

RECORDS DISPOSAL SCHEDULE

Energy Management

**Department of Infrastructure, Planning
& Environment**

Disposal Schedule No. 2005/2

6 April 2005



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|-------------------------------------|-------------------------------------|----------------|----|
| TABLE OF CONTENTS | | | |
| ABOUT THIS DISPOSAL SCHEDULE | 2 | 1.11 RESEARCH | 16 |
| Purpose | 2 | 1.12 STANDARDS | 17 |
| Scope | 2 | | |
| Regulatory Framework | 2 | | |
| Related Documents | 2 | | |
| Responsibility | 3 | | |
| Authority | 3 | | |
| Explanation | 3 | | |
| NT Government Disposal Schedules | 3 | | |
| Sentencing Records | 3 | | |
| Re-sentencing Records | Error! Bookmark not defined. | | |
| Normal Administrative Practice | 4 | | |
| Notification of Destruction | 4 | | |
| Acknowledgment | 4 | | |
| COMPLIANCE | 5 | | |
| Compliance Checklist | 5 | | |
| 1.ENERGY MANAGEMENT | 6 | | |
| 1.1 ADVICE | 6 | | |
| 1.2 CLIENT SERVICE | 7 | | |
| 1.3 COMMITTEES | 8 | | |
| 1.4 CONFERENCES | 9 | | |
| 1.5 CONTRACTING-OUT | 10 | | |
| 1.6 EVALUATION | 11 | | |
| 1.7 LIAISON | 12 | | |
| 1.8 MARKETING AND PROMOTION | 13 | | |
| 1.9 POLICY | 14 | | |
| 1.10 PROJECT MANAGEMENT | 15 | | |



ABOUT THIS DISPOSAL SCHEDULE

Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of records of the Energy Management and activities of the Department of Infrastructure, Planning and Environment.

Scope

Application of this Disposal Schedule is mandatory for energy management records of the Department of Infrastructure, Planning and Environment.

This Disposal Schedule applies to the energy 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:

- Building Code of Australia
- 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 Infrastructure, Planning and Environment
- current authorised disposal schedules for the Department of Infrastructure, Planning and Environment
- * 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 Infrastructure, Planning and Environment is responsible for the content and implementation of this Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Disposal Schedule was approved by the Director of the NT Archives Service and the Chief Executive of the Department of Infrastructure, Planning and Environment in April 2005 and is effective immediately.

Explanation

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

Records disposal schedules are policy documents that describe each class of records held, using thesaurus classifications based on business analysis. The schedules set out minimum requirements for the creation, maintenance, retention or destruction actions to be taken in relation to existing or future records described in each class.

Either permanent or temporary status is assigned to each class of records. Records appraised with permanent status have been identified as archives and must be transferred to 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 wishes to acknowledge the use of material produced by National Archives of Australia, State Records Authority of New South Wales and Standards Australia in the development of this schedule.

The schedule was drafted principally by the Department of Infrastructure, Planning and Environment in consultation with the NT Archives Service.

This work is copyright. Apart from any use as permitted under the Copyright Act 1968, no part may be reproduced by any process without prior written permission of the NT Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, NT Archives Service. The terms in the business classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998, and are produced under a licence agreement between the Northern Territory Archives Service and the State Records Authority of New South Wales.)



COMPLIANCE

Compliance Checklist

- Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records
- Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the NT Archives Service
- Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records
- Identify and sentence all records described in this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Apply this records disposal schedule to records in the organisation's records management systems, including systems for the management of paper records, electronic records, or records in any other format
- Apply this records disposal schedule to records in the organisation's business systems, either directly or by linking the business system to a records management system
- Implement quality assurance mechanisms to periodically check that the disposal class originally assigned at the creation of the records is still applicable at the time of sentencing of the record
- Implement review or quality control procedures in electronic recordkeeping systems to ensure disposal actions are implemented correctly.
- Identify records series that require re-sentencing
- Stop applying sentences from previous schedules that have been revoked or amended
- Retain all records in good order and condition to be available for retrieval during the retention period.
- Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
- Select and implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form migration to new systems conversion to long term medium
- Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Transfer records of permanent value to the NT Archives Service not later than 30 years after creation for retention as archives
- Inactive records can be transferred to offsite service providers providing they have been sentenced
- Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
- Notify the NT Archives Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule unless they are ephemeral documents that are obviously duplicate and/or unimportant



1. ENERGY MANAGEMENT

The functions of:

- providing advice and recommendations to Government agencies and the community on energy management issues;
- reporting whole of government progress against NT Government energy management policies;
- promoting best practice energy management to Government agencies and the community;
- developing and managing energy management capital works and new works programs;
- developing and implementing policies and building energy performance standards to ensure the energy efficiency of new and existing works;
- coordinating and managing energy audits through consultancy services.

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 formal advice given to NT Government Agencies, including the Minister, on energy efficient design of NT Government building assets. Eg: Reducing energy use, energy costs and greenhouse gas emissions. | PERMANENT Transfer to NT Archives Service 4 years after action completed. |
| 1.1.2 | Records relating to routine advice and opinions given and received on energy management matters. | TEMPORARY Destroy 10 years after action completed. |

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1.2 CLIENT SERVICE

The activities associated with the planning, monitoring and evaluating of services provided to clients by the organisation.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|--|---|
| 1.2.1 | Records relating to client surveys produced to determine client needs and satisfaction. | TEMPORARY Destroy 6 years after action completed. |
| 1.2.2 | Survey data used by energy management services to determine client needs and satisfaction. Including questionnaires and other raw data. | TEMPORARY Destroy 1 year after production of report. |

