

State Records Authority of New South Wales

Functional Retention and Disposal Authority: FA256

This authority covers records documenting the function of water resources management

Issued to Department of Water and Energy

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 FA256

SR file no 07/0625

Scope

This functional retention and disposal authority covers records documenting the function of water resources management from 1912 onwards.

Public office

Department of Water and Energy

Approval date

David Roberts
Director
State Records Authority of New South Wales

20/02/2008
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 1998*.

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

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

identification of State archives. The Policy also explains the roles and responsibilities of State Records and of public offices in undertaking appraisal processes and disposal activities.

Implementing the authority

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

The implementation process entails use of the authority to sentence records. Sentencing is the examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. Advice on sentencing can be obtained from State Records.

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

Disposal action

Records required as State archives

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

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

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

Records approved for destruction

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, and government directives. A public office *must not* dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, FOI requests) where the records may be required as evidence. Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded.

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

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

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

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

Custody

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

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

Administrative change

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

Amendment and review of this authority

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

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

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

Contact Information

State Records
PO Box 516 Kingswood NSW 2747
Telephone: (02) 8247 8627
Facsimile: (02) 8247 8626
E-mail: govrec@records.nsw.gov.au

**Functional Retention and Disposal Authority
Water resources management (Department of Water and Energy)**

Authority no: FA256

Dates of coverage: 1912+

List of Functions and Activities covered

| Function | Activity | Reference |
|--|-----------------------|-----------|
| FINANCIAL ASSISTANCE | | 1.0.0 |
| | Advice | 1.1.0 |
| | Applications | 1.2.0 |
| | Enquiries | 1.3.0 |
| | Policies & Procedures | 1.4.0 |
| | Programs | 1.5.0 |
| | Reporting | 1.6.0 |
| SPATIAL INFORMATION & MAPPING | | 2.0.0 |
| | Acquisition | 2.1.0 |
| | Consultancy services | 2.2.0 |
| | Maps & Plans | 2.3.0 |
| | Surveying | 2.4.0 |
| WATER TESTING & ANALYSIS | | 3.0.0 |
| | Accreditation | 3.1.0 |

Functional Retention and Disposal Authority
Water resources management (Department of Water and Energy)

Authority no: FA256

Dates of coverage: 1912+

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| List of Functions and Activities covered |
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| Function | Activity | Reference |
|-------------------------|-------------------------|------------------|
| | Audit | 3.2.0 |
| | Commercial Services | 3.3.0 |
| | Data testing & analysis | 3.4.0 |
| | Policies & Procedures | 3.5.0 |
| WATER MANAGEMENT | | 4.0.0 |
| | Advice | 4.1.0 |
| | Authorisation | 4.2.0 |
| | Compliance Program | 4.3.0 |
| | Concurrence | 4.4.0 |
| | Design & Construction | 4.5.0 |
| | Education & Awareness | 4.6.0 |
| | Implementation | 4.7.0 |
| | Licensing | 4.8.0 |
| | Modelling | 4.9.0 |
| | Monitoring (Resources) | 4.10.0 |

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Water resources management (Department of Water and Energy)

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List of Functions and Activities covered

| Function | Activity | Reference |
|----------|--|-----------|
| | | |
| | Planning | 4.11.0 |
| | Policies & procedures | 4.12.0 |
| | Policy development | 4.13.0 |
| | Projects & Programs | 4.14.0 |
| | Reporting | 4.15.0 |
| | Research | 4.16.0 |
| | Submissions | 4.17.0 |
| | Financial, personnel and other general administrative records, 1912 - 1940 | 5.0.0 |

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| No | Function/Activity | Description | Disposal Action | Custody* |
|-------|-----------------------------|---|---|----------|
| 1.0.0 | FINANCIAL ASSISTANCE | <p>The function of administering financial assistance programs established to undertake projects and programs initiated by state and federal governments to improve and protect natural resources or assist landowners. Includes the development and management of programs and managing applications for financial assistance, such as grants and loans.</p> <p>See <i>General Retention and Disposal Authority – Administrative records: COMMITTEES</i> for records relating to committees that allocate and assess applications for financial assistance.</p> <p>See <i>General Retention and Disposal Authority – Administrative records: LEGAL SERVICES – Litigation</i> for records relating to appeals against rejected financial assistance applications.</p> | | |
| 1.1.0 | Advice | <p>The activities associated with offering and receiving opinions to and from the minister, executive and other government agencies relating to financial assistance.</p> <p>See FINANCIAL ASSISTANCE - Enquiries for records relating to the handling of enquiries from the public about financial assistance programs managed by the agency</p> | | |
| 1.1.1 | | Records relating to the receipt and provision of advice regarding financial assistance programs. Records include requests for advice and responses. | Retain minimum of 7 years after last action, then destroy | |
| 1.2.0 | Applications | The activities associated with assessing and managing applications from the public, councils, land owners or | | |

