

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA284**

This authority covers records documenting the function of food safety management

Issued to NSW Food Authority

This functional 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 Records Authority of New South Wales in accordance with section 21(3) of the Act.



**State Records Authority of New South Wales**  
**Functional Retention and Disposal Authority**

**Authority no** FA284

**SR file no** 08/0369

**Scope**

This functional retention and disposal authority covers records documenting the function of food safety management from 1997 onwards.

**Public office**

NSW Food Authority

**Approval date**

Alan Ventress  
Director  
State Records Authority of New South Wales

21/08/2009  
Date

## About the Functional Retention and Disposal Authority

### Purpose of the authority

The purpose of this functional 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 State Records 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 Records does not disapprove. Advice on the State Records Act can be obtained from State Records.

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. The State Records Authority ('State Records') reviews and approves organisations' retention and disposal authorities under the State Records Act.

This authority is the product of an appraisal process conducted in accordance with State Records' *Standard on the appraisal and disposal of State records*. It is the duty of a public office, in submitting a draft functional retention and disposal authority for approval, to disclose to State Records any information which affects the retention of the records covered by the authority.

State Records' decisions take into account both the administrative requirements of the public office in discharging its functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Records' 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 Records and of public offices in undertaking appraisal processes and disposal activities.

## **Implementing the authority**

This functional 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 use of the authority to sentence records. Sentencing is the 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. Advice on sentencing can be obtained from State Records.

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 also the *General Retention and Disposal Authority – Imaged records*). 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 Records 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 Records regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Records' control 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, and government directives. A public office *must not* dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, FOI requests) 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.

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 Records 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 Records.

### **Custody**

The custody column in the functional retention and disposal authority is designed to assist public offices in identifying storage requirements or transfer arrangements for records identified as State archives (ie with a Disposal action of 'Required as State archives'). The directions in this column are recommendations only and are *not* mandatory. The type of information may include directions on how long records should be retained in the office and how long they should be kept in off-site, off-line or secondary storage prior to their transfer as State archives. A recommendation to retain records in the organisation for more than 25 years does not imply that a *still in use determination* (see Part 4, Section 28 of the *State Records Act 1998*) or that a distributed management agreement (see Part 4, Section 30 of the *State Records Act 1998*)

has been approved by State Records. Advice on arrangements for managing and transferring State archives can be obtained from State Records.

### **Administrative change**

This functional 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 functional 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 Records for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Records to discuss use of any existing functional retention and disposal authority approved for use by a predecessor organisation.

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

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

State Records recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Records may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements or procedures 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 Records 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 Records  
PO Box 516 Kingswood NSW 2747  
Telephone: (02) 8247 8627  
Facsimile: (02) 8247 8626  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

**Functional Retention and Disposal Authority  
Food safety management (NSW Food Authority)**

**Authority number: FA284**

**Dates of coverage: 1997+**

**List of Functions and Activities covered**

| <b>Reference</b> | <b>Function</b>            | <b>Activity</b>                   | <b>Page</b> |
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## Functional Retention and Disposal Authority Food safety management (NSW Food Authority)

Authority number: FA284

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| List of Functions and Activities covered |
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| Reference | Function                         | Activity                         | Page |
|-----------|----------------------------------|----------------------------------|------|
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## Functional Retention and Disposal Authority Food safety management (NSW Food Authority)

Authority number: FA284

Dates of coverage: 1997+

| No    | Function/Activity                 | Description   | Disposal Action | Custody* |
|-------|-----------------------------------|---|-----------------|----------|
| 1.0.0 | <b>COMPLIANCE AND ENFORCEMENT</b> | <p>The function of monitoring and enforcing compliance with food safety standards, policy and legislation within the food industry. Includes:</p> <ul style="list-style-type: none"> <li>• appointment of enforcement agencies and approval of food safety auditors, inspectors and analysts</li> <li>• licensing and notification of food businesses</li> <li>• undertaking audits and inspections</li> <li>• receiving and investigating complaints</li> <li>• implementing monitoring and assurance programs</li> <li>• the provision of advice on food safety and licensing issues.</li> </ul> <p>See <b>FRAMEWORK DEVELOPMENT - Standards</b> for records relating to the development of food standards.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>COMMITTEES</b> for records relating to Committees established to support the administration of compliance with food safety requirements.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>GOVERNMENT RELATIONS - Advice</b> for records relating to the provision of advice to the portfolio Minister or other government organisations concerning the agency's policies and procedures, functions, obligations etc.</p> |                 |          |