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1.3 COMMITTEES

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

| Class No. | Description of Records | Status and Disposal Action |
|------------------|--|---|
| 1.3.1 | Records relating to energy management committees convened by Energy Management Services. Including discussion papers, minutes, reports, agendas, technical papers, agreements and responses to energy management issues made on behalf of the Northern Territory. Eg: Government Energy Management Program (GEMP) Steering Committee, Energy Management Committee. | PERMANENT Transfer to NT Archives Service 4 years after action completed. |
| 1.3.2 | Records relating to other committees attended to discuss energy management issues. Including minutes, agendas and discussion papers. Eg: Technical Advisory Committee – AccuRate/NatHERS, National Steering Committee for the Australian Greenhouse Building Rating Scheme. | TEMPORARY Destroy 6 years after action completed. |

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1.4 CONFERENCES

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

| Class No. | Description of Records | Status and Disposal Action |
|------------------|---|---|
| 1.4.1 | Master copies of proceedings of conferences convened by the agency involving the industry, including papers presented by agency staff. | PERMANENT Transfer to NT Archives Service 4 years after action completed. |
| 1.4.2 | Records relating to agency attendance at conferences or the administrative arrangements of conferences organised by the agency, including catering, draft programs, proceedings, publicity, speakers, travel arrangements, topics and venues. | TEMPORARY Destroy 2 years after conference. |

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1.5 CONTRACTING-OUT

The activities involved in arranging, procuring and managing the performance of work or the provision of services by a contractor, consultant, service provider, or by using external bureau services. Includes work done under contractual agreements and service agreements made under contract. Sometimes referred to as outsourcing.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|---|--|
| 1.5.1 | Records relating to the engagement of consultants and other contractors. Including energy audits, technical investigations, and specification development. | TEMPORARY Destroy 7 years after completion of contract. |

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1.6 EVALUATION

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

| Class No. | Description of Records | Status and Disposal Action |
|------------------|--|-----------------------------------|
| 1.6.1 | Database to monitor and report on energy use in NT Government assets. Databases containing details of: Building energy use cost, energy consumption, greenhouse gas emissions data, relevant building information for benchmarking such as floor areas, departmental reporting such as who pays for energy, reports on investigations, checking savings achieved by individual projects and the energy management program in general. | PERMANENT Retain in Agency. |

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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.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|--|--|
| 1.7.1 | Records relating to contact with non-NT Government bodies ie professional associations, private sector organisations and community groups in regard to energy management and environmental matters, including the sharing of informal advice, informal discussions, and membership of professional associations. | TEMPORARY Destroy 3 years after action completed. |

Use ADVICE for NT Government Agencies.

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- developing and implementing policies and building energy performance standards to ensure the energy efficiency of new and existing works;
- coordinating and managing energy audits through consultancy services.

1.8 MARKETING AND PROMOTION

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

| Class No. | Description of Records | Status and Disposal Action |
|------------------|---|--|
| 1.8.1 | Master set of promotion material. Eg. Pamphlets and videos promoting energy management and Energy Management Services. | PERMANENT Retain in Agency. |
| 1.8.2 | Records relating to advertising and marketing plans developed to promote energy management activities and services. Including presentations for NT Government agencies. | TEMPORARY Destroy 5 years after action completed. |
| 1.8.3 | Records relating to advertising campaigns, arrangements for distribution of advertising/promotional material, and the development and provision of energy management souvenirs. | TEMPORARY Destroy 2 years after action completed. |

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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.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|--|---|
| 1.9.1 | Master set of energy management policy documents. | PERMANENT Transfer to NT Archives Service 4 years after action completed. |
| 1.9.2 | Records relating to supporting documentation of policies developed for the energy management function. Includes consultation papers, drafts, policy proposals, reports, research papers, and master set of comments received. Eg: Government Energy Management Policy. | TEMPORARY Destroy 10 years after policy is superseded. |
| 1.9.3 | Records relating to comments on another agency's policy or whole of government policies provided by agencies other than the coordinating agency. | TEMPORARY Destroy 2 years after action completed |
| 1.9.4 | Duplicate copies of policy documents. | TEMPORARY Destroy when reference ceases. |

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1.10 PROJECT MANAGEMENT

The activities and techniques associated with managing the achievement of project goals and objectives, including ongoing project planning, resource management and reporting. Add the project name as free text.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|---|--|
| 1.10.1 | Records relating to the development, definition and management of approved energy management capital works and new works projects on a program level. | TEMPORARY Destroy 6 years after action completed. |
| 1.10.2 | Records relating to the development, definition and management of not approved energy management capital works and new works projects on a program level. | TEMPORARY Destroy 2 years after action completed. |

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1.11 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 enquires relating to organisational programs, projects, working papers, literature searches etc. Add the name of the research topic as free text.

| Class No. | Description of Records | Status and Disposal Action |
|------------------|--|--|
| 1.11.1 | Records relating to research into the development and advising on projects, standards and guidelines for energy management purposes. Eg: Research into Air Conditioning, Building Envelopes, Lifts, Insulation, Lighting, Office Equipment, Remote Area Power Systems, Fuel Costs, Gas, etc. | TEMPORARY Destroy 5 years after action completed. |

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1.12 STANDARDS

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

| Class No. | Description of Records | Status and Disposal Action |
|------------------|---|--|
| 1.12.1 | Records relating to development and reviewing of energy management standards and guidelines developed and implemented by Energy Management Services. Including technical standards for equipment specifications and energy management standards and guidelines. | PERMANENT Transfer to NT Archives Service 4 years after action completed. |
| 1.12.2 | Copy of energy management standards. | TEMPORARY Destroy once reference ceases. |

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DEPARTMENT OF CORPORATE
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