

**Disposal Schedule
for
Functional records of
Environmental Management**

Disposal Authorisation No. 2400

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INTRODUCTION

Archives legislation

The *Archives Act 1983* stipulates that State and local government organisations, must not dispose of **records of any type or format** without the written approval of the State Archivist. Disposal of records involves their destruction, their removal from the custody of their creating Agency, or their transfer to the Tasmanian Archive & Heritage Office.

Schedule elements and arrangement

The administrative functions covered by this schedule are arranged in alphabetical order as function headings. The activities performed under each function are listed in alphabetical order within each function.

- **Reference**

All function and activity headings and disposal classes are allocated a reference number. These reference numbers are used, in conjunction with the schedule number, to identify records in the Tasmanian Archive & Heritage Office disposal documentation. These numbers can also be used by agencies, in the same way, to indicate disposal authorisation in their records control systems, where the records have been registered in these systems.

- **Disposal classes**

The groups of records that document, and are derived from, the performance of the functions and activities are listed as disposal classes under each function/activity set.

It should be noted that Disposal Classes have been described in functional terms irrespective of the format or medium in which the records were created.

- **Status**

All disposal classes have either 'PERMANENT' or 'TEMPORARY' status. Records identified as 'PERMANENT' are those that will be transferred to the Archives Office to be retained as State archives. 'TEMPORARY' records are those that can be destroyed under the authority of this schedule.

- **Disposal action**

All temporary records identified in this schedule will have a disposal action which specifies the length of time for which the record must be retained before it can be destroyed under this authorisation.

Review of the schedule

It is the responsibility of agencies to monitor administrative, legal or regulatory changes which may result in the need to alter disposal class descriptions or disposal actions for records covered by this schedule. When this occurs, this schedule should not be used to dispose of those records and the State Archivist should be informed of the need to revise the schedule. If necessary, the procedures for the disposal of unscheduled records can be used in the interim. Reviews may also be initiated by the Tasmanian Archive & Heritage Office.

Contacts

Any enquiries relating to this schedule should be directed in writing to the Tasmanian Archive & Heritage Office, 91 Murray Street, Hobart, email gisu@education.tas.gov.au , or by telephoning 03 6165 5581

Acknowledgements

The Tasmanian Archive & Heritage Office wishes to acknowledge:

State Records Authority of NSW 'Functional Retention and Disposal Authority: DA216 Department of Environment and Conservation' (February 2006)

TASMANIAN ARCHIVE & HERITAGE OFFICE

DISPOSAL AUTHORISATION No. 2400

Title: Disposal Schedule for functional records of Environmental Management

Authorisation:

Under Section 20 (2) (b) of the Archives Act 1983, I hereby authorise 'relevant authorities' (as defined in Section 3 of that Act) to manage the disposal of the records described in this schedule in accordance with the procedures specified herein.

Ross Latham
State Archivist

Document Development History
Build Status

Version	Date	Author	Reason	Sections
1	7-12-2012	David Bloomfield	Initial Release	All

Amendments in this Release

Section Title	Section Number	Amendment Summary
		<i>This is the first release of this document.</i>

INTERPRETATION

Definitions

Permanent records are those that will be transferred to the Tasmanian Archive & Heritage Office to be retained as State Archives. The Archives Act 1983 establishes 25 years as the maximum required timeframe for the transfer of permanent records to the Tasmanian Archive & Heritage Office unless an extension of time has been approved by the State Archivist.

Temporary records are those that can be destroyed under the authority of this schedule after a minimum retention period, or once certain requirements have been met.

Coverage

This schedule covers functional records of Environmental Management.

This schedule **does not cover pre-1960 records**. The disposal of those records should be managed according to the procedures for unscheduled records.

The *Disposal Schedule for Short-term Value Records - DA No. 2158* covers the disposal of short-term value records which are created by most agencies. These documents are usually of a trivial nature or of such short-term value that they do not support or contribute to the business functions of the agency.

Records not covered by these schedules, or other authorised disposal schedules, should be disposed of according to the current Tasmanian Archive & Heritage Office procedures for unscheduled records.

Preservation of records

Section 10 (1) (a) of the *Archives Act 1983* requires agencies to preserve records until they are dealt with under the Act. This places a statutory obligation on agencies to ensure that all records, regardless of format, remain accessible while they are in the custody of the agency.

Permanent records

All disposal classes of records identified as having 'PERMANENT' status in this schedule should be transferred to the Archives Office 25 years after the date of creation. Agencies may make application to the Tasmanian Archive & Heritage Office for earlier transfer of particular groups of records and the Tasmanian Archive & Heritage Office may also initiate an earlier transfer arrangement.

Records for transfer should be arranged and described in accordance with any instruction provided by the Tasmanian Archive & Heritage Office.

Temporary records

All records identified as having 'TEMPORARY' status in this schedule will have a disposal action which is the authorised date for destruction. These disposal actions specify minimum retention periods. Temporary records can be kept as long as the agency wishes following the expiration of the specified period, but the provisions of the *Archives Act 1983* regarding their proper care and custody will still apply to them.

Frequently the disposal actions will refer to '**after action completed**' which means after completion of the transaction to which the records relate. The disposal action '**destroy when reference ceases**' authorises the destruction of records when all business needs to refer to the records have ceased.

Destruction of records

The destruction method chosen for records authorised for destruction in this schedule should be appropriate to the medium in which the record exists. It is the responsibility of the agency to ensure that the identified records are actually destroyed, and that this process is confidential and secure. The following issues should be considered before destruction of any documents.

