

**State Archives and Records Authority of New  
South Wales**

**Functional retention and disposal  
authority: water supply and  
wastewater management**

This authority covers records documenting the function of  
water supply and wastewater management

This retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.



**State Archives and Records Authority of New  
South Wales**

**Functional Retention and Disposal Authority**

**Authority  
no** FA367

**SR file no** 15/0339

**Scope** This retention and disposal authority covers records documenting the function of water supply and wastewater management.

**Public  
office** Sydney Water, WaterNSW and Hunter Water Corporation

**Issue date** 13/08/2015 Sydney Water  
15/12/2015 WaterNSW  
29/06/2018 Hunter Water Corporation

## **About the Functional Retention and Disposal Authority**

### **Purpose of the authority**

The purpose of this retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met.

The approval for disposal given by this authority is given under the provisions of the *State Records Act 1998* only and does not override any other obligations of an organisation to retain records.

### **The retention and disposal of State records**

The records retention and disposal practices outlined in this authority are approved under section 21(2)(c) of the *State Records Act 1998 (NSW)*. Part 3 (Protection of State Records) of the Act provides that records are not to be disposed of without the consent of the State Archives and Records Authority of New South Wales (State Archives and Records NSW) with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Archives and Records NSW does not disapprove. Advice on the State Records Act can be obtained from State Archives and Records NSW.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. State Archives and Records NSW reviews and approves organisations' retention and disposal authorities under the *State Records Act*. It is the duty of a public office, in submitting a draft retention and disposal authority for approval, to disclose to State Archives and Records NSW any information which affects the retention of the records covered by the authority.

State Archives and Records NSW's decisions take into account both the administrative requirements of public offices in discharging their functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Archives and Records NSW's functions is to identify and preserve records as State archives. These are records which document the authority and functions of Government, its decision-making processes and the implementation and outcomes of those decisions, including the nature of their influence and effect on communities and individual lives. Criteria for the identification of State archives are listed in *Building the Archives: Policy on records appraisal and the identification of State archives*. The Policy also explains the roles and responsibilities of State Archives and Records NSW and of public offices in undertaking appraisal processes and disposal activities.

### **Implementing the authority**

This retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority should be implemented as part of the records management program of the organisation. Two primary objectives of this program are to ensure that records are kept for as long as they are of value to the organisation and its stakeholders and to enable the destruction or other disposal of records once they are no longer required for business or operational purposes.

The implementation process entails the assessment or examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. For further advice see *Implementing a retention and disposal authority*.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see the *General Retention and Disposal Authority – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology dependent records is available for the periods prescribed.

## **Disposal action**

### ***Records required as State archives***

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these records should be transferred to State Archives and Records NSW when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Archives and Records NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Archives and Records NSW should be a routine and systematic part of a public office's records management program. If the records are more than 25 years old and are still in use for official purposes, then a 'still in use determination' should be made.

### ***Records approved for destruction***

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, government directives and changing social or community expectations. A public office **must not** dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, formal applications for access) where the records may be required as evidence.

Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded. See *Destruction of records: a practical guide*.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Archives and Records NSW recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office **must not** permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Archives and Records NSW.

### **Administrative change**

This retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Archives and Records NSW for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Archives and Records NSW to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

### **Amendment and review of this authority**

State Archives and Records NSW must approve any amendment to this authority. Public offices that use the authority should advise State Archives and Records NSW of any proposed changes or amendments to the authority.

State Archives and Records NSW recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Archives and Records NSW may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements, procedures or to operating environments which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Archives Records NSW and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

#### Contact Information

State Archives and Records NSW  
PO Box 516  
Kingswood NSW 2747  
Telephone: (02) 9673 1788  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

## Functional Retention and Disposal Authority Water supply and wastewater management

**Authority number: FA367**

**Dates of coverage: Open**

<b>List of Functions and Activities covered</b>
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## Water supply and wastewater management

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Authority number: FA367

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# Functional Retention and Disposal Authority

## Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
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### 1.0 ASSET AND INFRASTRUCTURE MANAGEMENT

The function of managing land, assets and infrastructure associated with the supply, storage, movement, transfer and treatment of water resources and wastewater.

Includes:

- water storages infrastructure, such as dams and reservoirs (natural or artificial), and associated structures such as gates, spillways, etc.
- water conduit infrastructure, pumping stations and reticulation systems used for the transport or movement of water and wastewater.

See **PLANNING, POLICY AND PROCEDURES** for strategic planning, policies and procedures relating to the management and operation of assets and infrastructure

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Reporting** for reports to government on assets and infrastructure management.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT** for records relating to the acquisition, conservation, disposal and security of property and assets, the installation of equipment and construction project management records.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** for records relating to gazettal of works.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint Ventures** for records relating to alliances with other organisations.

