

**Environmental Protection Authority (EPA)**  
**Disposal Schedule**

<b>Class</b>	<b>Title</b>	<b>Description/Examples</b>	<b>Trigger point</b>	<b>Minimum retention period</b>	<b>Disposal action</b>
<b>1</b>	<b>Applications</b> This class covers all information and records created and used as part of the applications activities of EPA under all applicable legislation.				
1.1	Information and records supporting the applications process	Example information and records include: • Quality control • Internal standards	Date of last action	10 years	Destroy
1.2	Information and records documenting the management of the applications process	Example information and records include: • Decision-making framework • Reports and statistics about applications	Date of last action	10 years	Archive

1.3	Information and records relating to receiving and making decisions about all types of applications	<p>Includes all types of environmental applications managed by EPA including:</p> <ul style="list-style-type: none"> <li>• Hazardous substances</li> <li>• New organisms</li> <li>• Nationally Significant Proposals</li> <li>• Exclusive Economic Zone Projects</li> <li>• Exclusive Economic Zone</li> <li>• Emissions Trading Scheme</li> </ul> <p>Covers everything to do with an application. Essentially the "application file". Example information and records include:</p> <ul style="list-style-type: none"> <li>• Pre-application enquiry or enquiry about a specific application</li> <li>• Evaluation and decision documentation</li> <li>• Legal opinions, amendments and judicial review</li> <li>• Reassessments</li> <li>• Draft applications</li> <li>• Submissions on applications</li> <li>• Evaluation strategy, management and reporting</li> <li>• Stakeholder communications</li> <li>• Technical reports &amp; peer reviews</li> <li>• Lodgement assessments</li> <li>• Minister's recommendation &amp; decisions</li> <li>• Files related to public submissions library</li> <li>• Industrial allocations</li> <li>• Emissions rulings</li> <li>• Reviews of decisions (section 144)</li> </ul>	<p>If there is an appeal, then when the appeal has been resolved</p> <p>If there is no appeal, then when the appeal period has lapsed</p>	10 years	Archive
1.4	Information and records relating to formal advice given about applications process	<p>Not specific to an application, but likely specific to a scenario such as a company asking if they have to submit an application and if so what is required to do so. Example information and records include:</p> <ul style="list-style-type: none"> <li>• Entries in the Customer Relationship Management (CRM) documenting EPA response to formal enquiries</li> <li>• Correspondence</li> </ul>	Date of last action	10 years	Destroy
1.5	Information and records of publications produced for the public about the application process	<p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• All publications provided to support the application process</li> <li>• Quick Guides</li> <li>• Prescribed forms</li> <li>• Information sheets</li> </ul>	When superseded	10 years	Destroy

1.6	Information and records of a routine administrative nature created and used to support application activities	Administrative information such as: • Reference material accompanying an application • General application and process enquiries • Meeting requests • Internal process run sheets (e.g. for notifications, decision releases)	Date of last action	7 years	Destroy
<b>2</b>	<b>Consents</b> This class covers all information and records created and used as part of the consenting activities of EPA under all applicable legislation including permits, certificates and notifications.				
2.1	Information and records supporting the consenting processes	Example information and records include: • Quality control • Internal standards	Date of last action	10 years	Destroy
2.2	Information and records documenting the management of the consenting processes	Example information and records include: • Decision-making framework • Reports and statistics about permits	Date of last action	10 years	Archive
2.3	Information and records relating to the granting of all types of consents such as permits, certificates, and notifications	Includes all types of permits, certificates, notifications and consents managed by EPA including: • Imports and exports • Part 6 (Hazardous Substances & New Organisms Act) • Ozone Layer Protection • Burials at Sea  Covers everything to do with issuing a permit. Essentially the "permit file". Example information and records include: • Certificates • Permits and all documentation about the permit • Exemptions • Legal advice about particular permits • Stakeholder communications	The end of the year to which the permit/certificate expires	10 years	Destroy
2.4	Information and records documenting permit and certificate registers	Includes registers for all types of permits, certificates and notifications, such as: • Import and export restrictions register • Part 6 register (Hazardous Substances & New Organisms Act) • Ozone Layer Protection Register • Burials at sea register	Date of last action	10 years	Archive

