

State Records Authority of New South Wales

Functional Retention and Disposal Authority: FA381

This authority covers records documenting the function of energy policy, programs and regulation

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 FA381

SR file no 16/0453

Scope

This functional retention and disposal authority covers records documenting the function of energy policy, programs and regulation.

Public office

Department of Industry, Skills and Regional Development (Resources & Energy Division)

Approval date

Geoff Hinchcliffe
Director
State Records Authority of New South Wales

25/08/2016
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*. It is the duty of a public office, in submitting a draft 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 public offices in discharging their functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State 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. See *Implementing a retention and disposal authority*.

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

Disposal action

Records required as State archives

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these records should be transferred to State 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, formal applications for access) where the records may be required as evidence.

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

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

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

State 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.

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 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 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) 9673 1788
E-mail: govrec@records.nsw.gov.au

Functional Retention and Disposal Authority
Energy policy, programs and regulation (Department of Industry, Skills and Regional Development(Resources & Energy Division))

Authority number: FA381

Dates of coverage: Open

List of Functions and Activities covered

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Energy policy, programs and regulation

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List of Functions and Activities covered

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Functional Retention and Disposal Authority
Energy policy, programs and regulation (Department of Industry, Skills and Regional Development(Resources & Energy Division))

Authority number: FA381

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
1.0.0	ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT	<p>The function of promoting, ensuring and regulating energy supplies and energy markets.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records of committees, taskforces and working groups, including advisory and consultative committees.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Advice for records relating to the provision or receipt of advice or briefings to or from the Minister or government.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Inquiries for records relating to the organisation's input into government inquiries.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Reporting for records relating to the development and submission of reports to government on the operation and performance of the organisation's core functions.</p>	
1.1.0	Complaints & Enquiries	<p>The activity associated with handling complaints and enquiries.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS for records relating to complaints and enquiries about the organisation's operations, services, policies, etc.</p>	
1.1.1		Records relating to the receipt and handling of complaints and enquiries regarding energy networks, programs, schemes and initiatives, reforms, strategy, policy, etc., which require investigation and/or a detailed response.	Retain minimum of 7 years after action completed, then destroy
1.1.2		Records relating to the receipt and handling of complaints and enquiries which require a standard or routine response.	Retain minimum of 2 years after action completed, then

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Emergency Management</i>			
			destroy
1.2.0	Emergency Management	<p>The activity associated with planning, preparing, monitoring and responding to emergency incidents and events.</p> <p>See General Retention and Disposal Authority <i>Administrative records COMMITTEES</i> for records relating to participation in committees, working groups and taskforces, including State emergency management committees.</p>	
1.2.1		<p>Records documenting the organisation's response to emergency events or incidents:</p> <ul style="list-style-type: none"> • that result in death or serious injury • that cause major or prolonged disruptions to operations or services and/or generate significant media interest or public reaction. <p>Includes records of alerts and notifications issued by the organisation, liaison and consultation with stakeholders (e.g. emergency services, government agencies or energy businesses) regarding handling and coordination of the response, advice to operation centres, incidents reports and briefings.</p>	Required as State archives
1.2.2		<p>Records relating to:</p> <ul style="list-style-type: none"> • final versions of emergency management plans (e.g. sub plans or concepts of operation) prepared by the organisation • submission, comments and feedback provided in relation to broader State emergency management plans, policies and procedures • the conduct of drills and exercises to prepare for incident and accident response, including arrangements, exercise materials such as scenarios and instructions, and reports, notes and debriefings • the organisation's response to routine incidents, including notifications, liaison with stakeholders (e.g. emergency services, government agencies or energy businesses), advice to operation centres, incidents reports and 	Retain minimum of 7 years after action completed, then destroy