#### Advice

1.1	Records relating to the offering or receipt of routine operational advice concerning the management of assets and infrastructure.	Retain minimum of 10 years after action completed, then destroy
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#### Agreements

1.2	Records relating to the establishment, negotiation, maintenance and review of agreements associated with the management of assets and infrastructure such as agreements with other organisations to manage water storage facilities, assets and infrastructure of their behalf and agreements with mining companies and other organisations operating near or within the vicinity of infrastructure. Includes correspondence, records of negotiations, final versions of agreements.	Retain minimum of 10 years after expiry or termination of agreement or minimum of 10 years after action completed, whichever is longer, then destroy
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#### Authorisations

1.3	Records relating to approved applications to build over or adjacent to water and wastewater infrastructure e.g. sewers, stormwater channels.	Retain until structure is demolished or
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## Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
<i>ASSET AND INFRASTRUCTURE MANAGEMENT- Authorisations</i>		
		disposed of, then destroy
1.4	Records relating to refused applications to build over or adjacent to water and wastewater infrastructure.	Retain minimum of 7 years after action completed, then destroy
1.5	<p>Records relating to the testing and evaluation of products for use in water and wastewater infrastructure e.g. plumbing products. Includes reports, drawings etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Intellectual property</b> for records relating to products that become the organisation's assets.</p>	Retain minimum of 10 years after action completed, then destroy

### Connections

1.6	<p>Records relating to connections to water supply or wastewater services, or pipes and associated fittings to connect to mains. Includes:</p> <ul style="list-style-type: none"> <li>• temporary water service connections or joint house services</li> <li>• connections to the water supply, drainage, stormwater and wastewater systems</li> <li>• permits for plumbers to connect to the reticulation system.</li> </ul> <p>Records include applications, assessments, approvals, associated plans and specifications, drainage and sewerage diagrams and connection images, indemnities.</p>	Retain until structure or system is demolished or disposed of, connection or service is replaced or cancelled, or 25 years after expiry or termination of permit, then destroy
1.7	<p>Records relating to:</p> <ul style="list-style-type: none"> <li>• requests for larger water services, fire service connections, upsizing or downsizing of water meters</li> <li>• annual testing and registration of stormwater cross-connections and containment devices</li> <li>• routine administrative documents relating to connections within property boundaries to reticulation systems</li> <li>• cross-connections and recirculation of cooling water</li> <li>• routine work on reticulation junctions and service lines.</li> <li>• refused applications or approvals for</li> </ul>	Retain minimum of 7 years after action completed, then destroy

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Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
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### ASSET AND INFRASTRUCTURE MANAGEMENT- Connections

	connections, permits, etc.	
1.8	Records relating to septic tank and other connections to pump sewage into wastewater systems. Includes applications, approvals, associated plans and specifications.	Retain until property connects to a gravitational sewer or minimum of 25 years after action completed, whichever is longer, then destroy

### Design, construction, installation and disposal

1.9	<p>Key records relating to the design, construction, commissioning, major renovation or restoration or decommissioning of water management assets and infrastructure (including dams, reservoirs, pumping stations and associated infrastructure such as aqueducts, sewer mains, tunnels, viaducts, water mains and environs) that is of significance due to the fact that it is:</p> <ul style="list-style-type: none"> <li>• a recipient of an architectural or design award</li> <li>• an important local or regional landmark, or</li> <li>• heritage listed.</li> </ul> <p>Records include:</p> <ul style="list-style-type: none"> <li>• building and development applications, including supporting documentation such as environmental impact statements, archaeological or heritage impact statements</li> <li>• design and as built plans</li> <li>• specifications</li> <li>• photographs documenting stages of construction or changes to structures, environs, etc.</li> <li>• master set of survey plans, field books, PWD sheets and detail sheets for the reticulation and sewerage system</li> <li>• technical advice.</li> </ul>	Required as State archives
1.10	<p>Key records relating to the design, construction, major renovation or restoration, and disposal or decommissioning of water management assets and infrastructure (including dams, reservoirs, pumping stations and associated infrastructure such as aqueducts, sewer mains, tunnels, viaducts, water mains and environs) that is <b>not</b>:</p> <ul style="list-style-type: none"> <li>• a recipient of an architectural or design awards</li> <li>• an important local or regional landmark, or</li> </ul>	Retain minimum of 7 years after building or structure is disposed of, then destroy OR transfer to new owner as required

## Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
<p><i>ASSET AND INFRASTRUCTURE MANAGEMENT- Design, construction, installation and disposal</i></p>		
	<ul style="list-style-type: none"> <li>• heritage listed.</li> </ul> <p>Records include:</p> <ul style="list-style-type: none"> <li>• building and development applications, including supporting documentation</li> <li>• plans and specifications, photographs</li> <li>• agreements</li> <li>• surveys</li> <li>• records of structural changes made for installations and maintenance.</li> </ul>	
1.11	<p>Records relating to the construction and installation of property (other than key construction records, project management or records of hazardous materials). Includes:</p> <ul style="list-style-type: none"> <li>• amplifications, extensions and renewals of reticulation ventshafts, access chambers and junctions</li> <li>• reticulation works that cross railways</li> <li>• repair and remediation of sites not owned or leased by the organisation</li> <li>• surveys.</li> </ul> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PROPERTY MANAGEMENT</b> for records relating to project management or hazardous materials.</p>	Retain minimum of 7 years after construction work completed, then destroy

### Maintenance

1.12	<p>Records relating to major maintenance work carried out during the lifetime of assets and infrastructure, e.g. Records include:</p> <ul style="list-style-type: none"> <li>• plans of major maintenance work undertaken</li> <li>• final, approved agreements</li> <li>• warranties</li> <li>• surveys</li> <li>• technical advice on maintenance of infrastructure.</li> </ul>	Retain until property or structure is disposed of, then destroy or transfer to new owner as required
1.13	<p>Records relating to routine maintenance of assets and infrastructure, including meters. Includes:</p> <ul style="list-style-type: none"> <li>• cleaning and flushing, leaks, breaks, bursts, subsidence and collapses, adjustments, renewals, minor amplifications, pipe linings</li> </ul>	Retain minimum of 7 years after action completed, then destroy

## Water supply and wastewater management

**Authority number: FA367**

**Dates of coverage: Open**

No.	Description of records	Disposal action
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### *ASSET AND INFRASTRUCTURE MANAGEMENT- Operations*

	<ul style="list-style-type: none"> <li>• upkeep of carriers and sub-mains and standard sewermain and watermain extensions</li> <li>• reports on the condition of pipelines and channels.</li> </ul>	
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### **Operations**

1.14	Reports, findings and recommendations of major reviews and investigations into asset and infrastructure safety, conditions, conservation, performance, structural behaviour and potential threats.	Required as State archives
1.15	Key records relating to the monitoring, surveying and inspection of infrastructure and assets to: <ul style="list-style-type: none"> <li>• measure and evaluate the effects of mining or other activities, flows, leakages, seepage, etc., with the potential for long term or significant impact</li> <li>• determine if alterations to systems or procedures are required</li> <li>• determine if works comply with standards</li> <li>• monitor performance</li> <li>• review dam safety.</li> </ul>	Retain minimum of 10 years after structure demolished or disposed of, then destroy
1.16	Records relating to the operational oversight of asset and infrastructure systems and processes. Includes technical reports, surveys, condition reports and safety reviews.	Retain minimum of 25 years after action completed, then destroy
1.17	Records relating to the routine operational management and monitoring of dams, pumping stations, reservoirs and reticulation systems operations. Includes the monitoring of erosion, leaks, siltation and water quality in reservoirs, and the impact of dam releases on water quality in streams, rivers and creeks.	Retain minimum of 10 years after action completed, then destroy

# Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
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CATCHMENT MANAGEMENT- Advice

## 2.0 CATCHMENT MANAGEMENT

The function of managing land and natural resources within water catchment areas.

See **EMERGENCY RISK AND INCIDENT MANAGEMENT** for records relating to incident management, flood mitigation and fire management in catchment areas.

See **URBAN DEVELOPMENT** for records relating to advice on planning instruments.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to routine enquiries about catchment areas.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Liaison** for records relating to relationship activities with private sector organisations and professional associations.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for records relating to agreements with other government organisations regarding the management of water catchment areas.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Reporting** for reports to government relating to catchment areas.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Advice** for records relating to legal advice.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Litigation** for records relating to disputes with users of catchment areas that result in litigation.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Conservation** for records relating to preservation, protection, maintenance, restoration and enhancement of property and land, and the remediation of contaminated sites.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Construction** for records relating to minor construction works.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Audit** for records relating to audits of catchment management activities.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to alliances and joint ventures with other organisations (government or non-government) regarding the management of water catchment areas.

See **ASSET AND INFRASTRUCTURE MANAGEMENT** for records of agreements with other organisations to manage assets or infrastructure on their behalf and agreements with organisations operating near or within the vicinity of infrastructure.

