

**Records Disposal Schedule  
Water Resource Management  
Department of Natural Resources, Environment,  
the Arts and Sport**

**Disposal Schedule No. 2009/11**

**October 2009**

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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 Water Resource Management of the Department of Natural Resources, Environment, the Arts and Sport.

### Scope

Application of this Disposal Schedule is mandatory for Water Resource Management records of the Department of Natural Resources, Environment, the Arts and Sport.

This Disposal Schedule applies to Water Resource Management 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:

- ▶ Water Act 2008
- ▶ Water Regulations 2008
- ▶ 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 the Department of Natural Resources, Environment, the Arts and Sport
- ▶ current authorised disposal schedules for Department of Natural Resources, Environment, the Arts and Sport
- ▶ \* 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\* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).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 Natural Resources, Environment, the Arts and Sport 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 (The Archives Service), Director of Information Strategy (The Records Service), and the Chief Executive of the Department of Natural Resources, Environment, the Arts and Sport on 6<sup>th</sup> October 2009 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 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 Records Service.

### **Acknowledgment**

The NT Archives Service and the NT Records Service acknowledges that material produced by National Archives of Australia, State Records Authority of New South Wales and Standards Australia was used in the development of this schedule.

The schedule was drafted principally by the Department of Natural Resources, Environment, the Arts and Sport in consultation with the NT Records 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 Records 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 Records 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

## DISPOSAL SCHEDULE

### 1. WATER RESOURCE MANAGEMENT

The function of measuring, assessing and managing the surface and groundwater resources of the Northern Territory, including drilling and bore testing to enable effective planning for allocation, use, control and protection of water resources. Includes granting and monitoring of permits and licences for groundwater or surface water extraction and drilling.

#### 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 the receipt and provision of advice on significant policy developments such as hydrology strategies concerning the management, usage, conservation, allocation of or access to water resources. Includes ministerial, reports and current issue briefs.  | PERMANENT<br><br>Transfer to the NT Archives Service 4 years after action completed |
| 1.1.2     | Records relating to the receipt and provision of routine advice regarding the management, usage, conservation, allocation of or access to water resources that does not concern significant policy development, controversial or innovative practices. May include advice regarding development and improvement of water supplies or land drainage.<br><br>Use GOVERNMENT RELATIONS – ADVICE for the activities associated with the provision of advice to other governments and NTG agencies such as the Department of Regional Development, Primary Industries and Resources regarding mining and petroleum permits and water quality standards. | TEMPORARY<br><br>Destroy 5 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.

## 1. WATER RESOURCE MANAGEMENT

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### 1.2 AUTHORISATION

The process of seeking and granting permission to undertake requested action.

| Class No. | Description of Records   | Status and Disposal Action   |
|-----------|--|--|
| 1.2.1     | Records relating to appointments and delegations of powers given in accordance with legislative responsibilities by the Minister to be the Controller of Water Resources. Includes copies of gazettal notices.   | PERMANENT<br><br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.2.2     | Records relating to appointments and delegations of powers given in accordance with legislative responsibilities by the Controller of Water Resources to authorised officers for the purposes of the Act. Includes notification of functions, duties and protections.  | PERMANENT<br><br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.2.3     | Records relating to approvals and declarations by the Minister to declare coastal waters to be tidal, bore construction, ground water extraction, surface water extraction, declare any land not already a waterway, construct or alter works (dams/ interference with a water way) areas and water allocation plans. May also include exemptions relating to a bore or to drainage water and waste. | PERMANENT<br><br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.2.4     | Records relating to applications for permits such as bore construction, ground water extraction, waste discharge, surface water extraction, construct or alter works (dams/ interference with a water way) where the request is approved. Includes applications and supporting documentation.  | TEMPORARY<br><br>Destroy 5 years after expiry of permit                            |
| 1.2.5     | Records relating to applications for permits such as bore construction, ground water extraction, waste discharge, surface water extraction, construct or alter works (dams/ interference with a water way) where the request is not approved. Includes applications and supporting documentation. May also include application for review.   | TEMPORARY<br><br>Destroy 2 years after action completed                            |
|           | Use WATER RESOURCE MANAGEMENT – COMPLIANCE for the activities associated with monitoring approved licenses and permits.  |  |

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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

| Class No. | Description of Records   | Status and Disposal Action   |
|-----------|--|--|
| 1.3.1     | Records relating to the establishment of advisory Committees such as the Water Resources Review Panel for the purpose of considering and advising the Minister on actions of the Controller.<br><br>Includes protections, appointments and resignations  | PERMANENT<br><br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.3.2     | Records relating to meetings of the Water Resources Review Panel.<br><br>Includes agenda, final versions of minutes, advice, proposals, reports, and/or recommendations, copies of gazette notifications and supporting papers such as briefing papers and discussion papers.  | PERMANENT<br><br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.3.3     | Records relating to meetings of advisory committees such as the Drillers' Qualifications Advisory Committee and Water Advisory Committees established for the purposes of managing water and water resources.<br><br>Includes appointments and resignations, agenda, final versions of minutes, advice, proposals, reports, and/or recommendations, copies of gazette notifications and supporting papers such as briefing papers and discussion papers. | PERMANENT<br><br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.3.4     | Records relating to meetings of external committees attended by the agency to consider water resources issues.<br><br>Includes agenda, final versions of minutes, advice, proposals, reports, and/or recommendations and discussion papers.  | TEMPORARY<br><br>Destroy 5 years after action completed                            |

