



Records disposal schedule

Records Disposal Schedule Power Generation Power Generation Corporation Trading As Territory Generation

Disposal Schedule No. 2015/17

September 2015

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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 (http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records_disposal), 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.

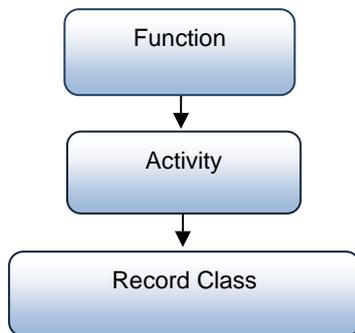
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

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 NT 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 NT 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 NT 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 NT 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 Power Generation of the Territory Generation.

Scope

Application of this Records Disposal Schedule is mandatory for Power Generation records of the Territory Generation.

This Records Disposal Schedule applies to Power Generation records in all formats.

Responsibility

The Chief Executive of the Territory Generation 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*.

Disposal Schedule No. 2015/17 was approved by the Director of the NT Archives Service (The Archives Service), Senior Director of ICT Policy and Governance (The Records Service), and the Chief Executive Officer of the Territory Generation on 18 September 2015 and is effective immediately.

Regulatory Framework

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

- *Power Generation Corporation Act*
- *Government Owned Corporations Act*
- *Electricity Reform Act*
- *Water Act*
- *Australian Energy Market Commission Establishment Act 2004*
- *National Greenhouse and Energy Reporting Act 2007*
- *Information Act*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489:2002-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 Territory Generation
- current authorised disposal schedules for Territory Generation

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

Provide formal notification of destruction of all records to the NT Records Service.

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 NT Archives Service and the NT 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.

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 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

1. Power Generation

The function of generating, acquiring and supplying electricity on commercial terms. Includes the acquisition, transportation and supply of energy sources from which electricity may be generated, including maintaining and upgrading assets owned by the Corporation as required under the *Power Generation Corporation Act 2014*.

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 documenting formal advice provided to and from the Minister and other government and industry bodies on matters relating to the power generation function, including directions and reports given to and by the Shareholding Minister to Territory Generation. Includes briefing notes, minutes and gazette notices.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.1.2	Records documenting routine advice in relation to power generation such as power outages.	Temporary Destroy 3 years after action completed
	Use Administrative Functions of the Northern Territory Government 2013/5 – 0.8 Contracting Out for the activities associated with the management of contracts.	
	Use Administrative Functions of the Northern Territory Government 2013/5 – 0.16 Tendering for the activities associated with the tendering process.	
	Use Administrative Functions of the Northern Territory Government 2013/5 – 3.7 Insurance for the activities associated with processing of claims for damage to equipment and stores.	

1. Power Generation

The function of generating, acquiring and supplying electricity on commercial terms to the Territory market. Includes the acquisition, transportation and supply of energy sources from which electricity may be generated, including maintaining and upgrading assets owned by the Corporation as required under the *Power Generation Corporation Act 2014*.

1.2 Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards and/or exchange of letters between parties, as well as informal agreements.

Class No.	Description of Records	Status and Disposal Action
1.2.1	<p>Records documenting the establishment, negotiation, maintenance and review of agreements such as fuel supply, electricity supply, joint ventures and network service providers in relation to power generation made between the corporation, other government departments, and industry bodies, including service level agreements, private land agreements, gas supply and transportation agreements and power purchase agreements.</p> <p>Includes final agreements, service level agreements, legal opinions, drafts and consultation notes.</p>	<p>Temporary Destroy 7 years after expiry of agreement</p>

1. Power Generation

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1.3 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records documenting the nomination of a Shareholding Minister of the Power Generation Corporation or a Portfolio Minister by the Chief Minister.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.3.2	Records documenting approved generation licences for the purpose of power generation issued by the Utilities Commission Northern Territory, including terms and conditions. Includes copies of annual returns, written notices by the Utilities Commission, receipts of prescribed fees,	Permanent Transfer to the NT Archives Service 10 years after action completed
1.3.3	Records documenting waste discharge licences issued by the Northern Territory Environment Protection Authority, including terms and conditions. Includes reports, plans and specifications to the Controller under the <i>Water Act</i> .	Temporary Destroy 10 years after licence expires
1.3.4	Records documenting the delegations of power and functions of the chief executive officer to authorised officers of the corporation.	Temporary Destroy 7 years after authorisation expires / is withdrawn
1.3.5	Records documenting the delegation of powers and functions by the Board to a director of the board, committee of the board or the chief executive officer or any other person.	Temporary Destroy 7 years after authorisation expires / is withdrawn