Right to Information

Right to Information legislation prescribe rights and processes for access to documents held by government agencies. If a request for access under the legislation has been lodged, all records relevant to the request, regardless of whether they are due for destruction, must be identified and preserved until action on the request and any subsequent reviews are completed.

Personal Information Protection

Personal Information Protection legislation provides appropriate safeguards for government agencies in collecting and handling individual's personal information, creating statutory obligations and a right to make a privacy complaint. If an application is in progress, all records relevant to the application must be identified and preserved until the action and any subsequent actions are completed.

Other Investigations and inquiries

If an investigation or inquiry is in progress, all records relevant to the investigation or inquiry must be identified and preserved until the action and any subsequent actions are completed.

Records relating to indigenous people

Key recommendations of the Bringing Them Home Report 1997 relate to the need for the identification, preservation, indexing, management and access to records relating to Indigenous individuals, families and/or communities in accordance with established privacy principles.

Records relating to indigenous families and communities or which document links between indigenous people and localities are not to be destroyed and should be the subject of consultation with the Tasmanian Archive & Heritage Office.

Native title

If a native title claim is in progress, all documents relevant to the claim must be identified and preserved until the action and any subsequent actions are completed.

Registration of destruction

Central to the accountability process built into the disposal schedules is the requirement that agencies maintain a *Register of Records Destroyed*. It is important to recognise that the formal evidential record of destruction is contained in this registration process. The register is to be made available to the State Archivist (or his nominee) on request.

The register must be clearly identified as the *Register of Records Destroyed* (under Section 20 (2) (b) of the *Archives Act 1983*) and should include the name of the agency. The register can be the same used for registering destructions authorised under other disposal schedules. A sample format indicating the required elements for the register and related procedures are available on the Tasmanian Archive & Heritage Office website.

<p>01.00.00</p>	<p>ENVIRONMENTAL MANAGEMENT The function of maintaining and improving Tasmania’s quality environment through safeguarding the life-supporting capacity of air, water, soil and ecosystems: and avoiding, mitigating and remedying adverse effects of activities on the environment. Includes the promotion of sustainable industry practices, responses to oil spills, the monitoring of air and noise pollution and the management of industrial waste. <i>See DA No. 2157 for the issuing of press releases and briefings, public complaints, holiday programs and community events.</i> <i>See DA No.2297 for Environmental Protection Authority Board papers.</i></p>	
<p>01.01.00</p>	<p>Advice (ENVIRONMENTAL MANAGEMENT) The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising and customer specific technical enquiries. <i>See 01.12.00 for general requests for information about the organisation and its services.</i> <i>See DA No. 2157 where the agency is responding to the Government’s request for advice and comments.</i></p>	
<p>01.01.01</p>	<p>Records documenting the provision or receipt of advice concerning significant policy developments, controversial issues or innovative practices. This includes advice relating to the interpretation of policy & practices in relation to matters of public accountability and major public interest or controversy. <i>See 01.01.02 for formal advice that does not relate to significant policy developments or controversial issues.</i></p>	<p>PERMANENT</p>
<p>01.01.02</p>	<p>Records documenting the provision of formal advice relating to Environmental Management. <i>See 01.01.01 for advice concerning significant policy developments, controversial issues or innovative practices.</i></p>	<p>TEMPORARY Destroy 7 years after action completed.</p>
<p>01.01.03</p>	<p>Records documenting the receipt and provision of advice relating to Coastcare issues and the State Coastal Policy.</p>	<p>TEMPORARY Destroy 10 years after action completed.</p>
<p>01.02.00</p>	<p>Agreements (ENVIRONMENTAL MANAGEMENT) The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes Memorandum of Understanding (MOU) and Service Level Agreements. <i>See 01.21.00 for agreements relating to joint ventures.</i></p>	
<p>01.02.01</p>	<p>Records documenting formal agreements which involve major obligations or liabilities related to this function such as international treaties, protocols which are unique to Tasmania. Includes working papers needed to document the development of the agreement.</p>	<p>PERMANENT</p>
<p>01.02.02</p>	<p>Records documenting the establishment, maintenance and review of minor agreements such as Memorandums of Understanding (MOU's) with water authorities. Includes final versions of agreements.</p>	<p>TEMPORARY Destroy 7 years after expiry, completion or termination of agreement.</p>
<p>01.02.03</p>	<p>Working papers not needed to document the development of the agreement.</p>	<p>TEMPORARY Destroy 2 years after action completed.</p>