\* see *About the functional retention and disposal authority*

## Food safety management

Authority number: FA284

Dates of coverage: 1997+

| No  | Function/Activity    | Description  | Disposal Action   | Custody* |
|---|----------------------|--|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Authorisation</i> |                      |  |   |          |
|   |                      | See General Retention and Disposal Authority <i>Administrative Records</i> <b>STRATEGIC MANAGEMENT - Joint Ventures</b> for records relating to partnerships, such as the partnership with local government to monitor and enforce compliance.   |   |          |
| 1.1.0   | <b>Authorisation</b> | <p>The process by which the agency formally recognises that an organisation, or person, is competent to carry out activities relating to compliance and enforcement of food safety standards. Includes:</p> <ul style="list-style-type: none"> <li>• the appointment and management of external food analysts and laboratories, food safety auditors/inspectors, and enforcement agencies</li> <li>• the provision of advice to, or by, the agency related to obtaining authorisation e.g. publications, fact sheets, Website information etc.</li> </ul> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>CONTRACTING-OUT</b> or records relating to the hiring and use of contractors to conduct audits and inspections.</p> |   |          |
| 1.1.1   |                      | <p>Records documenting the authorisation of persons or organisations to conduct audits/inspections of food businesses, or the analysis of food samples. Includes requests for authorisation that are refused, suspended, cancelled or have conditions placed on them, and related appeals. Records include:</p> <ul style="list-style-type: none"> <li>• applications</li> </ul>   | Retain minimum of 7 years after last action or accreditation lapses or is cancelled or revoked, whichever is longer, then destroy |          |

\* see *About the functional retention and disposal authority*

## Food safety management

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Dates of coverage: 1997+

| No  | Function/Activity | Description   | Disposal Action  | Custody* |
|---|-------------------|---|--|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Authorisation</i> |                   |   |  |          |
|   |                   | <ul style="list-style-type: none"> <li>• copies of supporting evidence</li> <li>• correspondence</li> <li>• advice</li> <li>• notifications.</li> </ul>   |  |          |
| 1.1.2   |                   | <p>Records relating to the appointment and management of enforcement agencies, such as local councils, to undertake compliance and enforcement activities, such as routine inspections, investigations, enforcement of regulations, emergency responses and recalls. Includes applications to vary the conditions of the appointment. Records include:</p> <ul style="list-style-type: none"> <li>• applications</li> <li>• correspondence</li> <li>• submissions</li> <li>• advice</li> <li>• determinations.</li> </ul> | Retain minimum of 7 years after appointment is revoked, or last action, whichever is later, then destroy |          |
| 1.1.3   |                   | Records relating to the drafting of content for and final versions of published advice such as fact sheets and website information regarding requirements for obtaining authorisation.  | Retain minimum of 7 years after superseded or withdrawn, then destroy                                    |          |

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Dates of coverage: 1997+

| No   | Function/Activity                            | Description   | Disposal Action   | Custody* |
|--|--|---|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Complaints</i> |  |   |   |          |
| 1.2.0  | <b>Complaints</b>                            | <p>The activities relating to the receipt and management of complaints relating to food safety.</p> <p>See <b>COMPLIANCE AND ENFORCEMENT - Compliance (Audits &amp; Inspections)</b> for records relating to complaints that result in an inspection.</p> <p>See <b>COMPLIANCE AND ENFORCEMENT - Investigations</b> for records relating to complaints that result in an investigation.</p>   |   |          |
| 1.2.1  |  | <p>Records relating to the receipt of complaints regarding food safety that are referred to another agency or involve minimal response by the organisation. Records include:</p> <ul style="list-style-type: none"> <li>• complaint</li> <li>• referral</li> <li>• correspondence.</li> </ul>   | Retain minimum of 2 years after last action, then destroy |          |
| 1.3.0  | <b>Compliance (Audits &amp; Inspections)</b> | <p>The activities associated with conducting audits and inspections of food businesses to monitor compliance with food safety standards and regulations. Includes:</p> <ul style="list-style-type: none"> <li>• routine inspections of food premises, vehicles and equipment as part of a monitoring program or in response to complaints</li> <li>• provision of advice to, or by, the agency related to compliance e.g. publications, fact sheets, website</li> </ul> |   |          |