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Authority number: FA381

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Emergency Management</i>			
		briefings <ul style="list-style-type: none"> • routine reports submitted to emergency management committees (e.g. quarterly reports to State emergency management committees) • internal advice and briefings on specific emergency management issues (as required) • day-to-day monitoring of energy and utility supply and demand requirements. 	
1.2.3		Records relating to the development of operational plans.	Retain until administrative or reference use ceases, then destroy
1.3.0	Funding	The activity associated with managing the application for and provision of funding, grants, subsidies and other financial assistance to businesses, organisations, groups or individuals. See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Research for final reports of research funded by the organisation. See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Grant funding for records relating to applications by the organisation for grants and funds from external sources.	
1.3.1		Records relating to approved applications for funding, grants, subsidies or other financial assistance to promote and/or support research, or energy programs, initiatives, campaigns, services, technologies, etc. Includes: <ul style="list-style-type: none"> • applications, proposals/submissions and supporting documentation • records of assessments and recommendations • contracts and agreements 	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Funding</i>			
		<ul style="list-style-type: none"> • liaison and correspondence with applicants • payment schedules • progress reports, periodic financial returns and acquittal reports. 	
1.3.2		Records relating to unsuccessful requests or applications for financial assistance. Includes: <ul style="list-style-type: none"> • applications, proposals or submission and supporting documentation • records of assessments and recommendations • liaison and correspondence with applicants. 	Retain minimum of 2 years after action completed, then destroy
1.4.0	Industry Investment, Support & Advocacy Services	<p>The activity associated with attracting and facilitating investment in NSW through the provision of assistance and support for development projects, marketing and promotion of investment projects and activities, and advocacy and support.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Complaints & Enquiries for records relating to enquiries which do not relate to a specific project being managed/supported by the organisation.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Funding for records relating to the provision of financial assistance.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Information & Awareness for records relating to guides and other published information resources which provide general explanatory information and advice about the energy activities and operations of the organisation and energy programs and schemes.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Policy, Rules, Codes, Standards & Guidelines (Industry) for records relating to proposals for new or revised industry policy, standards, etc.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Strategy & Planning for records relating to strategies and plans such as industry</p>	

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Industry Investment, Support & Advocacy Services</i>			
		<p>engagement strategies and renewable energy action plans.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Addresses for records relating to speeches, presentations or papers delivered at conferences, seminars, workshops or other events hosted and/or arranged by external organisations or bodies.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Conferences for records relating to conferences hosted by the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Marketing for records relating to the marketing and promotion of services offered by the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Advice for records of advice to the Minister or other government organisations regarding energy projects.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Submissions or records relating to submissions on the development or review of policy of other government organisations, or government-wide policy developed by central coordinating agencies, as well as letters or submissions offering support for energy programs, projects or other activities.</p>	
1.4.1		<p>Records relating to:</p> <ul style="list-style-type: none"> • the provision of support and assistance for specific company/client industry development or investment projects • visits, meetings and liaison with government, industry, companies, communities and other stakeholders in order to gain understanding of industry development or investment opportunities and issues, or offer support and/or discuss or facilitate solutions to barriers or issues associated with the industry development or investment (unrelated to a specific client 	Retain minimum of 10 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Industry Investment, Support & Advocacy Services</i>			
		project).	
1.4.2		Records relating to the set up and design of exhibitions and tradeshows, such as designs, briefs, construction and installation records, catalogues and promotional and marketing materials used to attract, promote and provide information about investment opportunities. Includes information resources such as factsheets, maps, brochures, etc., details of projects and of contacts to facilitate industry introductions.	Retain minimum of 2 years after action completed, then destroy
1.4.3		Speeches, presentations, proceedings and reports of seminars, workshops, forums, tradeshows, visits or other industry events. <i>Note: Excludes presentations and proceedings of conferences hosted by the organisation, and presentations delivered at externally hosted conferences.</i>	Retain minimum of 2 years after action completed, then destroy
1.4.4		Records relating to the development of information resources, marketing and promotional materials, speeches and presentations, etc., and administrative arrangements relating to the scheduling and delivery of industry events, such as venue and facility bookings, invitations, registrations, accommodation, transport and catering arrangements.	Retain until administrative or reference use ceases, then destroy
1.5.0	Information & Awareness	The activity associated with providing guidance, advice, updates and general explanatory information about programs, schemes, initiatives or operations, or to keep consumers and other stakeholders informed and aware of policy, initiatives, opportunities, consumer rights, etc. See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Industry Investment, Support & Advocacy Services for records relating to information resources and promotional materials aimed at promoting or attracting investment in NSW energy projects. See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Policy, Rules, Codes, Standards & Guidelines (Industry) for records relating to the development and review of formal policies, rules, standards or guidelines to	