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| No | Function/Activity | Description | Disposal Action | Custody* |
|-------|-------------------|---|--|----------|
| | | occupants and community groups for financial assistance to improve or protect natural resources or to assist land owners or occupants through training, developing alternative industries etc. | | |
| 1.2.1 | | <p>Records relating to the receipt, assessment and supervision of financial assistance applications. Includes approved and rejected applications. Records include:</p> <ul style="list-style-type: none"> • applications • supporting documentation • assessment decisions • copies of notifications • copies of invoices and payment vouchers • agreements • progress reports • acquittal reports • photographs • diagrams, and • maps and plans. | Retain minimum of 10 years after last action, then destroy | |
| 1.3.0 | Enquiries | The activity associated with handling requests for information about financial assistance programs. | | |
| 1.3.1 | | Records relating to the handling of public enquiries about financial assistance programs managed by the agency. | Retain minimum of 2 years after last action, then destroy | |

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| No | Function/Activity | Description | Disposal Action | Custody* |
|-------|----------------------------------|--|---|----------|
| 1.4.0 | Policies & Procedures | The activity associated with developing and establishing internal policies and procedures documenting standard methods of operations laid down by the agency. | | |
| 1.4.1 | | Master set of internal policies and procedures relating to the administration of financial assistance programs. | Retain minimum of 7 years after policy or procedure is superseded, then destroy | |
| 1.4.2 | | Records relating to the development and review of internal policies and procedures supporting the administration of financial assistance programs. Records include: <ul style="list-style-type: none"> • background and research material • draft versions containing significant changes, and • records of consultations with stakeholders etc. | Retain minimum of 5 years after last action, then destroy | |
| 1.5.0 | Programs | The activities associated with the establishment, management, evaluation and review of financial assistance programs initiated by State and Federal governments or other agencies and managed by the agency to retain or improve the state's natural resources or assist landowners. See the relevant function – Projects & Programs for records relating to specific projects and programs undertaken and/or managed by the agency using funding provided under a financial assistance program to achieve the program's objectives. | | |
| 1.5.1 | | Records relating to the establishment, management, evaluation and review of financial assistance programs | Retain minimum of 10 years after | |

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| | | <p>initiated by the Federal or State governments or other agencies and managed by the agency. Records include:</p> <ul style="list-style-type: none"> • records of consultation and agreements with state and federal agencies providing the funds • program objectives and plans • funding criteria • summaries of successful financial assistance recipients, and • copies of reports required by funding agencies. | <p>program is finalised or superseded, then destroy</p> | |
| 1.6.0 | Reporting | <p>The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.</p> <p>See General Retention and Disposal Authority – Administrative records: GOVERNMENT RELATIONS – Reporting for records relating to formal reporting to the Minister or Parliament</p> | | |
| 1.6.1 | | <p>Final versions of internal and external reports relating to financial assistance programs. Includes routine statistical and status reports.</p> | <p>Retain minimum of 10 years after last action, then destroy</p> | |
| 1.6.2 | | <p>Records relating to the development of internal and external reports relating to financial assistance. Records include</p> <ul style="list-style-type: none"> • background and research material • draft versions containing significant changes, and | <p>Retain minimum of 5 years after last action, then destroy</p> | |

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| | | <ul style="list-style-type: none"> • records of consultation with stakeholders during the development process etc. | | |
| 2.0.0 | SPATIAL INFORMATION & MAPPING | <p>The function of capturing and maintaining up-to-date satellite imagery, aerial photographs, cadastral, topographic and other mapping details of New South Wales in graphic and digital form.</p> <p>See <i>General Retention and Disposal Authority – Administrative records: CONTRACTING-OUT</i> for records relating to the acquisition of services through a contracting-out or outsourcing process.</p> <p>See <i>General Retention and Disposal Authority – Administrative records: TENDERING</i> for records relating to the tendering process for the acquisition of services.</p> | | |
| 2.1.0 | Acquisition | The process of gaining ownership or use of spatial information such as aerial photographs and satellite imagery through purchase. | | |
| 2.1.1 | | <p>Records relating to the acquisition of aerial photographs, satellite imagery and other forms of spatial information from service providers. Records include:</p> <ul style="list-style-type: none"> • quotes • agreement negotiations • drafts of agreements • final, approved versions of agreements, and • reviews of agreements. | Retain minimum of 7 years after last action, then destroy | |

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| No | Function/Activity | Description | Disposal Action | Custody* |
|-------|-----------------------------|--|---|----------|
| 2.2.0 | Consultancy services | The activity of competing for and providing spatial information and mapping services and projects to external agencies on a consultancy or commercial basis. | | |
| 2.2.1 | | Records relating to successful offers by the agency to provide spatial information and mapping services to clients. Includes: <ul style="list-style-type: none"> • requests for service • bid proposals • supporting documentation • notifications • draft agreements, and • final, approved versions of agreements. | Retain minimum of 7 years after last action, then destroy | |
| 2.2.2 | | Records relating to unsuccessful offers by the agency to provide spatial information and mapping services to clients. Includes: <ul style="list-style-type: none"> • requests for service • bid proposals, and • notifications. | Retain minimum of 2 years after last action, then destroy | |
| 2.2.3 | | Records relating to the management of spatial information and mapping projects undertaken on a consultancy basis for external clients. Includes: <ul style="list-style-type: none"> • minutes of meetings with stakeholders • project plans, and | Retain minimum of 7 years after last action, then destroy | |

