



Public Record Office Standard

PROS 02/03

Authority

Retention & Disposal Authority for Records of Environment Protection Authority

Version 2013

Incorporating Variation 1 and Variation 2

02/03	Issue Date: 15/04/2003	Expiry Date: 15/04/2013
Variation 1	Issue Date: 23/12/2013	Expiry Date: 31/12/2016
Variation 2	Issue Date: 03/02/2017	Expiry Date: 31/12/2019

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Public Records Act 1973
(Section 12)
**Retention and Disposal Authority for Records of
Environment Protection Authority**

Public Record Office Standard (PROS) 02/03

Variation 1:

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention and Disposal Authority for Records of Environment Protection Authority, issued as Public Record Office Standard (PROS) 02/03 on 15/04/2003, as follows:

Extension of the application of this Standard until 31/12/2016

This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood

Date: 23/12/13

Director and Keeper of Public Records

Public Records Act 1973
(Section 12)
**Retention and Disposal Authority for Records of
Environment Protection Authority**

Public Record Office Standard (PROS) 02/03

Variation 2:

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention and Disposal Authority for Records of Environment Protection Authority, issued as Public Record Office Standard (PROS) 02/03 on 15/04/2003, as follows:

Extension of the application of this Standard until 31/12/2019

This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood

Date: 03/02/2017

Director and Keeper of Public Records

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Part 1

Establishment of the Standard

Part 1: Establishment of the Standard

1.1.0 Scope of the Standard

In accordance with Section 12 of the *Public Records Act* 1973, I hereby establish a Records Management Standard for the efficient management of public records arising from the administration of the Environment Protection function, in particular with respect to the:

- selection of public records worthy of preservation;
- transfer of public records to the Public Record Office; and
- segregation and disposal of public records not worthy of preservation.

Records sentenced for destruction in accordance this Records Authority for the Environment Protection function may be destroyed without further authorisation. Notification of records destroyed in accordance with the Records Authority shall be made to Public Record Office Victoria.

1.2.0 Duration of the Standard

This Standard shall apply for ten years from its date of issue unless revoked sooner.

1.3.0 Variation of the Standard

This Standard may be varied by the Keeper of Public Records.

1.4.0 Concurrence of the Public Office

This Records Authority has the concurrence of:

Signature:

Date: 20/03/2003

Name: Michael John Bourke

Position: Chairman/CEO

1.5.0 Issue by the Keeper of Public Records

Signature: Justine Heazlewood

Date of Issue: 15/04/2003

Part 2

Introduction to the Records Authority

Part 2: Introduction to the Records Authority

1.0.0 Scope of this Records Authority

This Records Authority is a Standard issued under Section 12 of the *Public Records Act 1973*. It has been issued by the Public Record Office Victoria in consultation with the Environment Protection Authority.

2.0.0 Objectives of this Records Authority

The aims of the Records Authority are to:

- identify records which are worth preserving permanently as part of Victoria's archival heritage
- prevent the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration
- authorise the destruction of those records not required permanently

3.0.0 Use of Other Records Authorities

In applying the disposal sentences set out in this Records Authority, reference should be made to other current Records Authorities where applicable. Where there is conflict between two Records Authorities (such as the General Records Authority for Common Administrative Records), consult the Public Record Office Victoria.

4.0.0 How to Use the Records Authority

4.1.0 *Transfer of records to Public Record Office Victoria*

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

4.2.0 *Disposal of records identified in the Authority*

Disposal of public records identified in this Authority must be undertaken in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

4.3.0 Normal Administrative Practice

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's recordkeeping system
- extra copies of documents and published material preserved solely for reference

5.0.0 Reviewing the Records Authority

This Records Authority may be reviewed at any time by the Keeper of Public Records.

6.0.0 Explanation of Records Authority Headings

This Records Authority is divided into sections. Each section contains the following:

FUNCTION

The record-making activities of the Environment Protection Authority have been split into functional areas. Specific functions in these areas are briefly described and numbered. This provides for easy citation of and reference to groups of records that result from the same activity and perform the same function.