Energy policy, programs and regulation

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Information & Awareness</i>			
		<p>be followed by industry or consumers.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Programs, Schemes & Initiatives for records relating to design, development and implementation of specific programs and initiatives aimed at educating and informing consumers about energy related matters.</p> <p>See General Retention and Disposal Authority <i>Administrative records COMMUNITY RELATIONS - Media relations</i> for media releases.</p>	
1.5.1		Final version of broadcast advice, updates and information which provide formal official notification and guidance to stakeholders concerning changes to legislation, regulations, codes, standards or other requirements, or changes to the structure and operation of programs, schemes and initiatives (e.g. closure/winding up of programs).	Retain minimum of 7 years after action completed, then destroy
1.5.2		Presentation materials and information resources used to deliver information, education and awareness sessions or provide general explanatory information and advice about energy programs, schemes, initiatives, strategies, policies, etc., or which promote awareness about energy matters (e.g. renewable energy, energy efficiency and sustainability).	Retain minimum of 2 years after action completed, then destroy
1.5.3		<p>Records relating to administrative arrangements for the scheduling and delivery of information sessions and the development of information resources and presentation materials. Includes:</p> <ul style="list-style-type: none"> • draft materials released for internal review and comment • attendance enquiries, notifications and confirmations • attendance lists and evaluation forms • routine arrangements for information sessions, such as equipment, venue and catering bookings. 	Retain until administrative or reference use ceases, then destroy
1.6.0	Modelling & Analysis	The activity associated with undertaking analysis and modelling.	

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No	Function/Activity	Description	Disposal Action
<i>- Modelling & Analysis</i>			
		<p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Policy, Rules, Codes, Standards & Guidelines (Industry) for records relating to modelling and analysis (scenarios, options, models, advice and commentary) used to support the development, implementation and review of energy policy.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Programs, Schemes & Initiatives for records relating to modelling and analysis (scenarios, options, models, advice and commentary) used to support the development, implementation and review of energy programs, schemes and initiatives.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Strategy & Planning for records relating to modelling and analysis (scenarios, options, models, advice and commentary) used to support the development, implementation and review of energy strategies and plans.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Advice for records relating to advice and briefings to the Minister.</p>	
1.6.1		<p>Records relating to the establishment and management of datasets (e.g. energy, economic, social, environmental and technical datasets) used to monitor and analyse energy markets, emerging energy issues and/or to support policy and program development, implementation etc.</p> <p>Includes records relating to the day-to-day monitoring and analysis of energy markets and emerging issues (e.g. energy demand, pricing, flows, availability, efficiency, usage etc.) and the provision of reports, briefings and advice on energy matters, such as:</p> <ul style="list-style-type: none"> • weekly and annual energy market reports • reports, advice, presentations and briefings providing analysis/commentary on recently released reports, forecasts, data and statistics • preparation of data, reports, statistics, chapters, charts, tables, key messages, commentary etc. in response to specific requests to support 	Retain minimum of 7 years after action completed, then destroy

