

State Archives and Records Authority of New South Wales

Functional Retention and Disposal Authority: FA400

This authority covers records documenting the function of forest management

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.

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Functional Retention and Disposal Authority

Authority no FA400

SR file no 18/0235

Scope This retention and disposal authority covers records documenting the function of forest management.

Public office Forestry Corporation of NSW

Issue date 23/08/2018

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 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. 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
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Kingswood NSW 2747
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Functional Retention and Disposal Authority Forest management

Authority number: FA400

Dates of coverage: Open

List of Functions and Activities covered

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Functional Retention and Disposal Authority

Forest management

Authority number: FA400

Dates of coverage: Open

No.	Description of records	Disposal action
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1.0.0 FOREST MANAGEMENT

The function of managing forests for timber production, recreation and conservation.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records relating to the management of internal and external committees.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS** for records relating to establishing rapport with the community and raising and maintaining the organisation's broad public profile.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant.

See General Retention and Disposal Authority *Administrative records* **GOVERNING BODIES** for records relating to establishment and management of governing bodies.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS** for records relating to administering the formal relationship between the organisation and other government bodies.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Acquisition and Disposal** for records relating to the acquisition and disposal of land and property.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Construction** for records relating to constructing and maintaining sealed and unsealed roads and bridges, culverts, tracks and trails.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** for records relating to compliance with mandatory or optional standards or with statutory requirements.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to the establishment and monitoring of significant strategic alliances with other organisations (government or non-government).

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Legislation** for records relating to development, implementation and review of legislation and regulations concerning the operations and functional responsibilities of the organisation.

1.1.0 Accreditation

The process of formally recognising that an organisation or person is competent to carry out specific tasks.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** for records relating to the compliance with and certification of the organisation under forestry and environmental management standards.

See **FOREST MANAGEMENT - Land Administration** for records relating to the issue of permits, licences, approvals, etc., for the usage of and conduct of activities in forests.

1.1.1	Records relating to the authorisation of officers to undertake roles and activities related to forest	Retain minimum of 10 years after
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Forest management

Authority number: FA400

Dates of coverage: Open

No.	Description of records	Disposal action
<i>FOREST MANAGEMENT- Advice</i>		
	management. Includes the accreditation of officers to conduct fire-fighting activities and appointment of inspectors to monitor conditions of permits and licences.	expiry or termination of authority, then destroy

1.2.0 Advice

The activities associated with offering opinions by the organisation as to an action or judgement.

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

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

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS** for records relating to the provision of advice or submissions to the portfolio Minister or other government organisations concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities.

1.2.1	Records relating to the provision of advice on forest or emergency management operations and activities where a detailed response has been provided.	Retain minimum of 7 years after action completed, then destroy
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1.3.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to agreements for the provision of services by an external contractor or consultant.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for records relating to forest management agreements with other government organisations.

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Agreements** for records relating to license agreements for data exchange and use of data by third parties.

1.3.1	Records relating to the establishment, negotiation, maintenance and review of agreements relating to the management of forests. Includes agreements relating to commercial activities, the management of emergencies, carbon emission trading schemes, the management of plantations for third parties, etc.	Retain minimum of 7 years after expiry or termination of agreement, then destroy
1.3.2	Records relating to the proposal or negotiation of agreements that are not proceeded with.	Retain minimum of 2 years after action

Forest management

Authority number: FA400

Dates of coverage: Open

No.	Description of records	Disposal action
<i>FOREST MANAGEMENT- Community engagement</i>		
		completed, then destroy

1.4.0 Community engagement

The activities involved in managing recreational, educational and tourism programs.

See **FOREST MANAGEMENT - Land administration** for records relating to the issue of permits, licences, approvals, etc., for the usage of and conduct of activities in forests.

See **FOREST MANAGEMENT - Planning, policy & procedures** for records relating to community consultation undertaken as part of the development of plans, policies and procedures for the management of forests.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Customer service** for records relating to bookings and administrative arrangements for events and programs of activities.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Liaison** for records relating to routine liaison with professional associations, professionals in related fields, private sector organisations and community groups.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for records relating to campaigns or advertising to raise or maintain the organisation's public profile or to advertise a particular service, product, program or event.

