

**Records Disposal Schedule
Insurance Management
Power and Water Corporation**

Disposal Schedule No. 2008/13

December 2008



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ABOUT THIS DISPOSAL SCHEDULE

Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of records of Insurance Management of the Power and Water Corporation.

Scope

Application of this Disposal Schedule is mandatory for Insurance Management records of the Power and Water Corporation.

This Disposal Schedule applies to Insurance Management records in all formats, including electronic records and records in business systems, copies of records and parts of records of the Northern Territory Government.

Regulatory Framework

The regulatory basis for this Disposal Schedule is defined in:

- ▶ Information Act 2002
- ▶ Australian Standards AS ISO 15489:2002-Records Management

Related Documents

This Disposal Schedule is to be read in conjunction with:

- ▶ NT Government Records Management Standard – Records Disposal
- ▶ policies and procedures of the Power and Water Corporation
- ▶ current authorised disposal schedules for Power and Water Corporation
- ▶ Disposal Schedule for Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN)*.

* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).

- ▶ Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).
- ▶ Disposal Schedule for the Financial Management Records of the Northern Territory Government – Disposal Schedule No. 2001/2 (FM).
- ▶ Disposal Schedule for the Human Resource Management Records of the Northern Territory Government – Disposal Schedule No. 2001/6 (HRM).
- ▶ Disposal Schedule for Records of Short Term Value – Disposal Schedule No. 2003/10
- ▶ NT Archives Service Guidelines on Normal Administrative Practice for Records Disposal

Responsibility

The Managing Director for the Power and Water Corporation is responsible for the content and implementation of this Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Disposal Schedule was approved by the Director of the NT Archives Service and the Managing Director of the Power and Water Corporation on 23rd December 2008 and is effective immediately.

Explanation

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

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

Either permanent or temporary status is assigned to each class of records. Records appraised with permanent status have been identified as archives and must be transferred to the NT Archives Service not later than 30 years after creation. Temporary records will be destroyed at an appropriate time determined by the disposal action identified in the schedule and by consultation with relevant operational business employees responsible for the records.

NT Government Disposal Schedules

There are two types of records disposal schedules:

- ▶ “general” disposal schedules that apply to records common to most or all NT Government public sector organisations, and
- ▶ records disposal schedules specific to an NT Government public sector organisation or function.

There are presently five disposal schedules which provide disposal coverage for records common to most or all NT Government public sector organisations –the General Disposal Schedule for Financial Management Records, the General Disposal Schedule for Human Resource Management Records, the General Disposal for Administrative Records, the General Disposal Schedule for Information Management Records and the Disposal Schedule for Records of Short term Value. These can be used by all NT Government public sector organisations to assist with the disposal of administrative records.

Sentencing Records

Sentence records with this records disposal schedule using the following five steps:

- ▶ Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
- ▶ Identify the disposal class.
- ▶ From the disposal action in the class, identify the trigger event and a date when the record can be disposed of, alternately, identify that the record is to be retained permanently as archives.
- ▶ If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
- ▶ If the trigger event has not occurred (eg. the record is still in active use), set a review date for the future.

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

Re-sentencing Records

All records sentenced under superseded disposal schedule Power and Water Corporation Insurance Management Disposal Schedule No. 2004/16 are to be re-sentenced using this schedule.

Normal Administrative Practice

Some records and ephemeral documents can be destroyed as a normal administrative practice if they are:

- ▶ duplicate (eg information or reference copy)
- ▶ obviously unimportant (eg telephone message slips)
- ▶ of short term facilitative value (eg compliment slips)
- ▶ a combination of these

The guiding principle is that organisations should be sure that destroying these records will not destroy evidence that might be needed.

Records that have been captured into a recordkeeping system should be destroyed using the disposal schedule for short term value records unless the class of records has been identified in a specific disposal schedule. The reason for destruction of all records must be recorded in full on the relevant control records. Normal administrative practice can be applied to electronic records as well as paper records (eg information on word processing systems where a hard copy has been captured into a recordkeeping system)

Notification of Destruction

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

Acknowledgment

The NT Archives Service acknowledges that material produced by National Archives of Australia, State Records Authority of New South Wales and Standards Australia was used in the development of this schedule.

The schedule was drafted principally by the Power and Water Corporation in consultation with the NT Records Service.