### Advice

2.1	Records relating to the offering or receipt of advice concerning the management of water catchment areas or the supply, transfer or release of water that has potential impact on major liabilities or obligations of the organisation or potential long term consequences.	Required as State archives
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## Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
<i>CATCHMENT MANAGEMENT- Advice</i>		
	<p>Includes:</p> <ul style="list-style-type: none"> <li>• the provision of advice regarding mining applications where the organisations recommends refusal of or the imposition of significant conditions on the approval</li> <li>• the provision of detailed advice or recommendations concerning the impacts of mining and preventative actions or remedial works to minimise or address damage.</li> </ul>	
2.2	Records relating to the offering or receipt of routine operational advice concerning the management of water catchment areas or the supply, transfer or release of water.	Retain minimum of 10 years after action completed, then destroy

### Agreements

2.3	<p>Records relating to the establishment, maintenance and review of agreements associated with the management of water catchment area programs or projects. Includes correspondence, records of negotiations, final agreements.</p> <p>See <b>CATCHMENT MANAGEMENT - Land use</b> for access agreements to undertake activities within water catchment areas.</p>	Retain minimum of 10 years after expiry or termination of agreement, then destroy
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### Conservation

2.4	<p>Records documenting the management of significant sites, species or natural resources within water catchment areas. Includes:</p> <ul style="list-style-type: none"> <li>• reports, remediation plans, and records of liaison relating to significant preventative or remedial conservation treatment</li> <li>• registers, surveys and investigations into rare and threatened flora and fauna, vegetation density, soil health, etc.</li> <li>• registers of contaminated sites, including derelict mine sites.</li> </ul>	Required as State archives
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### Land use

2.5	Records relating to the management of activities within water catchment areas that have potential to impact the area, such as mining, grazing, mineral leases, timber cutting, licences to pump water, access to catchment areas including Special and Controlled areas, access to power stations and transmission lines, etc. Includes applications, agreements, disputes,	Retain minimum of 10 years after expiry or termination of agreement or minimum of 10 years after action
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## Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
<i>CATCHMENT MANAGEMENT- Land use</i>		
	<p>monitoring to ensure conditions are being complied with and reports on the impact of activities. Includes mining management plans and advice on mining applications where the organisation has placed minor conditions on approval or minor input.</p> <p><b>Note:</b> action completed for mining management plans means after mining has ceased.</p>	completed, whichever is longer, then destroy
2.6	Records relating to the management of unsuccessful applications for access to or use of water catchment areas for activities that have potential to impact the area.	Retain minimum of 7 years after action completed, then destroy
2.7	Records relating to the management of applications to carry out activities that have limited impact on water catchment areas or resources within them, such as applications for hiking or other low impact recreational uses.	Retain minimum of 1 year after action completed, then destroy

### Operations, monitoring and reviews

2.8	Reports, findings and recommendations of major reviews and investigations of water catchment management conditions, performance and potential threats. Includes summary records of floods, flows and levels in catchment areas, and aerial surveys.	Required as State archives
2.9	Records documenting the oversight of conditions within water catchment areas. Includes annual inspection, monitoring and surveillance reports and records relating to the implementation of strategic fire prevention and mitigation programs, such as annual hazard reduction programs.	Retain minimum of 25 years after action completed, then destroy
2.10	<p>Records documenting the operational management of water catchment areas. Includes records of:</p> <ul style="list-style-type: none"> <li>• routine inspection, monitoring and surveillance</li> <li>• calculation and analysis of floods, flows and levels</li> <li>• evaluation of catchment management programs or functional operations</li> <li>• the sampling, testing and checking for contamination, pollution and algae</li> <li>• maintenance and upkeep of catchment areas including fire trails, towers etc.</li> </ul>	Retain minimum of 10 years after action completed, then destroy
2.11	Records documenting the use of chemical pesticides and herbicides in water catchment areas.	Retain minimum of 50 years after action completed, then destroy

## Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
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COMMERCIAL SERVICES- Projects

### 3.0 COMMERCIAL SERVICES

The function of providing goods and services on a commercial or fee for service basis.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for records relating to analysing, creating and promoting products and services.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to arranging, procuring and managing the performance of work or the provision of services by an external service provider.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions.

#### Projects

3.1	Records relating to the management of individual projects and product delivery to clients. Includes the management of programs to sell energy, the provision of commercial field and laboratory services, wind and hydro programs, etc.	Retain minimum of 10 years after completion of project or action completed, then destroy
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#### Proposals

3.2	Records relating to proposals, quotes and tender submissions to undertake work or provide services on a commercial basis that do <b>not</b> proceed. Records include project proposals, quotations or tender submissions, negotiations, etc.	Retain minimum of 2 years after action completed, then destroy
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#### Laboratory services

3.3	Data relating to the testing and analysis of samples for commercial clients.	Retain in accordance with relevant accreditation standards and guidelines (for example standards and guidelines issued by the National Association of Testing Authorities (NATA) or its successor agency/ies) or, if retention requirements are not specified, retain minimum of 3 years after action completed, then
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## Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
<i>COMMERCIAL SERVICES- Laboratory services</i>		
		destroy

## Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
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*COMMUNITY RELATIONS- Consultation*

### 4.0 COMMUNITY RELATIONS

The function of managing relations with stakeholders and the broader community. Includes the management of funding and grants programs.