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1.4 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
1.4.1	Records documenting the establishment of the Territory Generation Board, including appointments of the chairperson, directors, non-executive directors, resignations, terms and conditions. Includes appointments and terminations by the Administrator and acting directors by the Shareholding Minister.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.4.2	Records documenting the meetings of the Territory Generation Board. Includes notices of meetings, agendas, minutes and action items.	Temporary Destroy 10 years after last meeting
1.4.3	Records documenting national committees relevant to power generation where the Corporation is a committee member. Includes copies of discussion papers, agendas and minutes.	Temporary Destroy 10 years after action completed
1.4.4	Records documenting internal and external committees formed to consider matters relating to the function power generation, such as the Audit Committee. Includes documents establishing the committee, final versions of minutes, reports, recommendations and supporting documents such as briefing papers and discussion papers.	Temporary Destroy 5 years after action completed

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1.5 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
1.5.1	Records documenting environment audits conducted by or for Territory Generation on contaminated sites, including audits conducted by independent accredited auditors against the industry's code of practice. Includes site reports, notifications to the Environmental Protection Authority, photos and other related documents.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.5.2	Records documenting major investigations into serious breaches of compliance requirements, including pollution incidents, where damage to the environment has occurred through hazards, toxic contamination and waste disposal. Includes investigation reports, witness statements, photos, extracts of documents and other supporting documentation.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.5.3	Records documenting National Greenhouse and Energy (NGER) Reports to the Australian Government Clean Energy Regulator as required under the <i>National Greenhouse and Energy Reporting Act 2007</i> on greenhouse gas emissions, energy production and energy consumption.	Permanent Transfer to the NT Archives Service 10 years after action completed

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1.5 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
1.5.4	Records documenting minor investigations into breaches of compliance requirements such as waste disposal and pollution incidents. Includes investigation reports, witness statements, photos, extracts of documents and other supporting documentation.	Temporary Destroy 7 years after action completed
1.5.5	Records documenting compliance reports to the Utilities Commission. Includes returns and other related correspondence.	Temporary Destroy 10 years after action completed
1.5.6	Records documenting procurement audits in relation to the power generation function. Includes: <ul style="list-style-type: none"> - final audit report - draft versions of the audit report - copies of procurement policies and procedures - extracts of documents (ie invoices, purchase orders) - copies of tendering policies - copies of tendering documents 	Temporary Destroy 7 years after action completed

1. Power Generation

The function of generating, acquiring and supplying electricity on commercial terms to the Territory market. Includes the acquisition, transportation and supply of energy sources from which electricity may be generated, including maintaining and upgrading assets owned by the Corporation as required under the *Power Generation Corporation Act 2014*.

1.6 Control

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

Class No.	Description of Records	Status and Disposal Action
1.6.1	Environmental Risk Register. Includes: <ul style="list-style-type: none"> - categories - chances - consequences - target action 	Temporary Destroy 10 years after last entry
1.6.2	Tender Register Includes: <ul style="list-style-type: none"> - requests for tender - responses - notices of unsuccessful quotations - attendance at tender briefing sessions and details - future tender opportunities - tenderers contact details - other related correspondence 	Temporary Destroy 6 years after last entry
1.6.3	Contracts Register Includes: <ul style="list-style-type: none"> - contractor details - contract type and particulars - contract value - contract effective dates 	Temporary Destroy 6 years after last entry

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

Class No.	Description of Records	Status and Disposal Action
1.7.1	Final versions of Territory Generation annual reports.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.7.2	Records documenting the development of Territory Generation annual reports. Includes draft versions, consultation notes, statistic reports and other related correspondence.	Temporary Destroy 5 years after action completed
1.7.3	Records documenting statistic reports in relation to power generation such as electricity production (kWh), power outages, greenhouse gas emissions (CO2), annual solar photovoltaic (PV) generation (MWH)	Temporary Destroy 10 years after action completed