

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA258**

This authority covers records documenting the function of primary industries assistance, regulation and development

Issued to Department of Primary Industries

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** FA258

**SR file no** 04/0538

**Scope**

This functional retention and disposal authority covers records documenting the function of primary industries regulation, development and assistance from 1876 onwards. Primary industries include agricultural, fishing, forestry and mining industries.

**Public office**

Department of Primary Industries

**Approval date**

David Roberts  
Director  
State Records Authority of New South Wales

28/4/2008  
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 (NSW)* 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. Part 3 (Protection of State Records) of the Act provides that records are not to be disposed of without the consent of State Records with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Records does not disapprove. Advice on the State Records Act can be obtained from State Records.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. The State Records Authority ('State Records') reviews and approves organisations' retention and disposal authorities under the State Records Act.

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

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

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

## **Implementing the authority**

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

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

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

## **Disposal action**

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

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

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

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

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

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

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

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

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

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

### **Custody**

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

Section 28 of the State Records Act) or that a distributed management agreement (see Part 4, Section 30 of the State Records Act) has been approved by State Records. Advice on arrangements for managing and transferring State archives can be obtained from State Records.

### **Administrative change**

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

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

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

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

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

### **Contact Information**

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

**Functional Retention and Disposal Authority**  
**Primary industries assistance, regulation and development (Department of Primary Industries)**

Authority no: FA258

Dates of coverage: 1876+

List of Functions and Activities covered

Function	Activity	Reference
<b>ANIMAL WELFARE</b>		1.0.0
	Authorisation	1.1.0
	Compliance	1.2.0
	Extension	1.3.0
	Grant Funding	1.4.0
	Investigations	1.5.0
	Planning & Program Development	1.6.0
	Policy	1.7.0
	Procedures	1.8.0
<b>BIOSECURITY</b>		2.0.0
	Accreditation	2.1.0
	Authorisation	2.2.0
	Compliance	2.3.0
	Enforcement	2.4.0
	Extension	2.5.0

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List of Functions and Activities covered

Function	Activity	Reference
	Grant Funding	2.6.0
	Investigations	2.7.0
	Planning & Program Development	2.8.0
	Policy	2.9.0
	Procedures	2.10.0
	Research & Development	2.11.0
	Standards	2.12.0
<b>COLLECTIONS MANAGEMENT</b>		3.0.0
	Acquisitions & Disposal	3.1.0
	Control	3.2.0
	Exhibition	3.3.0
	Planning & Program Development	3.4.0
	Policy	3.5.0
<b>DEVELOPMENT, EXPLORATION &amp;</b>		4.0.0

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Function	Activity	Reference
<b>TITLES</b>		
	Allocation	4.1.0
	Approvals	4.2.0
	Planning & Program Development	4.3.0
	Policy	4.4.0
	Procedures	4.5.0
	Tendering	4.6.0
<b>DROUGHT &amp; EMERGENCY RESPONSE</b>		5.0.0
	Planning & Program Development	5.1.0
	Policy	5.2.0
	Procedures	5.3.0
<b>EDUCATION &amp; TRAINING</b>		6.0.0
	Accreditation	6.1.0
	Compliance	6.2.0

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Function	Activity	Reference
	Course Delivery	6.3.0
	Course Development	6.4.0
	Grant Funding	6.5.0
	Planning & Program Development	6.6.0
	Scholarships / Prizes / Bursaries / Fellowships	6.7.0
	Student Administration	6.8.0
	Student Grievances	6.9.0
	Student Recruitment	6.10.0
	Student Services	6.11.0
<b>INDUSTRY &amp; PUBLIC SAFETY</b>		7.0.0
	Accreditation	7.1.0
	Authorisation	7.2.0
	Compliance	7.3.0
	Enforcement	7.4.0

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Function	Activity	Reference
	Extension	7.5.0
	Investigations	7.6.0
	Planning & Program Development	7.7.0
	Policy	7.8.0
	Procedures	7.9.0
	Standards	7.10.0
<b>LABORATORY SERVICES</b>		8.0.0
	Accreditation	8.1.0
	Analysis	8.2.0
	Planning & Program Development	8.3.0
	Policy	8.4.0
	Procedures	8.5.0
<b>MARKET ANALYSIS &amp; DEVELOPMENT</b>		9.0.0
	Planning & Program Development	9.1.0

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List of Functions and Activities covered

Function	Activity	Reference
	Policy	9.2.0
	Research & Development	9.3.0
<b>NATURAL RESOURCE &amp; ENVIRONMENTAL MANAGEMENT</b>		10.0.0
	Allocation	10.1.0
	Authorisation	10.2.0
	Compliance	10.3.0
	Enforcement	10.4.0
	Extension	10.5.0
	Grant Funding	10.6.0
	Investigations	10.7.0
	Land Use Assessment	10.8.0
	Planning & Program Development	10.9.0
	Policy	10.10.0
	Procedures	10.11.0

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List of Functions and Activities covered

Function	Activity	Reference
	Research & Development	10.12.0
	Standards	10.13.0
<b>PRODUCTION SYSTEMS</b>		11.0.0
	Allocation	11.1.0
	Authorisation	11.2.0
	Compliance	11.3.0
	Extension	11.4.0
	Grant Funding	11.5.0
	Planning & Program Development	11.6.0
	Policy	11.7.0
	Procedures	11.8.0
	Research & Development	11.9.0
	Standards	11.10.0
<b>PROPERTY , INFRASTRUCTURE &amp; ASSETS</b>		12.0.0

