

**Records Disposal Schedule  
Environmental Services  
Power and Water Corporation**

**Disposal Schedule No. 2009/12**

**November 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 Environmental Services of the Power and Water Corporation.

### **Scope**

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

This Disposal Schedule applies to Environmental Services records in all formats, including electronic records and records in business systems, copies of records and parts of records of the Northern Territory Government.

### **Regulatory Framework**

The regulatory basis for this Disposal Schedule is defined in:

- ▶ Information Act
- ▶ Australian Standards AS ISO 15489 Records Management
- ▶ Aboriginal Lands Act
- ▶ Agriculture and Veterinary Chemicals (Northern Territory) Act
- ▶ Bushfires Act
- ▶ Coburg Peninsular Aboriginal Land and Sanctuary Act and Marine Park Act
- ▶ Control of Roads Act
- ▶ Crown Lands Act
- ▶ Dangerous Goods Act
- ▶ Dangerous Goods Regulations
- ▶ Electricity Reform Act
- ▶ Energy Pipelines Act
- ▶ Environmental Assessment Act
- ▶ Environmental Offences and Penalties Act 1996
- ▶ Fisheries Act
- ▶ Heritage Conservation Act
- ▶ Jabiru Town Development Act
- ▶ Litter Act
- ▶ Local Government Act
- ▶ Marine Pollution Act
- ▶ Motor Vehicles (Standards) Regulations – Australian Vehicle Standard Rules
- ▶ National Environmental Protection Council (Northern Territory) Act
- ▶ National Trust Northern Territory Act
- ▶ Nitmuluk (Katherine Gorge) National Park Act
- ▶ Northern Territory Aboriginal Sacred Sites
- ▶ Parks and Wildlife Commission Act
- ▶ Pastoral Land Act
- ▶ Planning Act 1993
- ▶ Power and Water Corporation Act
- ▶ Public Health Act
- ▶ Soil Conservation and Land Utilisation Act
- ▶ Summary Offences Act
- ▶ Territory Parks and Wildlife Conservation Act
- ▶ Waste Management and Pollution Act
- ▶ Water Act
- ▶ Water Supply and Sewerage Services Act
- ▶ Weeds Management Act 2001
- ▶ Work Health and Safety Act 2007

## Related Documents

This Disposal Schedule is to be read in conjunction with:

- ▶ NT Government Records Management Standard – Records Disposal
- ▶ policies and procedures of the Power and Water Corporation
- ▶ current authorised disposal schedules for Power and Water Corporation
- ▶ 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 Managing Director of the Power and Water Corporation 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 Managing Director of Power and Water Corporation on 13<sup>th</sup> November 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 –

- ▶ General Disposal Schedule for Financial Management Records,
- ▶ General Disposal Schedule for Human Resource Management Records,
- ▶ the General Disposal for Administrative Records,
- ▶ 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.

## Re-sentencing Records

All records sentenced under superseded disposal schedule for Environmental Services 2004/8 are to be re-sentenced using this schedule.

## 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 not 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 acknowledge 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 Power and Water Corporation 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. ENVIRONMENTAL SERVICES

The function of assisting the Power and Water Corporation to minimise the environmental impact of the organisations activities whilst complying with relevant legislation and standards by developing and implementing polices and supporting procedures; providing advice to business units on how to comply with environmental polices; conducting audits against relevant legislation, regulations and standards; evaluating the environmental effects of development of proposals or projects; conducting investigations on breaches of legislation and other standards; convening environmental committees for Power and Water Corporation; providing representation on Territory and national environmental committees; liaising with business, industry, other governments and environmental non-government organisations; assisting business units with environmental planning activities; preparing and submitting reports on environmental impacts including the greenhouse effect.