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| No  | Function/Activity | Description   | Disposal Action   | Custody* |
|---|-------------------|---|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Compliance (Audits &amp; Inspections)</i> |                   |   |   |          |
|   |                   | <p>information etc.</p> <p>See <b>COMPLIANCE &amp; ENFORCEMENT - Investigations</b> for records relating to audits or inspections that result in further investigation.</p> <p>See <b>COMPLIANCE &amp; ENFORCEMENT - Procedures</b> for records relating to procedures for the conduct of investigations or compliance monitoring processes.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>LEGAL SERVICES - Litigation</b> for records relating to any resulting prosecutions.</p>   |   |          |
| 1.3.1   |                   | <p>Records relating to compliance audits and/or inspections of food businesses or processes where practices failed to meet compliance requirements, for example incorrect storage of food or incorrect labelling of country of origin. Records include:</p> <ul style="list-style-type: none"> <li>• records of audit planning or liaison</li> <li>• minutes or notes of meetings</li> <li>• inspection reports</li> <li>• complaints documentation</li> <li>• correspondence and supporting material, including advice</li> <li>• copies of food analysis reports</li> </ul> | Retain minimum of 10 years after action completed, then destroy |          |

\* see *About the functional retention and disposal authority*

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Dates of coverage: 1997+

| No  | Function/Activity | Description  | Disposal Action  | Custody* |
|---|-------------------|--|--|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Compliance (Audits &amp; Inspections)</i> |                   |  |  |          |
|   |                   | <ul style="list-style-type: none"> <li>• copies of notices or orders</li> <li>• final, approved versions of audit reports</li> <li>• records of remedial action.</li> </ul>  |  |          |
| 1.3.2   |                   | Records relating to compliance audits and/or inspections of food businesses or processes where compliance is found to be satisfactory. Records include: <ul style="list-style-type: none"> <li>• records of audit planning or liaison</li> <li>• minutes or notes of meetings</li> <li>• inspection reports</li> <li>• copies of complaints</li> <li>• correspondence and supporting material, including advice</li> <li>• final, approved versions of audit or inspection reports.</li> </ul> | Retain minimum of 7 years after action completed, then destroy |          |
| 1.3.3   |                   | Records relating to the management of inspectors' diaries and notebooks, which record details of each inspection conducted.  | Retain minimum of 7 years after last action, then destroy      |          |
| 1.3.4   |                   | Records relating to the drafting of content for and final versions of published advice such as fact sheets and website information regarding requirements for compliance with food standards.  | Retain minimum of 7 years after superseded, then destroy       |          |

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| No  | Function/Activity  | Description  | Disposal Action   | Custody* |
|---|--------------------|--|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Enforcement</i> |                    |  |   |          |
| 1.4.0   | <b>Enforcement</b> | <p>The activities relating to the enforcement of food standards. Includes the issue of notices and seizure of food and equipment.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INFORMATION MANAGEMENT - Cases</b> for records relating to requests to alter information in registers.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Litigation</b> for records relating to prosecutions as a result of non-compliance with food standards.</p> |   |          |
| 1.4.1   |                    | Summary records of issued penalty notices and prosecutions.  | Retain minimum of 7 years after last action, then destroy |          |
| 1.4.2   |                    | Penalty infringement notice books maintained in a separate run by the organisation.  | Retain minimum of 2 years after last action, then destroy |          |
| 1.4.3   |                    | <p>Records relating to the seizure, impounding or destruction of food stuffs, goods or equipment in connection with the preparation and handling of food substances. Records include:</p> <ul style="list-style-type: none"> <li>• seizure documentation</li> <li>• inventories</li> <li>• reports.</li> </ul>   | Retain minimum of 7 years after last action, then destroy |          |

