



Records disposal schedule

Records Disposal Schedule Environment Management Services Power and Water Corporation

Disposal Schedule No. 2019/013

December 2019

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Preamble

Introduction

The *Information Act* states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so¹. Disposal of records is permitted through the use of records disposal schedules and enable regular, planned and authorised disposal of records controlled by an agency.

Records retention decisions are based on:

- the current and future business needs of the organisation
- compliance with legal and governance requirements of the organisation
- the current and future needs of internal and external stakeholders, including the wider community.

Records disposal schedules provide continuing authorisation for the legal disposal of records and are authorised by the records service, archives service and chief executive officer of the public sector organisation responsible for the schedule.

Records disposal schedules apply to records created and maintained in any format, including electronic records, records in business systems, and parts of records.

In the Northern Territory government there are two types of records disposal schedules:

- General records disposal schedules that apply to records common to most or all NT Government public sector organisations, and
- Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

Functional records disposal schedules should be used in conjunction with general records disposal schedules.

Structure of a Records Disposal Schedule

Records disposal 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. Records disposal schedules specify

- a) whether a class of record has temporary or permanent status;
- b) the retention period for a temporary class of record;
- c) authorised disposal actions for a class of record.²

Each class of records created by an agency is described using classifications based on business analysis.

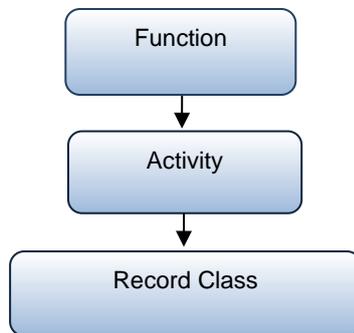
Disposal schedules are developed using the functional structure based on the classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

¹ S.145 *Information Act*

² S.136A(3) *Information Act*

Within the schedule, functions are documented as the highest level terms and business activities under the functions, followed by record classes, as shown in diagram 1.

Diagram 1



Function

The function or keyword is the highest level in the classification scheme in this disposal schedule. The function is indicated at the start of each section and a description (scope note) provided.

Activity

Activities are the processes or operations that make up the business function. This is the second level in the classification scheme in this disposal schedule. The description (scope note) provides details of the transactions that take place in relation to the activity, for example, REPORTING or POLICY.

Record Class

A record class is a group of records that relate to the same activity, function or subject and require the same disposal action. The descriptions can relate to one record (such as a register) or a group of records documenting a particular set of business transactions.

Status and Disposal Action

The appraisal status of a record class is assigned as either permanent or temporary.

Permanent Records: Records appraised with permanent status have been identified as archives and must be transferred to the Archives Service for their preservation and eventual public access.

The retention period for permanent records is the maximum period before the records must be transferred to the Archives Service. Permanent records must be transferred no later than 30 years after creation in accordance with the Information Act, unless exemption has been granted (see Archives Management Standards Transfer of Archives, and Exemption from Compulsory Transfer of Permanent Records to the NT Archives Service). An Application to Transfer Records form must be submitted to the Archives Service before records will be accepted for transfer.

Temporary records: The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal trigger such as 'date of action completed', 'date of audit' or 'date of birth'. Destruction

should be done following consultation with relevant operational business employees responsible for the records.

Retention periods for temporary records in a records disposal schedule are minimum periods only and agencies may keep records for a longer period if considered necessary for business requirements.

Reasons for longer retention could include,

- administrative need or agency directives,
- legal requirements such as current or pending legal action,
- relevance to an investigation or inquiry which is in progress,
- is subject to an Information Access application, or
- subject to a disposal freeze.

Records created prior to 1 July 1978 must not be disposed of without the authorisation of the Archives Service in accordance with Archives Management Standard Records Created Prior to 1978, unless specified in a schedule.

Sentence records with this records disposal schedule using the following five steps:

1. Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
2. Identify the disposal class.
3. 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.
4. If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
5. If the trigger event has not occurred (e.g. the record is still in active use), set a review date for the future.

About this Records Disposal Schedule

Purpose

The purpose of this Records Disposal Schedule is to enable regular, planned and authorised disposal of records of Environment Management Services of the Power and Water Corporation.

