

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

**Functional retention and disposal  
authority: animal care, conservation  
and research**

This authority covers records documenting the function of  
animal care, conservation and research

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



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

**Functional Retention and Disposal Authority**

**Authority  
no** FA398

**SR file no** 18/0221

**Scope** This retention and disposal authority covers records documenting the function of animal care, conservation and research.

**Public  
office** Taronga Conservation Society

**Issue date** 29/06/2018

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

### **Purpose of the authority**

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

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

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

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

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

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

### **Implementing the authority**

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

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

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

## **Disposal action**

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

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

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

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

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

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

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

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

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

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

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

### **Administrative change**

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

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

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

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

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

#### Contact Information

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

**Functional Retention and Disposal Authority**  
**Animal care, conservation and research**

**Authority number: FA398**

**Dates of coverage: Open**

**List of Functions and Activities covered**

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# Functional Retention and Disposal Authority

## Animal care, conservation and research

Authority number: FA398

Dates of coverage: Open

No.	Description of records	Disposal action
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### 1.0.0 ANIMAL CARE, CONSERVATION & RESEARCH

The function of managing animals in the care of the organisation. Includes the management of conservation and research projects.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for records relating to agreements and MOUs with other Government agencies relating to animal care and collection management.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to strategic alliances with other organisation regarding animal care and collection management.

#### 1.1.0 Advice

The activities associated with offering opinions by or to the organisation.

See **ANIMAL CARE & COLLECTION MANAGEMENT - Collection control & management** for records relating to advice about collection animals.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to requests for and the handling of enquiries regarding routine information about the organisation and its services.

See General Retention and Disposal Authority *Administrative records* **GOVERNING AND CORPORATE BODIES - Meetings** for records relating to the provision of advice to governing bodies.

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

1.1.1	Records relating to the provision of advice to the portfolio Minister or other government and non-Government organisations concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities where a detailed response has been provided. Includes advice on captive animals, wildlife trade (both legal and illegal), collection related matters, seized or confiscated animals etc.	Required as State archives
1.1.2	Records relating to the provision of general and routine advice on animal care and collection management.	Retain minimum of 5 years after action completed, then destroy

#### 1.2.0 Collection control & management

The activities relating to acquiring, disposing of and managing collection animals. Includes the management of inventories, transportation, nutrition and care of collection animals.

See **ANIMAL CARE & COLLECTION MANAGEMENT - Advice** for records relating to the provision of advice on animals that are not part of the collection.

See **ANIMAL CARE & COLLECTION MANAGEMENT - Veterinary services** for records relating to the provision of veterinary care for collection and non-collection animals.

## Animal care, conservation and research

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*ANIMAL CARE, CONSERVATION & RESEARCH- Collection control & management*

1.2.1	<p>Records documenting the control, acquisition, disposal and care of animals in the collection. Includes:</p> <ul style="list-style-type: none"> <li>• acquisition and transfer proposals, recommendations, and approvals</li> <li>• reports detailing the provenance, history, birth, death and significance and value of animals</li> <li>• negotiations, agreements, contracts and terms and conditions</li> <li>• liaison, correspondence, advice and notifications with key stakeholders</li> <li>• summary registration or content management system records</li> <li>• summary details of the history of injuries, illnesses, incidents, escapes, thefts and any major treatments/therapies, euthanasia and autopsies etc.</li> </ul>	Required as State archives
1.2.2	<p>Records relating to the daily care of collection animals. Includes assessments of their health and conditions by keepers, nutrition, cleaning of areas, medications, observation of behaviour, enrichments, attending to training and conditioning, the management of animal inventories, logistics and transportation etc.</p>	Retain until administrative or reference use ceases, then destroy

### 1.3.0 Compliance

Records related to ensuring compliance with mandatory (or optional) regulatory bodies, national and international standards, codes of practice or legislation relevant to animal collection activities.

1.3.1	<p>Records relating to registering, licensing or obtaining permits for transporting, importing, exporting, or quarantining of animals. Includes:</p> <ul style="list-style-type: none"> <li>• applications for registration or permit, renewals, cancellations or details regarding cancellation or suspension of permits, licences or registration</li> <li>• copies of permits, licences, certificates of registration</li> <li>• conditions of licensing or registration</li> <li>• applications for review of decisions regarding licensing or registration.</li> </ul>	Retain minimum of 50 years after action completed, then destroy
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### 1.4.0 Grants

The activities associated with receiving requests for grants to conduct scientific research. Includes research into wildlife issues and management.

## Animal care, conservation and research

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### *ANIMAL CARE, CONSERVATION & RESEARCH- Grants*

1.4.1	Records relating to the management of grant funding. Includes evaluation and selection processing of applications.	Retain minimum of 7 years after action completed, then destroy
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### **1.5.0 Plans, policies and procedures**

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

1.5.1	Final, approved versions of strategic plans, policies and procedures for animal care, welfare, research and conservation, e.g. planning for management of species, breeding and planning in relation to specific animals, animal husbandry and nutrition. Includes conservation plans and strategies.	Required as State archives
1.5.2	Records relating to the development, implementation and review of plans, policies and procedures. Includes final versions of operational plans, policies and procedures.	Retain minimum of 7 years after superseded or action completed, then destroy

### **1.6.0 Projects**

The activities relating to the management of animal research and conservation projects. Includes gathering, interpreting, analysing and reporting data and managing animal conservation strategies and global biological diversity. Includes examining biological processes and ecosystems, and the development and management of conservation programs.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to agreements between nations, states, local government or other agencies relating to animal conservation.

1.6.1	Records relating to the management of research and conservation projects. Includes species recovery projects to breed animals for release into the wild, field conservation projects, global biological diversity projects, research into the management of zoo animal collections, etc. Includes final reports, evaluation, program objectives, methodologies.	Required as State archives
1.6.2	Records relating to operational program management. Includes schedules, arrangements, delivery methods, contacts and general correspondence.	Retain minimum of 10 years after project completion, then destroy

## Animal care, conservation and research

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### *ANIMAL CARE, CONSERVATION & RESEARCH- Projects*

1.6.3	Records relating to research projects that are not approved.	Retain minimum of 2 years after action completed, then destroy
1.6.4	Records relating to the management of requests for samples from collection animals for scientific purposes.	Retain minimum of 5 years after action completed, then destroy

### **1.7.0 Veterinary services**

The activities of providing veterinary services and activities associated with wildlife hospitals including veterinary, pathology and laboratory services provided to collection animals, wildlife care and release, consultancies and animal confiscations. Includes professional veterinary services provided to external agencies, both national and international, and activities related to wildlife rescue or rehabilitation programs.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT** for records relating to repairs and maintenance of the clinic.

See General Retention and Disposal Authority *Administrative records* **EQUIPMENT & STORES** for records relating to the management of supplies.

1.7.1	Records relating to the management of veterinary services for collection animals. Includes wild animals retained or transferred by the zoo.	Required as State archives
1.7.2	Records relating to the management of veterinary services for animals brought to the zoo for treatment. Includes injured or sick wild animals. Includes euthanasia and release back into the wild.	Retain minimum of 7 years after action completed, then destroy
1.7.3	Records relating to the routine administration of the veterinary clinic.	Retain until administrative or reference use ceases, then destroy