\* see *About the functional retention and disposal authority*



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Dates of coverage: 1997+

| No  | Function/Activity   | Description  | Disposal Action   | Custody* |
|---|---------------------|--|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Enquiries</i> |                     |  |   |          |
| 1.5.0   | <b>Enquiries</b>    | The activities relating to the management of enquiries from the public and food businesses regarding compliance with food safety standards<br><br>See <b>COMPLIANCE AND ENFORCEMENT - Compliance (Audits &amp; Inspections)</b> for the provision of advice to food businesses.                    |   |          |
| 1.5.1   |                     | Records relating to the management of routine enquiries from the public or food businesses regarding food safety.  | Retain minimum of 2 years after last action, then destroy |          |
| 1.6.0   | <b>Food Recalls</b> | The activities relating to the coordination and monitoring of food recalls.  |   |          |
| 1.6.1   |                     | Records relating to the management of food recalls, which are initiated by the agency. Records include: <ul style="list-style-type: none"> <li>• recall notice</li> <li>• correspondence</li> <li>• reports of recall actions undertaken and any remedial action or follow up required.</li> </ul> | Required as State archives                                |          |
| 1.6.2   |                     | Records relating to the management of withdrawals initiated by the agency, and the receipt of food recall or withdrawal notices, which are not initiated by the agency. Records include: <ul style="list-style-type: none"> <li>• recall and withdrawal notices</li> </ul>                         | Retain minimum of 3 years after last action, then destroy |          |

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| No   | Function/Activity     | Description  | Disposal Action   | Custody* |
|--|-----------------------|--|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Food Testing</i> |                       |  |   |          |
|  |                       | <ul style="list-style-type: none"> <li>• correspondence.</li> </ul>  |   |          |
| 1.7.0  | <b>Food Testing</b>   | <p>The activities relating to the testing of food samples in connection with investigations, compliance checks and routine testing of high-risk businesses, such as shellfish testing.</p> <p>See <b>COMPLIANCE AND ENFORCEMENT - Authorisation</b> for records relating to the accreditation of food analysts and laboratories.</p> <p>See <b>COMPLIANCE AND ENFORCEMENT - Investigations</b> for food testing results that result in further action.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>CONTRACTING-OUT</b> for records relating to the hiring and use of contractors and bureau services to undertake food testing.</p> |   |          |
| 1.7.1  |                       | <p>Records relating to the analysis, diagnosis and testing of food samples. Records include:</p> <ul style="list-style-type: none"> <li>• food analysis reports</li> <li>• correspondence.</li> </ul>  | Retain minimum of 7 years after last action, then destroy |          |
| 1.8.0  | <b>Investigations</b> | <p>The process of undertaking a detailed and formal examination to find cause following a complaint, incident or significant breach or infringement of regulatory compliance, including food safety, labelling or advertising. This includes:</p>  |   |          |

\* see *About the functional retention and disposal authority*

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| No   | Function/Activity | Description   | Disposal Action   | Custody* |
|--|-------------------|---|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Investigations</i> |                   |   |   |          |
|  |                   | <ul style="list-style-type: none"> <li>• investigations of unlicensed premises</li> <li>• complaint investigations</li> <li>• investigations of foodborne disease incidents</li> <li>• food labelling complaints.</li> </ul>  |   |          |
| 1.8.1  |                   | Summary records of investigations. Includes date of incident, details of parties involved, description of incident, nature of offence, investigation outcomes.  | Required as State archives                                      |          |
| 1.8.2  |                   | Records relating to investigations into incidents where there has been a fatality or a major public health risk. Records include: <ul style="list-style-type: none"> <li>• complaints related documentation</li> <li>• inspection and investigation reports</li> <li>• food analysis reports</li> <li>• background and briefing papers on the incident</li> <li>• reports and submissions.</li> </ul> | Required as State archives                                      |          |
| 1.8.3  |                   | Records relating to investigations and inquiries, not involving a fatality or major public health risk, where there has been a breach of compliance resulting in enforcement or prosecution, for example, mislabelling of country of origin. Includes occurrences where consequences are not expected   | Retain minimum of 10 years after action completed, then destroy |          |

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| No   | Function/Activity | Description   | Disposal Action   | Custody* |
|--|-------------------|---|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Investigations</i> |                   |   |   |          |
|  |                   | <p>to have long term effects. Records include:</p> <ul style="list-style-type: none"> <li>• complaints related documentation</li> <li>• inspection and investigation reports</li> <li>• copies of penalty and improvement notices</li> <li>• prohibition orders</li> <li>• food analysis reports</li> <li>• background and briefing papers on the incident</li> <li>• reports and submissions.</li> </ul>                 |   |          |
| 1.8.4  |                   | <p>Records of investigations where there has been a breach of compliance not resulting in any action or which do not result in issue of infringement notices. Records include:</p> <ul style="list-style-type: none"> <li>• complaint related documentation</li> <li>• working notes</li> <li>• investigation reports</li> <li>• inspectors' reports</li> <li>• mediation notes</li> <li>• correspondence etc.</li> </ul> | Retain minimum of 7 years after last action, then destroy |          |