2.5	Information and records of a routine administrative nature created and used to support consenting activities	Administrative information such as: <ul style="list-style-type: none"> <li>• Minor or draft versions</li> <li>• General permit/certificate enquiries</li> <li>• Meeting requests</li> </ul>	Date of last action	7 years	Destroy
<b>3</b>	<b>Compliance</b> This class covers all information and records created and used as part of the compliance of EPA under all applicable legislation.				
3.1	Information and records relating to compliance activities	Includes all types of compliance activities where EPA is the responsible agency. Such as: <ul style="list-style-type: none"> <li>• Enforcement of legislation requirements with other agencies/companies/individuals</li> <li>• Complaints about non-compliance/ notification of breaches</li> <li>• Compliance surveys</li> <li>• Investigations</li> <li>• Enforcements actions</li> <li>• Hazardous substances compliance coordination</li> <li>• Synthetic Greenhouse Gas (SGG) levy reporting</li> </ul> Example information and records include: <ul style="list-style-type: none"> <li>• Complaints against enforcement agencies</li> <li>• Reports of non-compliance</li> <li>• Final compliance reports</li> <li>• Exhibits/evidence</li> <li>• Interview statements</li> <li>• Vertebrate Toxic Agent (VTA) Coordination</li> <li>• Emissions Trading Scheme Industrial allocation reporting</li> <li>• Legal advice about compliance/breaches</li> <li>• Emissions Trading Scheme Audits</li> <li>• Emissions Trading Scheme Participant returns</li> <li>• Participant correspondence and queries</li> <li>• Emissions Returns</li> <li>• Amended Returns</li> <li>• Default Returns</li> <li>• S89 Annual Reporting</li> <li>• Compliance strategy</li> </ul>	After compliance action has been finalised/completed	10 years	Archive

3.2	Information and records relating to incidents which are not significant and/or the subject of prosecution	<p>Examples of incidents that are considered to be not-significant are:</p> <ul style="list-style-type: none"> <li>• Incident reports received from Public Health Officers of to notify us of incidents that have occurred which have been investigated and closed off – e.g. house fire with suspected asbestos</li> <li>• A Liquefied Petroleum Gas (LPG) bottle in a domestic setting bursting into flames – notified to us by the house owner</li> </ul> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Notifications</li> <li>• Reports</li> <li>• Inquires</li> <li>• Reporting</li> </ul>	Date of last action	10 years	Destroy
3.3	Information and records relating to significant incidents (e.g. resulting in death, or a notifiable injury or illness, or serious environmental damage) and emergencies, which are the subject of an inquiry or prosecution	<p>Examples of significant incidents or emergencies are:</p> <ul style="list-style-type: none"> <li>• Incidents occurring during 1080 operations involving animal death/harm e.g. dog death following a 1080 drop</li> <li>• Truck with dangerous goods rolling on state highway 1 – this is determined to be higher risk due to the number of hazardous substances involved, and the incident occurring in an area with a large number of public around.</li> </ul> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Notifications</li> <li>• Reports</li> <li>• Inquires</li> <li>• Reporting</li> </ul>	Date of last action	10 years	Archive
3.4	Information and records relating to improving compliance, including working with industry organisations	<p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Training Reports</li> <li>• Audit Reports</li> <li>• Site Trainers</li> <li>• Mystery shopper audits</li> <li>• Correspondence sent to industry</li> <li>• Correspondence received from industry</li> </ul>	Date of last action	10 years	Destroy
3.5	Information and records relating to compliance training activities	<p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Enforcement Officer training materials</li> <li>• General Hazardous Substances &amp; New Organisms Act training materials</li> <li>• Administration of training activities</li> </ul>	Date of last action	10 years	Destroy

3.6	Information and records documenting compliance registers/summary records	<p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Register management policy and procedures</li> <li>• Warranted enforcement officer register/summary records</li> <li>• Imports and Exports (Restrictions) Register</li> </ul>	After end of term of delegated power/warrant	10 years	Archive
3.7	Information and records documenting the delegation of powers and/or awarding of warrants	<p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Instrument of Delegation / Designation</li> <li>• Warrant of Authorisation</li> <li>• Enforcement Officer records</li> </ul>	After end of term of delegated power/warrant	10 years	Destroy
3.8	Information and records relating to market intelligence activities	<p>Market intelligence includes intelligence about companies, chemicals/products, key leadership changes, customer feedback</p> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Market trend analysis</li> <li>• Market segmentation analysis</li> <li>• Customer journey maps</li> <li>• Survey raw data, findings</li> <li>• Distribution maps</li> <li>• Changes to regulatory environment including legislative change and geopolitical events</li> <li>• Raw data collected for monitoring purposes</li> </ul>	Date of last action	10 years	Destroy
3.9	Information and records relating to regulatory compliance intelligence activities including data on individuals	<p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Data on persons regarding incidents of compliance breach</li> </ul>	Date of last action	25 years	Destroy

