

Australian Capital Territory

Territory Records (Records Disposal Schedule – Environmental Management Records) Approval 2008 (No 1)

Notifiable instrument NI2008—254

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Environmental Management Records) Approval 2008 (No 1)

2. Approval

I approve the Records Disposal Schedule – Environmental Management Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument NI 2005–95 notified 25 February 2005.

David Wardle
Director of Territory Records
27 June 2008



*Records Disposal Schedule
Environmental Management Records*

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INTRODUCTION

The *Records Disposal Schedule - Environmental Management Records* is the official authority for the disposal of records relating to Environmental Management Records.

It is one of a series of Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with the *Territory Administrative Records Disposal Schedule (TARDiS)*.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of Environmental Management records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must not dispose of any**

records where it is aware of possible legal action for which the records may be required as evidence.

The *Records Disposal Schedule - Environmental Management Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all Environmental Management records regardless of titling conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

Territory Version of Keyword AAA

The Territory Version of Keyword AAA is the general administrative thesaurus produced by the Territory Records Office. The structure and terms used in this Records Disposal Schedule are closely related to those used in the Territory Version of Keyword AAA, which is based on functional analysis of business activity. This methodology (i.e., the analysis of business activity) produces a hierarchical model of an organisation's business activity. The hierarchical model also represents a classification scheme for the records that document functions, activities and transactions.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 - Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The Records Disposal Schedule - Environmental Management Records:

- covers all Environmental Management records;
- is intended to be used in conjunction with TARDiS;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

Function.

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

Activity.

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

Description of Records.

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

Disposal Action.

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

Electronic records

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

DESTRUCTION OF RECORDS

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

UPDATING THE RECORDS DISPOSAL SCHEDULE

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.

RELATED LEGISLATION

The following legislation is related to the records classes covered by this Records Disposal Schedule:

Animal Diseases Act 2005
Animal Welfare Act 1992
Clinical Waste Act 1990
Commissioner for the Environment Act 1993
Environment Protection Act 1997
Fertilisers Act 1904
Fisheries Act 2000
Heritage Act 2004
Lakes Act 1976
Land (Planning and Environment) Act 1991
National Environment Protection Council Act 1994
Nature Conservation Act 1980
Plant Diseases Act 2002
Pounds Act 1928
Roads and Public Places Act 1937
Stock Act 2005
Tree Protection (Interim Scheme) Act 2001
Trespass on Territory Land Act 1932
Waste Minimisation Act 2001
Water Resources Act 2007
Heritage (Objects) Act 1991
Tree Protection Act 2005

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

ENVIRONMENTAL MANAGEMENT

The function of developing policy and planning for managing procedures or practices designed to minimise damage to the environment, both natural and built, from any human activity. Includes managing, conserving and planning of air, soil and water qualities and environmentally sensitive areas. Includes the development of environment management plans and activities to preserve and protect the natural and built environments. Also includes activities to protect existing landforms, bushland, plant and animal communities, urban amenity, and natural and cultural heritage.

Advice

The activities associated with offering opinions by or to the agency as to an action or judgement. Includes the process of advising. [TARDiS]

Agreements

The activities associated with the establishment, maintenance, review and negotiation of agreements. [TARDiS]

Animal Welfare

The activity of managing the control and humane treatment, and preservation of domestic animals, livestock and wildlife.

Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority. [TARDiS]

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action. [TARDiS]

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc. [TARDiS]

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series. [TARDiS]

Conservation

The activities involved in the preservation, protection, maintenance, restoration and enhancement of properties, including buildings and land, and information resources and artifacts. [TARDiS]

Contracting out

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing. [TARDiS]

Customer service

The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency. [TARDiS]

Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring. [TARDiS]

Fees and charges determination

The activities associated with determining fees and charges.

Grant funding

The activities associated with the application for and receipt of grants. [TARDiS]

Horticultural Services

The services provided in relation to tree, turf and flower growing, supply and landscaping, including nursery production of plants.

Implementation

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met. [TARDiS]

Infringements

The activities associated with handling breaches of rules. Includes driving or traffic infringements and infringements of the agency's intellectual property. [TARDiS]

Inspections

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives. [TARDiS]

Joint Ventures

The activities involved in managing joint operations between departments, either within the agency or with other agencies, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or agencies. [TARDiS]

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures. [TARDiS]

Licensing

The activities associated with the granting of authoritative permission, approval, consent or licence to undertake specific tasks. Includes the licensing of individuals, groups or corporations.

Maintenance

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external conditions of premises, equipment, vehicles etc. [TARDiS]

Mapping Programs

The activities associated with the collection, management and presentation of land information.

Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or agency as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings. [TARDiS]

Notifications

The activities of notifying businesses and residents of a failure to comply with the Department's standards and regulations, inappropriate practices, or the Department's intention to take action. Includes the management of notices.