See **PLANNING AND POLICY** for records relating to community consultation that impacts on planning and policy matters, and assessing priority areas for future grants.

#### Consultation

4.1	Records relating to routine discussions with the community on water and waste water management, supply and services (includes flood, stormwater and catchment management matters).	Retain minimum of 7 years after action completed, then destroy
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#### Grants and funding

4.2	Records relating to the management of successful applications for funding and grants. Includes agreements, correspondence and negotiations.	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy
4.3	Records relating to the management of unsuccessful applications for funding and grants.	Retain minimum of 2 years after action completed, then destroy

## Water supply and wastewater management

Authority number: FA367

Dates of coverage: Open

No.	Description of records	Disposal action
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GOVERNANCE- Licences

### 5.0 GOVERNANCE

The framework established to ensure that the organisation is complying with standards or statutory requirements.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** for records relating to complying with accountability, regulatory or quality standards or requirements to which the organisation is subject.

#### Licences

5.1	Records relating to the establishment, maintenance and review of the organisation's licences to operate water and wastewater treatment services. Includes records relating to major or significant breaches of the licence conditions.	Required as State archives
5.2	Records relating to minor breaches of the organisation's operating licences.	Retain minimum of 10 years after action completed, then destroy

## Water supply and wastewater management

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*CUSTOMER SERVICES AND PRICING- Charges and meter reading*

### 6.0 CUSTOMER SERVICES AND PRICING

The function of managing customer services and accounts and the pricing of services.

See **WATER SUPPLY - Advice** for records relating to notices about unsafe drinking water.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Accounting** for records relating to customer financial transactions.

#### Charges and meter reading

6.1	Records relating to the calculation and implementation of charging regimes for water, sewerage and other services, including terms and conditions, exemptions, free supply of water, etc. Includes: <ul style="list-style-type: none"><li>disputes arising from the determination of charges, exemptions, etc.</li><li>the calculation of water rates through the valuation of land</li><li>the reading of meters.</li></ul>	Retain minimum of 7 years after action completed, then destroy
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#### Customer accounts

6.2	Records relating to the management of customer accounts. Includes conditions, terms, requests for exemptions, postponements, waiving of charges, amalgamations for rating purposes, paying by instalments, water trading etc. Records include applications, supporting documentation and determinations.	Retain minimum of 7 years after expiry or termination of arrangement or minimum of 7 years after action completed, whichever is longer, then destroy
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#### Pricing submissions

6.3	Records relating to establishing pricing for the organisation's products and services. Includes pricing submissions, proposals, returns and reports to regulatory bodies such as IPART, price modelling and revenue forecasts, determinations, pricing analysis and reviews, pricing schedules, etc.	Retain minimum of 10 years after superseded, then destroy
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#### Customer Service and management

6.4	Records relating to management of the provision of water and wastewater services to customers. Includes: <ul style="list-style-type: none"><li>the identification of critical customers such as major corporations, hospitals and dialysis</li></ul>	Retain minimum of 7 years after action completed, then destroy
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*CUSTOMER SERVICES AND PRICING- Customer Service and management*

	<p>patients</p> <ul style="list-style-type: none"><li>• notices issued by or to customers in regard to service problems, interruptions, etc.</li><li>• routine administrative matters</li><li>• the management of disputes</li><li>• default and disconnection notices</li><li>• inspection or maintenance of sewers on private property.</li></ul>	
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### EDUCATION

#### 7.0 EDUCATION

The development of education and information resources for the public and industry to raise awareness or inform about particular issues.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to agreements to prepare and deliver training and education.

7.1	Final versions of materials or resources developed to educate or raise public and/or industry awareness of issues or matters relating to water management.	Required as State archives
7.2	Records relating to the development of educational materials or information resources.	Retain minimum of 10 years after action completed, then destroy

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*EMERGENCY RISK AND INCIDENT MANAGEMENT- Advice*

### 8.0 EMERGENCY RISK AND INCIDENT MANAGEMENT

The function of planning for, managing and responding to emergencies and incidents.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Litigation** for records relating to incidents that result in legal action.