3.10	Information and records relating to regulatory compliance intelligence activities not including data on individuals	Example information and records include: <ul style="list-style-type: none"> <li>• Cross agency forum information</li> <li>• Reports on incidents of compliance breach</li> <li>• Data on entities, locations of interest regarding incidents of compliance breach</li> <li>• Financial and commercial records</li> <li>• Raw data collected for monitoring purposes</li> <li>• Records of dispute resolution activities including prosecution</li> </ul>	Date of last action	30 years	Destroy
3.11	Information and records relating to importers and manufacturers	Example information and records include: <ul style="list-style-type: none"> <li>• Correspondence</li> <li>• Importer and Manufacturer Register Forms</li> </ul>	Date of last action	7 years	Destroy
3.12	Information and records of a routine administrative nature created and used to support compliance activities	Administrative information such as: <ul style="list-style-type: none"> <li>• Compliance team planning and training</li> <li>• Minor or draft versions</li> <li>• General compliance enquiries</li> <li>• Newsletters</li> <li>• Meeting requests</li> </ul>	Date of last action	7 years	Destroy
<b>4</b>	<b>ETS Registry Management</b> This class covers all information and records created and used in order to manage the Emissions Trading Scheme registry activities of EPA.				
4.1	Information and records relating to the management of the ETS registry	Example information and records include <ul style="list-style-type: none"> <li>• Participant Registration - Deregistration Notices</li> <li>• Reimbursements</li> <li>• Entitlements</li> <li>• Account Holder Forms</li> <li>• Analytics and Reports</li> <li>• Allocation Directions</li> <li>• Instructions and guidance provided to members of the public</li> </ul>	End of the year to which the effective de-registration or notification relates	10 years	Destroy

4.2	Information and records of a routine administrative nature created and used to support management of the emissions trading scheme register	<p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Search Results/Queries - Eligibility Criteria</li> <li>• Monthly Reporting to Ministry for the Environment</li> <li>• Performance Standards</li> <li>• Repayments</li> <li>• Mail outs</li> <li>• User registration forms</li> <li>• Automated transaction emails</li> <li>• Minor or draft versions</li> <li>• Public mailbox correspondence</li> </ul>	End of the year to which the effective de-registration or notification relates	7 years	Destroy
<b>5</b>	<b>Governance and Strategic Management</b> This class covers all information and records created and used to support the governance and strategic management activities of EPA.				
5.1	Information and records relating to formal governance bodies associated with EPA	<p>Example governance bodies are:</p> <ul style="list-style-type: none"> <li>• Environmental Protection Authority Board</li> <li>• Audit and Risk Sub-Committee</li> <li>• Remuneration and Performance Sub-Committee</li> <li>• Hazardous Substances &amp; New Organisms (HSNO) Sub-Committee</li> <li>• Nga Kaihautu Tikanga Taiao</li> <li>• Joint EPA Authority/Nga Kaihautu</li> <li>• Ethics Advisory Council</li> </ul> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Formal meeting records</li> <li>• Membership information</li> <li>• Delegations</li> <li>• Register of interests</li> <li>• Terms of Reference</li> </ul>	End of financial year	10 years	Archive
5.2	Information and records documenting scientific advice	<p>Advice to Chief Executive and Environmental Protection Authority staff about scientific matters that is not specific to a particular application, permit, legal situation etc., but rather is about scientific opinions or advances. Example information and records include:</p> <ul style="list-style-type: none"> <li>• Briefings/reviews of emerging scientific advances</li> <li>• Policy and or strategic advice</li> <li>• Advice on issues response</li> </ul>	Date of last action	10 years	Archive