1.4.1	Records relating to the management of recreational, educational and cultural programs and activities in forest areas managed by the organisation. Includes recreational hunting, camping, hiking, bushwalking, fossicking, rock climbing, picnics, riding, water activities, etc. Includes records relating to the development of programs and activities, implementation plans, progress reports, closures of forests or sections of forests to recreational activities, etc.	Retain minimum of 7 years after action completed, then destroy
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1.5.0 Emergency & incident management

The activities of managing fires and other emergency incidents. Includes providing assistance, and liaison or collaboration with local, interstate and overseas emergency and other support agencies or organisations.

1.5.1	Records relating to the management of fires and other emergency incidents where the organisation is the lead response agency and the incident: <ul style="list-style-type: none"> • involves areas declared as State emergencies or natural disasters • involves loss of life or extensive damage to assets 	Required as State archives
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Forest management

Authority number: FA400

Dates of coverage: Open

No.	Description of records	Disposal action
<i>FOREST MANAGEMENT- Emergency & incident management</i>		
	<ul style="list-style-type: none"> • leads to changes to strategic policies or procedures for dealing with emergencies • involves arson or suspected arson. <p>Records include reports e.g. warnings and declarations, final fire incident reports produced by incident controller, briefings, debriefings, photographs, recorded footage, etc.</p>	
1.5.2	<p>Records relating to the management of fires and other emergency incidents that are not declared as State emergencies or natural disasters, do not involve loss of life or extensive damage to assets, do not lead to changes to strategic policies or procedures for dealing with emergencies. Includes:</p> <ul style="list-style-type: none"> • warnings and declarations • logistics requests and deployment • response and action plans • briefing and discussion notes • reports including incident, situation, observation, injury and loss reports, assessments, operational log books, etc. 	Retain minimum of 7 years after action completed, then destroy

1.6.0 Fire prevention

The activities involved in reducing the risk and impact of forest fires. Includes early detection of fires by air and tower surveillance, monitoring of weather and forest conditions, management of prescribed burning, etc.

1.6.1	<p>Records relating to the management, evaluation and reporting on of early detection, hazard reduction and fire prevention programs for forest fires. Includes:</p> <ul style="list-style-type: none"> • surveillance from fire towers and aerial reconnaissance, reduction of fuel loads by burning and grazing, etc. • maps of timberlands, fire shapes, fire risks, burns or actual fires, etc. 	Retain minimum of 25 years after action completed, then destroy
1.6.2	<p>Records relating to general maintenance of fire tracks and trails, etc.</p>	Retain minimum of 7 years after action completed, then destroy

1.7.0 Forest Health & Siviculture

The activity of protecting and enhancing the health and productivity of forests. Includes the preservation, protection, maintenance, restoration and enhancement of natural resources and the establishment, composition, constitution and growth of forests.

See **FOREST MANAGEMENT - Advice** for records relating to advice about forest health.

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FOREST MANAGEMENT- Forest Health & Siviculture

See **FOREST MANAGEMENT - Planning, policy & procedures** for records relating to the development of management plans for forest health.

See **FOREST MANAGEMENT - Research** for records relating to research into forest health.

1.7.1	<p>Records relating to the management, monitoring and reporting on of programs to protect, maintain and restore forest and natural resources and improve tree growth. Includes:</p> <ul style="list-style-type: none"> • development of technologies to improve productivity and quality of timbers • management of rehabilitation programs to restore disturbed or impaired natural resources and the environment • environment impact statements, comprehensive regional assessments, regional forest agreements and approvals for timber harvesting, e.g. Integrated Forestry Operations Approvals • the management of planting sites and nurseries • resource assessments, valuations and modelling. 	Retain minimum of 25 years after action completed, then destroy
1.7.2	<p>Records relating to the management of operational programs to protect and maintain the health of the forests, including programs to control pests and weeds. Includes annual works programs, maintenance schedules, inspection and treatment reports, the identification, declaration and eradication of noxious weeds and pest animals, regulating movement, exclusion and quarantine.</p>	Retain minimum of 7 years after action completed, then destroy

1.8.0 Forest research

The activities of investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Includes the collection and management of information on the forest estate and forest management activities (e.g. data, GIS, remote sensing, inventory, mapping, modelling spatial data and systems).