#### Advice

8.1	Records relating to the offering or receipt of routine operational advice concerning the management of emergencies and risks associated with water resources and water and wastewater assets, infrastructure and operations.	Retain minimum of 10 years after action completed, then destroy
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#### Agreements

8.2	Records relating to the establishment, negotiation, maintenance and review of agreements supporting emergency risk management.	Retain minimum of 10 years after expiry or termination of agreement, then destroy
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#### Emergency operations and incident management

8.3	Records relating to the management of emergency operations or incidents that have the potential to be of such magnitude as to require off site co-ordination with major levels of resourcing and support (e.g. incident resulting in death or serious injury, major pollution or contamination of water supply, etc.). Includes witness statements, field investigation reports, final report and supporting documentation such as drawings, photographs etc.	Required as State archives
8.4	Records relating to the management of emergency operations and incidents that can be managed at site level but require substantial additional resources or have substantial impact on customers, community, environment or business operations. Includes witness statements, field investigation reports, final report and supporting documentation such as drawings, photographs etc.	Retain minimum of 25 years after action completed, then destroy
8.5	Records relating to the management of emergency operations and incidents that can be handled by a workgroup with few or no adverse impact on customers, community, environment or business operations.	Retain minimum of 7 years after action completed, then destroy

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*EMERGENCY RISK AND INCIDENT MANAGEMENT- Exercises*

### Exercises

8.6	Records relating to the development, planning, management and reviewing of simulated emergency situations with external agencies. Includes debriefings, action plans, correspondence with emergency management organisations and agencies and final presentation material.	Retain minimum of 7 years after action completed, then destroy
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### Flood and fire mitigation

8.7	Final reports or findings of projects or investigations into flood levels and frequency, and the consequences of flooding in catchment areas, dams, reservoirs and stormwater systems. Includes final approved flood models, reports of long-term measures taken to reduce the effects of floods and the results of those measures, research data that cannot be replicated.	Required as State archives
8.8	Records relating to the development, management and review of fire and flood mitigation protocols and programs. Includes flood mitigation plans for specific water storages or catchment areas, and routine data and/or statistics gathered on flooding issues and mitigation in catchment areas, dams, reservoirs and stormwater-prone areas.	Retain minimum of 10 years after action completed, then destroy

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*PLANNING, POLICY AND PROCEDURES- Planning and policy*

### 9.0 PLANNING, POLICY AND PROCEDURES

The process of formulating ways in which objectives can be achieved, developing and establishing decisions, directions and precedents which act as a reference for future decision making, and developing standard methods of operation.

#### Planning and policy

9.1	Records relating to the development and review of strategic plans and policies for the management of water supply and wastewater services, including assets and infrastructure, catchment areas, emergency management, environmental management etc. Includes planning for major initiatives, projects, programs etc. Records include final versions, background research, notes of meetings or reports analysing issues and the outcomes of consultation with stakeholders.	Required as State archives
9.2	Records relating to the development and review of operational action or business plans supporting the conduct of activities and operations. Records include final versions, routine administrative drafts, comments etc.	Retain minimum of 7 years after action completed, then destroy

#### Procedures

9.3	Records relating to the development and review of procedures, manuals, handbooks, directives, etc., supporting the conduct of activities and operations. Records include background research, reports and final versions. <b>Note:</b> Evidence of operating policies, protocols or procedures in place at a particular time may be of relevance for future claims or legal action involving the organisation. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of procedures need to be retained for longer periods.	Retain minimum of 10 years after superseded, then destroy
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*REGULATORY MANAGEMENT- Infringements*

### 10.0 REGULATORY MANAGEMENT

The function of regulating, notifying and applying penalties in relation to the organisation's regulatory role. Includes the carrying out of inspections and investigations, and issuing of infringements, notices and orders.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Litigation** for records relating to the breaches and infringements that result in prosecution or further legal action.

#### Infringements

10.1	Records relating to the issue of infringements or notices for offences. Includes the management of breaches such as water meter tampering, trespassing, illegal dumping of trade waste in water systems, unauthorised use or connections to wastewater systems, breaches of plumbing standards and regulations.	Retain minimum of 7 years after action completed, then destroy
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### RESEARCH AND DEVELOPMENT

#### 11.0 RESEARCH AND DEVELOPMENT

The activities and processes involved in investigating, modelling and/or enquiring into a subject or area of interest.

11.1	Records relating to research projects conducted or commissioned by the organisation to support the development of significant or innovative water or wastewater management initiatives or strategies, etc. Includes reports or summaries of findings and research data which is unique or cannot be reproduced or replicated from other sources. Includes final approved versions of flood models for dams.	Required as State archives
11.2	Records relating to research projects conducted or commissioned by the organisation that does <b>not</b> support the development of significant or innovative water or wastewater management initiatives or strategies. Includes research into: <ul style="list-style-type: none"> <li>• water and wastewater treatment plant capabilities, including modelling of plant capabilities, feasibility studies and options reports</li> <li>• collection and manipulation of stormwater data for assessment of benefits and impact of actions</li> <li>• customer needs and attitudes.</li> </ul>	Retain minimum of 10 years after action completed, then destroy
11.3	Working papers and routine administrative records relating to research projects.	Retain minimum of 7 years after action completed, then destroy
11.4	Data which can be reproduced or replicated from other sources.	Retain until reference use ceases, then destroy

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*URBAN DEVELOPMENT- Advice*

### 12.0 URBAN DEVELOPMENT

The function of servicing urban development proposals to ensure water related services are properly designed, constructed, maintained and operated. Includes assessing development applications and issuing compliance certificates.