5.3	Chief Executive correspondence	Chief Executive correspondence records are those of correspondence from members of the public or other organisations where a response is required that is not a request for information. For example, correspondence from members of the public expressing their view of the agency or a particular piece of government policy.	Date of last action	10 years	Destroy
5.4	Information and records documenting senior management meetings and decision-making	Senior management meeting records are the formal records of the senior management/leadership team decision-making processes and meetings. Example information and records include: <ul style="list-style-type: none"> <li>• Agendas and minutes</li> <li>• Papers presented</li> <li>• Presentations/briefings received</li> </ul>	Date of last action	10 years	Archive
5.5	Information and records of a significant nature relating to the establishment and implementation of new legislated EPA functions	Establishment and development of new Environmental Protection Authority legislated functions or activities includes things such as: <ul style="list-style-type: none"> <li>• Establishment of EPA</li> <li>• Establishment of the Emissions Trading Scheme (ETS)</li> <li>• Establishment of Exclusive Economic Zone (EEZ) function</li> <li>• Environmental Risk Management Authority (ERMA) disestablishment</li> <li>• Management of the hazardous substances transition programme</li> </ul> Example information and records include: <ul style="list-style-type: none"> <li>• Development of policy and processes</li> <li>• New Zealand Emission Unit Register (NZEUR) redevelopment project documentation</li> <li>• Oversight of Market Players Project</li> <li>• New Zealand Emission Trading Register (NZETR) commercial documentation</li> <li>• New Zealand Emission Unit Register (NZEUR) Project Board Meeting Papers</li> <li>• Emission Calculators</li> <li>• Developing EPA notices</li> <li>• Transferring workplace hazardous substances functions to WorkSafe</li> <li>• Developing the hazardous substances enforcement function</li> <li>• Project Management</li> <li>• Exclusive Economic Zone (EEZ) organisational impact reports</li> <li>• Stakeholder communications</li> <li>• Agency Collaboration</li> </ul>	Date of last action	10 years	Archive

5.6	Information and records of a routine nature created to support establishment and implementation of new legislated EPA functions	<p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Business audits</li> <li>• Information requests</li> <li>• Forms and templates</li> <li>• Initiation and planning</li> <li>• Requirements and testing documentation</li> <li>• Help and manuals</li> <li>• Risks and issues registers</li> <li>• Security management</li> <li>• NZEUR Infrastructure documentation</li> <li>• NZETR Infrastructure documentation</li> </ul>	End of financial year	7 years	Destroy
5.7	Information and records relating to strategic relationship management with New Zealand based organisations - government and non-government	<p>Strategic relationship management is about the relationship management activities between the Chief Executive (or other senior roles such as the Chief Scientist) and primary customers and stakeholders of the agency not covered already by another class relating to a function of that agency. Example key stakeholders may include:</p> <ul style="list-style-type: none"> <li>• Universities</li> <li>• Iwi</li> <li>• Local authorities</li> </ul> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Relationship management meeting records</li> <li>• Formal correspondence of a strategic nature</li> <li>• Memorandums of Understanding</li> <li>• Status reports</li> <li>• Records documenting how the organisations may work together</li> </ul>	Date of last action	10 years	Archive

5.8	Information and records documenting international agreements	<p>Information and records documenting international agreements where the Environmental Protection Authority is the signatory on behalf of New Zealand. For example:</p> <ul style="list-style-type: none"> <li>• United Nations Environment Programme</li> <li>• Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal 1989 - the Basel Convention</li> <li>• Montreal Protocol on Substances that Deplete the Ozone Layer - the Montreal Protocol which is a protocol to the Vienna Convention for the Protection of the Ozone Layer</li> <li>• Stockholm Convention on Persistent Organic Pollutants (POPs) - the Stockholm Convention</li> <li>• Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade - the Rotterdam Convention</li> <li>• Minamata Convention on Mercury - the Minamata Convention</li> </ul> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Agreements with international organisations</li> <li>• Advice and liaison</li> <li>• Briefings</li> <li>• Contributions to technical papers and committees</li> <li>• Decisions of parties</li> </ul>	Expiry of agreement	10 years	Archive
5.9	Information and records supporting international relationships and participation in international activities	<p>Information and records relating to supporting our participation in:</p> <ul style="list-style-type: none"> <li>• International committees such as the Globally Harmonized System of Classification and Labelling and Transport of Dangerous Goods</li> </ul> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Meeting records</li> <li>• Correspondence</li> <li>• Advice and liaison</li> <li>• Contributions to technical papers and committees</li> <li>• Decisions of parties</li> </ul>	Date of last action	10 years	Archive