The Records Authority may also include instructions or guidelines relating to culling, sentencing provisions, information on duplication of record content in other classes, and cross-references to other entries within the Records Authority.

STATUS

This entry provides the archival status of each process being either Permanent or Temporary

DISPOSAL ACTION

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria.

Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 *Management of Electronic Records* (Version 2).

The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*.

7.0.0 Further Information

7.1.0 Public Record Office Standards

Your organisation will be notified of any other relevant general standards applicable to it as they are issued in the future.

7.2.0 Contact Details

You can obtain relevant publications, supplies of relevant forms, and answers to any enquiries you may have by contacting the following:

1. The Records Manager (or equivalent) of your organisation.
2. Public Record Office Victoria
Record Services
PO Box 2100
NORTH MELBOURNE VIC 3051

☎ (03) 9348 5600
Fax: (03) 9348 5656
Email: agency.queries@prov.vic.gov.au
<http://www.prov.vic.gov.au>

Part 3

The Records Authority

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
1.0.0	COMMITTEES, BOARDS, WORKING PARTIES	The management of committees, boards, working parties, panels and other bodies which operate across EPA at all levels. These bodies operate either within or outside EPA and represent the powers, duties and functions performed by EPA.			
1.1.0	DECISION MAKING	The activities associated with recording the discussions and resolutions of committees, boards, working parties, panels and other bodies.			
1.1.1	Authority meetings	Meetings of the Environment Protection Authority established by statute.	Agenda and schedules, working papers, minutes, reports of Authority meetings, submissions, briefing notes and supporting documentation, notices of meetings	Permanent	Transfer to PROV
1.1.2	Environment Protection Board meetings	Meetings of the Environment Protection Board established by statute.	Agenda and schedules, working papers, minutes, reports, submissions, briefing notes and supporting documentation, notices of meetings	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
1.1.3	Internal committees, working parties and other bodies -- significant	Internal committees, working parties and other bodies that effect or establish policy, determine or influence strategies or objectives, or significantly affect administrative or operational activities. Examples include Corporate Business Meetings (CBM) and Senior Management Committee (SMC).	Agenda and schedules, working papers, minutes, reports, submissions, briefing notes and supporting documentation, notices of meetings	Permanent	Transfer to PROV
1.1.4	Internal committees, working parties and other bodies -- other	Internal committees, working parties and other bodies formed to consider matters of minor importance, conduct short term projects which do not involve major funding or resources, or support the daily administrative functions of EPA. Example: Business unit meetings.	Agenda and schedules, working papers, minutes, reports, submissions, briefing notes and supporting documentation, notices of meetings	Temporary	Destroy 7 years after administrative use is concluded
1.1.5	External commissions, boards, committees, working parties, panels etc convened by EPA		Agenda and schedules, working papers, minutes, reports, submissions, briefing notes and supporting documentation, notices of meetings	Permanent	Transfer to PROV
1.1.6	External commissions, boards, committees, working parties, panels etc not convened by EPA				

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
1.1.6.1	External commissions, boards, committees, working parties where: EPA contributes to the findings; EPA's policies, procedures, administrative arrangements may be affected; or the committee or working party establishes a precedent that affects the operations of EPA		Agenda and schedules, working papers, minutes, reports, submissions, briefing notes and supporting documentation, notices of meetings	Permanent	Transfer to PROV
1.1.6.2	External commissions, boards, committees, working parties not covered by 1.1.6.1	Includes committees etc. where EPA is an observer only.	Agenda and schedules, working papers, minutes, reports, submissions, briefing notes and supporting documentation, notices of meetings	Temporary	Destroy after administrative use is concluded
1.2.0	FACILITATION OF DECISION MAKING	Administration of meetings, arrangement of venues, preparation of papers and administrative support relating to the meetings identified above.	Attendance arrangements, draft minutes, draft agenda papers, invitations, expression of thanks	Temporary	Destroy after administrative use is concluded
1.3.0	APPOINTMENT AND MANAGEMENT OF AUTHORITY AND BOARD MEMBERS				
1.3.1	Appointments	The process of appointing members to the Board, and maintaining and terminating their membership.	List of Board members, composition and appointment to the Board, resignations	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
1.3.2	Pecuniary Interests	The process of documenting the pecuniary interests of Board members.	Pecuniary Interest Declarations	Temporary	Destroy 7 years after administrative use is concluded