01.03.00	Appeals (ENVIRONMENTAL MANAGEMENT) The activities involved in the process of appeals against decisions by application to a higher authority.	
01.03.01	Records documenting appeals made against Environmental Management decisions that establish precedents.	PERMANENT
01.03.02	Records documenting appeals made against Environmental Management decisions that do <u>not</u> establish precedents.	TEMPORARY Destroy 7 years after action completed.
01.04.00	Authorisation (ENVIRONMENTAL MANAGEMENT) The process of seeking and granting permission to undertake a requested action. Includes the authorisation of individuals to undertake duties under an Act.	
01.04.01	Records documenting notifications of, and conditions of, delegations of power granted to individuals to undertake duties under an Act which relates to the Environmental Management function. These may include Delegations (Authority).	TEMPORARY Destroy 15 years after superseded or revoked.
01.05.00	Awards (ENVIRONMENTAL MANAGEMENT) The activities involved in receiving nominations and issuing environmental awards.	
01.05.01	Register documenting the conferring of environmental awards including successful applications. These may include: Award for Environmental Excellence	PERMANENT
01.05.02	Records documenting the processing of unsuccessful applications for environmental awards.	TEMPORARY Destroy 2 years after action completed.
01.06.00	Committees (ENVIRONMENTAL MANAGEMENT) The activities associated with the management of committees 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, agenda etc. <i>See 01.22.00 for general contact between individuals or groups.</i> <i>See 01.24.00 for forums and the meeting of individuals and groups that are not considered committees.</i> <i>See DA No. 2157 for Senior Management Committees, Steering Committees and Audit Committees.</i>	
01.06.01	Records documenting high-level committees with responsibility for making major decisions. These may include: <ul style="list-style-type: none"> • Documents establishing the committee • Documents appointing members • Final versions of minutes • Agenda papers • Reports presented to the committee • Submissions presented to the committee 	PERMANENT

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01.06.02	Records of minor internal committees and external committees where the agency has the administrative role. These may include: <ul style="list-style-type: none"> • Documents establishing the committee • Documents appointing members • Master copies of minutes • Agenda papers • Reports presented to the committee • Submissions presented to the committee 	TEMPORARY Destroy 7 years after action completed
01.06.03	Records of external committees where the agency does <u>not</u> have the administrative role. These may include: <ul style="list-style-type: none"> • Copies of minutes • Agenda papers • Copies of reports presented to the committee • Copies of submissions presented to the committee 	TEMPORARY Destroy 2 years after action completed.
01.06.04	Records documenting the conduct and administration of committees	TEMPORARY Destroy when reference ceases.
01.07.00	Compliance (ENVIRONMENTAL MANAGEMENT) The activities associated with the agency complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series. <i>See 01.18.00 when the organisation has the role of ensuring compliance.</i> <i>See DA No. 2157 for records documenting the accreditation of laboratories and their ongoing proficiency testing.</i>	
01.07.01	Records documenting agency compliance with government mandatory or optional standards or statutory requirements.	TEMPORARY Destroy 7 years after action completed.
01.07.02	Records documenting the agency's applications for exemptions for low scale restricted activity for security-sensitive dangerous substances.	TEMPORARY Destroy 2 years after exemption expires.
01.07.03	Records documenting the agency's applications for licenses to deal with radiation apparatus.	TEMPORARY Destroy 2 years after licence expires.
01.08.00	Conferences (ENVIRONMENTAL MANAGEMENT) The activities involved in arranging or attending conferences held either by the agency or by other organisations. Includes registrations, publicity, and reports of participants. <i>See 01.06.00 for working parties etc. arising from the conference.</i> <i>See DA No. 2157 for Inter-Governmental Relations eg. Council of Australian Governments, the printing and publication of agency conference proceedings and reports and records of staff training and development.</i>	
01.08.01	Records documenting conferences where the agency acts as secretariat or convener including: <ul style="list-style-type: none"> • Copies of minutes • Summaries of proceedings • Agenda papers • Published papers • Reports • Submissions • Briefings 	PERMANENT

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01.08.02	Records documenting administrative arrangements for conferences arranged by the agency including: <ul style="list-style-type: none"> • Attendance details • Promotional material • Invitations • Registrations • Travel and accommodation arrangements • Venue and facilities hire 	TEMPORARY Destroy 2 years after action completed.
01.08.03	Records documenting conferences arranged by other organisations including: <ul style="list-style-type: none"> • Copies of minutes • Summaries of proceedings • Agenda papers • Reports • Promotional material • Notices • Programs • Invitations <p><i>See 01.08.04 for reports, submissions, papers and briefings presented by the agency to the conference.</i></p>	TEMPORARY Destroy when reference ceases.
01.08.04	Records presented by the agency to conferences arranged by other organisations including: <ul style="list-style-type: none"> • Submissions • Papers • Briefings 	PERMANENT
01.08.05	Records relating to unsuccessful submissions of papers or briefings by the agency to external organisations.	TEMPORARY Destroy 2 years after action completed.
01.09.00	Contracting Out (ENVIRONMENTAL MANAGEMENT) The activities involved in arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant. Sometimes referred to as outsourcing. <i>See 01.37.00 for the process of receiving and assessing tenders.</i>	
01.09.01	Contract registers	PERMANENT
01.09.02	Signed contracts and supporting documentation including: <ul style="list-style-type: none"> • Tender Submissions • Written offers 	TEMPORARY Destroy 7 years after expiry of contract.
01.09.03	Records documenting the management of contracts including: <ul style="list-style-type: none"> • Parameters of consultancy/service • Terms and conditions • Performance and evaluation reports • Meetings with stakeholders 	TEMPORARY Destroy 7 years after action completed
01.10.00	Control (ENVIRONMENTAL MANAGEMENT) The activities associated with creating, maintaining and evaluating control mechanisms for environmental management registers.	