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| No | Function/Activity | Description | Disposal Action | Custody* |
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| | | <ul style="list-style-type: none"> • performance and evaluation reports. | | |
| 2.3.0 | Maps & Plans | <p>The activity associated with producing or managing maps and plans showing physical features of a space. Includes aerial and satellite photographs.</p> <p>See WATER MANAGEMENT – Compliance program for aerial surveys and satellite images relating to compliance monitoring programs</p> <p>See WATER MANAGEMENT – Design & Construction for records relating to the design and construction of water supply, irrigation or distribution infrastructure such as bores, pumps, break waters, dams and levees</p> <p>See General Retention and Disposal Authority – Administrative records: INFORMATION MANAGEMENT – CONTROL for indexes and other control records for maps and plans.</p> | | |
| 2.3.1 | | <p>Original maps and plans produced or commissioned by the agency, and copies of maps and plans with annotations that contribute further descriptive information to the map or plan, relating to:</p> <ul style="list-style-type: none"> • irrigation areas or systems • towns and buildings designed to support irrigation areas and soldiers' settlements, and • transport systems such as railways • surveys of water resources, infrastructure or river systems. | Required as State archives | Retain in office 10 years (or longer if required) |

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| No | Function/Activity | Description | Disposal Action | Custody* |
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| 2.3.2 | | Copies of maps and plans without annotations or with minor annotations that do not contribute any further descriptive information to the map or plan. | Retain until administrative use ceases, then destroy | |
| 2.3.3 | | Reference sets of aerial photography and satellite images relating to water resources, infrastructure, river systems etc | Retain until administrative or reference use ceases, then destroy | |
| 2.4.0 | Surveying | The activity associated with measuring dimensions, distances, elevations, directions and angles for the development of maps, plans and drawings. | | |
| 2.4.1 | | <p>Records relating to survey work carried out by the agency to support the development of maps, plans and drawings. Includes:</p> <ul style="list-style-type: none"> • requests for survey work • field observation data recorded in surveyor's field books • records of site investigations • datum • survey calculation books • survey level adjustment sheets • surveyors cards, and • final versions of survey reports. | Retain in agency | |

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| No | Function/Activity | Description | Disposal Action | Custody* |
|-------|-------------------------------------|---|--|----------|
| 3.0.0 | WATER TESTING & ANALYSIS | The function of laboratory testing of water samples to assess the characteristics and capability of water. Includes the processes associated with maintaining an accredited testing laboratory and the provision of commercial consultancy services. | | |
| 3.1.0 | Accreditation | The activities associated with the agency seeking and obtaining accreditation for laboratory facilities. | | |
| 3.1.1 | | Records relating to the accreditation of the laboratory's quality system by an external agency, such as the National Association of Testing Authorities (NATA). Records include reports and correspondence between the agency and the accreditation agency. | Retain minimum of 3 years after certification lapses or is renewed, then destroy | |
| 3.2.0 | Audit | The activities associated with officially checking quality assurance and operational records, systems and processes to ensure they have been maintained or carried out in accordance with standards, certification or accreditation requirements. | | |
| 3.2.1 | | Records relating to internal or external audits of laboratory testing systems and processes. Records include: <ul style="list-style-type: none"> • records of liaison with auditing body • minutes of meetings • notes taken at interviews and during site visits • correspondence • draft versions of audit reports containing significant changes/alterations or formally circulated for comment | Retain minimum of 7 years after audit, then destroy | |

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| No | Function/Activity | Description | Disposal Action | Custody* |
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| | | <ul style="list-style-type: none"> • final, approved versions of audit reports • agency's responses to external audit reports, and • records of remedial action. | | |
| 3.3.0 | Commercial Services | <p>The activities associated with obtaining commercial testing and analysis work by providing estimates of costs to potential clients.</p> <p>See WATER TESTING & ANALYSIS – Data testing & Analysis for the test results provided to clients.</p> <p>See General Disposal Authority – Financial and accounting records: FINANCIAL MANAGEMENT – Accounting for records relating to financial transactions for consultancy services.</p> | | |
| 3.3.1 | | <p>Records relating to successful offers by the agency to provide laboratory testing and analysis services to clients under agreement. Includes:</p> <ul style="list-style-type: none"> • requests for service • bid proposals • supporting documentation • notifications • draft agreements, and • final, approved versions of agreements. | Retain minimum of 7 years after last action, then destroy | |
| 3.3.2 | | <p>Records relating to unsuccessful offers by the agency to provide laboratory testing and analysis services to clients under agreement. Includes:</p> | Retain minimum of 2 years after last action, then destroy | |