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Function	Activity	Reference
	Construction	12.1.0
<b>ROYALTY MANAGEMENT</b>		13.0.0
	Disbursements	13.1.0
	Policy	13.2.0
	Procedures	13.3.0
<b>STATUTORY BOARDS MANAGEMENT</b>		14.0.0
	Membership	14.1.0
<b>PRE 1900 RECORDS</b>		15.0.0
	Primary Industry Records	15.1.0

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No	Function/Activity	Description	Disposal Action	Custody*
1.0.0	<b>ANIMAL WELFARE</b>	<p>The function of promoting and maintaining, through laws, education and administration, standards of animal care and management within the state of New South Wales.</p> <p>Includes licensing and monitoring of research and educational facilities that use animals for a range of purposes such as research, teaching, product testing, field trials, diagnosis of disease, production of biological products and environmental studies.</p> <p>Includes ensuring that NSW trade in animals or animal products complies with the animal welfare requirements of trading partners.</p> <p>Use LABORATORY SERVICES – Accreditation for records relating to the accreditation of the agency’s own laboratory and research facilities.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - COMMITTEES for records of Committees established and operated to support the administration and oversight of standards of animal care and management e.g. Animal ethics committee, review panels. This includes records of former committees of the Zoological Parks Board.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - GOVERNMENT RELATIONS - Advice for records relating to the provision of advice to the portfolio Minister or other government organisations concerning the agency's policies and procedures, functions, obligations etc.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - GOVERNMENT RELATIONS - Legislation for records</p>		

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

## Primary industries assistance, regulation and development

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No	Function/Activity	Description	Disposal Action	Custody*
		relating to the development, amendment and consultation process involved in legislation administered and/or supported by the agency e.g. Prevention of Cruelty to Animals Act 1979, Exhibited Animals Protection Act 1986 and Animal Research Act 1985.		
1.1.0	<b>Authorisation</b>	<p>The activity of assessing applications and granting or denying licences, approvals, permits, and authorities relating to the care, protection or welfare of animals e.g. transaction or removal authorities, authorities or permits for animal research or the exhibition of animals, animal suppliers' licences etc.</p> <p>Includes provision of advice by the agency related to obtaining authorisation e.g. publications, fact sheets, Website information etc.</p> <p>Use ANIMAL WELFARE - Procedures for guideline publications developed for use by government or industry with respect to complying with regulations, mandatory standards etc.</p> <p>Use ANIMAL WELFARE - Compliance for the monitoring of the licence regulations, including appointment of inspectors.</p> <p>Use ANIMAL WELFARE - Investigations for breach of compliance.</p> <p>Use <i>General Retention and Disposal Authority - Administrative records</i> - LEGAL SERVICES - Advice for legal advice.</p>		
1.1.1		Records relating to the issue of licenses, permits or authorities under legislative or regulatory schemes for the care, protection or welfare of animals, e.g. licences, permits or authorities etc for the use of animals in research, the exhibition of animals or trade in	Retain minimum of 25 years after authorisation lapses (ie expires, is withdrawn or	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		animals. Includes: - determination of fees and charges for licensing/registration - lists or summary records of issued licences, permits or authorities - requests and documentation provided to the Minister, Local Court or the Administrative Decisions Tribunal to support external appeals processes - applications, approvals, renewals, copies of licences, complaints, correspondence with or advice provided to the license holder or a complainant, cancellations, and any supporting material	cancelled) or after information is withdrawn or superseded, then destroy	
1.1.2		Records relating to unsuccessful applications for licenses, permits or authorities under legislative or regulatory schemes for the care, protection or welfare of animals. Includes unsuccessful applications to supply animals for the purpose of research or exhibition, and unsuccessful applications for animal research authorities. Includes applications, correspondence with the applicant and any supporting material.	Retain minimum of 3 years after last action, then destroy	
1.1.3		Records relating to the drafting of content for and final versions of published advice such as fact sheets, Website information regarding requirements for obtaining authorisation.	Retain minimum of 7 years after superseded or withdrawn, then destroy	
1.2.0	<b>Compliance</b>	The activities associated with complying with regulatory and legislative requirements for the care and protection of animals to which the agency, other organisations and individuals are subject.		

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Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>Includes appointing inspectors for the purposes of ensuring compliance with regulatory and legislative requirements.</p> <p>Includes monitoring and remedial action.</p> <p>Includes notifying organisations of changes to compliance requirements.</p> <p>Includes provision of advice to, or by, the agency related to compliance e.g. publications, fact sheets, Website information etc.</p> <p>Includes the appointment and management of qualified examiners or inspectors to undertake assessments of competency and compliance.</p> <p>Includes documentation related to referral of complaints and inspections to other organisations under the legislation e.g. RSPCA.</p> <p>Use ANIMAL WELFARE - Authorisation for the issue of the licences, permits etc.</p> <p>Use ANIMAL WELFARE - Investigations if inspection results in a compliance breach and further undertakings are required.</p> <p>Use ANIMAL WELFARE - Procedures for procedure documents relating to the conduct of investigations or compliance monitoring processes.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - LEGAL SERVICES for any resulting prosecutions.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - STRATEGIC MANAGEMENT - Audit for records relating to</p>		