01.10.01	<p>Register and supporting documentation related to environmental protection notices (EPN's) issued by the agency. Records may include:</p> <ul style="list-style-type: none"> • Level 2 EPN's • Records held on the New Environmental Licensing & Monitoring System (NELMS) database <p><i>See 01.22.02 for Level 1 EPN's</i></p>	PERMANENT
01.11.00	<p>Diagnostic Testing (ENVIRONMENTAL MANAGEMENT) The process of determining by examination the nature and identity of a condition.</p>	
01.11.01	<p>Register of laboratory samples, test results and reports. Note: records may be held on the BEAKER database.</p>	PERMANENT
01.11.02	<p>Explanations of test results to clients. Includes reports and summaries. These may include:</p> <ul style="list-style-type: none"> • Air • Heavy metals • Pesticides • Soils • Toxicity • Water 	<p>TEMPORARY Destroy 3 years after action completed</p>
01.11.03	<p>Routine correspondence such as enquiries and provision of summaries of diagnostic reports.</p>	<p>TEMPORARY Destroy 2 years after action completed.</p>
01.12.00	<p>Enquiries (ENVIRONMENTAL MANAGEMENT) The activities associated with the handling of requests for information about the agency and its services by the general public or other organisations.</p> <p><i>See 01.01.00 for customer specific technical enquiries. See DA No. 2157 where all aspects of a Right to Information (RTI) application need to be handled on one file, for legislative or operational reasons.</i></p>	
01.12.01	<p>Records documenting enquiries requesting general information about Environmental Management activities, programs, products and services.</p> <p><i>See DA No. 2158 for requests for information that is readily available to the public including publications and promotional material.</i></p>	<p>TEMPORARY Destroy 2 years after action completed.</p>
01.13.00	<p>Evaluation (ENVIRONMENTAL MANAGEMENT) The activities involved in the environmental impact assessment and appraisal of new industries or the expansion of existing industrial developments. Includes the evaluation of possible contamination sites and ongoing monitoring of major contaminated sites. Also includes ongoing monitoring of emissions and effluent of existing industrial sites, refuse disposal sites, and air, noise and water pollution.</p> <p><i>See 01.18.00 when the organisation has the role of ensuring compliance.</i></p>	

01.13.01	<p>Records documenting the monitoring and evaluation of environmental activities and programs including summaries of monthly or quarterly reports. These may include:</p> <ul style="list-style-type: none"> • Ambient air • Catchments • Effluent • Emissions • Groundwater • Noise • Rivers • Soil • Water Quality <p><i>See 01.13.02 for monthly or quarterly reports used in the preparation of summaries.</i></p>	PERMANENT
01.13.02	<p>Working papers, including monthly or quarterly reports, used in the preparation of summaries.</p> <p><i>See 01.13.01 for summaries of monthly or quarterly reports.</i></p>	TEMPORARY Destroy when summaries are completed and reference ceases.
01.13.03	<p>Records documenting the environmental impact assessments of new industrial development proposals or the expansion of existing industries where a permit is issued. Includes applications, reports, environmental management plans (EMP), development proposal and environmental management plan (DEMP).</p>	PERMANENT
01.13.04	<p>Records documenting unsuccessful or withdrawn environmental impact assessments of new industrial development proposals or the expansion of existing industries.</p>	TEMPORARY Destroy 7 years.
01.13.05	<p>Records documenting the evaluation of possible contamination sites relating to commercial or residential development. Includes sign-off.</p>	PERMANENT
01.13.06	<p>Requests for current or past contaminating activity on sites prior to purchase or redevelopment. May also include potential contamination surrounding the site.</p>	TEMPOARY Destroy 5 years after action completed
01.13.07	<p>Records documenting the ongoing monitoring of major contaminated sites. These may include sites such as:</p> <ul style="list-style-type: none"> • Rosebery • Wentworth Park • Lutana 	PERMANENT
01.14.00	<p>Exhibitions (ENVIRONMENTAL MANAGEMENT) The activities associated with using agency material in mounted displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects, or programs of the agency.</p>	
01.14.01	<p>Records documenting the mounting of displays including exhibition brief and design, and arrangements for setting up a display. These may include:</p> <ul style="list-style-type: none"> • Coastcare Festival • Recycling in Schools Program 	TEMPORARY Destroy 5 years after action completed.

01.15.00	<p>Grant Funding (ENVIRONMENTAL MANAGEMENT) The activities associated with the application for and receipt of grants and subsidies for special purposes and programs including the allocation of funding to other organisations and the public.</p> <p><i>See DA No. 2157 for managing corporate strategies for seeking grant funding.</i></p>	
01.15.01	<p>Successful applications for funding of projects by groups that receive funding from the Commonwealth, project plans, final outcome reports and source data considered necessary to substantiate report findings.</p> <p><i>See 01.15.04 for applications made by or to the agency.</i></p>	PERMANENT
01.15.02	<p>Records of project groups that receive funding from the Commonwealth, including source data not considered necessary to substantiate report findings.</p>	<p>TEMPORARY Destroy 2 years after submission of final report.</p>
01.15.03	<p>Unsuccessful applications made by project groups for Commonwealth funding including comments by internal assessment panels.</p>	<p>TEMPORARY Destroy 2 years after action completed.</p>
01.15.04	<p>Records documenting successful applications made by or to the agency for grant funding and the administration of funds.</p> <p><i>See 01.15.01 for applications made to the Commonwealth.</i></p>	<p>TEMPORARY Destroy 7 years after action completed.</p>
01.15.05	<p>Records documenting applications that are <u>not</u> successful made by or to the agency for grant funding.</p>	<p>TEMPORARY Destroy 2 years after action completed.</p>
01.16.00	<p>Implementation (ENVIRONMENTAL MANAGEMENT) 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 monitoring and post implementation reviews.</p>	
01.16.01	<p>Records documenting the implementation of significant plans or policies. These may include Climate Change or State Coastal Policies.</p>	PERMANENT
01.16.02	<p>Records documenting the implementation of non-significant plans, policies and procedures. These may include the Tasmanian Port Reform.</p>	<p>TEMPORARY Destroy 5 years after action completed.</p>
01.17.00	<p>Incident Response (ENVIRONMENTAL MANAGEMENT) The activities associated with providing scientific and technical support with investigation and management of environmental incidents and complaints. Includes air, noise, water and land pollution and responses to oil spills.</p> <p><i>See 01.23.00 for incident responses that result in litigation</i> <i>See 01.26.00 for the development and revision of incident response plans.</i></p>	