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
2.0.0	ENQUIRIES	The provision of responses to enquiries from the community, business, industry and governments on environmental issues and activities performed by the EPA.			
2.1.0	POLICIES AND PROCEDURES FOR ENQUIRY CONTROLS	The process of formulating ways in which responses can be made. Includes the activities involved in re-evaluating products, processes, procedures, standards and systems.	Strategies, feasibility studies, procedures	Permanent	Transfer to PROV
2.2.0	ENQUIRIES RELATING TO EPA ACTIONS	Activities associated with the management of an enquiry that requires EPA to account for an action.			
2.2.1	Significant enquiries	Enquiries that: change policy and procedures, set a precedent, result in litigation, raise systemic issues, or were received from the Minister.	Initial enquiry, preparation of response, investigation records, record of decision making process, correspondence, final response	Permanent	Transfer to PROV
2.2.2	Non-significant enquiries that require detailed investigation	.	Initial enquiry, preparation of response, investigation records, record of decision making process, correspondence, final response	Temporary	Destroy 5 years after administrative use is concluded

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
2.3.0	REQUESTS FOR INFORMATION ON NON-SPECIFIC ENVIRONMENTAL TOPICS	The management of enquiries that require a routine response or provision of information.	Requests for information from the general public, requests for published materials produced by EPA, requests for school project material	Temporary	Destroy 2 years after administrative use is concluded

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.0.0	STATUTORY ENFORCEMENT	The activities associated with facilitating industry and protection agencies to adopt the policies, strategies and statutory requirements for controlling pollution and centralize the discharge of waste and risks to the environment. Includes activities associated with enforcing legislation for which the EPA is responsible and the co-ordination of activities relating to the discharge of wastes into the environment and the generation, storage, treatment, transport and disposal of industrial waste and emission of noise.			
3.1.0	POLICIES AND PROCEDURES FOR STATUTORY ENFORCEMENT	The process of formulating ways in which objectives can be met. Includes the re-evaluation or re-examination of processes, procedures, standards and systems related to the regulatory functions of EPA.	Records illustrating procedural development and revisions, master sets of procedural manuals, forms and circulars	Permanent	Transfer to PROV
3.2.0	CORPORATE LIAISON ACTIVITY -- PARENT ENTITIES	Liaison activities with the head office of a private or public enterprise or with an industry peak body to facilitate best practice environmental management and cleaner production practices.	Client files, correspondence, Environment Improvement Plans, Emergency Management Plans, disaster planning, assessments and investigations, meeting notes	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.3.0	Corporate liaison activity -- site specific	Liaison activities with a specific industrial site, including multiple sites of a single enterprise. Liaison activities could be established as a result of enforcement action on the site, for example the issuing of a Pollution Abatement Notice.			
3.3.1	Significant liaison activity	Liaison activity that leads to the establishment of business sustainable programs, sets a precedent or raises systemic issues.	Client files, correspondence, Environment Improvement Plans, Emergency Management Plans, disaster planning, assessments and investigations, meeting notes	Permanent	Transfer to PROV
3.3.2	All other liaison activity		Client files, correspondence, Emergency Management Plans, disaster planning, assessments and investigations, meeting notes	Temporary	Destroy 7 years after the activity and client cease
3.4.0	LICENCES, WORKS APPROVALS AND POLLUTION ABATEMENT NOTICES				

