

**Records Disposal Schedule  
Indigenous Essential Services  
Power and Water Corporation**

**Disposal Schedule No. 2009/3**

**May 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 Indigenous Essential Services, a wholly owned subsidiary of Power and Water Corporation.

### Scope

Application of this Disposal Schedule is mandatory for Indigenous Essential Services Pty Ltd.

This Disposal Schedule applies to Indigenous Essential 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 2002
- ▶ Australian Standards AS ISO 15489:2002-Records Management
- ▶ Government Owned Corporations Act
- ▶ Consumer Affairs and Fair Trading
- ▶ Power and Water Corporation Act
- ▶ Utilities Commission Act
- ▶ Contracts Act
- ▶ Financial Management Act
- ▶ Electronic Transactions (Northern Territory) Act
- ▶ Evidence Act
- ▶ Evidence (Business Records) Interim Arrangements Act
- ▶ Limitations Act
- ▶ Public Sector Employment and Management Act and subordinate legislation

- ▶ Companies Act /Australian Corporations Legislation
- ▶ Trade Practices Act
- ▶ Energy Pipelines Act

### 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)
- ▶ Disposal Schedule for Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN).

\*Note that schedule 6 of this schedule (covering information Management) has\*been superseded by the Disposal Schedule for Information Management Records of the Northern territory Government – Disposal Schedule No 2003/2 (IM)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 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 and the Managing Director of the Power and Water Corporation on 15 May 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 Archives Service.

### **Acknowledgment**

The NT Archives 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 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. INDIGENOUS ESSENTIAL SERVICES

The function of delivering sustainable water supply, sanitation and energy solutions to remote Indigenous communities within the Northern Territory includes the generation of power, supply of water and sewerage, and waste water treatment.

#### 1.1 AGREEMENTS

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements and/or exchange of letters between two parties.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.1.1	<p>Final versions of signed agreements, under seal, made between Power and Water Corporation and Indigenous communities to supply essential services.</p> <p>Includes the development, negotiation, maintenance and review of agreements.</p>	<p>PERMANENT</p> <p>Transfer to NT Archives Service 10 years after agreement expires</p>

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. INDIGENOUS ESSENTIAL SERVICES

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### 1.2 COMMITTEES

The activities associated with the management of committees, boards and task forces (internal and external, private, local State, Commonwealth etc).

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.2.1	<p>Records relating to committees or Boards convened by Power and Water and Indigenous Essential Services.</p> <p>Includes records relating to the establishment of the committee, its terms of reference, memorandum of understanding etc, records of nomination, appointment, resignation or termination of members, authorisations by the organisation to participate, agenda and minutes, advice and briefing papers, submissions and reports, recommendations and resolutions, correspondence arising from business discussed, or resolutions passed.</p>	<p>TEMPORARY</p> <p>Destroy 15 years after action completed</p>
1.2.2	<p>Records relating to internal and external committees formed to consider matters relating to the information management function of the board.</p> <p>Includes copies of agendas, documents establishing the committee, it's terms of reference final versions of minutes, reports, recommendations, and supporting documents such as briefing papers and discussion papers.</p>	<p>TEMPORARY</p> <p>Destroy 5 years after committees or membership dissolve</p>

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## 1. INDIGENOUS ESSENTIAL SERVICES

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### 1.3 COMPANY ADMINISTRATION

The activities associated with the administration and management of Power and Water's wholly owned subsidiary companies by the Company Secretary.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.3.1	Records relating to the management and maintenance of the statutory registers.  Includes, appointment documentation and reports, terms of reference, resignations, and annual reports to the Australian Securities and Investment Commission (ASIC).	TEMPORARY  DESTROY 15 years after action completed
1.3.2	Records relating to income, expenditure, invoices, leases, banking and investments, for the company and the company's relationship to shareholders.	TEMPORARY  Destroy 5 years after company has been dissolved

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## 1 INDIGENOUS ESSENTIAL SERVICES

The function of delivering sustainable water supply, sanitation and energy solutions to remote Indigenous communities within the Northern Territory includes the generation of power, supply of water and sewerage, and waste water treatment.

### 1.4 COMPLIANCE

The activities associated with complying with, or monitoring compliance with, mandatory or optical accountability, fiscal, legal, regulatory or quality standards or requirements.

Includes compliance with legislation and with national and international standards such as AS ISO 15489 and ISO 9000.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records relating to the organisations compliance with mandatory or optional standards regarding the generation of power, supply of water and sewerage, and waste water treatment to remote areas.  Includes legislation requirements, failure to comply with codes, advancing credit, monitoring and auditing.	TEMPORARY  Destroy 20 years after action completed
1.4.2	Records relating to serious breaches or non-compliance or failure to meet compliance requirements.  Includes monitoring and audit of serious breaches, recommendations for investigation, outcomes and reporting actions for serious breaches which could result in serious injury or death. Legislation requirements, failure to comply with codes, advancing credit, engaging in discriminatory arrangements and use of market power to damage competitor.	TEMPORARY  Destroy 15 years after action completed
1.4.3	Records relating to compliance requirements in the delivery of sustainable water supply, sanitation and energy solutions to remote indigenous communities throughout the Northern Territory.  Includes third party access, and non serious compliance issues.	TEMPORARY  Destroy 4 years after action completed

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## **1 INDIGENOUS ESSENTIAL SERVICES**

The function of delivering sustainable water supply, sanitation and energy solutions to remote Indigenous communities within the Northern Territory includes the generation of power, supply of water and sewerage, and waste water treatment.

### **1.5 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 formal advice and discussions, membership of professional associations.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.5.1	Records relating to contact with professional associations.  Includes the sharing of informal advice, informal discussions and membership.	TEMPORARY  Destroy 7 years after action completed

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### **1.6 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 or investigation.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.6.1	<p>Periodic reports on specific projects and summary reports of information on all current projects (including monthly reports)</p> <p>Includes agenda, briefings, business discussion papers, proposals, reviews and returns.</p>	<p>TEMPORARY</p> <p>Destroy 15 years after action completed</p>

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### **1.7 SUBMISSIONS**

The preparation and submission of a formal statement (e.g. report, statistics, etc.) supporting a case or opinion held by the organisation which is submitted to another organisation, or within the organisation, for the purpose of either gaining support or obtaining approval.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.7.1	Ministerial, Legislative Assembly briefings and/or Cabinet Submissions and records relating to the development of such Submissions.	PERMANENT  Transfer to NT Archive Service 4 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.