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01.17.01	<p>Records documenting the management and implementation of major environmental incidents where there is loss of life or significant damage to public health or the environment. Includes photographs, laboratory reports, records of action taken and investigation notes. These may include records of:</p> <ul style="list-style-type: none"> • Agricultural spraying • Antifoulants • Asbestos removal • Chemical spills • Oil spills 	PERMANENT
01.17.02	<p>Records documenting the management and implementation of minor environmental incidents not involving loss of life or significant or long term damage to human health or the environment. Includes photographs, laboratory reports, actions taken and investigation notes.</p>	<p>TEMPORARY Destroy 10 years after action completed.</p>
01.18.00	<p>Industry Compliance (ENVIRONMENTAL MANAGEMENT) The activities associated with the agency ensuring relevant external industries and organisations are compliant with legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards.</p> <p><i>See 01.07.00 when the organisation is complying with legislation & standards.</i></p>	
01.18.01	<p>Records documenting the activities associated with the agency ensuring industry compliance with mandatory standards and statutory requirements that have significant environmental impact. Includes assessment reports, monitoring, reviewing and environmental management plans. These may include:</p> <ul style="list-style-type: none"> • Forestry projects • Gas pipelines • Hydro projects • Pulp mills • Wind farms 	PERMANENT
01.18.02	<p>Records documenting compliance with mandatory or optional standards or with statutory requirements relating to Environmental Management functions that do <u>not</u> result in formal investigations or prosecutions.</p> <p><i>See 01.23.00 for breaches that do result in formal investigations or prosecutions.</i></p>	<p>TEMPORARY Destroy 7 years after action completed.</p>
01.18.03	<p>Records documenting the application and issue of controlled waste tracking registrations for the handling of industrial or contaminated waste. These may include registrations for:</p> <ul style="list-style-type: none"> • Controlled Waste Transport Handler • Controlled Waste Producer • Controlled Waste Receiver 	<p>TEMPORARY Destroy 5 years after registration is revoked or superseded.</p>
01.18.04	<p>Records documenting the application and issue of controlled waste movement certificates.</p>	<p>TEMPORARY Destroy 5 years after certificate is revoked or superseded.</p>

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01.18.05	Records documenting the approval process for environmental permit holders to use private laboratories to undertake analytical testing.	TEMPORARY Destroy 7 years after action completed.
01.19.00	Infringements (ENVIRONMENTAL MANAGEMENT) The activities associated with handling breaches of rules. <i>See 01.23.00 for matters that results in a court action.</i>	
01.19.01	Records of infringements for offences where legal action results. These may include Level 2 Environmental Protection Notices (EPN's). <i>See 01.23.00 for breaches that <u>do</u> result in formal investigations or prosecutions.</i>	TEMPORARY Destroy 7 years after action completed.
01.19.02	Records documenting the issue of litter infringement notices.	TEMPORARY Destroy 7 years after action completed.
01.19.03	Copies of litter infringement notices & property seizure receipts.	TEMPORARY Destroy 12 months after action completed.
01.19.04	Records documenting enquiries from the public relating to environmental infringements that do not proceed to legal action.	TEMPORARY Destroy 7 years after action completed.
01.20.00	Investigations (ENVIRONMENTAL MANAGEMENT) The activities related to the investigation of environmental offences. <i>See 01.23.00 for matters that results in a court action.</i>	
01.20.01	Records documenting investigations which do not result in prosecutions but where there is a loss of life or significant or long term damage to human health or the environment. Includes investigation reports, recommendations and outcomes, testing and monitoring data, complaint record, background information and correspondence. May include compliance with: <ul style="list-style-type: none"> • Environmental Management & Pollution Control Act 1994 • Pollution of Waters by Oil & Noxious Substances Act 1987 	PERMANENT
01.20.02	Records documenting gathering and processing information on suspected criminal activities. Records may include: <ul style="list-style-type: none"> • Surveillance reports • Photographs 	PERMANENT
01.20.03	Records documenting investigations that do not involve loss of life or significant or long term damage to human health or the environment and no further action is taken. Records include investigation reports, recommendations and outcomes, testing and monitoring data, complaint record, background information and correspondence. May include compliance with: <ul style="list-style-type: none"> • Environmental Management & Pollution Control Act 1994 	TEMPORARY Destroy 10 years after action completed.