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## Primary industries assistance, regulation and development

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No	Function/Activity	Description	Disposal Action	Custody*
		audits of the organisation's own programs or processes.		
1.2.1		<p>Records relating to the conduct of inspections by inspectors appointed by the Director-General of the agency or the Minister for compliance against relevant animal welfare legislation (e.g. Exhibited Animals Protection Act 1986, Animal Research Act 1985).</p> <p>Includes records of site inspections, complaints and finding or other reports.</p> <p>Includes the provision of verbal or written advice to individuals or organisations regarding compliance, inspections etc.</p> <p>Includes records relating to fines and restrictions imposed on offenders for breaches of Acts and regulations.</p> <p>Includes internal auditing of findings and processes of inspections to ensure quality and compliance with policy or procedure prior to the issue of the final report and recommendation.</p>	Retain minimum of 10 years after last action, then destroy	
1.2.2		Records providing evidence that inspectors have the requisite qualifications, experience and prescribed authority to exercise powers to assess compliance and investigate breaches.	Retain minimum of 10 years after appointment expires, then destroy	
1.2.3		<p>Records relating to the conduct of compliance monitoring by external agencies, e.g. the RSPCA, who also inspect compliance and complaints under animal welfare legislation e.g. Prevention of Cruelty to Animals Act 1979.</p> <p>Includes notifications of the appointment of external inspectors by</p>	Retain minimum of 3 years after last action, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>the Director-General of the agency or the Minister.</p> <p>Includes information on the outcomes of inspections conducted by external agencies.</p> <p>Includes immediate referrals to external agencies where the agency does not undertake the inspections.</p> <p>Includes immediate referral of complaints to other agencies e.g. RSPCA, Animal Review Panel.</p>		
1.2.4		Records relating to the drafting of content for and final versions of published advice such as fact sheets, Website information regarding requirements for ensuring compliance.	Retain minimum of 7 years after superseded or withdrawn, then destroy	
1.3.0	<b>Extension</b>	<p>The process of transferring new knowledge and skills to primary producers and resource managers regarding animal welfare issues and activities.</p> <p>Includes a range of communication and learning activities such as demonstrations, forums, visits, seminars, and field days.</p> <p>Includes provision of advice to, or by, the agency related to Extension activities and courses e.g. publications, fact sheets, Website information etc.</p> <p>Use ANIMAL WELFARE - Procedures for guideline publications developed for use by government or industry with respect to complying with regulations, mandatory standards etc</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
		Use <i>General Retention and Disposal Authority - Administrative Records - COMMUNITY RELATIONS -</i> Conferences for records relating to the organisation of conferences and seminars for industry or animal welfare groups and for attendance and/or presentation of materials to industry and the public.		
1.3.1		<p>Records relating to the development and delivery of information resources, such as fact sheets etc and of extension activities such as courses and field days regarding animal welfare issues and activities.</p> <p>Records include master copy of materials, handouts, registration and lists or details of attendees, promotional materials, displays, publications related to the subject produced for a particular industry or issue e.g. fact sheets, Website information.</p>	Retain minimum of 7 years after last action or material is superseded or withdrawn from use, then destroy	
1.4.0	<b>Grant Funding</b>	<p>The activity of disbursing funds to organisations involved in animal welfare initiatives e.g. RSPCA, NSW Animal Welfare League, Cat Protection Society NSW, Wildlife Information &amp; Rescue Service (WIRES).</p> <p>Includes provision of advice to, or by, the agency related to grant funding e.g. publications, fact sheets, Website information etc.</p> <p>Includes administering funding to external bodies in order to implement programs funded by the agency.</p> <p>Includes receiving and appraising funding proposals, arranging for funds to be released, monitoring the ongoing performance of the funding activity, dealing with breaches of funding conditions and acquittal of funds.</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>Use ANIMAL WELFARE – Planning and Program Development for internal reporting on the administration of grants or grant programs.</p> <p>Use <i>General Retention and Disposal Authority – Financial and Accounting Records</i> - FINANCIAL MANAGEMENT - Accounting for recording financial transactions and the transfer of monies.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - COMMUNITY RELATIONS - Marketing for advertising and promotion of funding programs.</p>		
1.4.1		Records relating to the disbursement of funds to organisations for research and investigation into or the conduct of animal welfare initiatives or activities. Records include advice, recommendations, progress and final reporting from fund recipients.	Retain minimum of 7 years after last action or after grant conditions have been met, whichever is the longer, then destroy	
1.4.2		Records relating to the drafting of content for and final versions of published advice such as fact sheets, Website information regarding requirements for applications for grant funding.	Retain minimum of 7 years after superseded or withdrawn, then destroy	
1.5.0	<b>Investigations</b>	The process of undertaking a detailed and formal examination to find cause following an incident or significant breach or infringement of regulatory or other requirements for the care, protection or welfare of animals eg breaches of the regulations in relation to the exhibition of animals, or use of animals in research.		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>Includes investigations into complaints made by the public or industry bodies.</p> <p>Includes investigations following notification of a breach of compliance.</p> <p>Also includes undertaking investigations requested by the Minister, etc where there has not necessarily been a breach or incident.</p> <p>Includes planning, collecting evidence, evaluation and verification of all relevant information, recording and report writing.</p> <p>Includes reports of findings and actions taken, including seizure of animals.</p> <p>Use ANIMAL WELFARE - Compliance to manage the results of an investigation where a penalty notice or fine is applied.</p> <p>Use <i>General Retention and Disposal Authority - Administrative records</i> - LEGAL SERVICES - Litigation for records relating to the management of lawsuits or legal proceedings between the agency and other parties.</p>		
1.5.1		<p>Records relating to investigations and inquiries concerning breaches of legislation, regulations or standards for the care, protection or welfare of animals eg in relation to the exhibition of animals, or to the supply or use of animals in research.</p> <p>Includes records of notification of the breach/complaint/issue or referral from the Minister, appointment of inspector or investigator, investigation plans, diaries, details of site inspections, photographs and other evidence, records of seizures, the evaluation and</p>	Retain minimum of 10 years after last action, then destroy	