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Agreements** for records relating to license agreements for data exchange and use of data by third parties

1.8.1	<p>Records relating to research into forestry management and operations conducted or commissioned by the organisation which:</p> <ul style="list-style-type: none"> • have national, State-wide or industry-wide impact • have potential long-term impact, for example for 	Required as State archives
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Forest management

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No.	Description of records	Disposal action
<i>FOREST MANAGEMENT- Forest research</i>		
	<p>the management of natural resources</p> <ul style="list-style-type: none"> • impact on broader government policies or national industry standards • are innovative or award winning. <p>Includes research into forest ecology, sustainability, health and resource assessment, carbon in forests, wood products and bioenergy, biometrical services, threatened species, etc.</p> <p>Includes final reports or summaries of the findings and outcomes of research conducted or commissioned by the organisation, unique and original forestry mapping, data, photographs etc.</p>	
1.8.2	Records relating to the conduct of operational research into forestry management and operations. Includes forestry mapping and data, profiles of native, State and plantation forest systems, field data collection notes, correspondence, schedules etc.	Retain until no longer required for operational or reference purposes, then destroy

1.9.0 Land Administration

The activity of managing permission to undertake activities or processes on land managed by the organisation. Includes issue of permits, licences, permission, approvals, etc., for the usage of and conduct of recreational, research, cultural and other activities.

See **FOREST MANAGEMENT - Accreditation** for records relating to the appointment of inspectors to monitor compliance with licences and permits.

See **FOREST MANAGEMENT - Emergency & incident management** for records relating to closures of forests during emergencies.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Litigation** for records relating to breaches that result in legal action.

See **FOREST MANAGEMENT - Community engagement** for records relating to the closure of forests or sections of forests to recreational activities.

1.9.1	<p>Records relating to the issue of permits, licences, approvals, etc., for the conduct of activities in forests and/or usage of facilities for recreational, research, cultural or other purposes. Records include:</p> <ul style="list-style-type: none"> • forms and supporting documentation submitted by applicants, including indemnity forms, copies of insurance policies, etc. • copies of permits, licences, approvals, notifications and associated correspondence with applicant, including complaints and grievances. 	Retain minimum of 7 years after expiry or termination of approval, permit or licence, then destroy
1.9.2	Records relating to unsuccessful applications for permits, licences, approvals, etc., to conduct activities or for the usage of facilities or premises. Records	Retain minimum of 2 years after action completed, then

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FOREST MANAGEMENT- Land Administration

	include applications, notifications of outcome and associated correspondence.	destroy
1.9.3	Records relating to the issue of infringements and penalty notices for offences and non-compliance. Records include: <ul style="list-style-type: none"> • infringement/penalty notices • inspection reports • investigation records • supporting documentation • associated correspondence. 	Retain minimum of 7 years after action completed, then destroy

1.10.0 Planning, policy & procedures

The activity of developing and reviewing plans, policies and procedures.

1.10.1	Final, approved versions of strategic plans and policies for the management of forests.	Required as State archives
1.10.2	Records relating to the development, review and implementation of plans, policies and procedures for forest operations. Includes final versions, associated research, consultation, etc.	Retain minimum of 7 years after superseded, then destroy

1.11.0 Water Management

The activity of managing and monitoring water resources.

See **FOREST RESEARCH** for water measurements and analysis collected as part of research projects.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to the management of intergovernmental and interagency water programs such as the Living Murray Program.

1.11.1	Summary records of the measuring, monitoring, analysing and reporting on stream flow, rainfall and water quality (e.g. physical properties and macroinvertebrates).	Retain minimum of 50 years after action completed, then destroy
1.11.2	Records relating to the measurement and monitoring of stream flow, rainfall and water quality.	Retain minimum of 7 years after action completed, then destroy