Planning

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

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 agency's operating procedures are determined. [TARDiS]

Procedures

Standard methods of operating laid down by the agency according to formulated policy. [TARDiS]

Registration

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

Regulation and monitoring

Activities that check, observe, or record the operation of equipment, infrastructure, services or systems.

Reporting

The processes 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. [TARDiS]

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support development of projects, standards, guidelines etc and the business activities of the agency in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc. [TARDiS]

Standards

The process of implementing industry or agency specific benchmarks for services and processes to enhance the quality and efficiency of the agency. [TARDiS]

Tendering

The activities involved in receiving and assessing tenders, of making offers and finalising contract arrangements for the supply, sale or purchase of goods and services. [TARDiS]

Vegetation Management

The activity of managing the control and/ or preservation of vegetation.

RECORDS DISPOSAL SCHEDULE

ENVIRONMENTAL MANAGEMENT

The function of developing policy and planning for managing procedures or practices designed to minimise damage to the environment, both natural and built, from any human activity. Includes managing, conserving and planning of air, soil and water qualities and environmentally sensitive areas. Includes the development of environment management plans and activities to preserve and protect the natural and built environments. Also includes activities to protect existing landforms, bushland, plant and animal communities, urban amenity, and natural and cultural heritage.

Tendering (Continued)

The activities involved in receiving and assessing tenders, of making offers and finalising contract arrangements for the supply, sale or purchase of goods and services. [TARDiS]

113.104.006 ■■■■■■■■■■■■■■■■■■■■	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after completion or other termination of agreement or contract
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Vegetation Management

The activity of managing the control and/ or preservation of vegetation.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
113.248.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the management of plant communities and/or species under threat of extinction or of significance to the Territory. Examples include: - Westbourne Woods; - Cork Oak Plantation; and - Terango Leek Orchid.	Retain as Territory Archives
113.248.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the routine management of plant communities and/or species that are not under threat or of significance to the Territory.	Destroy 7 years after action completed

RETAIN AS TERRITORY ARCHIVES

Classes for Retention as Territory Archives

ENVIRONMENTAL MANAGEMENT

The function of developing policy and planning for managing procedures or practices designed to minimise damage to the environment, both natural and built, from any human activity. Includes managing, conserving and planning of air, soil and water qualities and environmentally sensitive areas. Includes the development of environment management plans and activities to preserve and protect the natural and built environments. Also includes activities to protect existing landforms, bushland, plant and animal communities, urban amenity, and natural and cultural heritage.

Animal Welfare

The activity of managing the control and humane treatment, and preservation of domestic animals, livestock and wildlife.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
113.270.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the management of exotic pest species.	Retain as Territory Archives
113.270.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the management of threatened species.	Retain as Territory Archives

Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority. [TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
113.009.001 ■■■■■■■■■■■■■■■■■■■■	The process of appeals to higher authorities against decisions where the Territory is the major participant (e.g. Administrative Appeals Tribunal) .	Retain as Territory Archives

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action. [TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
113.014.001 ■■■■■■■■■■■■■■■■■■■■	Delegations of power to agency staff to authorise administrative action relating to the Environmental Management function.	Retain as Territory Archives

SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.

Changes to NI2005-95

Dated

25/02/2005

New Features (Insertions)			
FUNCTION	ACTIVITY	Entry no.	Description
Environmental Management	Agreements		New activity
Environmental Management	Animal Welfare	001, 002 & 003	Revised description
Environmental Management	Committees	002 & 003	New disposal classes
Environmental Management	Conservation	003, 004 & 006	New disposal classes
Environmental Management	Infringements	001	Revised disposal action
Environmental Management	Implementation	001, 002 & 003	Revised description
Environmental Management	Liaison		3 Revised description
Environmental Management	Licensing	001	New disposal class
Environmental Management	Licensing	002	Revised description
Environmental Management	Mapping Programs		New activity
Environmental Management	Notifications	004	New disposal class
Environmental Management	Research	002	Revised description
Environmental Management	Tendering	002	Revised description
Environmental Management	Vegetation Management	001 and 002	Revised description

Enhancements (Changes)			
FUNCTION	ACTIVITY	Entry no.	Description
Environmental Management	All	All	All Records Disposal Schedule entry numbers are being systematically changed to reflect the adoption of a new unique number for record disposal schedules. The changes facilitate barcode technology that may be adopted in the future. This update applies
Environmental Management	Research 091	1.28.1	Description of records amended.

Corrections (Deletions)			
FUNCTION	ACTIVITY	Entry no.	Description
Environmental Management	Maintenance	1.19.2	Records relating to the placement of interpretive signs.
Environmental Management	Planning	1.22.2	Records relating to the placement of interpretive signs.
Environmental Management	Procedures	1.24.2	Final versions of agency manuals, handbooks, regulations and standard methods detailing procedures supporting the function.
Environmental Management 113	Research 091	1.28.2	Research carried out in partnership included in Joint Venture activity