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

## Primary industries assistance, regulation and development

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No	Function/Activity	Description	Disposal Action	Custody*
		verification of all relevant information and investigation outcome or final reports.		
1.6.0	<b>Planning &amp; Program Development</b>	<p>The process of formulating ways in which objectives can be achieved to ensure the development, implementation or practice of appropriate behaviour in relation to the welfare of animals.</p> <p>Includes determination of services, needs and solutions to those needs.</p> <p>Includes developing programs designed to achieve organisational objectives or to solve specific problems.</p> <p>Includes reviewing and revising plans through debriefs and meetings.</p>		
1.6.1		<p>Records relating to the development, establishment, evaluation and reviewing of strategic plans to support the promotion and maintenance of animal welfare and standards for the care and management of animals.</p> <p>Includes input into plans, drafts prepared for circulation and comments received, and reporting to Senior management/the Executive in relation to the evaluation, review or overall implementation of the plan and summary reports to Senior management/the Executive of program outcomes.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
1.6.2		Records relating to the development, establishment, implementation and evaluation of operational plans or of programs designed to achieve organisational objectives or to solve specific problems to support the promotion and maintenance of animal	Retain minimum of 5 years after last action or after plan or program superseded,	

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

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>welfare and standards for the care and management of animals.</p> <p>Includes input into plans, comments received and drafts, program management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and routine summary reporting of program implementation.</p>	then destroy	
1.7.0	<b>Policy</b>	<p>The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which operating procedures are determined in relation to animal welfare.</p> <p>Use General Retention and Disposal Authority - Administrative Records - GOVERNMENT RELATIONS - Legislation for records relating to the amendment of legislation</p>		
1.7.1		<p>Records relating to the development and establishment of national and state policy statements for animal welfare. Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
1.7.2		<p>Records relating to the development and establishment of policies to support the enforcement of the statutory requirements for animal welfare and standards for the care and management of animals.</p> <p>Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents. Includes records relating to the implementation of the policy internally e.g. internal audits of the implementation, summary timetable schedules and assignment of implementation</p>	Retain minimum of 25 years after last action, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		activities or project schedules.		
1.8.0	<b>Procedures</b>	<p>Standard methods of operating laid down by an organisation according to formulated policy on animal welfare issues.</p> <p>See ANIMAL WELFARE – Extension for records relating to the provision of advice and guidance to the public or industry for on animal welfare issues, standards and regulatory requirements.</p>		
1.8.1		All records detailing standard methods of operating for the conduct of animal welfare activities and regulatory processes, including procedures for the conduct of investigations, processes associated with the monitoring of compliance, issue of licences, permits, grant funding etc. Includes Guidelines and publications developed by the agency alone, or in conjunction with others, for use as guidance or advice to government and private sector on animal welfare compliance requirements. Includes drafts, consultation, and final documents.	Retain minimum of 25 years after last action, then destroy	
2.0.0	<b>BIOSECURITY</b>	<p>The function of protecting farmed and natural resources (includes all plant, forest, animals and fish environments (flora and fauna)) from pests and diseases through exclusion, eradication and effective management.</p> <p>Includes diagnosing and responding to outbreaks of pests and diseases.</p> <p>Includes managing animal diseases which may be transmitted to humans.</p> <p>Includes preparing and reviewing strategies and management</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>plans, in conjunction with other responsible agencies.</p> <p>Includes regulating movement of plants and animals to prevent the spread of pests and diseases.</p> <p>Includes quarantine of plants and animals, including bees.</p> <p>Includes research and development into diseases affecting agriculture, livestock and other animals.</p> <p>Includes advice provided by, or to, the agency on issues of biosecurity, including federal or state impact.</p> <p><i>Use General Retention and Disposal Authority - Administrative Records - COMMITTEES for records of Committees or advisory bodies established and operated to support the protection of farmed and natural resources e.g. State Emergency Management Committee, Noxious Weeds Advisory Committee, Non-indigenous Animals Advisory Committee, NSW Pest and Animal Council</i></p>		
2.1.0	<b>Accreditation</b>	<p>The process by which an authoritative (accrediting) body formally recognises that an organisation, or person, is competent to carry out specific tasks in relation to the control of biological pests and diseases through exclusion, eradication and effective management.</p> <p>Includes application and documentation applying for accreditation, rules and requirements for accreditation.</p> <p>Includes audits, reports and inspections undertaken to assess compliance internally or by external organisations.</p> <p>Includes the appointment and management of qualified examiners or inspectors to undertake assessments of competency and</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>compliance.</p> <p>Includes provision of advice to, or by, the agency related to obtaining accreditation.</p> <p>Includes accreditation against ISO 9002 or other Quality Standards.</p> <p>Use LABORATORY SERVICES - Accreditation for accreditation and compliance of the agency's laboratories and research facilities.</p>		