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| | | <ul style="list-style-type: none"> • requests for service • bid proposals, and • notifications. | | |
| 3.4.0 | Data Testing & Analysis | The activities associated with laboratory testing samples and deriving conclusions based upon the scientific analysis of test results. | | |
| 3.4.1 | | Records relating to the testing and analysis of samples. Records include: <ul style="list-style-type: none"> • log sheets accompanying samples which provide supplementary information to assist with testing and analysis • raw data such as hand written notes of measurements, instrument readings and calibrations, and quality control tests • final sample test results and analysis, and • interpretation reports of test results and analysis. | Retain minimum of 3 years after last action, then destroy | |
| 3.5.0 | Policies & Procedures | The activities associated with developing and implementing laboratory testing and analysis policies, practices and procedures in accordance with national/industry standards and guidelines. | | |
| 3.5.1 | | Records relating to the implementation of laboratory testing and analysis policies, practices and procedures. | Retain minimum of 3 years after last action, then destroy | |
| 3.5.2 | | Master copies of laboratory quality assurance manuals documenting policies, practices and procedures developed | Retain minimum of 3 years after | |

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| | | by the agency. | superseded, then destroy | |
| 3.5.3 | | <p>Records documenting the development of laboratory testing and analysis policies, practices and procedures. Records include:</p> <ul style="list-style-type: none"> • proposals • research papers • consultation notes • copies of guidelines from accreditation authority • major drafts, and • internal feedback. | Retain until reference use ceases, then destroy | |
| 4.0.0 | WATER MANAGEMENT | <p>The function of managing water resources in NSW and protecting and improving the health and productivity of rivers, wetlands and aquifers. Includes water licensing, water access, monitoring water usage and resources and ensuring compliance with legislation.</p> <p>See <i>General Retention and Disposal Authority – Administrative records: COMMUNITY RELATIONS – Marketing</i> for records relating to promoting water management issues such as water sharing and trading.</p> <p>See <i>General Retention and Disposal Authority – Administrative records: CONTRACTING-OUT</i> for records relating to contracting-out for water management services</p> | | |

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| | | <p>such as capping bores.</p> <p>See <i>General Retention and Disposal Authority – Administrative records: EQUIPMENT & STORES</i> for records relating to the installation and maintenance of water monitoring instrumentation.</p> <p>See <i>General Retention and Disposal Authority – Administrative records: STRATEGIC MANAGEMENT – Legislation</i> for records relating to the development of water sharing plans.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records: TENDERING</i> for records relating to the tendering for water management services or works such as capping bores.</p> | | |
| 4.1.0 | Advice | The activities associated with offering and receiving opinions and specialist technical advice to and from the minister, executive, public and other government agencies relating to water management issues. | | |
| 4.1.1 | | Records relating to the receipt and provision of advice on significant policy developments, controversial issues or innovative practices concerning the management, usage, conservation, allocation of or access to water resources. Records include requests for advice and responses. | Required as State archives | Retain in office 10 years (or longer if required) |
| 4.1.2 | | Records relating to the receipt and provision of advice regarding the management, usage, conservation, allocation of or access to water resources that does not concern significant policy developments, controversial issues or innovative practices. Includes advice regarding the | Retain minimum of 15 years after last action, then destroy | |

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| No | Function/Activity | Description | Disposal Action | Custody* |
|-------|---------------------------|---|--|----------|
| | | development of water sharing plans. Records include requests for advice and responses. | | |
| 4.1.3 | | Records relating to the drafting and development of brochures, flyers and fact sheets regarding water resources management activities, programs or processes. Records include: <ul style="list-style-type: none"> • final versions • drafts, and • background material. | Retain until superseded or no longer required for administrative or reference purposes, then destroy | |
| 4.2.0 | Authorisation | The process of receiving and assessing applications for permission to undertake specific activities around water sources, such as excavations. See WATER MANAGEMENT – Concurrence for records relating to development applications referred by consent authorities for the agency's concurrence | | |
| 4.2.1 | | Records relating to the granting or rejection of applications for approval to undertake activities associated with water sources, such as excavation and new works adjoining water sources. Records include applications, supporting documents, assessments, decisions and notifications. | Retain minimum of 10 years after last action, then destroy | |
| 4.3.0 | Compliance Program | The activities associated with monitoring the compliance of freshwater users with legislation relating to access to and the supply and usage of water. This includes conducting investigations into any suspected breaches or recalcitrant behaviour and taking appropriate action. Includes | | |