<p>01.21.00</p>	<p>Joint Ventures (ENVIRONMENTAL MANAGEMENT) The activities involved in managing joint operations between business units within the agency, or with other organisations, where there is a contract, joint contribution of funds and/or time. Includes private sector ventures with public sector organisations, and co-research or collaboration between agencies, business units or organisations. Also includes partnerships.</p> <p><i>See 01.02.00 for agreements not related to joint ventures.</i> <i>See 01.22.00 for other collaboration between organisations that are not considered joint ventures.</i></p>	
<p>01.21.01</p>	<p>Records documenting the arrangement for and the management of joint ventures and partnerships, including the establishment, maintenance, and review of agreements and contracts. These may include:</p> <ul style="list-style-type: none"> • Agreements • Contracts • Memoranda of Understanding (MOU) • Memoranda of Agreements • Progress reports • Correspondence 	<p>TEMPORARY Destroy 7 years after completion or termination of agreement or contract.</p>
<p>01.22.00</p>	<p>Liaison (ENVIRONMENTAL MANAGEMENT) The activities associated with maintaining regular 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.</p> <p><i>See 01.06.00 or 01.24.00 for liaison through committees or meetings.</i> <i>See 01.21.00 for collaboration between organisations that involve contracts, joint contributions of time and/or funding.</i></p>	
<p>01.22.01</p>	<p>Records documenting information sent by government organisations relating to mining lease notifications where this agency has a non-active role in proceedings.</p>	<p>TEMPORARY Destroy 10 years after action completed.</p>
<p>01.22.02</p>	<p>Copies of environmental protection notices (EPN's) issued by local government. Records may include:</p> <ul style="list-style-type: none"> • Level 1 EPN's <p><i>See 01.10.01 for Level 2 EPN's</i></p>	<p>TEMPORARY Destroy when reference ceases.</p>
<p>01.22.03</p>	<p>Records documenting liaison activities including exchange of information, collaboration on projects, and all the activities involving the agency as a member of an organisation.</p>	<p>TEMPORARY Destroy 2 years after action completed.</p>
<p>01.23.00</p>	<p>Litigation (ENVIRONMENTAL MANAGEMENT) The activities involved in managing lawsuits or legal proceedings between the agency and other parties.</p> <p><i>See 01.18.02 for breaches that do not result in formal investigations or prosecutions.</i> <i>See 01.19.00 for breaches of rules.</i> <i>See 01.20.00 for investigations of environmental offences.</i></p>	
<p>01.23.01</p>	<p>Records documenting litigation matters that result in legal precedent.</p>	<p>PERMANENT</p>
<p>01.23.02</p>	<p>Records documenting litigation matters that do <u>not</u> result in legal precedent.</p>	<p>TEMPORARY Destroy 10 years after action completed.</p>

<p>01.24.00</p>	<p>Meetings (ENVIRONMENTAL MANAGEMENT) The activities associated with formal gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the function of Environment Management. Includes arrangements, agenda, taking of minutes etc. Excludes meetings of committees, task forces etc.</p> <p><i>See 01.06.00 for the meetings of committees and task forces.</i> <i>See 01.08.00 for meetings at conferences.</i> <i>See 01.22.00 for general contact between individuals or groups.</i></p>	
<p>01.24.01</p>	<p>Records documenting internal and external meetings at which decisions of the Executive are made where the agency has the administrative role. These may include:</p> <ul style="list-style-type: none"> • Final versions of meetings • Agenda papers • Reports presented at the meeting • Submissions presented at the meeting 	<p>PERMANENT</p>
<p>01.24.02</p>	<p>Records of internal meetings and external meetings at which decisions of the non-Executive are made where the agency has the administrative role. These may include:</p> <ul style="list-style-type: none"> • Master copies of minutes • Agenda papers • Reports presented at the meeting • Submissions presented at the meeting 	<p>TEMPORARY Destroy 7 years after action completed.</p>
<p>01.24.03</p>	<p>Records of external meetings where the agency does not have the administrative role. These may include:</p> <ul style="list-style-type: none"> • Copies of minutes • Agenda papers • Copies of reports presented at the meeting • Copies of submissions presented at the meeting 	<p>TEMPORARY Destroy 2 years after action completed.</p>
<p>01.24.04</p>	<p>Records documenting the conduct and administration of meetings.</p>	<p>TEMPORARY Destroy when reference ceases.</p>
<p>01.25.00</p>	<p>Permitting (ENVIRONMENTAL MANAGEMENT) The activities involved in granting and receiving authoritative permission, either short term or temporary, to do something in accordance with the Act. Includes the processes associated with granting, transferring or suspension of the permit.</p>	
<p>01.25.01</p>	<p>Records documenting the successful permitting process to operate an industrial activity. Includes application, permit, notifications of environmental incidents (i.e. sewerage overflow), notifications of change in responsible person and annual environmental reports. These may include permits issued for the operation of:</p> <ul style="list-style-type: none"> • Cement Works • Chemical Works • Extractive Activities (Quarries, Mining etc.) • Fish Processing • Food Processing • Meat Processing • Metal Works • Sewage Works • Textile Manufacturing • Textile Processing • Wood Processing 	<p>PERMANENT</p>
<p>01.25.02</p>	<p>Records documenting the permitting process for industrial activity applications that are <u>not</u> successful.</p>	<p>TEMPORARY Destroy 7 years after action completed.</p>