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### 1.4 COMPLIANCE

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards

| Class No. | Description of Records  | Status and Disposal Action   |
|-----------|---|--|
| 1.4.1     | Records relating to monitoring for compliance of granted licenses or permits conditions regarding water resources management where a serious breach has occurred. Includes copy of license, permit and evaluation reports. May also include notifications requested by the Controller.  | PERMANENT<br><br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.4.2     | Records relating to monitoring for compliance of granted licenses or permits conditions regarding water resources management where no serious breach has occurred. Includes copy of license, permit and evaluation reports. May also include notifications requested by the Controller. | TEMPORARY<br><br>Destroy 10 years after action completed                           |
| 1.4.3     | Records relating to monitoring for compliance of granted consents, licenses and permits with water quality standards relating to beneficial use and waste water requirements. Includes directions given by the Controller and specified criteria.                                       | PERMANENT<br><br>Transfer to NT Archives<br>Service 4 years after action completed |
|           | Use LEGAL SERVICES – LITIGATION for the activities associated with the prosecution for non compliance to legislative and regulatory requirements.   |  |
|           | Use WATER RESOURCE MANAGEMENT – AUTHORISATION for the activities associated with authorisation of licences and permits for water resource management.   |  |

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### 1.5 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>  |
|------------------|--|--|
| 1.5.1            | Registers of licenses and permits issued under the Water Act. Includes conditions, renewals, variations, surrenders, cancellations and suspensions.                  | PERMANENT<br>Transfer to NT Archives<br>Service 4 years after action completed |
| 1.5.2            | Register of identity cards issued to authorised officers for the purposes of the Water Act. Includes date of termination of appointment and return of identity card. | TEMPORARY<br>Destroy 7 years after last entry                                  |
| 1.5.3            | Identity cards issued to officers.   | TEMPORARY<br>Destroy when card returned and register updated                   |

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### 1.6 INVESTIGATIONS

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

| Class No. | Description of Records  | Status and Disposal Action   |
|-----------|---|--|
| 1.6.1     | Records relating to water resources investigations initiated by the Controller to enable effective planning for water resource development and environmental protection. Includes collection, collation and analysis of data such as sample and analytical information. May also include compensation and liability damage details. | PERMANENT<br><br>Transfer to NT Archives<br>Service 4 years after action completed<br><br>1 copy of report to be deposited in agency library |
| 1.6.2     | Records relating to investigations of unauthorised works such as dam construction, water storage and use of water and unlicensed extraction of ground water. Includes notifications of matters to be dealt with by courts, copies of payments and withdrawal of infringement notices.   | TEMPORARY<br><br>Destroy 10 years after action completed   |
| 1.6.3     | Records relating to investigations of unlicensed drillers. Includes infringement notices.   | TEMPORARY<br><br>Destroy 5 years after action completed  |
|           | Use WATER RESOURCE MANAGEMENT – COMPLIANCE for records relating to investigations of authorised licence and permit holders.   |  |

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### 1.7 PLANNING

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs

| <b>Class No.</b> | <b>Description of Records</b>  | <b>Status and Disposal Action</b>                       |
|------------------|--|---|
| 1.7.1            | Records relating to the development and review of water allocation plans. Includes recommendations and copies of gazettal notices. | TEMPORARY<br><br>Destroy 15 years after plan superseded |
| 1.7.2            | Working papers of records relating to the development of management and water allocation plans.                                    | TEMPORARY<br><br>Destroy when reference ceases          |
|                  | Use STRATEGIC MANAGEMENT – PLANNING for the records relating to Water Resources business plan.                                     |   |

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### 1.8 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.

| Class No. | Description of Records  | Status and Disposal Action   |
|-----------|---|--|
| 1.8.1     | Records relating to the development of technical reports such as soil drainage, rehabilitation and water resources. Includes copy of final report and collated research data.   | TEMPORARY<br><br>Destroy 10 years after action completed 1 copy of report to be deposited in agency library        |
| 1.8.2     | Records relating to the development of analytical reports such as volume flow, gauging and flood potential of water resources in the Northern Territory. Includes copy of final report and collated research data.  | TEMPORARY<br><br>Destroy 10 years after action completed<br><br>1 copy of report to be deposited in agency library |
| 1.8.3     | Records relating to research data that has been used to achieve the final report. Includes enquiries, literature searches, questionnaires, statistics, surveys and working papers and other raw data.<br><br>Use PUBLISHING – COMPLIANCE for the activities associated with the lodgement of the legal deposit publication.<br><br>Use PUBLISHING - PRODUCTION for records relating to the production of the units publications (hard copy or electronic). Includes the final report.<br><br>Use WATER RESOURCE MANAGEMENT – COMPLIANCE for reports relating to the granted licenses, consents and permits. | TEMPORARY<br><br>Destroy when reference ceases   |

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### **1.9 STANDARDS**

The process of developing and reviewing of industry or whole of government benchmarks to improve and enhance an organizations processes and/or services.

| <b>Class No.</b> | <b>Description of Records</b>   | <b>Status and Disposal Action</b>   |
|------------------|---|---|
| 1.9.1            | Records relating to the development, approval and review of compliance programs to support water flowing or contained in a waterway; ground water, or tidal water. Includes recommendations, preliminary review findings reports and copies of submissions. | TEMPORARY<br><br>Destroy 10 years after action completed<br><br>1 copy of standards to be deposited in agency library |