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| No | Function/Activity | Description | Disposal Action | Custody* |
|-------|-------------------|--|--|---|
| | | <p>monitoring and reviewing compliance with statutory water sharing plans.</p> <p>See WATER MANAGEMENT – Monitoring for records relating to the observation, measurement, testing and collection of information in order to detect changes in water resources</p> <p>See General Retention and Disposal Authority – Administrative records: LEGAL SERVICES – Litigation for records relating to legal proceedings arising from an investigation into alleged breaches, including appeals against decisions</p> | | |
| 4.3.1 | | <p>Records relating to monitoring and reviewing the compliance by freshwater users with water resources management legislation. Includes compliance audits. Records include:</p> <ul style="list-style-type: none"> • water usage monitoring reports • compliance audit reports • operation review reports • satellite imagery and aerial surveys • minutes of meetings with stakeholders, and • site visit notes. | Retain minimum of 10 years after last action, then destroy | |
| 4.3.2 | | <p>Records relating to investigations into alleged breaches of water resources management legislation which set precedent, result in significant changes to policy or procedures, create significant media, public or political interest, or have a major, permanent impact on the environment. Records include:</p> | Required as State archives | Retain in office 10 years (or longer if required) |

* see *About the functional retention and disposal authority*

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| No | Function/Activity | Description | Disposal Action | Custody* |
|-------|-------------------|---|---|----------|
| | | <ul style="list-style-type: none"> • alleged breach notifications • risk assessments • investigation plans • investigation reports • minutes of meetings with stakeholders • records of interviews • satellite images • maps and plans • photographs • recommendations for further action, and • records documenting referral to enforcement agency. | | |
| 4.3.3 | | <p>Records relating to investigations into alleged breaches of water resources management legislation where remedial action, statutory directions (e.g. orders or fines) or prosecution is recommended. Records include:</p> <ul style="list-style-type: none"> • alleged breach notifications • risk assessments • investigation plans • investigation reports • minutes of meetings with stakeholders • records of interviews • satellite images • maps and plans | Retain minimum of 25 years after action completed, then destroy | |

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| No | Function/Activity | Description | Disposal Action | Custody* |
|-------|-------------------|--|--|----------|
| | | <ul style="list-style-type: none"> • photographs • recommendations for further action, and • records documenting referral to enforcement agency. | | |
| 4.3.4 | | <p>Records relating to investigations into alleged breaches of water resources management legislation where it is recommended that a warning be issued or no further action is taken. Records include:</p> <ul style="list-style-type: none"> • alleged breach notifications • risk assessments • investigation plans • investigation reports • minutes of meetings with stakeholders • records of interviews • satellite images • maps and plans, and • photographs. | Retain minimum of 20 years after action completed, then destroy | |
| 4.3.5 | | Register of items of evidence and seized goods collected during investigations into alleged breaches of water resources management legislation. | Retain minimum of 7 years after return or disposal of evidence or seized goods, then destroy | |
| 4.3.6 | | Penalty and infringement notice books (PINs) containing copies of infringement notices issued. | Retain minimum of 7 years after last action, then destroy | |

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| 4.4.0 | Concurrence | The activities associated with the agency considering development proposals received by other parties (for example, councils) and deciding whether it agrees with the developments taking place. | | |
| 4.4.1 | | <p>Records relating to the approval or rejection of development proposals in specific local areas where water quality or access could be affected and where the agency opposes a significant development proposal or where there is a high level of public interest in, or controversy concerning the proposal. Records include:</p> <ul style="list-style-type: none"> • copies of development applications (Das) • applications • technical notes • minutes of meetings with stakeholders • recommendations • reviews • concurrence letters, and • notifications of rejection. | Required as State archives | Retain in office 10 years (or longer if required) |
| 4.4.2 | | Records relating to the approval or rejection of other development proposals in specific local areas where water quality or water access could be affected e.g. proposals for the installation of pumps or channels. Records include: | Retain minimum of 10 years after last action, then destroy | |

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|-------|----------------------------------|--|---|----------|
| | | <ul style="list-style-type: none"> • copies of development applications (DAs) • applications • technical notes • minutes of meetings with stakeholders • recommendations • reviews • concurrence letters, and • notifications of rejection. | | |
| 4.4.3 | | <p>Records relating to development proposals where the agency has no statutory role or minimal or no comments. Records include:</p> <ul style="list-style-type: none"> • copies of development applications (DAs) • applications • technical notes • reviews • correspondence with Council including notification of nil return, and • notifications of determination. | Retain minimum of 5 years after last action, then destroy | |
| 4.5.0 | Design & Construction | <p>The activities associated with designing and building structures for the purposes of water management, supply or distribution such as bores, pumps, break waters, dams and levees.</p> <p>See General Retention and Disposal Authority – Administrative records: PROPERTY MANAGEMENT for</p> | | |

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| | | <p>records relating to the acquisition, conservation and disposal of water management structures.</p> <p>See General Retention and Disposal Authority – Administrative records: PROPERTY MANAGEMENT - Construction for records relating to the management of construction projects.</p> | | |
| 4.5.1 | | <p>Records relating to the design and construction of structures or items of equipment:</p> <ul style="list-style-type: none"> • listed on the agency’s Heritage and Conservation register • which have been the subject of major public controversy • which are considered to be of significance to the State by the Heritage Council of NSW or the National Trust of Australia • which are local landmarks or of significance or meaning to a particular site and/or locality • which are representative of design, construction or usage for particular purposes, or • which have received architectural or design awards. <p>Records include design and construction project records such as:</p> <ul style="list-style-type: none"> • design and construction plans • reports | Required as State archives | Retain in office 10 years (or longer if required) |