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01.25.03	Records documenting the decommissioning of minor wastewater treatment plants.	TEMPORARY Destroy 7 years after site has been decommissioned.
01.25.04	Records relating to permits to operate a waste management refuse disposal site. These may include: <ul style="list-style-type: none"> • Landfills • Tips • Waste Transfer Stations 	PERMANENT
01.25.05	Records documenting the permitting process to regulate noise emissions. These may include: <ul style="list-style-type: none"> • Chainsaws • Machinery • Power/Speed Boats 	TEMPORARY Destroy 2 years after expiry of permit.
01.25.06	Agency's permit application to import and hold biological material.	TEMPORARY Destroy 5 years after expiry of permit.
01.25.07	Agency's permit application to purchase poisonous substances.	TEMPORARY Destroy 5 years after expiry of permit.
01.25.08	Agency's permit application to hold quarantine samples in a scientific laboratory.	TEMPORARY Destroy 2 years after expiry of permit.
01.26.00	Planning (ENVIRONMENTAL MANAGEMENT) The process of formulating ways in which objectives can be achieved. Includes determinations of services, needs and solutions to those needs.	
01.26.01	Approved final versions of plans. These may include: <ul style="list-style-type: none"> • Contingency Plans • Industry Plans • Management Plans <p><i>See 01.16.01 for the implementation of plans.</i> <i>See 01.26.04 for the development of emergency plans.</i></p>	PERMANENT
01.26.02	Records documenting the development, establishment and evaluation of plans.	TEMPORARY Destroy 50 years after action completed.
01.26.03	Records documenting the administration of the planning process.	TEMPORARY Destroy 5 years after action completed.
01.26.04	Records documenting the development and revision of Incident Response plans for the containment and removal of chemical and oil spills. <p><i>See 01.16.00 for emergency plans that are implemented.</i></p>	TEMPORARY Destroy when superseded.
01.27.00	Policy (ENVIRONMENTAL MANAGEMENT) The activities of developing policies and directions so that the agency can meet its international and national obligations. <p><i>See 01.33.00 for investigations or enquiries into research programs.</i></p>	
01.27.01	Records illustrating the development of policy and documenting policy decisions and the establishment of precedents.	PERMANENT

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01.27.02	Working papers used in the development of policy or policy decisions which are <u>not</u> considered necessary to substantiate final decisions.	TEMPORARY Destroy when reference ceases.
01.28.00	Procedures (ENVIRONMENTAL MANAGEMENT) Standard methods of operating laid down by an agency according to formulated policy.	
01.28.01	Records documenting the development of agency procedures and final versions of agency manuals and instructions.	TEMPORARY Destroy 7 years after superseded.
01.28.02	Records documenting the internal and external notification of changes to, or the implementation of new policies, procedures, instructions or notifications of significant events. <i>See 01.27.01 & 01.28.01 for final versions of policies, procedures and instructions.</i>	TEMPORARY Destroy 7 years after action completed.
01.29.00	Program Management (ENVIRONMENTAL MANAGEMENT) The process of managing a set of procedures, activities, resources and/or management strategies designed to determine strategic objectives that are usually ongoing.	
01.29.01	Records relating to activities associated with the ongoing management of long term major environmental programs which have high public or political interest or have the potential to cause major adverse impacts on the environment, society or human health. Includes contaminated soil remediation or water quality improvement programs. Also includes ongoing regulatory monitoring, site visits and administration of external grant funding. These may include programs such as: <ul style="list-style-type: none"> • Derwent Estuary Program • Mt Lyell remediation • Tamar Estuary & Esk River Program 	PERMANENT
01.29.02	Records relating to activities associated with the ongoing management of minor environmental programs. These may include programs such as: <ul style="list-style-type: none"> • Australian sustainable schools initiative • Litter Education • Reducing Carbon Footprint • Resource Recovery Project 	TEMPORARY Destroy 5 years after action completed.
01.29.03	Records documenting the ongoing management of large capacity (more than 5,500 litres) Underground Petroleum Storage Systems (UPSS including registration forms). These may include: <ul style="list-style-type: none"> • Abandoned storage systems • Decommissioning of UPSS • Exemptions • Locations of UPSS • Loss monitoring data 	PERMANENT
01.29.04	Records documenting loss monitoring requirements, used to detect leaks, for small underground petroleum storage systems (tanks that have a capacity of less than 5,500 litres).	TEMPORARY Destroy 7 years after action completed.

<p>01.30.00</p>	<p>Land Rehabilitation (ENVIRONMENTAL MANAGEMENT) The activities involved in stabilising and revegetating degraded land, which is unsightly or subject to erosion. Includes the conversion of disturbed land to an alternative future use (eg converting a former quarry into a wetland or car park). <i>See 01.31.00 for restoring heavy metal or oil contaminated land and water to its natural condition or proposed land use.</i></p>	
<p>01.30.01</p>	<p>Records documenting the rehabilitation of Level 2 industrial sites (more than 10,000 cubic metres), these may include refuse disposal sites, quarries or mines. Also includes inspections, reports, revocation certificates, photos and the decommissioning certificates.</p>	<p>PERMANENT</p>
<p>01.30.02</p>	<p>Records documenting the rehabilitation of Level 1 industrial sites (less than or equal to 10,000 cubic metres), these may include refuse disposal sites, quarries or mines. Also includes inspections, reports, revocation certificates, photos and the decommissioning certificates.</p>	<p>TEMPORARY Destroy 10 years after action completed.</p>
<p>01.31.00</p>	<p>Remediation (ENVIRONMENTAL MANAGEMENT) The process of restoring heavy metal or oil contaminated land and water to its natural condition or proposed land use. Includes the process of advising, assessing and overseeing major remediation projects. <i>See 01.30.00 for stabilising and revegetating degraded land.</i></p>	
<p>01.31.01</p>	<p>Records documenting the processes and investigations into the restoration and management of contaminated land and water. Includes records relating to environmental benefits, historical data, remediation options, investigation notices, engineering designs, costing and monitoring and assessment data. These may include sites such as:</p> <ul style="list-style-type: none"> • Heavy metal works • Petrol stations • Mt Lyell Mine • Quarries • Savage River Mine • Railways 	<p>PERMANENT</p>
<p>01.31.02</p>	<p>Working papers <u>not</u> considered necessary to substantiate remediation projects.</p>	<p>TEMPORARY Destroy when reference ceases.</p>
<p>01.32.00</p>	<p>Reporting (ENVIRONMENTAL MANAGEMENT) 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 examinations or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.</p>	
<p>01.32.01</p>	<p>Final versions of formal internal reports, reports to external organisations and published reports. <i>See DA No. 2157 for annual reports.</i></p>	<p>PERMANENT</p>
<p>01.32.02</p>	<p>Periodic internal reports relating to routine operational or administrative matters. Includes internal statistical and survey reports. <i>See 01.32.03 for responses to questionnaires and surveys requested by outside organisations.</i></p>	<p>TEMPORARY Destroy 7 years after action completed.</p>