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| No  | Function/Activity                  | Description   | Disposal Action  | Custody* |
|---|------------------------------------|---|--|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Licensing and Notifications</i> |                                    |   |  |          |
| 1.9.0   | <b>Licensing and Notifications</b> | The activities associated with mandatory licensing of food businesses subject to food safety schemes and receipt of notifications from other food businesses.   |  |          |
| 1.9.1   |                                    | Summary records of licensed food businesses. Details include name of applicant, type of business, dates of issue and expiration.  | Retain in agency   |          |
| 1.9.2   |                                    | Records relating to applications for food business licences. Includes applications that are approved, refused, subsequently withdrawn, suspended or cancelled. Records include: <ul style="list-style-type: none"> <li>• applications and renewals</li> <li>• approvals</li> <li>• copies of issued licences</li> <li>• correspondence with the license holder</li> <li>• complaints related documentation</li> <li>• notifications of suspension, cancellation or conditions</li> <li>• advice.</li> </ul> | Retain minimum of 7 years after licence expires, is withdrawn or cancelled, or after last action, whichever is later, then destroy |          |
| 1.9.3   |                                    | Records relating to appeals of decisions or determinations regarding the issue, refusal, suspension or cancellation of a license. Includes records of the appeal process, its outcomes, decisions etc.  | Retain minimum of 7 years after last action, then destroy  |          |

\* see *About the functional retention and disposal authority*

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| No  | Function/Activity                       | Description  | Disposal Action   | Custody* |
|---|---|--|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Licensing and Notifications</i> |   |  |   |          |
| 1.9.4   |   | Records relating to applications for food business licences that are withdrawn by the applicant prior to approval.<br>Records include: <ul style="list-style-type: none"> <li>• applications</li> <li>• correspondence</li> <li>• supporting material, including advice.</li> </ul>  | Retain minimum of 3 years after last action, then destroy   |          |
| 1.9.5   |   | Records relating to the receipt and deactivation of food business notifications. Records include: <ul style="list-style-type: none"> <li>• receipt of notification</li> <li>• correspondence</li> <li>• supporting material, including advice.</li> </ul>  | Retain minimum of 2 years after last action or deactivation of notification, whichever is later, then destroy |          |
| 1.10.0  | <b>Planning and Program Development</b> | The process of formulating ways in which compliance and enforcement objectives can be achieved. Includes determination of services, needs and solutions to those needs, and reviewing and revising plans through debriefs and meetings.<br><br>See General Retention and Disposal Authority <i>Administrative Records</i> <b>STRATEGIC MANAGEMENT - Planning</b> for records relating to overall planning to achieve corporate objectives. |   |          |
| 1.10.1  |   | Final, approved versions of plans and summary records of programs designed to monitor and enforce compliance with  | Retain minimum of 10 years after last   |          |

\* see *About the functional retention and disposal authority*

## Food safety management

Authority number: FA284

Dates of coverage: 1997+

| No   | Function/Activity | Description   | Disposal Action   | Custody* |
|--|-------------------|---|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Planning and Program Development</i> |                   |   |   |          |
|  |                   | food safety standards, policy and legislation within the food industry, for example conducting surveys of country of origin labelling and 'use by dates' on products to prepare for a compliance audit. Records include: <ul style="list-style-type: none"> <li>• program objectives</li> <li>• final reports.</li> </ul>   | action, then destroy                                      |          |
| 1.10.2   |                   | Records documenting the development, establishment, implementation, evaluation and review of programs designed to monitor and enforce compliance with food safety standards, policy and legislation within the food industry. Records include: <ul style="list-style-type: none"> <li>• correspondence</li> <li>• schedules and delivery methods</li> <li>• contact lists</li> <li>• background research</li> <li>• reports of meetings and consultations</li> <li>• program objectives and methodology</li> <li>• evaluation and routine reporting of program implementation.</li> </ul> | Retain minimum of 5 years after last action, then destroy |          |
| 1.11.0   | <b>Policy</b>     | The activities associated with developing and establishing decisions, directions and precedents which act as a  |   |          |