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|-------|-------------------|---|---|----------|
| | | <ul style="list-style-type: none"> • feasibility studies • investigations • approvals • specifications • calculations • drawings • photographs • soil and core sample reports • risk assessments • environmental and heritage assessments • records of stakeholder consultations • Work As Executed (WAE) plans, and • commissioning and handover records. | | |
| 4.5.2 | | <p>Records relating to the design and construction of structures or items of equipment which are not:</p> <ul style="list-style-type: none"> • listed on the agency's Heritage and Conservation register • which have been the subject of major public controversy | Retain minimum of 7 years after structure is disposed of or until equipment is no longer in use, then destroy | |

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|-------|----------------------------------|---|---|-----------------------------------|
| | | <ul style="list-style-type: none"> • which are considered to be of significance to the State by the Heritage Council of NSW or the National Trust of Australia • which are local landmarks or of significance or meaning to a particular site and/or locality • which are representative of design, construction or usage for particular purposes, or • which have received architectural or design awards. <p>Records include all design and construction project records.</p> | | |
| 4.5.3 | | Project records and proposals relating to design and construction projects that do not proceed. | Retain minimum of 7 years after last action, then destroy | |
| 4.6.0 | Education & Awareness | The activity of developing, conducting and evaluating education, information and awareness programs on water management issues. | | |
| 4.6.1 | | Published monograms, serials, manuals or guidebooks addressing water usage and resource management issues. | Required as State archives | Retain until reference use ceases |
| 4.6.2 | | <p>Records relating to the development and evaluation of education and awareness programs associated with the management and use of water resources. Records include:</p> <ul style="list-style-type: none"> • final approved versions of training material for courses, such as programs, lecture notes and handouts, and • course evaluations. | Retain minimum of 5 years after last action, then destroy | |

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|-------|-----------------------|--|---|---|
| 4.6.3 | | <p>Records relating to the conduct of education and awareness programs supporting the management and use of water resources. Records include:</p> <ul style="list-style-type: none"> • venue bookings and equipment hire • schedules • advertisements • invitation lists • attendance confirmations, and • catering arrangements. | Retain minimum of 2 years after last action, then destroy | |
| 4.7.0 | Implementation | The activities associated with carrying out or putting into action plans, policies, procedures or instructions relating to managing water, all of which could be internally or externally driven. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met. | | |
| 4.7.1 | | <p>Records relating to the implementation of State and Federal government policies, initiatives or plans relating to water management, such as the National Water Initiative Implementation Plan. Records include:</p> <ul style="list-style-type: none"> • implementation plans • action plans • minutes of meetings with stakeholders • monitoring reports, and • progress reports. | Required as State archives | Retain in office 10 years (or longer if required) |

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| 4.8.0 | Licensing | The activities associated with the administration of water management licenses, approvals, consents and permits. Includes assessing applications, monitoring conditions and reviewing licences, approvals etc. | | |
| 4.8.1 | | <p>Records relating to the application, granting, monitoring and reviewing of licenses, approvals, consents or permits relating to access to, usage or the supply of water:</p> <ul style="list-style-type: none"> • for major water supply authorities or users, such as Sydney Water, major utilities and mines, or • that create intense media or political interest, result in formal inquiries or relate to sites of significance to aboriginal cultural heritage. <p>Records include:</p> <ul style="list-style-type: none"> • applications • plans • photographs • assessments • records of changes to plans • objections • Environmental Impact Studies/Statements • records of advertising • title searches • solicitor enquiries | Required as State archives | Retain in office 10 years (or longer if required) |

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| | | <ul style="list-style-type: none"> • minutes of meetings with stakeholders • monitoring and review reports, and • notifications. | | |
| 4.8.2 | | <p>Records relating to the application, granting, monitoring and reviewing of Water Management Act licenses, approvals, consents or permits that do not create intense media or political interest, result in formal inquiries, relate to aboriginal historical or cultural significant sites, or relate to major water supply authorities or users. Records include:</p> <ul style="list-style-type: none"> • applications • plans • photographs • assessments • records of changes to plans • objections • minutes of meetings with stakeholders • Environmental Impact Statements/Studies • records of advertising • title searches • solicitor enquiries • monitoring and review reports, and • notifications. | Retain in agency | |
| 4.8.3 | | Records relating to Water Act licences: | Required as State | Retain in office 10 years (or longer if |

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|-------|-------------------|---|--|-----------|
| | | <ul style="list-style-type: none"> • for major water supply authorities or users, such as major utilities and mines, or • for ground and surface water access, water course diversion and levee approvals that create intense media or political interest, result in formal inquiries or relate to sites of significance to aboriginal cultural heritage. <p>Records include:</p> <ul style="list-style-type: none"> • applications • supporting documents • assessments • minutes of meetings with stakeholders, and • notifications. | archives | required) |
| 4.8.4 | | <p>Records relating to Water Act licences that do not create intense media or political interest, result in formal inquiries, relate to aboriginal historical or cultural significant sites, or relate to major water users such as water supply authorities, major utilities or mines. Records include:</p> <ul style="list-style-type: none"> • applications • supporting documents • assessments • minutes of meetings with stakeholders, and • notifications. | Retain minimum of 10 years after licence is cancelled and/or new licence is issued, then destroy | |
| 4.8.5 | | Water licensing registers. | Retain in agency | |