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01.32.03	Records documenting responses to questionnaires and surveys requested by outside organisations. <i>See 01.32.02 for internal survey reports.</i>	TEMPORARY Destroy 2 years after action completed.
01.33.00	Research (ENVIRONMENTAL MANAGEMENT) The activities involved in investigation or enquiring into a subject or area of interest in order to discover facts, principles etc. Includes following up enquiries relating to Environmental Management programs, projects, working papers, literature searches etc. <i>See 01.27.00 for research into the formulation of policy.</i>	
01.33.01	Master copy of project reports.	PERMANENT
01.33.02	Records documenting detailed research carried out which is considered necessary to substantiate project report findings or important for future projects.	PERMANENT
01.33.03	Records documenting routine research carried out which is <u>not</u> considered necessary to substantiate project report findings or important for future projects.	TEMPORARY Destroy when reference ceases.
01.34.00	Reviewing (ENVIRONMENTAL MANAGEMENT) The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.	
01.34.01	Records documenting the review of environmental management programs that result in changes to programs, operations and services. Includes final reports and recommendations.	PERMANENT
01.34.02	Records documenting the review of environmental management programs, operations and services that <u>do not</u> contain significant information or findings.	TEMPORARY Destroy when reference ceases.
01.35.00	Standards (ENVIRONMENTAL MANAGEMENT) The process of implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency. Includes the development of standards.	
01.35.01	Final versions of standards and codes of practice.	PERMANENT
01.35.02	Records documenting the development and review of standards and codes of practice. These may include: <ul style="list-style-type: none"> • Consultation drafts • Submissions received from individuals or organisations 	TEMPORARY Destroy when reference ceases.
01.35.03	Records documenting the implementation of industry, government and agency standards.	TEMPORARY Destroy 7 years after action completed.
01.36.00	Submissions (ENVIRONMENTAL MANAGEMENT) The preparation and submission of a formal statement (eg 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 gain or support. <i>See DA No. 2157 for Cabinet submissions.</i>	
01.36.01	Final versions of agency submissions made by the agency.	TEMPORARY Destroy 5 years after action completed.
01.36.02	Records documenting the preparation of agency submissions.	TEMPORARY Destroy 2 years after action completed.

01.36.03	Public submissions relating to Environmental Management.	TEMPORARY Destroy when reference ceases (or Destroy 1 year after submissions superseded)
01.37.00	Tendering (ENVIRONMENTAL MANAGEMENT) The activities involved in receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods, or for the production of work. <i>See 01.09.00 for the process of outsourcing operations or arranging, procuring and managing the provision of service by an external consultant once the tender has been decided.</i>	
01.37.01	Records documenting the development and issue of tender documents and the evaluation of tenders including: <ul style="list-style-type: none"> • Statement of requirements • Request for proposals • Expression of interest • Request for tender (RFT) • Draft contracts • Reports • Public notices 	TEMPORARY Destroy 7 years after tender process completed.
01.37.02	Records documenting unsuccessful tenders and offers received where the tender process does not proceed.	TEMPORARY Destroy 7 years after tender process completed.
01.37.03	Tender registers.	TEMPORARY Destroy 7 years after last entry.
01.38.00	Waste Management (ENVIRONMENTAL MANAGEMENT) The activities associated with assessing, regulating and monitoring of industrial waste material.	
01.38.01	Records documenting the disposal of contaminated waste (including asbestos, contaminated soils, chemicals and medical waste). These may include: <ul style="list-style-type: none"> • Amount of contaminated material • Approvals • Level of contamination 	PERMANENT
01.38.02	Records documenting the transfer of waste from Australian Antarctic bases. These may include: <ul style="list-style-type: none"> • Consignment Notices 	PERMANENT
01.38.03	Records documenting the transfer of waste from foreign Antarctic bases. These may include: <ul style="list-style-type: none"> • Consignment Notices 	TEMPORARY Destroy 7 years after action completed.
01.38.04	Records documenting recycling programs for non-biodegradable waste that is toxic to the environment. These may include: <ul style="list-style-type: none"> • Tyres • E-waste • Compact fluorescent lights (CFL's) 	PERMANENT
01.38.05	Records documenting recycling programs for biodegradable waste that is <u>not</u> toxic to the environment. These may include: <ul style="list-style-type: none"> • Newspapers • Cardboard 	TEMPORARY Destroy 5 years after action completed.