Scope

Application of this Records Disposal Schedule is mandatory for Environment Management Services records of the Power and Water Corporation.

This Records Disposal Schedule applies to Environment Management Services records in all formats.

Responsibility

The Chief Executive of the Power and Water Corporation is responsible for the content and implementation of this Records Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Records Disposal Schedule is authorised in accordance with S. 136B of the *Information Act 2002*.

Disposal Schedule No. 2019/013 was approved by the Senior Director of Library & Archives NT (The Archives Service), Senior Director of ICT Policy and Governance (The Records Service), and the Chief Executive of the Power and Water Corporation on 11 December 2019 and is effective immediately.

Re-sentencing Records

All records sentenced under a superseded records disposal schedule Environmental Services of the Power and Water Corporation 2009/12 are to be re-sentenced using this schedule.

Regulatory Framework

The regulatory basis for this Records Disposal Schedule is defined in:

- *National Greenhouse and Energy Reporting Act 2007 (Cth)*
- *Northern Territory Environmental Protection Authority Act 2012*
- *Power and Water Corporation Act 1987*
- *Renewable Energy (Electricity) Act 2000 (Cth)*
- *Utilities Commission Act 2000*
- *Waste Management and Pollution Control Act 1998*
- *Water Act 1992*
- *Water Supply and Sewerage Services Act 2000*
- *Information Act 2002*
- NT Government Records Management Standards
- NT Government Archives Management Standards

- Australian Standards AS ISO 15489: Records Management

Related Documents

This Records Disposal Schedule is to be read in conjunction with:

- NT Government Records Management Standard – Records Disposal
- policies and procedures of the Power Water Corporation
- current authorised disposal schedules for Power Water Corporation

Normal Administrative Practice

Public sector organisations are permitted to dispose of some short term or ephemeral documents under the authority of the Disposal Schedule for Short Term Value Records. These include:

- duplicate (eg information or reference copy)
- obviously unimportant (e.g. telephone message slips)
- of short term facilitative value (e.g. 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.

Notification of Destruction

Retain Notification of Destruction records when required.

Note: In the case of the Disposal Schedule for Records of Short Term Value (Disposal Schedule No. 2003/10), notification is only required for the destruction of records described in Disposal Class No. 1.10.1.

Acknowledgement

The Archives Service and the Records Service acknowledge that material produced by National Archives of Australia, State Records Authority of New South Wales, State Records of South Australia, Public Records Office of Victoria, Territory Records Office and Standards Australia was used in the development of this schedule.

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Compliance Checklist	
<input type="checkbox"/> Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records	<input type="checkbox"/> Stop applying sentences from previous schedules that have been revoked or amended
<input type="checkbox"/> 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 and NT Records Service	<input type="checkbox"/> Retain all records in good order and condition to be available for retrieval during the retention period.
	<input type="checkbox"/> Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
<input type="checkbox"/> Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records	<input type="checkbox"/> Implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form, migration to new systems, and conversion to long term medium
<input type="checkbox"/> 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	<input type="checkbox"/> 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
<input type="checkbox"/> Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule	<input type="checkbox"/> Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
<input type="checkbox"/> 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	<input type="checkbox"/> Inactive records can be transferred to offsite service providers providing they have been sentenced
<input type="checkbox"/> 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	<input type="checkbox"/> Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
<input type="checkbox"/> 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	<input type="checkbox"/> Notify the NT Records Service of destruction of all records
<input type="checkbox"/> Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly	<input type="checkbox"/> Do not destroy records that are not described in an authorised records disposal schedule.
<input type="checkbox"/> Identify records that require re-sentencing where a previous disposal schedule has been superseded	<input type="checkbox"/> Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

Disposal Schedule

<p>1. Environment Management Services</p> <p>The function of managing the environmental impact of power, water and sewerage distribution and transmission operations within the Northern Territory. Includes monitoring compliance with relevant legislation with regards to environment management.</p> <p>Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.</p>		
<p>1.1 Advice</p> <p>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.</p>		
Class No.	Description of Records	Status and Disposal Action
1.1.1	<p>Records documenting the provision of major advice to and from the Power and Water Corporation, the Minister, other government bodies and industry stakeholders, such as the impact of legislative reform.</p> <p>Includes ministerials and briefing notes.</p>	<p>PERMANENT</p> <p>Transfer to the Archives Service 10 years after action completed</p>
1.1.2	<p>Records documenting routine advice in relation to environment management services, such as wildlife matters, and management of chemicals and hydrocarbons.</p>	<p>TEMPORARY</p> <p>Destroy 3 years after action completed</p>

1. Environment Management Services

The function of managing the environmental impact of power, water and sewerage distribution and transmission operations within the Northern Territory. Includes monitoring compliance with relevant legislation with regards to environment management.

Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

1.2 Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Class No.	Description of Records	Status and Disposal Action
1.2.1	Records documenting major audits into environmental conditions of power and water services, such as infrastructure projects, waste, water and power supply operations that result in changes to policy or procedural guidelines in relation to environment management services. Includes responses to audit findings and corrective action reports.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.2.2	Records documenting the planning and conduct of internal and external audits into environmental conditions of power and water that do not result in changes to policy or procedural guidelines in relation to environment management services. Includes audit plans, minutes, interview notes, audit reports, responses to audit findings and corrective action reports.	TEMPORARY Destroy 7 years after audit completed

1. Environment Management Services

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Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

1.3 Committees

The activities associated with the management of committees, sub committees, councils, forums working groups, boards and task forces (internal and external, private, community, local, state, national, international, 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 documenting high level committees convened by the Corporation in relation to environment management services. Includes agendas, minutes, discussion papers and action items.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.3.2	Records documenting inter departmental committees, project groups and advisory committees that are not convened by the Corporation, such as the Darwin Harbour Advisory Committee in relation to environment management services. Includes internal working parties with business units of the Corporation. Includes agendas, minutes, discussion papers and action items.	TEMPORARY Destroy 5 years after action completed

1. Environment Management Services

The function of managing the environmental impact of power, water and sewerage distribution and transmission operations within the Northern Territory. Includes monitoring compliance with relevant legislation with regards to environment management.

Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

1.4 Control

The activities associated with creating, maintaining and evaluating control mechanisms.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Registers in relation to environment management services, such as the Legal Register that details environmental regulatory requirements of Power and Water Corporation.	TEMPORARY Destroy 50 years after last entry (manage and migrate data to new platform during system upgrades)

1. Environment Management Services

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Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

1.5 Environmental Assessment

The activities associated with assessing and reporting the environmental effects of development proposals or projects, for sustainable protection of the environment. Includes physical, biological, economic, cultural and social aspects.

Class No.	Description of Records	Status and Disposal Action
1.5.1	Records documenting the preparation and submission of assessments of the environmental impacts of Power and Water Corporation building project proposals such as power lines and substations that have been referred to the Northern Territory Environmental Protection Authority due their high environmental impact risk on the land with regards to fire, waste, sewage spills and soil water. Includes notices of intent, environmental management plans, public environment reports and environmental impact statements submitted to the NT environmental regulator, such as the NT Environment Protection Authority.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.5.2	Records documenting comments made on third party notice of intents and development applications received by the Corporation, such as proposed new developments and new mining projects, where a detailed response has been provided by the Corporation.	TEMPORARY Destroy 30 years after action completed
1.5.3	Records documenting the preparation and submission of assessments of the environmental impacts of Power and Water Corporation building project proposals that have been distributed internally within the Corporation only due to their	TEMPORARY Destroy 10 years after action completed

1. Environment Management Services

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Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

1.5 Environmental Assessment

The activities associated with assessing and reporting the environmental effects of development proposals or projects, for sustainable protection of the environment. Includes physical, biological, economic, cultural and social aspects.

Class No.	Description of Records	Status and Disposal Action
	<p>perceived low environmental risk impact on the land.</p> <p>Includes third party notification of intent and development applications where there has been a minor or a nil response provided by the Corporation.</p>	

1. Environment Management Services

The function of managing the environmental impact of power, water and sewerage distribution and transmission operations within the Northern Territory. Includes monitoring compliance with relevant legislation with regards to environment management.

Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

1.6 Inspections

The process of official examinations of facilities, equipment, vehicles and vessels, to ensure compliance with agreed standards and objectives.