Energy policy, programs and regulation

Authority number: FA381

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Network Regulation, Compliance & Performance Monitoring</i>			
		<p>internal business area operations (e.g. policy development, strategies and plans, program reports etc.) or as contribution to external stakeholder reports, strategies or publications.</p> <p>Also includes internal surveys carried out to identify data/data analysis needs and requirements.</p>	
1.7.0	Network Regulation, Compliance & Performance Monitoring	<p>The activity associated with regulating and monitoring network operators and energy utilities.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Policy, Rules, Codes, Standards & Guidelines (Industry) for records relating to the development and review of legislation, regulations, rules, codes, standards and guidelines against which compliance and performance is monitored.</p>	
1.7.1		<p>Records relating to the processing and management of approvals for the construction and operation of pipelines, including the granting of new applications for pipeline licences, permits or other authorisation, processing subsequent variations, transfers and renewals, and approvals associated with the standards for the design, construction, maintenance and operation of pipelines. Includes:</p> <ul style="list-style-type: none"> • authorities to survey pipeline routes • records of environmental impact assessments • applications and supporting documentation (as required), including amendments to applications • licences, permits, standards and other authorisations which are granted. 	Required as State archives
1.7.2		<p>Records relating to the approval of corrosion protection systems. Includes:</p> <ul style="list-style-type: none"> • corrosion protection system applications and supporting documentation • liaison with applicants • corrosion protection certificates 	Retain minimum of 7 years after cancellation of the approval, then destroy

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Network Regulation, Compliance & Performance Monitoring</i>			
		<ul style="list-style-type: none"> • records of drainage bonds. 	
1.7.3		Records relating to withdrawn or refused applications for authorisations associated with pipeline construction and operation, or corrosion protection systems. Includes applications and supporting documentation and liaison or correspondence with applicants.	Retain minimum of 7 years after action completed, then destroy
1.7.4		Registers of pipeline licences or authorisations and corrosion protection system approvals.	Required as State archives
1.7.5		Records relating to ongoing monitoring of operator compliance and performance in accordance with agreed rules, standards, benchmarks, legislation or other obligations where operators demonstrate non-compliance with requirements. Includes: <ul style="list-style-type: none"> • complaints, notifications and/or reports identifying non-compliance • performance evaluation reports and file notes • findings and reports from audits, investigations and inspections • liaison, meetings and correspondence with operators • directions issued by the agency and records of actions taken. 	Required as State archives
1.7.6		Records relating to ongoing monitoring of operator compliance and performance in accordance with agreed rules, standards, benchmarks, legislation or other obligations where operators demonstrate compliance with requirements. Includes: <ul style="list-style-type: none"> • operator plans lodged with the agency, such as safety and operating plans, network management plans and network performance plans, pipeline management plans, bushfire management plans etc. • operator reports lodged with the agency, such as network performance reports, reliability reports, and reports and notifications regarding incidents, 	Retain minimum of 7 years after action completed, then destroy

Energy policy, programs and regulation

Authority number: FA381

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Network Regulation, Compliance & Performance Monitoring</i>			
		<p>accidents or emergencies on gas or electricity networks</p> <ul style="list-style-type: none"> • requests and authorisations for extensions of time to lodge plans or reports • third party auditor reports and certificates • records of assessments and evaluations of operator plans, reports and audits, including file notes • findings and reports from audits and investigations • liaison and correspondence with operators, including recommendations, orders and directions to amend plans or reports, ensure compliance, or exempt operators from certain requirements. 	
1.7.7		<p>Records relating to reports of incidents, accidents or emergencies on energy networks, including:</p> <ul style="list-style-type: none"> • incident or accident reports and notifications received from operators • routine and period reports and statistics prepared by the organisation for industry committees, regulators, government agencies or other stakeholders. <p><i>Note: For annual consolidated State-wide reports on energy network performance, see class 1.7.8 (below).</i></p>	Retain minimum of 7 years after action completed, then destroy
1.7.8		<p>Records relating to the development of state-wide reports which provide a consolidated summary with regard to the safety, reliability and performance of energy networks, such as annual pipelines performance reports, gas networks performance reports and electricity network performance reports etc. Records may include:</p> <ul style="list-style-type: none"> • major drafts distributed for review • summaries of industry and stakeholder consultations • reports and findings from supporting research 	Required as State archives