#### 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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.1.1	Records relating to strategic and technical advice provided internally regarding compliance with environmental legislation, policy and standards on major environmental impacts.  Includes remediation and hazard waste management.	PERMANENT  Transfer to the NT Archives Service 20 years after action completed
1.1.2	Records relating to routine advice and opinions provided internally regarding minor environmental impacts.  Includes handling of minor hazardous materials such as batteries.	TEMPORARY  Destroy 20 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 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 to 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 relating to environment audits conducted by Power and Water Corporation on contaminated sites.  Includes details of locations, property owner, land use and zoning, type of contaminants, date, audit results and outcomes.	PERMANENT  Transfer to the NT Archives Service 20 years after action completed
1.2.2	Records relating to environmental audits conducted by an independent accredited auditor on Power and Waters performance against relevant industry codes of practice.	PERMANENT  Transfer to the NT Archives Service 20 years after action completed
1.2.3	Records relating to audits on the environmental management system conducted to ensure Power and Water Corporation's compliance with international standards.	PERMANENT  Transfer to NT Archives Service 20 years after action completed

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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 committees establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

Class No.	Description of Records	Status and Disposal Action
1.3.1	<p>Records relating to activities of the Environment Committee convened to monitor compliance with environmental policies and facilitate interaction between the Power and Water Corporations Board and senior managers on environmental issues.</p> <p>Includes original agendas, appointments, attendance, briefing and discussion papers, minutes, reports and submissions.</p>	<p>PERMANENT</p> <p>Transfer to the NT Archive 6 years after action completed</p>
1.3.2	<p>Records relating to membership of environmental committees convened by external bodies e.g. Electricity Supply Association.</p> <p>Includes copies of agendas, appointments, attendance, briefing and discussion papers, minutes, reports and maintenance.</p>	<p>TEMPORARY</p> <p>Destroy 6 years after action completed</p>

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### 1.4 ENVIRONMENTAL ASSESSMENTS

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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.4.1	<p>Records relating to preparation and submission of assessments of the environmental impacts of Power and Water Corporation building proposals such as power lines and substations,</p> <p>Includes notices of intent, public environment reports and environmental impact statements submitted to the NT environmental regulator.</p>	<p>PERMANENT</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

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### 1.5 INCIDENT RESPONSE

The activities involved in responding to incidents or issues including notification, investigation, remediation and preparation of reports and follow up activities. Includes major or minor incidents contributed by natural occurrences, accidents, toxic contamination waste disposal.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.5.1	Records relating to pollution incidents, where damage to the environment has occurred through hazards, toxic contamination and waste disposal.  Includes incidents caused by natural occurrences or human intervention and reporting of incidents to regulator.	PERMANENT  Transfer to the NT Archives Service 20 years after action completed

## **1 ENVIRONMENTAL SERVICES**

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### **1.6 INVESTIGATIONS**

The activities associated with the acts or processes involved in ascertaining fact by inquiry or examination.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.6.1	Records relating to investigations into Power and Water Corporation for pollution incidents and serious breaches of compliance requirements in relation to environmental legislation, regulations, standards and policies.	PERMANENT  Transfer to the NT Archives Service 6 years after action completed

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### 1.7 LIAISON

The activities associated with maintaining regular general contact between the organisation and others, including professional associations; professionals in related fields; private sector organisations; community groups and individuals. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.7.1	Records relating to liaison with business, industry, other governments and environmental non-government organisations on issues relating to minimising the environmental impact of the activities of Power and Water Corporation.	TEMPORARY Destroy 6 years after action completed

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### 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	<p>Records relating to assistance provided to business units in the development of environmental plans and strategies.</p> <p>Includes copies of final plans.</p> <p>Use STRATEGIC MANAGEMENT - PLANNING for overall planning to achieve corporate objectives</p>	<p>PERMANENT</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

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### **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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.9.1	Records relating to developing and reviewing Power and Water Corporations environmental policies in consultation with business units as part of the environment management system.	PERMANENT  Transfer to the NT Archives Service 6 years after policy superseded

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### 1.10 REPORTING

The activities 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. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.10.1	<p>Records relating to preparation and submission of environment reports to the NT environmental regulator and the Commonwealth Government.</p> <p>Includes annual reports of emissions of prescribed substances to land, air and water that are included in the National Pollutant Inventory and reports of Greenhouse Gas Emissions. Includes copies of final reports.</p>	<p>PERMANENT</p> <p>Transfer to the NT Archives Service 20 years after action completed</p>