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.4.1	Registration of Licences, Works Approvals and Pollution Abatement Notices	Compilation and management of a Dentralized register for EPA-issued licences, Works Approvals and Pollution Abatement Notices.	STEP+ database (manages licences, Works Approvals, Pollution Abatement Notices)	To be finalised	Pending finalisation of archival appraisal, data for the generation of reports are to be migrated across systems
3.4.2	Works Approvals	The issue and management of Works Approvals relating to scheduled premises, as required by statute.			
3.4.2.1	Significant Works Approvals	Works Approvals on sites that set a precedent, represent an extraordinary issue, involve complex political discussions or raise systemic issues.	Planning referrals, Planning Permit applications, Planning Scheme amendments, Applications for Works Approval, investigation notes, site assessment reports, Works Approval Certificates, site monitoring, correspondence, Review of Works Approval, comments received on Applications, Applications for exemption from Works Approval	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.4.2.2	All other Works Approvals		Planning referrals, Planning Permit applications, Planning Scheme amendments, Applications for Works Approval, investigation notes, site assessment reports, Works Approval Certificates, site monitoring, correspondence, Review of Works Approval, comments received on Applications, Applications for exemption from Works Approval	Temporary	Destroy 7 years after the corresponding site licence is no longer current, i.e. is surrendered, revoked or made exempt
3.4.3	Licences	Issue and management of licences relating to scheduled premises, as required by statute, for the regulation of waste discharges to the environment.			

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.4.3.1	Significant licences	Licences relating to sites that set a precedent, represent an extraordinary issue, involve complex political discussions or raise systemic issues.	Licence applications, Licence Surveys / investigation records of sites, Licence holder transfers, surrendering and revocation actions, compliance monitoring, Licence monitoring data, correspondence, plans, photographs or any evidence of sites, applications for amalgamated licences, landfill levy calculations, landfill levy statements (annual & quarterly), accredited licensee applications, appointments and performance reports, enforcement action (eg. Pollution Infringement Notices), applications for exemption from licence	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.4.3.2	All other Licences		Licence applications, Licence Surveys / investigation records of sites, Licence holder transfers, surrendering and revocation actions, compliance monitoring, Licence monitoring data, correspondence, plans, photographs or any evidence of sites, applications for amalgamated licences, landfill levy calculations, landfill levy statements (annual & quarterly), accredited licensee applications, appointments and performance reports, enforcement action (eg. Pollution Infringement Notices), applications for exemption from licence	Temporary	Destroy 7 years after licence is no longer current, i.e. is surrendered, revoked or made exempt
3.5.0	POLLUTION INFRINGEMENTS	Issue and management of infringement notices issued under legislation for which the EPA is responsible.			

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.5.1	Registration of Pollution Infringements and Notices	Registration of infringements and notices issued under legislation for which EPA is responsible. Data from the registers are used to compile reports.	Mover database (control record for motor vehicle reporting), Penpay database (control record of infringement notices)	Temporary	Destroy 2 years after payment of all infringements and compilation of relevant reports
3.5.2	Motor vehicle reporting	Reporting and enforcement relating to individual vehicles' excessive smoke emissions, excessive noise levels or tampered with exhausts.	Infringements Notice, public report, appeal records, receipt of payment of fines, test certificate for compliance, correspondence	Temporary	Destroy 2 years after payment of infringement
3.5.3	Appointment of Noise Testers	The appointment of noise testers for motor vehicles.	Application, approval of application, monitoring of testers	Temporary	Destroy 7 years after appointment is no longer current
3.5.4	Litter	The enforcement of individual litter infringements.	Courtesy letters, litter reports, Infringement Notices, Penalty Notices, PERIN court action correspondence	Temporary	Destroy 2 years after payment of infringement

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.5.5	Pollution Abatement Notices	The issue of Pollution Abatement Notices relating to industrial premises in accordance with statute.	Pollution Abatement Notices, Appeals, Minor Works Pollution Abatement Notices, Requirements of Notices, correspondence, investigation records, Clean Up Notices, Penalty Notices	Temporary	Destroy 7 years after notice issued or at the same time as the relevant client file, whichever is the later
3.6.0	TRANSPORTATION OF WASTE	Activities associated with statutory systems for tracking the movement of prescribed wastes.			
3.6.1	Registration of Waste Transporters and Waste Disposal	Activities associated with managing the registration of waste transporters and waste disposal.	Industrial Wastes database, TRANSCERT database	To be finalised	Pending finalisation of archival appraisal, data for the generation of reports are to be migrated across systems