\* see *About the functional retention and disposal authority*

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Dates of coverage: 1997+

| No   | Function/Activity | Description   | Disposal Action  | Custody* |
|--|-------------------|---|--|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Policy</i> |                   |   |  |          |
|  |                   | reference for future decision making, as the basis from which the operating procedures for the compliance and enforcement function of the organisation are determined<br>e.g. food recall protocols<br><br>See <b>FRAMEWORK DEVELOPMENT</b> for records relating to the development of policy for the food industry   |  |          |
| 1.11.1                                     |                   | Records documenting the development, establishment and review of policies to support compliance and enforcement of food safety. Records include: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• research papers</li> <li>• results of consultations</li> <li>• supporting reports</li> <li>• major drafts</li> <li>• final policy documents.</li> </ul> | Required as State archives                                   |          |
| 1.11.2                                     |                   | Administrative records relating to policy implementation. Includes internal audits of the implementation, summary timetable schedules and assignment of implementation activities or project schedules.   | Retain minimum of 3 years after implementation, then destroy |          |
| 1.12.0                                     | <b>Procedures</b> | Standard methods of operation for performing compliance and enforcement activities formulated according to policy.  |  |          |

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| No   | Function/Activity            | Description  | Disposal Action   | Custody* |
|--|------------------------------|--|---|----------|
| <i>COMPLIANCE AND ENFORCEMENT - Procedures</i> |                              |  |   |          |
| 1.12.1   |                              | Final, approved versions of compliance and enforcement procedures. Includes agency manuals, handbooks, and directives.   | Required as State archives                                |          |
| 1.12.2   |                              | Records relating to the development of compliance and enforcement procedures. Includes drafts.   | Retain minimum of 3 years after last action, then destroy |          |
| 1.13.0   | <b>Reporting</b>             | <p>The activities associated with the management and provision of reports relating to enforcement activities. Includes reports prepared by the agency or appointed enforcement agencies.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Reporting</b> for reports to government relating to compliance and enforcement of food standards.</p> |   |          |
| 1.13.1   |                              | <p>Records relating to reports regarding compliance and enforcement activities undertaken by appointed enforcement agencies. Records include:</p> <ul style="list-style-type: none"> <li>• correspondence</li> <li>• draft versions</li> <li>• final approved versions of reports.</li> </ul>  | Retain minimum of 7 years after last action, then destroy |          |
| 2.0.0  | <b>FRAMEWORK DEVELOPMENT</b> | <p>The function of developing food safety programs, standards and policy for the food industry.</p> <p>See <b>COMPLIANCE AND ENFORCEMENT</b> for records</p>   |   |          |

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| No  | Function/Activity                       | Description   | Disposal Action            | Custody* |
|---|---|---|----------------------------|----------|
| <i>FRAMEWORK DEVELOPMENT - Planning and Program Development</i> |   |   |                            |          |
|   |   | <p>relating to enforcement of standards</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>GOVERNMENT RELATIONS - Legislation</b> for records relating to the preparation and passage of legislation through Parliament.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>STRATEGIC MANAGEMENT - Joint Ventures</b> for records relating to joint ventures, co-operative or partnership agreements with other organisations for the conduct of research or development of programs.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to the organisation's membership of committees involved with food standards.</p> |                            |          |
| 2.1.0   | <b>Planning and Program Development</b> | <p>The process of formulating ways in which framework development objectives can be achieved. Includes determination of services, needs and solutions to those needs, risk assessments within the food regulation framework, and the implementation of food industry standards.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>STRATEGIC MANAGEMENT - Planning</b> for records relating to overall planning to achieve corporate objectives.</p>  |                            |          |
| 2.1.1   |   | Summary reports of programs conducted to support the development and delivery of food safety programs, activities   | Required as State archives |          |

\* see *About the functional retention and disposal authority*

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| No  | Function/Activity | Description  | Disposal Action  | Custody* |
|---|-------------------|--|--|----------|
| <i>FRAMEWORK DEVELOPMENT - Planning and Program Development</i> |                   |  |  |          |
|   |                   | and initiatives, for example the NSW Shellfish Program. Includes summary reports to senior management and/or the Executive of program outcomes.  |  |          |
| 2.1.2   |                   | Records relating to the development, establishment, evaluation and review of strategic plans to support the development and delivery of food safety programs, activities and initiatives. Includes input into plans, drafts prepared for circulation and comments received.  | Retain minimum of 10 years after last action, then destroy |          |
| 2.1.3   |                   | Records relating to the development, establishment, implementation and evaluation of operational plans or programs designed to achieve organisational objectives or to solve specific problems to support the promotion and maintenance of programs. Records include: <ul style="list-style-type: none"> <li>• input into plans</li> <li>• comments received and drafts</li> <li>• schedules</li> <li>• contact lists</li> <li>• routine summary reporting of program implementation.</li> </ul> | Retain minimum of 5 years after superseded, then destroy   |          |
| 2.2.0   | <b>Policy</b>     | The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, and form the basis from which the operating procedures for the framework development function of the organisation are determined.   |  |          |