2.1.1		<p>Records documenting the accreditation of persons or organisations to undertake the protection of farmed and natural resources from biological invasion and threats through the exclusion, eradication and effective management of unwanted pests and diseases activities.</p> <p>Includes records documenting the certification of processes and facilities required under legislation.</p> <p>Includes accrediting suppliers to move plants interstate under the Interstate Certifications Assurance (ICA) Plan.</p> <p>Records include applications, appeals, copies of supporting evidence, notifications, correspondence, etc.</p>	Retain minimum of 7 years after last action or accreditation lapses, whichever is longer, then destroy	
2.1.2		<p>Records documenting the certification of processes and nursery facilities by the department for growing experimental and biologically controlled plants.</p>	Retain minimum of 7 years after last action or certification lapses, whichever is longer, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
2.2.0	<b>Authorisation</b>	<p>The activity of assessing, granting or denying licences and permits relating to the control of pests and diseases.</p> <p>Includes authorisations for the import, keeping and movement of non-indigenous animals.</p> <p>Includes issue of permits after requirements have been met against a disease management program.</p> <p>Includes provision of advice to, or by, the agency related to obtaining authorisation e.g. publications, fact sheets, Website information etc.</p>		
2.2.1		Summary record of licenses or permits issued by the agency relating to or for the purposes of pest and disease control. Details include name of applicant, type of permit required, dates of issue and expiration.	Retain minimum of 25 years after last action, then destroy	
2.2.2		Records relating to unsuccessful applications for permits or licenses as part of pest and disease control measures. Includes applications, correspondence with the applicant and any supporting material, including advice.	Retain minimum of 3 years after last action, then destroy	
2.2.3		<p>Records relating to the issue of licenses, permits and authorities as part of pest and disease control measures e.g. for the cultivation, storage or movement of plants and animals, entry to or exit from areas which have been declared an infected place, restricted area or control area, to grow, move or hold specimens of noxious weeds.</p> <p>Includes determination of fees and charges for</p>	Retain minimum of 7 years after authorisation lapses (ie expires, is withdrawn or cancelled) or after information is withdrawn or	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		licensing/registration.  Includes applications, approvals, renewals, copies of issued licences, permits etc, correspondence with the license holder, complaints, cancellations, and any supporting material including advice.	superseded, then destroy	
2.2.4		Records relating to appeals of decisions or determinations regarding the issue or refusal of an authorisation, either through the agency or an external body such as the government ombudsman. Includes records of the appeal process, its outcomes, decisions etc.	Retain minimum of 10 years after last action, then destroy	
2.2.5		Records relating to the drafting of content for and final versions of published advice such as fact sheets, Website information regarding requirements for obtaining authorisation.	Retain minimum of 7 years after superseded or withdrawn, then destroy	
2.3.0	<b>Compliance</b>	The activities associated with monitoring compliance with mandatory or optional accountability in relation to protecting farmed and natural resources from pests and diseases.  Includes appointing inspectors to ensure compliance with legislation.  Includes inspecting facilities, equipment and processes to ensure compliance with agreed standards.  Includes assessing and monitoring compliance against regulations and standards on an ongoing basis.		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		Includes notifying organisations of changes to compliance requirements.  <i>Use General Retention and Disposal Authority - Administrative Records - STRATEGIC MANAGEMENT - Audit for records relating to audits of the organisation's own programs or processes.</i>		
2.3.1		Records relating to inspections of other organisations for compliance with legislation, regulations and standards for the control of pests and diseases, including the assessment of quality management programs against industry standards e.g. ISO 9000.  Includes the appointment of inspectors for the purpose of monitoring compliance.  Includes control orders, inspection reports, lodged objections.	Retain minimum of 10 years after last action or termination of appointment, then destroy	
2.4.0	<b>Enforcement</b>	Activities associated with the enforcement of measures to contain or control pest or disease outbreaks. Includes the implementation and operation of road blocks and no flight zones in and around disease outbreaks and emergency operations or the operation of road blocks for plant pest and disease control using a range of instruments including the issue of infringement notices, and enforceable undertakings.  Includes the seizure or impounding of plants or animals, of plant or animal products, fodder or fittings, or vehicles in connection with the control of pests and diseases.		
2.4.1		Records relating to the enforcement of movement controls as a result of an outbreak of disease or infestation of pests at a state or	Required as State	Transfer to State Records 10 years