#### Advice

12.1	Records relating to the assessment and provision of detailed input into environmental planning instruments from external organisations.	Required as State archives
12.2	Records relating to the provision of advice to planning authorities on development applications where the organisation provides a detailed response or imposes significant conditions.	Retain minimum of 50 years after assessment, then destroy
12.3	Records relating to the offering or receipt of routine advice concerning urban development. Includes: <ul style="list-style-type: none"> <li>• the provision of advice on development applications where the organisation provides minor input</li> <li>• monitoring of developments to ensure compliance with conditions</li> <li>• advice on environmental planning instruments and land development where the organisation provides minimal input</li> <li>• notifications concerning properties for information or reference purposes such as deposited plans, notices of sale from vendors and purchasers, subdivision / consolidation / strata plan information, zoning details and other property notifications.</li> </ul>	Retain minimum of 10 years after action completed, then destroy

#### Agreements

12.4	Records relating to the establishment, negotiation, maintenance and review of agreements, such as agreements with local councils for the use of road reserves, easements, permits and other agreements authorising access to properties or crossing of railway lines, roads etc. Includes correspondence, records of negotiations, final, approved versions of agreements.	Retain minimum of 10 years after expiry or termination of agreement, then destroy
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#### Construction of works

12.5	Records relating to developments and/or subdivisions requiring the construction of works for the provision of	Retain minimum of 25 years after transfer of
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## Water supply and wastewater management

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### *URBAN DEVELOPMENT- Inspections*

	<p>water related services. Includes:</p> <ul style="list-style-type: none"> <li>• notification, drawings</li> <li>• asset valuations</li> <li>• development servicing plans</li> <li>• estimates of future capital and operating costs</li> <li>• models</li> <li>• projections</li> <li>• calculation of charges and levies for water, sewerage and drainage services.</li> </ul>	<p>ownership from developer to organisation, then destroy</p>
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### **Inspections**

12.6	<p>Records relating to developments and/or subdivisions where:</p> <ul style="list-style-type: none"> <li>• a requirements notice and/or certificate of compliance is issued but where new works are not required, notices are not served, etc.</li> <li>• property inspections are undertaken to validate details and monitor compliance with conditions.</li> </ul> <p>Includes withdrawn or refused applications.</p>	<p>Retain minimum of 7 years after issue of notice or certificate or minimum of 7 years after action completed, whichever is longer, then destroy</p>
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## Water supply and wastewater management

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WASTEWATER TREATMENT AND MANAGEMENT- Advice

### 13.0 WASTEWATER TREATMENT AND MANAGEMENT

The function of managing stormwater, biosolids from wastewater treatment, trade waste, and the processes of treating used water, human waste and other chemicals which flow through sewers.

See **ASSET AND INFRASTRUCTURE MANAGEMENT** for records relating to the construction, operation, maintenance and disposal of wastewater treatment plants and infrastructure.

See **GOVERNANCE** for records relating to operating licences.

See **PLANNING, POLICY AND PROCEDURES** for strategic planning, policies and procedures relating to the management and operation of wastewater services.

See General Retention and Disposal Authority *Administrative records* **EQUIPMENT & STORES - Acquisition** for records relating to the acquisition of wastewater treatment plant and equipment.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Litigation** for records relating to infringements that result in legal action.

#### Advice

13.1	Records relating to the offering or receipt of routine operational advice concerning the management of stormwater and wastewater.	Retain minimum of 10 years after action completed, then destroy
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#### Agreements

13.2	Records relating to the establishment, negotiation, maintenance and review of agreements regarding stormwater and wastewater management. Includes agreements: <ul style="list-style-type: none"><li>• with manufacturers to control the substances entering the wastewater systems and remove harmful matter from products</li><li>• with industry for commercial supply of recycled water</li><li>• for the transfer of stormwater channels to/from the organisation</li><li>• for industrial waste discharge.</li></ul>	Retain minimum of 10 years after expiry or termination of agreement, then destroy
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#### Authorisation

13.3	Records relating to authorisations for industrial use of the organisation's infrastructure. Includes approved applications for industrial waste discharge to sewers and applications for industrial waste products.	Retain minimum of 25 years after expiry or termination of permit, then destroy
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### WASTEWATER TREATMENT AND MANAGEMENT- Authorisation