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| No                                    | Function/Activity | Description   | Disposal Action  | Custody* |
|---------------------------------------|-------------------|---|--|----------|
| <i>FRAMEWORK DEVELOPMENT - Policy</i> |                   |   |  |          |
| 2.2.1                                 |                   | <p>Records documenting the development and establishment of policies relating to food safety standards and regulations. Records include:</p> <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• research papers</li> <li>• results of consultations</li> <li>• supporting reports</li> <li>• major drafts</li> <li>• final policy documents.</li> </ul> | Required as State archives                                   |          |
| 2.2.2                                 |                   | Administrative records relating to policy implementation. Includes internal audits of the implementation, summary timetable schedules and assignment of implementation activities.  | Retain minimum of 3 years after implementation, then destroy |          |
| 2.3.0                                 | <b>Procedures</b> | Standards methods of operation for developing policy and standards for the food industry according to formulated policy.  |  |          |
| 2.3.1                                 |                   | Records relating to the development and review of manuals, handbooks and directives detailing the agency's procedures on the development and operation of programs for food safety. Records include: final approved versions of manuals, handbooks, and directives, drafts, and consultation.   | Retain minimum of 10 years after superseded, then destroy    |          |

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| No                                       | Function/Activity           | Description   | Disposal Action   | Custody* |
|--|-----------------------------|---|---|----------|
| <i>FRAMEWORK DEVELOPMENT - Standards</i> |                             |   |   |          |
| 2.4.0                                    | <b>Standards</b>            | The process of developing and implementing industry benchmarks for services and processes to enhance quality and efficiency of food safety in NSW.  |   |          |
| 2.4.1                                    |                             | Records relating to the development and evaluation of food safety standards, including those developed by external parties. Includes risk assessments into particular food industries. Records include: <ul style="list-style-type: none"> <li>• final versions</li> <li>• summaries of consultation</li> <li>• background research</li> <li>• correspondence</li> <li>• notes of meetings</li> <li>• reports.</li> </ul> | Required as State archives                                |          |
| 2.4.2                                    |                             | Records relating to the implementation of standards from other organisations. Includes input into standards or comments made, program management, schedules, objectives, methodology, evaluation and summary reporting of the implementation process.   | Retain minimum of 5 years after last action, then destroy |          |
| 2.5.0                                    | <b>Surveys and Research</b> | The activities associated with conducting research and surveys to inform the development of standards.  |   |          |
| 2.5.1                                    |                             | Final reports and publications relating to surveys and research undertaken to identify issues of concern and safety   | Required as State   |          |

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| No  | Function/Activity                       | Description   | Disposal Action  | Custody* |
|---|---|---|--|----------|
| <i>FRAMEWORK DEVELOPMENT - Surveys and Research</i> |   |   |  |          |
|   |   | hazards.  | archives   |          |
| 2.5.2   |   | Records relating to the development and conduct of surveys and research undertaken. Records include: survey returns, data entry, preliminary analysis and draft reports.  | Retain minimum of 10 years after last action, then destroy |          |
| 3.0.0   | <b>TRAINING EDUCATION AND AWARENESS</b> | <p>The function of educating the food industry, enforcement agencies, and consumers on food labelling, food handling and hygiene. Includes community awareness and education programs, local government and industry training, and marketing campaigns.</p> <p>See <b>FRAMEWORK DEVELOPMENT</b> for records relating to the development of food safety policy and standards.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>COMMUNITY RELATIONS - Addresses</b> for records relating to speeches and multi-media presentations for professional and community relations purposes.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>COMMUNITY RELATIONS - Conferences</b> for records relating to administrative arrangements for conferences, seminars or forums arranged by the agency.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>PUBLICATION</b> for records relating to the publication of brochures and pamphlets by the organisation.</p> |  |          |
| 3.1.0   | <b>Extension</b>                        | The delivery of education and training to local government and industry partners and the community, including courses jointly developed with industry or community partners, and  |  |          |