Energy policy, programs and regulation

Authority number: FA381

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Policies & Procedures (Internal Operational)</i>			
		<ul style="list-style-type: none"> • final versions. 	
1.8.0	Policies & Procedures (Internal Operational)	<p>The activity associated with the development and review of internal operational policies, procedures, guidelines and instructions.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Policy, Rules, Codes, Standards & Guidelines (Industry) for records relating to the development, implementation, review and amendment of national and/or state policy, rules, codes, standards and guidelines for industry.</p>	
1.8.1		Final versions of internal policies and procedures relating to the operational management of energy management activities and operations.	Retain minimum of 7 years after superseded or no longer in use, then destroy
1.8.2		Records relating to the development and review of internal operating policies and procedures.	Retain until administrative or reference use ceases, then destroy
1.9.0	Policy, Rules, Codes, Standards & Guidelines (Industry)	<p>The activity associated with developing, implementing, reviewing and amending national and/or state policy, rules, codes, standards and guidelines for industry.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records relating to proceedings, minutes, reports and agendas of committees, taskforces or working groups set up to develop, review, implement or discuss policy, rules, codes, standards and guidelines.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Legislation for records relating to the preparation and passage of legislation through Parliament, including regulatory impact statements and explanatory memoranda.</p>	

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Policy, Rules, Codes, Standards & Guidelines (Industry)</i>			
		See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Submissions for records of proposals or submissions to government bodies in response requests for input into the development or review of policies, rules or guidelines.	
1.9.1		Key records documenting the development, implementation and review of industry policy, rules, codes, standards and guidelines, including: <ul style="list-style-type: none"> • proposals • options, issues and/or discussion papers • recommendation reports and decision briefs • advice and briefings to or from the Minister or government • final versions of supporting plans, strategies, models or scenarios • major drafts released for external stakeholder comment and consideration, such as exposure drafts • stakeholder submissions and summaries of stakeholder consultations • final reports, including supporting research reports, or evaluation, implementation or review reports • final version of policies, rules, codes, standards or guidelines, including associated amendment summaries • approvals • regulatory impact statements. 	Required as State archives
1.9.2		Records supporting the development, implementation and review of industry policy, rules, codes, standards and guidelines, including: <ul style="list-style-type: none"> • internal release drafts • background and working papers required to substantiate exposure drafts 	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Pricing</i>			
		and final versions <ul style="list-style-type: none"> • correspondence, liaison and minutes of meetings with stakeholders • internal reports, presentations or briefings • project management records, including program/project plans and reports, meetings, schedules and timelines etc. 	
1.10.0	Pricing	The activity associated with making referrals for the determination of pricing for energy schemes and/or services.	
1.10.1		Records relating to ministerial referrals for the determination of pricing, such as pricing for amounts payable in accordance with specific schemes or benchmark pricing for energy retailers. Includes pricing terms of reference and associated liaison with pricing bodies.	Required as State archives
1.11.0	Programs, Schemes & Initiatives	The activity associated with designing, developing, implementing, reviewing and administering industry programs, schemes and initiatives. <p><i>Note: Examples of programs, schemes and initiatives include the Minimum Energy Performance Standards (MEPS) scheme, the NSW Greenhouse Gas Reduction Scheme, the Solar Bonus Scheme, GreenPower Accreditation Program, Accredited Service Provider (ASP) Scheme, and energy rebate schemes and social programs.</i></p> See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Complaints & Enquiries for records relating to complaints and enquiries about programs, schemes and initiatives. See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Funding for records relating to the provision of funding to individuals or external bodies to support research or energy programs and initiatives. See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Information & Awareness for records relating to the development and review of guides, factsheets and general explanatory information and advice about the organisation's programs, schemes and initiatives, as well as presentations and	