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		nation wide level.  Includes orders for detention notices, orders for destruction, pest control orders, maps of control areas and other supporting documentation.	archives	after date of last action
2.4.2		Records relating to seizure or impounding of plants or animals, of plant or animal products, fodder or fittings, or of vehicles or equipment in connection with the control of pests and diseases. Includes seizure documentation, inventory and reports.	Retain minimum of 10 years after last action, then destroy	
2.4.3		Records relating to orders given for controlling the spread of identified diseases, pests, weeds, and non-indigenous animals at a local level.  Includes orders for disinfection, detention notices, orders for destruction, pest control orders, penalty notices.  Includes the establishment of buffer zones, restricted areas, movement controls etc.	Retain minimum of 10 years after last action, then destroy	
2.4.4		Records relating to the quarantining of properties or aquaculture leases in order to contain disease outbreaks. Records include quarantine orders, order for disinfection, search warrants, detention notices, orders for destruction, penalty notices.  Includes the enforcement of restricted entry access, etc.	Retain minimum of 10 years after last action, then destroy	
2.4.5		Records relating to the management of an instance of a reportable disease. Includes records of the notification, assessment and	Retain minimum of 10 years after last	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		reports.	action, then destroy	
2.5.0	<b>Extension</b>	<p>The process of transferring new knowledge and skills to primary producers and resource managers on issues of biosecurity, includes pest management, disease control and movement control.</p> <p>Includes a range of communication and learning activities such as demonstrations, forums, visits, seminars, and field days.</p> <p>Includes joint venture courses with support organisations including Rural Lands Protection Board and Local Councils.</p> <p>See BIOSECURITY - Policy for official policy advice on content covered under Extension activities.</p>		
2.5.1		<p>Records relating to development of information resources and to the development and delivery of extension activities such as courses and field days to educate, inform and raise awareness of biosecurity issues, initiatives or pest and disease control programs.</p> <p>Records include master copy of materials, handouts, lists of attendees, promotional materials, displays, publications related to the subject produced for a particular industry or issue e.g. fact sheets, Website information. Includes information on currently available biological control agents.</p>	Retain minimum of 7 years after last action or material is superseded or withdrawn from use, then destroy	
2.6.0	<b>Grant Funding</b>	<p>The activities associated with the application for and receipt of funding for research and investigation into pests and diseases.</p> <p>Includes administering funding to external bodies in order to implement programs funded by the agency.</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>Includes receiving and appraising funding proposals, arranging for funds to be released, monitoring the ongoing performance of the funding activity, dealing with breaches of funding conditions and acquittal of funds.</p> <p>Use BIOSECURITY – Planning and Program Development for internal reporting on the administration of grants or grant programs.</p> <p>Use BIOSECURITY – Research and Development for records of pest and disease control research conducted by or involving the agency.</p> <p>Use <i>General Retention and Disposal Authority – Administrative Records</i> – STRATEGIC MANAGEMENT – Grant funding for records relating to applications or submissions for funding made by the agency.</p> <p>Use <i>General Retention and Disposal Authority – Financial and Accounting Records</i> - FINANCIAL MANAGEMENT - Accounting for recording financial transactions and the transfer of monies.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - COMMUNITY RELATIONS - Marketing for advertising and promotion of funding programs.</p>		
2.6.1		<p>Records relating to applications for and the disbursement of funds to organisations for research and investigation into or the conduct of activities for protecting farmed and natural resources from pests and diseases. Includes grant funding for education, eradication or control initiatives or activities. Records include applications, assessments, recommendations, progress and final reporting from</p>	<p>Retain minimum of 7 years after last action or after grant conditions have been met, then destroy</p>	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		fund recipients.		
2.7.0	<b>Investigations</b>	<p>The activity of identifying the nature of a diseased condition or infestation of animal or plant. Includes investigating (diagnosing) the cause of outbreaks of pests and diseases.</p> <p>Includes investigations into complaints by the public or industry bodies.</p> <p>Includes investigations following notification of a breach of compliance.</p> <p>Includes planning, collecting evidence, evaluation and verification of all relevant information, recording and report writing.</p> <p>Also includes undertaking investigations requested by the Minister, etc where there has not necessarily been a breach or incident.</p> <p>Use BIOSECURITY - Enforcement for records relating to the issue of infringement notices etc</p>		
2.7.1		<p>Records relating to major investigations and inquiries regarding the diagnosis of diseases or identification of pests or weeds which could result in significant health risks or impact on production.</p> <p>Includes records of incidents which require investigation by the agency. Records include background and briefing papers on the incident, notifications, records of interviews, identified photographs, reports and submissions, response and media management of the incident.</p>	Required as State archives	Transfer to State Records 10 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
2.7.2		Records relating to investigations regarding the diagnosis of diseases or identification of pests or weeds where there is a low health risk or low impact on production. Includes notifications, records of interviews, identified photographs, reports and submissions, response. Includes records of interviews and investigations which do not result in the issue of infringement notices.	Retain minimum of 7 years after last action, then destroy	
2.8.0	<b>Planning &amp; Program Development</b>	<p>The process of formulating ways in which farmed and natural resources can be protected from biological pests and diseases.</p> <p>Includes programs such as exclusion, eradication and effective management.</p> <p>Includes determination of services, needs and solutions to those needs.</p> <p>Includes developing programs designed to achieve organisational objectives or to solve specific problems.</p> <p>Includes reviewing and revising plans through debriefs and meetings.</p>		