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.6.2	Regulation of Waste Transportation System management	Activities associated with managing regulatory obligations of the waste transportation system.	Applications for authorisation as an accredited agent, accredited agents' annual returns, applications for consignment authorisation, waste producer annual returns and associated spreadsheets	Temporary	Destroy 3 years after administrative use is concluded
3.6.3	Waste Transport Certificates	Record of the waste producer, transporter and receiver of each consignment.	Waste Transport Certificates, application for exemption from Transport Certificates	Temporary	Destroy 7 years after last action
3.6.4	Waste Transport Permits	The management of vehicles permitted to transport prescribed wastes.	Application for permit to transport prescribed waste, permits including amendments, payment of application fee, management and/or review of permit holder, penalties	Temporary	Destroy 7 years after permit is no longer current
3.7.0	AUDITING	The management of the Environmental Auditor (Contaminated Land) program and similar programs.			
3.7.1	Audit management	The management of control systems for audits and EPA approved auditors.	Priority sites register, EPA Approved Auditors register, environmental audit database	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.7.2	Site audits	The overseeing of audits conducted under the Environmental Auditor (Contaminated Land) program and similar programs.	Audit report files, consultants' reports, correspondence with stakeholders (such as planning authorities and owners/developers of contaminated sites), clearance documents, Notice of Contamination, Certificate / Statement of Environmental Audit	Permanent	Transfer to PROV
3.7.3	Environmental Auditors	The appointment and regulation of EPA approved auditors to conduct audits within the Environmental Auditor (Contaminated Land) program and similar programs.	Applications, Appointments, supporting documentation	Temporary	Destroy 7 years after appointment is no longer current
3.8.0	ENVIRONMENT INVESTIGATIONS	Investigations and inspections to ensure compliance with legislation for which the EPA is responsible and to investigate complaints relating to possible breaches of that legislation.			

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.8.1	Registration of Investigations and Complaints	Management of the control systems established for recording pollution complaints, incidents, investigations and responses to emergency incidents.	Polwatch Reporting System (record of pollution incidents)	To be finalised	Pending finalisation of archival appraisal, data for the generation of reports are to be migrated across systems
3.8.2	Site Investigations	Activities associated with investigation of complaints received regarding possible breaches of legislation for which the EPA is responsible and ensuring compliance.			
3.8.2.1	Major site-specific investigations	Site-specific investigations that set a precedent, involve possible substantial damage to the environment, have general public notoriety, or raise systemic issues.	Investigation reports, recommendations and outcomes, consultants' reports, audit reports, prosecution briefs, memoranda of legal advice, prosecution recommendations, correspondence, testing and monitoring data, background information, complaint reports, log books, witness reports	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
3.8.2.2	All other investigations		Investigation reports, recommendations and outcomes, consultants' reports, audit reports, prosecution briefs, memoranda of legal advice, prosecution recommendations, correspondence, testing and monitoring data, background information, complaint reports, log books, witness reports	Temporary	Destroy 7 years after the investigated activity has ceased