13.4	<p>Records relating to authorisations for commercial, trade and other uses of the organisation's infrastructure, and the licensing of biosolids sites. Includes:</p> <ul style="list-style-type: none"> <li>• applications for commercial waste discharge to sewer</li> <li>• transfer dockets for biosolids</li> <li>• wastewater permission to work forms, etc.</li> <li>• biosolids site assessments, soil and water testing, applications, plans, reviews of environmental factors, etc.</li> </ul>	<p>Retain a minimum of 7 years after expiry or termination of permit or licence, or 7 years after action completed, then destroy</p>
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### Operations

13.5	<p>Reports, findings and recommendations of major reviews and investigations into wastewater treatment.</p>	<p>Required as State archives</p>
13.6	<p>Records relating to the oversight of critical stormwater and wastewater systems, programs and projects, such as effluent improvement programs and wetlands projects. Includes:</p> <ul style="list-style-type: none"> <li>• analysis, sampling and testing of wastewater, plant output quality, biosolids, pollution of rivers and oceans, stormwater flows, rainfall, other weather data and flooding</li> <li>• recordings of daily parameters at treatment plants</li> <li>• reports submitted to regulators on pollution reduction and reports required as part of licensing conditions</li> <li>• treatment of pollutants.</li> </ul>	<p>Retain minimum of 25 years after action completed, then destroy</p>
13.7	<p>Records relating to the operational management of other stormwater and wastewater systems, programs and projects, such as:</p> <ul style="list-style-type: none"> <li>• land application programs for biosolids</li> <li>• biosolids processing including fault reporting, dewatering and treatment</li> <li>• grading of chemical contaminants</li> <li>• inspections of the level and causes of pollution in stormwater systems</li> <li>• household chemical collection and disposal programs</li> <li>• trialling of alternative treatment processes and systems</li> </ul>	<p>Retain minimum of 7 years after action completed, then destroy</p>

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### *WASTEWATER TREATMENT AND MANAGEMENT- Operations*

	<ul style="list-style-type: none"><li>• the disposal (by sale and other means) of various byproducts e.g. gases and sludges.</li></ul> <p>Includes:</p> <ul style="list-style-type: none"><li>• routine administrative documents relating to the formulation, implementation and operation of programs</li><li>• reports, results, etc. relating to programs</li><li>• system performance reports</li><li>• reviews of programs</li><li>• reports submitted to treatment plants and recycling plants on contaminants in biosolids.</li></ul>	
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WATER SUPPLY- Advice

### 14.0 WATER SUPPLY

The function of managing the processes involved in treating water to supply a product of drinking quality that meets recognised standards. Includes the operation of water treatment and filtration plants, the provision of water services to the community and water supply agreements.

See **ASSET AND INFRASTRUCTURE MANAGEMENT** for records relating to the construction, operation, maintenance and disposal of water supply infrastructure.

See **CATCHMENT MANAGEMENT** for records relating to the management of land and natural resources within water catchment areas.

See **GOVERNANCE** for records relating to operating licences.

See **PLANNING, POLICY AND PROCEDURES** for strategic planning, policies and procedures relating to the management and operation of water supply services.

#### Advice

14.1	Records relating to notifications about the supply or potential supply of unsafe drinking water.	Required as State archives
14.2	Records relating to the offering or receipt of routine operational advice concerning the management of water treatment and supply.	Retain minimum of 10 years after action completed, then destroy

#### Agreements

14.3	Records relating to the establishment, negotiation, maintenance and review of bulk water supply agreements.	Required as State archives
14.4	Records relating to the establishment, negotiation, maintenance and review of agreements regarding water treatment and supply, except for bulk water supply agreements. Includes memorandums of understanding on water quality.	Retain minimum of 10 years after expiry or termination of agreement, then destroy

#### Authorisation

14.5	Records relating to applications to carry out works e.g. permission to work forms.	Retain minimum of 7 years after action completed, then destroy
14.6	Records relating to applications to access water from hydrants using a standpipe.	Retain minimum of 1 year after expiry or termination of permit, then destroy

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*WATER SUPPLY- Operations*

### Operations

14.7	Reports, findings and recommendations of major reviews and investigations into water treatment and supply.	Required as State archives
14.8	Records relating to the oversight of the management of critical water systems, programs and projects. Includes: <ul style="list-style-type: none"> <li>• log sheets and electronic information recording daily parameters, etc.</li> <li>• reports on plant output quality, includes reports sent to the external regulators</li> <li>• the day to day management of river operations or water ordering and usage</li> <li>• sampling, testing and checking of the water supply for pollution, contamination, quality, continuity and pressure</li> <li>• treatment of pollutants</li> <li>• investigations.</li> </ul>	Retain minimum of 25 years after action completed, then destroy
14.9	Records relating to the operational management of water systems and programs. Includes trialling alternative treatment processes and systems.	Retain minimum of 7 years after action completed, then destroy