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Programs, Schemes & Initiatives</i>			
		<p>materials used to deliver information, education and awareness sessions to participants or organisations and individuals responsible for administering programs, schemes and initiatives.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Policy, Rules, Codes, Standards & Guidelines (Industry) for records relating to the development, implementation and review of legislation, regulations, rules, codes or guides which underpin energy programs, schemes and initiatives.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records relating to committees, including inter-agency and intergovernmental committees, taskforces or working groups set up to design, establish, implement, oversee and/or review schemes, programs and initiatives.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Marketing for records relating to campaigns or advertising which promote the organisation's programs, schemes and initiatives.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> CONTRACTING-OUT for records relating to the contracting-out of consultants or contractors to assist with the design, development, implementation, review or audit of programs, schemes and initiatives.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> FINANCIAL MANAGEMENT - Accounting for records relating to the processing of financial payments and transactions associated with programs, schemes and initiatives.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Reporting for reports to government or the Minister on the operation and performance of programs, schemes and initiatives.</p>	
1.11.1		<p>Key records documenting the design, development, implementation, evaluation, review and winding up of energy programs, schemes and initiatives (including programs, schemes, etc., targeting energy suppliers, industry participants, consumers & social programs). Includes records of:</p>	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Programs, Schemes & Initiatives</i>			
		<ul style="list-style-type: none"> • proposals, business cases and briefs • issues and options papers • stakeholder submissions and summaries of stakeholder consultations • major draft and final versions of supporting plans, strategies, models or scenarios • legal advice • final version of findings, reports and recommendations from supporting research • advice, briefings and reports to state, national or inter-governmental bodies or departments, including national regulators, Councils, committees and working groups • final implementation, evaluation and review reports. <p>Also includes the establishment and review of program deeds and other agreements regarding the governance of programs, schemes and initiatives.</p>	
1.11.2		<p>Records supporting the design, development, implementation, evaluation, review and winding up of energy programs, schemes and initiatives, including:</p> <ul style="list-style-type: none"> • draft strategies, plans, reports or models which are not released for public consultation and comment such as internal release drafts • background and working papers required to substantiate exposure drafts and final versions • routine correspondence, liaison and minutes of meetings with stakeholders • routine reports, presentations or briefings • project management records, including project plans and reports, meetings, schedules and timelines etc. 	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Programs, Schemes & Initiatives</i>			
1.11.3		<p>Records relating to the day-to-day ongoing management and administration of programs, schemes and initiatives administered by the organisation. Records may include (dependent on the program, scheme or initiative):</p> <ul style="list-style-type: none"> • applications/requests and supporting documentation for eligibility, accreditation, licenses, approvals, claims or exemptions made in accordance with programs and schemes • assessments, recommendations and decisions relating to applications received • liaison, correspondence, notifications and advice to or from participants • records relating to the handling of disputes and appeals • determinations for fees, charges and/or tariffs • compliance monitoring of program/scheme participants, including reports, statements and invoices submitted, reports and results of audits • scheme or program registers • routine reports and updates to stakeholder on operations and performance, such as quarterly status reports. <p>Also includes advice and assistance provided to government bodies charged with administering schemes developed and/or implemented by the organisation.</p> <p>Note: Depending on the nature each program, scheme or initiative, the organisation will need to carefully consider any specific requirements associated with the implementation of the 'action completed' trigger. For example, 'action completed' may be interpreted as: after the expiry, cancellation or lapse of accreditation, licence or other approval; after the provider ceases to operate; after the program ceases; or after the file or matter is finalised/closed (i.e. final transaction of business).</p> <p>Before implementing disposal decisions, the organisation should ensure they are aware of any new or changed legislative requirements relating to the operation of</p>	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Programs, Schemes & Initiatives</i>			
		a scheme that may impact on retention requirements.	
1.11.4		Final version of formal annual reports which provide stakeholders with a snapshot or update on whole-of-program or scheme performance, including annual compliance audit reports. <i>Note: For routine reports, including quarterly status reports and updates for stakeholders, see class 1.11.3 above.</i>	Required as State archives
1.12.0	Property Acquisitions & Conveyancing	Activities associated with facilitating property acquisitions for energy infrastructure or services & handling enquiries and applications for property searches.	
1.12.1		Records relating to the acquisition of property such as utility corridors and easements on behalf of energy providers and operators. Records include: <ul style="list-style-type: none"> • requests for approval to send out acquisition notices or acquire property • acquisition advice and supporting information supplied by providers and operators • liaison to and from the Minister and associated approvals from the Minister or other authority (as required). 	Required as State archives
1.12.2		Records relating to enquiries and applications from parties requesting property searches for the purposes of conveyancing. Includes: <ul style="list-style-type: none"> • property information enquiries and/or applications • search results • agency responses. 	Retain minimum of 10 years after action completed, then destroy
1.12.3		Routine administrative records relating to conveyancing, such as: <ul style="list-style-type: none"> • routine liaison and correspondence with land titles offices, legal firms and conveyancing companies 	Retain minimum of 2 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Research</i>			
		<ul style="list-style-type: none"> • data entry forms used to update land titles databases. 	
1.13.0	Research	<p>The activity associated with carrying out or commissioning research into a specific subject area of interest.</p> <p>See the relevant function-activity where research is carried out to support a more specific activity. For example, see ENERGY MANAGEMENT - Policy, Rules, Codes, Standards & Guidelines, for research carried out to support the development, implementation or review of industry policy.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Funding for records relating to the provision of grants, funds or other financial assistance to support the conduct of research by external individuals, organisations or bodies.</p>	
1.13.1		Final reports, papers and/or findings of research projects or studies either carried out, commissioned or funded by the organisation.	Required as State archives
1.13.2		<p>Records relating to the conduct of research projects or studies carried out or commissioned by the organisation. Includes:</p> <ul style="list-style-type: none"> • supporting models, scenarios and data sets • drafts reports distributed for review • results and summaries of stakeholder comments and feedback • project management records, including project plans and reports, meetings, schedules and timelines etc. <p>Also includes discontinued research.</p>	Retain minimum of 7 years after action completed, then destroy
1.14.0	Strategy & Planning	<p>The activity associated with formulating plans and strategies.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Network Regulation, Compliance & Performance Monitoring for plans received from operators to support the organisation's network compliance and</p>	

