



Northern  
Territory  
Government

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

**Disposal Schedule No. 2011/2**

**November 2011**

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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 Procurement Management function of the Power and Water Corporation.

### Scope

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

This Disposal Schedule applies to Procurement Management records in all formats, including electronic records and records in business systems, copies of records and parts of records of Northern Territory public sector organisations.

This schedule does not apply to records created prior to the establishment of the Northern Territory Government. Please refer to NT Government Archives Management Standard – Disposal of Government Records created prior to 1 July 1978.

### Responsibility

The Chief Executive of 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 (The Archives Service), Director of Information Strategy (The Records Service), and the Chief Executive of the Power and Water Corporation on 9 November 2011 and is effective immediately.

This schedule is authorised in accordance with S. 136B of the Information Act. Public records must not be disposed of if disposal would be in contravention of S. 145 of the Information Act.

### 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. An Application to Transfer Records form must be submitted to the NT Archives Service before records will be accepted for transfer.

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. Any temporary record may be required to be retained for longer than its specified retention period under certain circumstances, for example,

- ▶ if it relates to any current or pending legal action,
- ▶ is relevant to an investigation or inquiry which is in progress,
- ▶ it is subject to an Information Access application,
- ▶ or subject to a disposal freeze.

### Regulatory Framework

The regulatory basis for this Disposal Schedule is defined in:

- ▶ Utilities Commission Act
- ▶ Power and Water Act
- ▶ Government Owned Corporation Act
- ▶ Electricity Reform Act and subordinate Regulations
- ▶ Contracts Act
- ▶ Electricity Networks (Thirds Party Access) Act

- ▶ Electrical Workers and Contractors Act
- ▶ Work Health Act and Regulations
- ▶ Electronic Transactions (Northern Territory) Act
- ▶ Evidence Act
- ▶ Public Sector Employment and Management Act and subordinate legislation
- ▶ Evidence (Business Records) Interim Arrangements Act
- ▶ Financial Management Act
- ▶ Limitations Act
- ▶ Information Act
- ▶ NT Government Records Management Standards
- ▶ NT Government Archives Management Standards
- ▶ 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
- ▶ NT Government General Disposal Schedules

### 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 six disposal schedules which provide disposal coverage for records common to most or all NT Government public sector organisations –

- ▶ \* 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
- ▶ Disposal Schedule for Temporary Records that have been Digitised – Disposal Schedule No. 2009/13

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.

## **Re-sentencing Records**

All records sentenced under superseded disposal schedule Procurement Management Power and Water Corporation 2005/1 are to be re-sentenced using this schedule.

## **Normal Administrative Practice**

Some records and ephemeral documents can be destroyed under the authority of the Disposal Schedule for Short Term Value Records. These include:

- ▶ 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.

## **Notification of Destruction**

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

Note: Some classes from the Short Term Value Disposal Schedule are exempted from this requirement..

## **Acknowledgment**

The NT Archives Service and the NT Records Service acknowledge that material produced by National Archives of Australia, State Records Authority of New South Wales 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 recordkeeping systems to ensure disposal actions are implemented correctly
- Identify records 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, and 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 for retention as archives not later than 30 years after creation
- 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 Records Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule.

## DISPOSAL SCHEDULE

### 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

#### 1.1 ADVICE

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.1.1	Records relating to advice from and to business units regarding Procurement Management matters.	TEMPORARY  Destroy 6 years after action completed

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.



## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.2 AGREEMENTS

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.2.1	Records relating to service level agreements between Power and Water Corporation and the whole of government service provider for contract and procurement services, and individual business units providing power and water supply and services.  Includes records relating to negotiation of service level agreements.	TEMPORARY  Destroy 10 years after agreement expires

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.

## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.3 CONTRACT MANAGEMENT

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	<p>Records relating to the management of major contracts (e.g. valued at or above \$200,000) or contracts of historical significance, relating to power and water supply and services, infrastructure assets, and associated components.</p> <p>Includes assessment forms and checklists, emails, consultancy drawings, Ministerials, advertisements, Authority to Invite Proposal Forms, Requests for Proposals Forms, Access to Panel Contract Forms, correspondence, copies of invoices and payments.</p>	<p>PERMANENT</p> <p>Transfer to NT Archives Service 20 years after action completed</p>
1.3.2	<p>Records relating to management of minor contracts (e.g. valued below \$200,000) or contracts not of historical significance relating to power and water supply and services, infrastructure assets, and associated components.</p> <p>Includes assessment forms and checklists, emails, consultancy drawings, Ministerials, advertisements, Authority to Invite Proposal Forms, Requests for Proposals Forms, Access to Panel Contract Forms, correspondence, copies of invoices and payments.</p>	<p>TEMPORARY</p> <p>Destroy 20 years after contract expires</p>
1.3.3	<p>Records relating to copies of contracts retained in business unit held for reference.</p> <p>Includes copies of assessment forms and checklists, emails, consultancy drawings, Ministerials, advertisements, Authority to Invite Proposal Forms, Requests for Proposals Forms, Access to Panel Contract Forms, correspondence, copies of invoices and payments.</p> <p>Use LEGAL SERVICES – AGREEMENTS for the original contract (including supporting records)</p> <p>Use PROCUREMENT MANAGEMENT – TENDERING for the activities associated with the tendering process</p>	<p>TEMPORARY</p> <p>Destroy 2 years after action completed</p>

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.

## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.4 INVESTIGATIONS

The acts and processes involved in ascertaining facts by inquiry or examination.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.4.1	Records relating to investigations into complaints received from tenderers to the Ombudsman about the procurement management process.	TEMPORARY  Destroy 10 years after action completed
1.4.2	Records relating to probity checks conducted for tenderers and service providers.	TEMPORARY  Destroy 10 years after action completed
	Use LEGAL SERVICES – LITIGATION for the activities relating to investigations that lead to legal action	

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.

## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.5 PLANNING

The activities associated with formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Class No.	Description of Records	Status and Disposal Action
1.5.1	Final versions of strategic plans relating to procurement management.  Includes disaster plans, vital records protection plan and contingency plans.	PERMANENT  Transfer to NT Archives Service 20 years after action completed
1.5.2	Records relating to the development of procurement management strategic plans.  Includes draft plans and comments.	TEMPORARY  Destroy 6 years after action completed
1.5.3	Records relating to the development of individual working group's procurement management plans.  Includes draft plans and comments.	TEMPORARY  Destroy 6 years after action completed
1.5.4	Copies of strategic and business plans held for reference.	TEMPORARY  Destroy when reference ceases

Use STRATEGIC MANAGEMENT – PLANNING for the activities relating to the organisation's business plan

## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.6 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 organisations operating procedures are determined.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.6.1	Master sets of procurement management policies and standards for power and water supply and services.	PERMANENT  Transfer to NT Archives Service 6 years after action completed
1.6.2	Records relating to development of procurement management policies and standards for power and water supply and services.	TEMPORARY  Destroy 6 years after action completed
1.6.3	Copies of procurement management policies and standards held for reference.	TEMPORARY  Destroy when reference ceases

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.

## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.7 PROCEDURES

The activities associated with the standard methods of operating laid down by an organisation according to formulated policy.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.7.1	Master sets of procedures and guidelines relating to procurement management for power and water supply and services.	PERMANENT Transfer to NT Archives Service 6 years after action completed
1.7.2	Records relating to the development and implementation of procedures and guidelines for procurement management of power and water supply and services.	TEMPORARY Destroy 10 years after procedure superseded
1.7.3	Copies of procedures for procurement management services for power and water supply and services held for reference.	TEMPORARY Destroy when reference ceases

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.

## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.8 PROJECT MANAGEMENT

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.8.1	<p>Records relating to the management of projects including acquisition of plant or equipment.</p> <p>Includes major projects capital or non-capital items, project history, costing and specifications, plans, drawings, costing, financial management and commissioning.</p> <p>Use PROCUREMENT MANAGEMENT – TENDERING for the activities associated with the tendering process</p> <p>Use PROCUREMENT MANAGEMENT - CONTRACT MANAGEMENT for the activities associated with managing contracts</p>	<p>TEMPORARY</p> <p>Destroy 20 years after action completed</p>

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.

## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.9 REPORTING

The activities associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements of findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Class No.	Description of Records	Status and Disposal Action
1.9.1	<p>Reports relating to the procurement of major infrastructure assets, such as those at Hudson Creek and Channel Island Power Station.</p> <p>Includes reports to the Procurement Review Board, agendas, briefing, business and discussion papers, specifications, correspondence and tendering requirements which may be called on for reference in cases where the asset fails or there has been environmental damage.</p>	<p>PERMANENT</p> <p>Transfer to NT Archives Service 20 years after action completed</p>
1.9.2	<p>Periodic reports on specific projects, monthly and status reports on all current contracts.</p> <p>Includes reports provided by consultants and routine reports to the Procurement Review Board. .</p>	<p>TEMPORARY</p> <p>Destroy 6 years after action completed</p>

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.



## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.10 TENDERING

The activities involved in developing, issuing, receiving and assessing tenders. Includes offers made in writing by one party to another to carry out an inclusive price or uniform rate, an order for the supply or purchase of goods or services, or for the production of work.

Class No.	Description of Records	Status and Disposal Action
1.10.1	<p>Records relating to the management of the tender process for tenders that have historical significance or relating to a major contract (e.g. valued at or above \$200,000), such as tenders for major infrastructure assets and associated components.</p> <p>Includes requests for tender, requests for information, statement of requirements, statement of confidentiality, evaluation of tenders received, post offer negotiations, due diligence checks, recommendations and letter to successful tenderer.</p> <p>TIP: Use LEGAL SERVICES – AGREEMENTS for original contracts signed under seal.(including supporting documents)</p>	<p>PERMANENT</p> <p>Transfer to NT Archives Service 20 years after action completed</p>
1.10.2	<p>Records relating to the management of the tender process for tenders that do not have historical significance or relating to a minor contract (e.g. valued below \$200,000).</p> <p>Includes requests for tender, requests for information, statement of requirements, statement of confidentiality, evaluation of tenders received, post offer negotiations, due diligence checks, recommendations and letter to successful tenderer.</p> <p>TIP: Use LEGAL SERVICES – AGREEMENTS for original contracts signed under seal.(including supporting documents)</p>	<p>TEMPORARY</p> <p>Destroy 20 years after expiry of the contract</p>
1.10.3	<p>Records relating to tender development, issue and evaluation of tender documents where a simple contract is arranged not related to infrastructure assets.</p> <p>Includes statement of requirements, requests for proposals, approvals, expression of interest, and request for tender RFT, tenders received, record of arrangements for carrying out the evaluation process, evaluation report, recommendations, final report, public notices and records relating to post offer negotiations.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after tender completed</p>

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.

## 1. PROCUREMENT MANAGEMENT

The function of managing major projects and providing procurement and contract management services. Includes the service or supply for capital works, repairs and maintenance, works and services, minor new works on infrastructure assets and continuous items.

### 1.10 TENDERING

The activities involved in developing, issuing, receiving and assessing tenders. Includes offers made in writing by one party to another to carry out an inclusive price or uniform rate, an order for the supply or purchase of goods or services, or for the production of work.

Class No.	Description of Records	Status and Disposal Action
1.10.4	Records relating to an unsuccessful tender or a tender process where there is no suitable bidder, or where the tender process has been discontinued.  Includes submissions, notification or outcomes and reports on debriefing sessions.	TEMPORARY  Destroy 2 years after tender process completed or decision made not to continue with tender
1.10.5	Working papers and copies of tender documentation.	TEMPORARY  Destroy when reference ceases
1.10.6	Tender register  Includes requests for tender, responses, notices of unsuccessful quotations, attendance at tender briefing sessions and details, future tender opportunities, emails and faxes, responses, receipts, contact details of tenderers, advice on future tender opportunities.	TEMPORARY  Destroy 7 years after last entry

Use FINANCIAL MANAGEMENT – ACQUISITION for the activities relating to procurement of goods and services that do not involve tendering, e.g. quotations

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.