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| 4.8.6 | | <p>Records relating to applications for rivers and foreshores improvement permits. Records include:</p> <ul style="list-style-type: none"> • applications • supporting documents • assessments, and • notifications. | Retain minimum of 10 years after permit expires, is cancelled or is rejected, then destroy | |
| 4.8.7 | | <p>Records relating to water use or water supply works approval. Records include:</p> <ul style="list-style-type: none"> • applications • supporting documentation • determinations, and • notifications. | Retain minimum of 10 years after approval, then destroy | |
| 4.9.0 | Modelling | <p>The processes involved in manipulating variables contained in sets of data to provide answers to assumptions and theories into water management issues.</p> <p>See WATER MANAGEMENT – Planning for strategic plans developed from predictive modelling reports.</p> <p>See WATER MANAGEMENT – Reporting for formal reports developed from predictive modelling reports.</p> <p>See WATER MANAGEMENT – Research for records relating to research based on predictive modelling reports.</p> <p>See General Retention and Disposal Authority – Administrative Records: TECHNOLOGY &</p> | | |

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| | | TELECOMMUNICATIONS – Application development & Management for records relating to the development of technical models or prototypes developed as part of application development and management activities. | | |
| 4.9.1 | | Records relating to the production of predictive models for water management purposes through the use of modelling software applications. Records include predictive modelling reports and the data supporting the production of reports. | Retain minimum of 3 years after last action, then destroy | |
| 4.10.0 | Monitoring (Resources) | The activities associated with the observation, measurement, testing and collection of information regarding water resources in order to detect changes. | | |
| 4.10.1 | | Water monitoring datasets. | Retain in agency | |
| 4.10.2 | | Records relating to the testing, monitoring and measurement of water, including flows, usage, rainfall, flood levels and volumes. Records include: <ul style="list-style-type: none"> • registers of measurements • graphs • printouts from monitoring and measurement instrumentation • field books, and • telemetry readings. | Required as State archives | Retain in office 10 years (or longer if required) |
| 4.10.3 | | Records relating to the monitoring of the socioeconomic impact of water sharing plans or licensing or supply systems. Records include surveys and monitoring reports. | Required as State archives | Retain in office 10 years (or longer if required) |

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| 4.11.0 | Planning | <p>The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.</p> <p>See WATER MANAGEMENT – Projects & Programs for records relating to plans for projects and programs.</p> <p>See General Retention and Disposal Authority – Administrative records: STRATEGIC MANAGEMENT – Legislation for records relating to the development and review of Water Sharing Plans.</p> | | |
| 4.11.1 | | <p>Final versions of strategic plans relating to the management and protection of water resources. Includes plans developed on key water issues that affect the state, such as the interaction between surface and groundwater systems, the provision of water to meet specific environmental outcomes, and water recovery activities, such as wetlands recovery plans. Also includes plans developed to manage water across borders, and plans which direct the activities of other government agencies in relation to managing water.</p> | Required as State archives | Retain in office 10 years (or longer if required) |
| 4.11.2 | | <p>Records relating to consultation with stakeholders undertaken as part of the development of strategic plans relating to management and protection of water resources. Records include:</p> <ul style="list-style-type: none"> • submissions received by the agency, and • notes of consultations and meetings with stakeholders. | Required as State archives | Retain in office 10 years (or longer if required) |
| 4.11.3 | | <p>Records relating to the development of strategic plans relating to the management and protection of water</p> | Retain minimum of 5 years after last | |

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|--------|----------------------------------|--|---|---|
| | | resources. Records include: <ul style="list-style-type: none"> • background and research material, and • draft versions of plans containing significant changes. | action, then destroy | |
| 4.12.0 | Policies & Procedures | The activity associated with developing and establishing internal policies and procedures documenting standard methods of operations laid down by the agency. See WATER MANAGEMENT – Policy development for records relating to the development of State-wide plans. | | |
| 4.12.1 | | Records relating to the development and review of internal policies relating to the management and protection of water resources and the regulation of water access and usage, such as investigation and compliance policies. Records include: <ul style="list-style-type: none"> • background and research material • final versions and draft versions containing significant changes, and • records of consultations with stakeholders. | Required as State archives | Retain in office 10 years (or longer if required) |
| 4.12.2 | | Master set of internal procedures relating to the management and protection of water resources and the regulation of water usage. | Retain minimum of 7 years after last action, then destroy | |
| 4.12.3 | | Records relating to the development of internal procedures. | Retain minimum of 3 years after procedures are superseded, then | |