2.8.1		<p>Records relating to the development, establishment, evaluation and reviewing of strategic plans for controlling outbreaks or the spread of disease or major infestations of pests, non indigenous animals or noxious weeds.</p> <p>Includes input into plans, drafts prepared for circulation and comments received, and reporting to Senior management/the Executive in relation to the evaluation, review or overall</p>	Required as State archives	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		implementation of the plan and summary reports to Senior management/the Executive of program outcomes.		
2.8.2		<p>Records documenting the development, establishment, implementation, evaluation and review of programs designed to control local outbreaks of disease or occurrences or to eradicate diseases, pests, non indigenous animals or noxious weeds.</p> <p>Records include program management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and routine summary reporting of program implementation.</p> <p>Includes operations to test preparedness strategies of outbreaks e.g. Exercise Eleusis to test NSW DPI's bird flu preparedness.</p>	Retain minimum of 7 years after last action, then destroy	
2.9.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents associated with pests and disease management which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.		
2.9.1		Records documenting the development and establishment of policies to support the protection of farmed and natural resources from pests and diseases through exclusion, eradication and effective management. Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents, national and state policy statements.	Required as State archives	Transfer to State Records 10 years after date of last action
2.9.2		Administrative records relating to policy implementation. Includes internal audits of the implementation, summary timetable	Retain minimum of 3 years after	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		schedules and assignment of implementation activities or project schedules.	implementation, then destroy	
2.10.0	<b>Procedures</b>	Standard methods of operating laid down by an organisation according to formulated policy for the management or control of pest and diseases.		
2.10.1		Records relating to the development of procedures for the conduct of activities or processes associated with the control or management of biological pests and diseases. Includes, drafts, consultation, and final documents.	Retain minimum of 25 years after last action, then destroy	
2.11.0	<b>Research &amp; Development</b>	<p>The activities involved in systematic study of biological pests and diseases directed toward more complete knowledge or understanding of the subject studied.</p> <p>Includes collating information and data in order to develop further knowledge about a subject.</p> <p>Includes analysis of research results. Includes basic or applied research for the purpose of creating new, or for improving existing materials, devices, products or processes.</p> <p>Includes farm and field trials to test outcomes of research activities.</p> <p>Includes conduct of research with Cooperative Research Centres (CRC) and other joint venture organisation.</p> <p>Use LABORATORY SERVICES - Analysis for undertaking analysis for clients, and recording and reporting on results.</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>Use <i>General Retention and Disposal Authority – Administrative records - STRATEGIC MANAGEMENT</i> – Joint ventures for records of joint ventures, co-operative or partnership agreements with other organisations for the conduct of research.</p> <p>Use <i>General Retention and Disposal Authority – Administrative records - STRATEGIC MANAGEMENT</i> – Agreements for records relating to intellectual property rights (patents etc) concerning the outcomes or products of research.</p>		
2.11.1		Summary records of all research & development projects relating to natural resources or environmental management undertaken by the agency. This includes reports on the outcomes or findings of research projects undertaken or commissioned by the agency.	Required as State archives	Transfer to State Records when reference use ceases
2.11.2		<p>Records relating to externally or internally funded research and development projects into methods of pest and disease control which:</p> <ul style="list-style-type: none"> <li>- have national, State-wide or industry-wide impact</li> <li>- have potential long term impact e.g. Australian Weed Management</li> <li>- impact on broader government policies or national industry standards, or</li> <li>- are innovative or award winning.</li> </ul> <p>Records include project proposals, field and laboratory results, progress reports, survey results, statistical information, technical</p>	Required as State archives	Transfer to State Records 20 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		information and contractual agreements.		
2.11.3		<p>Records of externally or internally funded research projects which do <b>not</b>:</p> <ul style="list-style-type: none"> <li>- have national, State-wide or industry-wide impact</li> <li>- have potential long term impact</li> <li>- impact on broader government policies or national industry standards, or</li> <li>- are innovative or award winning.</li> </ul>	Retain minimum of 20 years after publication of results, completion of project or expiry of contractual obligations whichever is the longer, then destroy	
2.11.4		Records of project proposals (preliminary and full) where the project did not proceed or was not accepted.	Retain minimum of 3 years after last action, then destroy	
2.12.0	<b>Standards</b>	The process of developing and implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of an organisation to handle biosecurity issues.		
2.12.1		Records relating to development by the agency, or input by the agency into the development of, national or industry standards for the management or control of pests and diseases. Includes final versions, consultation and background research.	Required as State archives	Transfer to State Records 10 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
2.12.2		Records relating to the implementation of standards for the management or control of pests and diseases with other organisations e.g. Australian Weed Management. Includes contracts or agreements, input into or comments made regarding implementation, schedules, objectives, methodology, evaluation and summary reporting of the implementation process.	Retain minimum of 7 years after last action, then destroy	
3.0.0	<b>COLLECTIONS MANAGEMENT</b>	<p>The function of developing and managing scientific or special collections maintained for the use of the Department, related institutions and approved industry organisations.</p> <p>Includes acquisition and disposal of items, exhibitions and stocktake of the collection.</p> <p>Includes scientific collections such as the Drill core library, Economic Mineral Collection, Fossil/Palaeontology Collection, entomological collections such as the Insect and mite collections and the EH Zeck entomological illustration collection, Plant Pathology Herbarium and Senior plant disease paintings collection, Living cultures, and the Otolith collection and the corporate mines and agriculture photographic library collections.</p>		