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
4.0.0	ENVIRONMENTAL SCIENTIFIC RESEARCH	Activities associated with conducting and coordinating scientific research in relation to any aspect of pollution or the prevention thereof and developing criteria for the protection and improvement of the environment. Includes undertaking surveys as to the causes, nature, extent and prevention of pollution and co-operating with other bodies carrying out similar surveys. Involves the monitoring, analysis and research of environmental issues relating to land, air, water, waste and noise.			
4.1.0	POLICY AND PROCEDURES FOR ENVIRONMENTAL RESEARCH	The process of formulating ways in which objectives can be met. Includes the evaluation or examination of the processes, procedures and systems related to methods used for environmental scientific research.	Research methods and methodologies, development of strategies	Permanent	Transfer to PROV
4.2.0	ADVISORY FUNCTION	The provision of expert or technical advice from an environmental scientific research perspective to internal and external stakeholders.			
4.2.1	Detailed advice	The development and provision of detailed advice requiring substantial research.	Advice requests, working notes for development of response, expert witness statement requests, advice responses	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
4.2.2	Data information requests	The provision of technical data information.	Requests, data provided	Temporary	Destroy 7 years after administrative use is concluded
4.3.0	MONITORING	Monitoring, collection and analysis of data and modelling and assessment of environmental issues relating to air, water, land and noise. Relates to the data/resource collection activities that provide the information necessary for data matching. May be undertaken for either statutory or non-statutory purposes.			
4.3.1	Monitoring and data collection	Monitoring data collected by automation or as the result of a targeted monitoring action. Includes actions relating to data checking and validation.	Inventory data charts, air emissions monitoring reports, pollutant inventory data charts, calibration and maintenance data, ballast water monitoring, air quality monitoring logs, surveys, investigations, consultants' reports, testing records, field reports, laboratory work books.	Temporary	Destroy after administrative use is concluded and the data has been validated

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
4.3.2	Validated monitoring data	Raw data that has been validated and kept in a controlled manner.	Databases of monitoring data	To be finalised	Pending finalisation of archival appraisal, data for the generation of reports are to be migrated across systems
4.3.3	Reporting	Periodical summaries of data collected.	Annual data summaries, annual reporting	Permanent	Transfer to PROV
4.3.4	Administrative records	Working or supportive records that facilitate the capture of monitoring data.	Working calculations, published supporting materials	Temporary	Destroy after administrative use is concluded
4.4.0	ANALYSIS, REVIEW AND FORECASTING	The research undertaken to support scientific and strategic methods used to adequately protect the environment. These activities also include testing regimes.			
4.4.1	Testing	Testing required for analysis, review and forecasting purposes.	Sample testing, smog alert reviews, test records (calculations, observations), test summary sheets, laboratory work books, field work books, surveillance	Temporary	Destroy after test results have been incorporated into a report.

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
4.4.2	Reporting	The development of outcomes or interpretations of laboratory or field testing.			
4.4.2.1	Reporting: major	Reporting that sets a precedent, has general public notoriety or raises systemic issues.	Research methodologies used, stack test reports, analytical data, instrument charts, external laboratory reports, air quality control inventory	Permanent	Transfer to PROV
4.4.2.2	All other reporting	Reporting not covered by 4.4.2.1	Research methodologies used, stack test reports, analytical data, instrument charts, external laboratory reports, air quality control inventory	Temporary	Destroy 7 years after administrative use is concluded
4.4.3	Supporting activities	Activities that facilitate the development of analyses, reviews and forecasts	Working calculations, duplicate copies of data, incident report testing, quality system records, program logs	Temporary	Destroy after administrative use is concluded
4.5.0	RESEARCH SURVEYS AND STUDIES	Activities involved with participation in research surveys or studies, conducted solely by EPA or in cooperation with other persons or bodies.			
4.5.1	Final versions	Final versions of research surveys and studies.	Final reports, other than duplicates.	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
4.5.2	Inputs into research surveys and studies	The gathering of supporting and facilitative information or research data that supports the development of survey and studies. Involves the development of the scope and design of surveys and studies and the preparation and distribution of surveys and studies.	Collaboration with stakeholders, testing records: fieldwork and laboratories, data collection, published background material, editorial drafts, distribution lists	Temporary	Destroy 2 years after the research survey or study is concluded
4.6.0	LABORATORY AND EQUIPMENT OPERATIONS	Activities associated with the operation and management of laboratories for analysis purposes.	Equipment specifications, maintenance records of equipment or stations, monitoring records of equipment or stations, management of contracts for equipment or stations, quality assurance records	Temporary	Destroy 7 years after administrative use is concluded
4.7.0	LITERATURE REVIEWS	Activities associated with the review of research papers, standards, publications submitted etc.	Request for review, copy of publication for review, copy of review provided	Temporary	Destroy after administrative use is concluded