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|--------|--------------------------------|--|---|---|
| | | | destroy | |
| 4.13.0 | Policy Development | The activities associated with developing state wide policies, guidance and codes to regulate or guide the management and protection of water resources. Includes assessing existing policies, developing options for proposed reforms, drafting and issuing new or amended policies. | | |
| 4.13.1 | | <p>Records relating to the development of state wide policies, guidance and codes relating to the management, regulation and use of water resources.</p> <ul style="list-style-type: none"> • assessments of existing policies • final version of plans and major drafts circulated or made available comment, and • reports and summaries of the outcomes of stakeholder and community consultation. | Required as State archives | Retain in office 10 years (or longer if required) |
| 4.14.0 | Projects & Programs | <p>The activities associated with the development and management of projects and programs initiated by the government or the agency to manage and protect the state's water resources.</p> <p>See FINANCIAL ASSISTANCE for records relating to the provision of financial assistance and grants for water resource management or conservation projects or programs.</p> | | |
| 4.14.1 | | Records relating to the development and review of programs and projects concerned with the management and protection of water resources. Records include: | Retain minimum of 10 years after project or program is finalised or | |

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| | | <ul style="list-style-type: none"> • records of consultation with other agencies • proposals • Memoranda of Understanding or other agreements with stakeholders • program/project objectives and plans, and • evaluation reports (for reporting to Senior management/Executive on the evaluation of program outcomes see Reporting). | superseded, then destroy | |
| 4.14.2 | | <p>Records relating to the administration by the agency of programs and projects supporting the management and protection of water resources. Records include:</p> <ul style="list-style-type: none"> • applications • approvals • progress reports, and • acquittal reports. | Retain minimum of 10 years after project or program is finalised or superseded, then destroy | |
| 4.15.0 | Reporting | The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of its corporate policies) and providing formal statements or findings of the results of the examination or investigation. | | |
| 4.15.1 | | Final versions of internal reports and reports made to external bodies relating to the management and protection of water resources and the regulation of water access and usage that contain detailed recommendations and initiatives, or have a significant impact on organisational policies or programs. | Required as State archives | Retain in office 10 years (or longer if required) |

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| 4.15.2 | | Final versions of internal reports and reports made to external bodies covering routine issues relating to the management and protection of water resources and the regulation of water access and usage that do not contain detailed recommendations and initiatives, or have a significant impact on organisational policies or procedures. | Retain minimum of 7 years after last action, then destroy | |
| 4.15.3 | | Records relating to the development of reports regarding management and protection of water resources and the regulation of water access and usage. Records include: <ul style="list-style-type: none"> • background and research information • draft versions containing significant changes, and • records of consultation with stakeholders during the development process. | Retain minimum of 2 years after last action, then destroy | |
| 4.15.4 | | Reports relating to water resources management database searches, such as ground bore water. | Retain minimum of 10 years after last action, then destroy | |
| 4.16.0 | Research | The activities involved in scientific and technical investigations for a specific objective or to discover, interpret or revise facts, events, behaviours or theories relating to water management. | | |
| 4.16.1 | | Final versions of published research reports, and unpublished research reports that make recommendations for action or identify issues requiring action relating to the management and protection of water resources or the regulation of water access and usage. | Required as State archives | Retain in office 10 years (or longer if required) |
| 4.16.2 | | Final versions of unpublished research reports relating to the | Retain minimum of | |

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| | | management and protection of water resources or the regulation of water access and usage that do not make recommendations for actions or identify issues requiring action. | 10 years after last action, then destroy | |
| 4.16.3 | | <p>Records relating to the development of research reports regarding the management and protection of water resources or the regulation of water access and usage. Records include:</p> <ul style="list-style-type: none"> • background and research information • research plans • draft versions containing significant changes, and • records of consultation. | Retain minimum of 10 years after last action, then destroy | |
| 4.17.0 | Submissions | <p>The preparation and submission of water pricing proposals.</p> <p>See WATER MANAGEMENT – Planning for submissions received as part of the development of strategic plans for water resources management.</p> <p>See <i>General Retention and Disposal Authority – Administrative records: GOVERNMENT RELATIONS – Submissions</i> for records relating to submissions to Cabinet or the Minister or other government agencies on water management issues.</p> | | |
| 4.17.1 | | Final versions of submissions relating to fees and charges for the supply or usage of water resources submitted to the tribunal responsible for pricing water, such as the Independent Pricing and Regulatory Tribunal (IPART). | Retain minimum of 7 years after last action, then destroy | |

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| 4.17.2 | | <p>Records relating to the development of submissions relating to fees and charges for the supply or usage of water resources. Records include:</p> <ul style="list-style-type: none"> • background and research information • estimates • minutes of meetings with stakeholders • drafts containing significant changes, and • comments. | Retain minimum of 2 years after release of submission, then destroy | |
| 5.0.0 | | Financial, personnel and other general administrative records, 1912 – 1940 | Dispose of in accordance with the current General Retention and Disposal Authorities for administrative, financial and accounting and personnel records. | |

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