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

COMPLIANCE

Compliance Checklist

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

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

DISPOSAL SCHEDULE

1. INSURANCE MANAGEMENT

The function of providing commercial insurance management services to Power and Water Corporation. Includes the process of taking out market premiums to cover loss or damage to assets, property or premises, and to cover customers against injury or death resulting from incidents on the organisation's premises or as a result of Power and Water Corporations' negligence. Includes deeds of release and Indemnity and claims for compensation for damages.

Note: Use COMPENSATION for Workers Compensation.

1.1 AUDIT

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Class No.	Description of Records	Status and Disposal Action
1.1.1	Records relating to internal and external audits of insurance management function to ensure compliance with company administration and legislative requirements. Includes audit reports, advice, recommendations, follow up action.	TEMPORARY Destroy 6 years after action completed

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1. INSURANCE MANAGEMENT

The function of providing commercial insurance management services to Power and Water Corporation. Includes the process of taking out market premiums to cover loss or damage to assets, property or premises, and to cover customers against injury or death resulting from incidents on the organisation's premises or as a result of Power and Water Corporations' negligence. Includes deeds of release and Indemnity and claims for compensation for damages.

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1.2 CLAIMS

The process of administering and managing claims, including claims demanded in accordance with an insurance policy as compensation for injury or death, or denial of rights of a person, or damage or destruction of property; claims made in respect of rights and ownership and recompense sought for lost or stolen property; industrial relations claims; or, superannuation claims.

Class No.	Description of Records	Status and Disposal Action
1.2.1	Records relating to the processing of claims for property damages, assets and motor vehicles. Includes documentation and correspondence for applications, advice and reporting.	TEMPORARY Destroy 7 years after action completed
1.2.2	Records relating to processing of claims for damages for personal injury or public liability claims.	TEMPORARY Destroy 71 years after date of birth or 30 years after the action completed whichever is the latter

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1.3 CONTRACT MANAGEMENT

The activities associated with the process of managing all aspects of the contract, including contract supervision and contract administration.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records relating to the management of contract agreement obligations with external providers. Includes copies of tender documentation, contract agreement, contract variations, negotiations and fees with insurance brokers.	TEMPORARY Destroy 7 years after contract expires

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1. INSURANCE MANAGEMENT

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1.4 INSURANCE

The activities associated with the process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisations premises or whilst engaged during employment.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records relating to insurance policies and correspondence received from or sent to insurance brokers for insurance policy coverage on assets, public liability, motor vehicles and compensation matters.	TEMPORARY Destroy 7 years after policy expires

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1. INSURANCE MANAGEMENT

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1.5 POLICY

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

	Description of Records	Status and Disposal Action
1.5.1	Master set of policies relating to the insurance management function.	PERMANENT Transfer to NT Archives Service 4 years after policy superseded
1.5.2	Records relating to the formulation of insurance management policies on functional activities. Includes consultation papers, drafts, policy proposals, and research papers, comments received for insurance coverage on assets, motor vehicles, public liability, account management audits and compliance.	TEMPORARY Destroy 6 years after policy superseded
1.5.3	Copies of policies relating to the insurance management function.	TEMPORARY Destroy when reference ceases

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1. INSURANCE MANAGEMENT

The function of providing commercial insurance management services to Power and Water Corporation. Includes the process of taking out market premiums to cover loss or damage to assets, property or premises, and to cover customers against injury or death resulting from incidents on the organisation's premises or as a result of Power and Water Corporations' negligence. Includes deeds of release and Indemnity and claims for compensation for damages.

Note: Use COMPENSATION for Workers Compensation.

1.6 PROCEDURES

Standard methods of operating laid down by an organisation according to formulated policy.

	Description of Records	Status and Disposal Action
1.6.1	Master set of procedures and guidelines associated with the insurance management function.	TEMPORARY Destroy 6 years after procedure superseded
1.6.2	Records relating to the development and implementation of procedures and guidelines associated with insurance management function. Includes copies of procedures and manuals	TEMPORARY Destroy 2 years after procedures superseded
1.6.3	Copies of procedures and guidelines.	TEMPORARY Destroy when reference ceases

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1. INSURANCE MANAGEMENT

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Note: Use COMPENSATION for Workers Compensation.

1.7 RISK MANAGEMENT

The process involving the identification of risks, and the implementation of appropriate practices and procedures which will address the impact from an incident.

	Description of Records	Status and Disposal Action
1.7.1	Records relating to risk assessments conducted for insurance management by external consultants. Includes risk assessment process, schedules, action plans and follow up.	TEMPORARY Destroy 7 years after risk assessment completed

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