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
5.0.0	LEGAL SERVICES	The provision of legal services and representation for EPA. Includes the provision of advice to internal stakeholders and the provision of legal representation for action, disputes and infringements.			
5.1.0	PROSECUTIONS AND INVESTIGATIONS	The activities associated with investigations that result in prosecution by EPA.			
5.1.1	Registration of prosecutions and investigations	Centralised record of all prosecutions and investigations.	Register of prosecutions, registers of investigations, investigation summaries, outcomes, certified extracts	Permanent	Transfer to PROV
5.1.2	Tracking of prosecutions and investigations	Actions that permit investigations and prosecutions to be managed and performed according to timetables and appropriate methods.	Case monitoring records, investigation case schedules, prosecution case schedules	Temporary	Destroy when the relevant prosecution record is being disposed of
5.1.3	Major prosecutions	Prosecutions involving a substantial amount of EPA's time and resources, that establish legal precedents, become cases of public interest or raise systemic issues.	Case files, prosecution briefs, investigation records, correspondence	Permanent	Transfer to PROV
5.1.4	Minor prosecutions	Prosecutions not covered by class 5.1.3.	Case files, prosecution briefs, investigation records, correspondence	Temporary	Destroy 7 years after last action

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
5.2.0	LEGAL ADVICE	The provision of legal advice on actions or judgments not related to pending or proposed prosecutions.			
5.2.1	Legal advice: significant issues	The provision of legal advice for issues involving detailed interpretation of legislation, which result in a change to policy or procedure or which otherwise raise systemic issues.	Requests for legal advice, memoranda of legal advice, supporting records	Permanent	Transfer to PROV
5.2.2	Legal advice: minor issues	The activities associated with the provision of legal advice for minor issues such as reviewing contracts or FoI responses.	Requests for legal advice, memoranda of legal advice, supporting records	Temporary	Destroy 7 years after last action

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
6.0.0	POLICY AND STRATEGIC ADVICE	The formulation and amendment of statutory or non-statutory instruments, which provide the legislative basis for EPA. The EPA reports to the Minister upon matters concerning the protection of the environment and upon any amendments it thinks desirable in the law relating to pollution. Includes the activities involved with the development, monitoring and review of long-term organisational strategies.			
6.1.0	DEVELOPMENT OF STATUTORY INSTRUMENTS	The development and revision of Statutory Instruments such as Acts, Regulations, State Environment Protection Policies (SEPPs) and Industrial Waste Management Policies (IWMPs).	Initiation for legislation, consultations with stakeholders, proposals, policy impact assessments, policy impact assessment reports, review of policy impact assessments, explanatory notes, submissions and supporting documentation, monitoring and review of legislation, development of drafts, public comments received, press releases, advice provided on impact, steering committees, education re Acts	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
6.2.0	DEVELOPMENT OF NON-STATUTORY INSTRUMENTS	The development of Non-Statutory Instruments that show the evolution, development and formulation of policies and procedures.	Policy impact assessment reports, policy development working papers, development of guidelines, development of best practice, development and maintenance of strategies and schemes	Permanent	Transfer to PROV
6.3.0	FINAL VERSIONS OF NON-STATUTORY INSTRUMENTS		Master sets of policies, procedures, guidelines, strategies and schemes	Permanent	Transfer to PROV
6.4.0	AGREEMENTS	Activities associated with the establishment, maintenance, review, and negotiation of agreements.	Industry Waste Reduction Agreements, Partnership Agreements	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
7.0.0	PROGRAM AND PROJECT MANAGEMENT	Programs and projects that support the objectives of the EPA. Includes: programs that develop rapport with the community and industry on environmental issues; strategies for business sustainability; relationships with professional bodies; and environmental education and training programs targeted at areas such as community groups, schools, universities, industry, non-government organisations and associations.			
7.1.0	POLICY DEVELOPMENT AND FORMULATION	The process of formulating ways in which objectives can be met. Includes the activities involved in re-evaluating or re-examining the processes and procedures for program management.	Reviews of project management processes, development of review process, development of reporting mechanisms	Permanent	Transfer to PROV
7.2.0	MANAGEMENT OF MAJOR PROJECTS AND PROGRAMS	Activities associated with the management of significant projects or programs.	Concept records, evaluation reports, risk assessments, project specification, final reports, correspondence, project definitions, briefing notes, financial assessments, project schedules, progress reports, draft final reports, status reports	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
7.3.0	MANAGEMENT OF MINOR PROJECTS AND PROGRAMS	Activities associated with less significant projects or programs.	Concept records, evaluation reports, risk assessments, project specification, final reports, correspondence, project definitions, briefing notes, financial assessments, project schedules, progress reports, draft final reports, status reports	Temporary	Destroy 7 years after project or program is completed
7.4.0	ADMINISTRATION OF PROJECTS AND PROGRAMS	Activities associated with the facilitative arrangements of projects and programs	Meeting arrangements, facilitative arrangements	Temporary	Destroy after administrative use is concluded
7.5.0	EXTERNAL RELATIONS	The process of liaising and fostering relationships with groups external to EPA with respect to environment protection, pollution control and waste management. Includes establishing and maintaining liaison and cooperation with associations, community groups, private organisations, non-government organisations and government.	Correspondence and file notes, meeting notes, co-operative planning, exchange of information	Permanent	Transfer to PROV