5.10	Information and records documenting operational policies and procedures	<p>Operational policies and procedure records are those documenting the development of policy and procedures (manuals, guidelines, etc.) in all areas of the Environmental Protection Authority's substantive functions. It does not include corporate function policy and procedures which are covered by General Disposal Authority (GDA) 6. Examples of operational policy and procedures are:</p> <ul style="list-style-type: none"> <li>• Hazardous Substances Containment Approvals</li> <li>• Protocol management of the Emissions Trading Scheme</li> <li>• Exclusive Economic Zone (EEZ) operational policy development</li> <li>• Nationally Significant Proposals (NSP) operational policy and methodology development</li> </ul> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Internal policy and procedures</li> <li>• Manuals</li> <li>• Internal guides/precedent interpretations</li> </ul>	Date of last action	10 years	Archive
5.11	Information and records relating to operational planning and programmes of work	<p>Operational planning and programmes of work records are those documenting planning activities, programmes of work and initiatives in all areas of the Environmental Protection Authority's substantive functions. For example:</p> <ul style="list-style-type: none"> <li>• Customer segmentation implementation</li> <li>• Customer Centricity Programme Planning, management and communications</li> <li>• Environmental Protection Authority knowledge programme</li> <li>• He Whetu Marama programme</li> <li>• Investment Committee records</li> </ul> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Formal meeting records</li> <li>• Terms of Reference</li> <li>• Work Programme planning and updates</li> </ul>	Date of last action	10 years	Destroy

5.12	Information and records documenting participation in Certified Emissions Measurement and Reduction Scheme (CEMARS)	Information and records relating to Environmental Protection Authority involvement and certification activities related to the Certified Emissions Measurement and Reduction Scheme (CEMAR) scheme. Example information and records: <ul style="list-style-type: none"> <li>• Certified Emissions Measurement and Reduction Scheme (CEMARS) certification</li> <li>• Reporting</li> <li>• Data collection and background materials</li> <li>• Campaigns to achieve targets</li> <li>• General sustainability campaigns</li> <li>• Green Team records</li> </ul>	Date of last action	10 years	Destroy
5.13	Information and records of a routine administrative nature created and used to support governance and strategic management activities	Administrative information such as: <ul style="list-style-type: none"> <li>• Minor or draft versions of meeting records</li> <li>• Routine correspondence</li> <li>• Low-level internal memos/correspondence</li> <li>• Information received for reference purposes</li> <li>• Copies of published reports</li> <li>• Reference material/data</li> <li>• Working papers</li> <li>• Routine CMS entries</li> <li>• Meeting requests</li> </ul>	Date of last action	7 years	Destroy
<b>6</b>	<b>Policy Development and Advice to Government</b> This class covers records of the function of development and providing policy advice to the New Zealand government and Ministers. It includes all topics and advice areas of EPA.				
6.1	Information and records relating to government policy review and development where EPA is the lead agency	Example information and records include: <ul style="list-style-type: none"> <li>• Review of Fees</li> <li>• Policy and development of EPA Notices</li> <li>• Briefings to Ministers</li> <li>• Policy Papers and Government Policy Statements</li> <li>• Papers to non-Cabinet committees (e.g. State Sector Reform, ICT).</li> </ul>	Date of last action	10 years	Archive
6.2	Information and records relating to consultation with external organisations and individuals to support development of government policy	Example information and records include: <ul style="list-style-type: none"> <li>• Consultation process and strategy documents</li> <li>• Feedback provided by external parties</li> <li>• Discussion papers drafted for external comment and input</li> </ul>	Date of last action	10 years	Archive
6.3	Information and records relating to government policy development or review where development is led by another agency	Example information and records include: <ul style="list-style-type: none"> <li>• Information received, contributions and feedback provided</li> </ul>	Date of last action	7 years	Destroy

6.4	Information and records relating to the management of legislation that EPA is responsible for	<p>Example legislation includes:</p> <ul style="list-style-type: none"> <li>• Hazardous Substances &amp; New Organisms Act</li> <li>• Regulations and Standards</li> <li>• Environmental Protection Authority Act</li> </ul> <p>Example legislation is:</p> <ul style="list-style-type: none"> <li>• Climate Change Response Act</li> <li>• Imports and Exports (Restrictions) Act</li> <li>• Ozone Layer Protection Act</li> <li>• Resource Management Act</li> <li>• Exclusive Economic Zone Act</li> </ul> <p>Example information and records include:</p> <ul style="list-style-type: none"> <li>• Legislation development documentation</li> <li>• Review documentation</li> <li>• Submissions received</li> <li>• Interpretation advice</li> <li>• Effectiveness monitoring framework</li> <li>• Monitoring reports</li> </ul>	Date of last action	10 years	Archive
6.5	Information and records of a routine administrative nature created and used to support government policy development and legislation management and review	<p>Administrative information such as:</p> <ul style="list-style-type: none"> <li>• Routine correspondence</li> <li>• Low-level internal memos/correspondence</li> <li>• Minor or draft versions</li> <li>• Meeting requests</li> </ul>	Date of last action	7 years	Destroy