\* see *About the functional retention and disposal authority*

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| No  | Function/Activity                       | Description   | Disposal Action  | Custody* |
|---|---|---|--|----------|
| <i>TRAINING EDUCATION AND AWARENESS - Extension</i> |   |   |  |          |
|   |   | <p>awareness campaigns and international programs. Includes:</p> <ul style="list-style-type: none"> <li>• administration of enrolments, examinations and assessments</li> <li>• advertising and marketing of courses</li> <li>• monitoring and evaluating programs and courses.</li> </ul>  |  |          |
| 3.1.1   |   | <p>Records relating to the development and delivery of information resources, such as fact sheets etc. and of extension activities such as courses and field days to educate the food industry, local councils, and the community on food labelling, food handling and hygiene etc. Records include:</p> <ul style="list-style-type: none"> <li>• master copies of materials</li> <li>• handouts</li> <li>• promotional materials</li> <li>• displays</li> <li>• publications.</li> </ul> | Retain minimum of 7 years after superseded, then destroy |          |
| 3.2.0   | <b>Planning and Program Development</b> | <p>The process of formulating ways in which training, education and awareness objectives can be achieved. Includes determination of services, needs and solutions to those needs.</p> <p>See General Retention and Disposal Authority <i>Administrative</i></p>   |  |          |

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| No   | Function/Activity | Description   | Disposal Action   | Custody* |
|--|-------------------|---|---|----------|
| <i>TRAINING EDUCATION AND AWARENESS - Planning and Program Development</i> |                   |   |   |          |
|  |                   | <p><i>Records</i> <b>COMMUNITY RELATIONS - Liaison</b> for records relating to liaison activities undertaken with professional associations, private sector organisations and community groups on training and awareness programs.</p> <p>See General Retention and Disposal Authority <i>Administrative Records</i> <b>STRATEGIC MANAGEMENT - Planning</b> for records relating to overall planning to achieve corporate objectives.</p> |   |          |
| 3.2.1  |                   | Summary reports of programs conducted to educate the community, local councils and the food industry on safe food standards and policies. Includes reports to senior management on the evaluation, review or overall implementation of the plans and programs.  | Required as State archives                                      |          |
| 3.2.2  |                   | Records relating to the development, establishment, evaluation and reviewing of strategic plans to support education and training programs and goals. Includes input into plans, drafts prepared for circulation and comments received.   | Retain minimum of 10 years after action completed, then destroy |          |
| 3.2.3  |                   | <p>Records relating to the development, establishment, implementation and evaluation of operational plans or of programs to support the delivery of training and education services and courses. Records include:</p> <ul style="list-style-type: none"> <li>• comments received</li> <li>• drafts</li> <li>• schedules</li> </ul>  | Retain minimum of 5 years after action completed, then destroy  |          |

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| No   | Function/Activity | Description  | Disposal Action  | Custody* |
|--|-------------------|--|--|----------|
| <i>TRAINING EDUCATION AND AWARENESS - Policy</i> |                   |  |  |          |
|  |                   | <ul style="list-style-type: none"> <li>• contact lists</li> <li>• evaluation and routine summary reporting of program implementation.</li> </ul>   |  |          |
| 3.3.0  | <b>Policy</b>     | <p>The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.</p> <p>See <b>FRAMEWORK DEVELOPMENT</b> for records relating to the development of policy for the Food Industry.</p>   |  |          |
| 3.3.1  |                   | <p>Records documenting the development and establishment of policies to support the training and education of the industry and community e.g. eligibility for participation. Records include:</p> <ul style="list-style-type: none"> <li>• proposals</li> <li>• research</li> <li>• results of consultations</li> <li>• supporting reports</li> <li>• drafts.</li> </ul> | Retain minimum of 7 years after superseded, then destroy |          |
| 3.4.0  | <b>Procedures</b> | Standards methods of operation for conducting training, education and awareness.   |  |          |
| 3.4.1  |                   | Records relating to the development of procedures supporting policy and extension activities, e.g. procedures  | Retain minimum of 5 years after                          |          |

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Dates of coverage: 1997+

| No   | Function/Activity | Description                       | Disposal Action             | Custody* |
|--|-------------------|-----------------------------------|-----------------------------|----------|
| <i>TRAINING EDUCATION AND AWARENESS - Procedures</i> |                   |                                   |                             |          |
|  |                   | for approval to conduct a course. | superseded, then<br>destroy |          |

\* see *About the functional retention and disposal authority*