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
7.6.0	ADVISORY SERVICES	Activities associated with the provision of specialist advice by Authority staff in return for revenue. Includes the provision of environmental technical, scientific, policy and program expertise to external stakeholders such as other government bodies and the private sector based locally, nationally or internationally.	Initial request or proposal, follow-up correspondence, requirements or specification details received	Temporary	Destroy 7 years after administrative use is concluded
7.7.0	PROVISION OF GRANTS BY THE EPA	The activities associated with the provision of grants / financial assistance and entering agreements to implement measures to reduce waste and pollution.			
7.7.1	Registration and control of funding applications	Summary of applications identifying the nature of applications and reasons for acceptance or rejection.	Register or summary of applications for grants	Permanent	Transfer to PROV
7.7.2	Successful applications	Successful applications made to EPA from industry and community groups for financial assistance.	Application, submission or proposal, supporting documentation, review of application, record of outcome	Temporary	Destroy 7 years after administrative use is concluded
7.7.3	Unsuccessful applications	Unsuccessful applications made to EPA from industry and community groups for financial assistance.	Application, submission or proposal, supporting documentation, review of application, record of outcome	Temporary	Destroy 2 years after administrative use is concluded

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
7.8.0	RECEIPT OF GRANTS BY THE EPA	The activities associated with applications for and receipt of funds from external sources such as the Commonwealth.			
7.8.1	Successful applications	Successful applications made by EPA for grant funding.	Application, submission or proposal, supporting documentation, review of application, record of outcome	Temporary	Destroy 7 years after administrative use is concluded
7.8.2	Unsuccessful applications	Unsuccessful applications made by EPA for grant funding.	Application, submission or proposal, supporting documentation, review of application, record of outcome	Temporary	Destroy 2 years after administrative use is concluded

Class No.	Class Title	Scope Note	Examples of records	Disposal Status	Disposal Action
8.0.0	ELECTRONIC DATA	This standard authorises the modification, updating and deletion of electronically stored data in computer systems in accordance with system operating guidelines which provide for data to be retained online or offline for as long as necessary to satisfy the administrative needs of the EPA. This authorisation is subject to the condition that electronic summary records, reports and statistics other than those identified as temporary in this standard are retained pending their appraisal as temporary or development of a VERS compliant strategy with Public Record Office Victoria for their long term retention.	Computer systems referred to in classes 3.4.1, 3.6.1, 3.8.1 and 4.3.2 above and similar systems.		

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