Class No.	Description of Records	Status and Disposal Action
1.6.1	<p>Records documenting ad hoc, periodic or routine inspections of power and water services and operations in relation to environment management services by the Corporation.</p> <p>Includes inspections reports, file notes, photographs, witness statement, extracts of documents and other supporting paperwork.</p>	<p>TEMPORARY</p> <p>Destroy 15 years after action completed</p>
	<p>Use 1.2 AUDITS for records documenting compliance audits into environmental conditions of power and water services.</p>	

1. Environment Management Services

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Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

1.7 Investigations

The acts and processes involved in ascertaining facts by enquiry or examination.

Class No.	Description of Records	Status and Disposal Action
1.7.1	<p>Records documenting major investigations into environmental incidents where there has been a possible breach of legislation in relation to relevant environment management regulations. Includes investigations into fuel, diesel, oil and chemical spills, and unlicensed sewerage discharge that could potentially cause serious harm and have long term effects on the surrounding environment, present a major health risk, attract public wide interest or result in litigation.</p> <p>Includes written hazard and incident notifications, witness statements, extracts of documents, photos, file notes, copies of search warrants and infringement notices, consultant notes, contamination assessments and reports to the Northern Territory Environment Protection Agency.</p> <p>May include reports to the Commonwealth Department of Environment and the Northern Territory Department of Health.</p>	<p>PERMANENT</p> <p>Transfer to the Archives Service 10 years after action completed</p>
1.7.2	<p>Records documenting minor investigations into environmental incidents where there has been a possible breach of legislation in relation to relevant environment management regulation that do not have serious or long-term impact on the environment or human health.</p> <p>Includes hazard and incident notifications.</p>	<p>TEMPORARY</p> <p>Destroy 15 years after action completed</p>

1. Environment Management Services

The function of managing the environmental impact of power, water and sewerage distribution and transmission operations within the Northern Territory. Includes monitoring compliance with relevant legislation with regards to environment management.

Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

1.8 Planning

The activities associated with formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions of those needs.

Class No.	Description of Records	Status and Disposal Action
1.8.1	Final version of plans in relation to environmental management services such as the Environmental Management System (EMS), Stakeholder Engagement Strategy, the Environmental Strategy and Environmental Action Plans.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.8.2	Records documenting the development and review of environment management services system and plans. Includes draft versions, advice received from stakeholders and file notes.	TEMPORARY Destroy 10 years after action completed

1. Environment Management Services

The function of managing the environmental impact of power, water and sewerage distribution and transmission operations within the Northern Territory. Includes monitoring compliance with relevant legislation with regards to environment management.

Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

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 set of environmental management services policies such as the Corporate Environment Policy.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.9.2	Records documenting the development of policies relating to environment management services. Includes consultation papers, drafts, policy proposals, research papers and comments	TEMPORARY Destroy 10 years after action completed

1. Environment Management Services

The function of managing the environmental impact of power, water and sewerage distribution and transmission operations within the Northern Territory. Includes monitoring compliance with relevant legislation with regards to environment management.

Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

1.10 Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Class No.	Description of Records	Status and Disposal Action
1.10.1	Master set of procedures and guidelines in relation to environment management services such as Chemical and Hydrocarbon Management Procedures, Environmental Event Reporting Investigation Procedures and Sewerage Spill Procedures.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.10.2	Records documenting the development of procedures and guidelines in relation to environment management services. Includes background research, draft versions of procedures and notes on stakeholder consultation.	TEMPORARY Destroy 10 years after action completed

1. Environment Management Services

The function of managing the environmental impact of power, water and sewerage distribution and transmission operations within the Northern Territory. Includes monitoring compliance with relevant legislation with regards to environment management.

Includes environmental assessments on Power and Water Corporation proposed capital works and third-party development applications, notification of intents, and mandatory reporting to the relevant industry regulatory bodies.

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 an 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	Final versions of mandated statutory reports in relation to environment management services such as the annual report to the National Pollutant Inventory and the National Greenhouse and Energy Report required under Federal legislation.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.11.2	Records documenting the development of statutory reports in relation to environment management services. Includes drafts, statistic reports, spreadsheets and file notes.	TEMPORARY Destroy 3 years after action completed
1.11.3	Records documenting periodic reports in relation to environment management services to the Power and Water Corporation Board and the executive management team.	TEMPORARY Destroy 5 years after action completed