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<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Strategy & Planning</i>			
		<p>performance monitoring activities.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Policy, Rules, Codes, Standards & Guidelines (Industry) for strategies and plans relating specifically to the development, implementation and review of industry policy, rules, codes, standards or guidelines.</p> <p>See ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Programs, Schemes & Initiatives for strategies and plans relating specifically to the development, implementation, evaluation, review or winding up of energy programs, schemes and initiatives.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Reporting for reports to government or the Minister on the implementation of strategies and plans, including progress reports, including progress reporting against strategies and plans developed and implemented by central coordinating agencies.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Planning for strategic, corporate, business or work plans applying to the organisation as a whole or to specific divisions and units.</p>	
1.14.1		<p>Key records relating to the development, implementation and review of energy strategies and plans where the organisation is responsible for developing the strategy or plan, or is the lead agency. Includes:</p> <ul style="list-style-type: none"> • options papers and recommendations reports • drafts released for stakeholder consultation • submissions and results of consultations • final results and reports from supporting research and/or reviews (including implementation reviews) carried out or commissioned by the organisation • final versions of strategies, plans and frameworks • implementation action plans and progress reports. 	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>ENERGY POLICY, PROGRAMS, REGULATION & INVESTMENT SUPPORT - Strategy & Planning</i>			
1.14.2		<p>Records supporting the development, implementation and review of energy strategies and plans including:</p> <ul style="list-style-type: none"> • internal release drafts • background and working papers required to substantiate exposure drafts and final versions • correspondence, liaison and minutes of meetings with stakeholders • internal reports, presentations or briefings • project management records, including program/project plans and reports, meetings, schedules and timelines etc. <p>Also includes submissions and input provided by the organisation to support the development of energy related plans and strategies by central co-ordinating agencies.</p>	Retain minimum of 7 years after action completed, then destroy