p>Includes proposals for new legislation and amendments to existing legislation, cabinet submissions, and comments on draft legislation, drafting instructions, explanatory memorandum, parliamentary speeches 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. GENE TECHNOLOGY

The function of developing and maintaining systems, policies and legislation in the Northern Territory, and at the national level, in regard to technology to alter the genetic material of living cells or organisms. Includes collaboration with other agencies and providing advice and evaluation reports regarding gene technology issues.

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.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|---|--|
| 1.7.1 | <p>Records relating to contact with professional associations, other government agencies, private sector organisations, community groups and the public in regard to gene technology in the Northern Territory.</p> <p>Includes the sharing of informal advice, informal discussions and memberships of professional association.</p> | <p>TEMPORARY Destroy 4 years after action completed.</p> |

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1. GENE TECHNOLOGY

The function of developing and maintaining systems, policies and legislation in the Northern Territory, and at the national level, in regard to technology to alter the genetic material of living cells or organisms. Includes collaboration with other agencies and providing advice and evaluation reports regarding gene technology issues.

1.8 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 |
|------------------|---|--|
| 1.8.1 | <p>Records relating to ad hoc meetings with business, industry, NT agencies and other governments to discuss matters relating to gene technology in the Northern Territory</p> <p>Includes administrative arrangements, agenda, attendance, briefing and discussion papers, minutes and reports.</p> <p>Use GENE TECHNOLOGY – COMMITTEES for the meetings of committees, task forces and any other formal group which meets on a regular basis.</p> <p>Use GENE TECHNOLOGY - CONFERENCES for meetings at conferences.</p> | <p>TEMPORARY Destroy 6 years after action completed.</p> |

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1. GENE TECHNOLOGY

The function of developing and maintaining systems, policies and legislation in the Northern Territory, and at the national level, in regard to technology to alter the genetic material of living cells or organisms. Includes collaboration with other agencies and providing advice and evaluation reports regarding gene technology issues.

1.9 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|---|--|
| 1.9.1 | Master copies of policies and records relating to the development and review of gene technology policies for the Northern Territory. Includes consultation papers, drafts, policy proposals, reports, research papers and master copies of policies. | PERMANENT Transfer to the NT Archives Service 4 years after action completed. |
| 1.9.2 | Records relating to duplicate copies of gene technology policy documents and supporting papers. | TEMPORARY Destroy when reference ceases. |

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1. GENE TECHNOLOGY

The function of developing and maintaining systems, policies and legislation in the Northern Territory, and at the national level, in regard to technology to alter the genetic material of living cells or organisms. Includes collaboration with other agencies and providing advice and evaluation reports regarding gene technology issues.

1.10 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 |
|------------------|---|--|
| 1.10.1 | Records relating to formal reports submitted by the agency to the regulator (Office of Gene Technology) regarding gene technology issues in the Northern Territory. Includes briefing and discussion papers, comments received, drafts, ministerial briefings, returns and reviews. | PERMANENT Transfer to the NT Archives Service 4 years after action completed. |
| 1.10.2 | Records relating to periodic reports on recurring or ad hoc activities to management, across government or external national bodies regarding developing systems and policies for gene technology in the Northern Territory. Includes briefing and discussion papers, comments received, drafts, ministerial briefings, returns and reviews. | TEMPORARY Destroy 6 years after action completed. |

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1. GENE TECHNOLOGY

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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, discussion papers, consultation drafts, comments, feedback, revisions and final draft for approval before publishing and production.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|---|--|
| 1.11.1 | Records relating to research for the purpose of developing systems, projects and policies for gene technology 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. |
| 1.11.2 | Records relating to research data. Includes enquiries, literature searches, questionnaires, statistics, surveys, working papers and other raw data. | TEMPORARY Destroy 1 years after action completed. |

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