3.1.0	<b>Acquisitions &amp; Disposal</b>	<p>The activities associated with managing the acquisition or disposal of scientific or special collection items in any medium.</p> <p>Includes donations from internal and external sources.</p> <p>Includes the donation of private collections of items to other institutes or persons as part of a disposal program.</p> <p>Includes drawings, photographs and personal papers.</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>Where collections are comprised of items such as samples, objects or artefacts e.g. mineral samples, fossils, drill core samples only the records relating to or supporting the management of the collection are subject to this authority.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records - COMMUNITY RELATIONS</i> for records relating to donations or bequests of money, items, artefacts or property that are of State significance, ongoing benefit or subject to public interest or debate.</p>		
3.1.1		Summary records documenting the acquisition and disposal of items, artefacts or property into and from scientific or special collections. Includes acquisition or accession registers or records in summary form documenting the source, provenance and eventual disposal of items.	Required as State archives	Transfer to State Records when reference or administrative use ceases eg after the disposal of the item or collection
3.1.2		Records documenting the acquisition and disposal of items, artefacts or property into and from scientific or special collections where an alternative summary record is <b>not</b> held. Includes records documenting the acceptance or receipt of collections or of items into collections and records documenting the disposal or deaccessioning of collections or collection items, including records of the sale, transfer or donation of items or whole collections to another person, organisation or institution.	Required as State archives	Transfer to State Records when reference or administrative use ceases eg after the disposal of the item or collection
3.1.3		Records documenting the acquisition and disposal of items, artefacts or property into and from scientific or special collections, where an adequate summary records is held. Includes records	Retain minimum of 10 years after disposal of the collection or item	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		documenting the acceptance or receipt of whole collections or of items into collections and records documenting the disposal or deaccessioning of collections or collection items, including records of the sale, transfer or donation of items or whole collections to another organisation or institution.	from the collection, then destroy	
3.1.4		Illustrative or documentary collections e.g. the Zeck entomological illustration collection, the Senior plant disease drawing collection, the assay card collection or collections of donated private papers and associated records documenting their acquisition and/or provenance.	Required as State archives	Transfer to State Records when reference or other use ceases
3.1.5		Corporate photographic collection (Agriculture and Mines) pre 1950	Required as State archives	Transfer to State Records when reference or other use ceases
3.2.0	<b>Control</b>	<p>The activities associated with creating, maintaining and evaluating control mechanisms for managing and facilitating the provision of access to collections.</p> <p>Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.</p> <p><i>Use General Retention and Disposal Authority - Administrative records - INFORMATION MANAGEMENT - Control for control records relating to collections where the record items comprising the collection (such as those covered by entries 3.1.4 and 3.1.5) are required as State archives</i></p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
3.2.1		Primary control records for scientific or special collections of items, objects, samples etc where items comprising the collection are not records (ie such as the Drill core library, Economic Mineral Collection, Fossil/Palaeontology Collection, Plant Pathology Herbarium, Insect and mite, Living culture and the Otolith collections). Records may include registers, indexes, catalogues etc or equivalent information maintained in databases.	Required as State archives	Transfer to State Records when reference use ceases
3.3.0	<b>Exhibition</b>	Activities associated with the display of collections such as the Drill core library, Economic Mineral Collection, Fossil/Palaeontology Collection, Insect and mite collections, Plant Pathology Herbarium, Living culture collections, and the Otolith collection.		
3.3.1		Catalogues of major exhibitions mounted by the agency.	Required as State archives	Transfer to State Records when reference use ceases
3.3.2		Records relating to the use of materials from the special collections in mounted displays. This includes use of materials in exhibitions arranged either by the agency or other organisations. Includes requests to display, loan arrangements, logistics of the display, insurance details, photographs and other related correspondence.	Retain minimum of 7 years after last action, then destroy	
3.4.0	<b>Planning &amp; Program Development</b>	The activities involved in planning the collection program and implementing policies for the development, maintenance and conservation of the collections.		
3.4.1		Records relating to the development and implementation of programs supporting the management, maintenance and	Retain minimum of 7 years after last	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		conservation of scientific or special collections. Records include program management, schedules, summary reporting, delivery methods, contact lists.  Use Planning & Program Development for the implementation of collections policies.	action, then destroy	
3.5.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making on the development of special collections.		
3.5.1		Records relating to the development and establishment of policies to support the development of scientific or special collections (e.g. acquisition or collection development policies). Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents, national and state policy statements.	Required as State archives	Transfer to State Records 10 years after date of last action
3.5.2		Records relating to the development and establishment of policies to support the management and maintenance of scientific or special collections (e.g. preservation, lending policies). Records include policy proposals, research, consultation, supporting reports, major drafts, final policy documents.	Retain minimum of 10 years after last action, then destroy	
4.0.0	<b>DEVELOPMENT, EXPLORATION &amp; TITLES</b>	The function of assessing, granting, maintaining and administering exploration and mining titles, in accordance with legislation and government policy.  Includes allocating exploration areas.  Includes managing mining lease applications which if approved		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>entitle the holder to prospect and mine on specified land and carry out primary treatment operations.</p> <p>Includes managing assessment lease applications which if approved allow retention of rights over an area in which a significant mineral deposit has been identified and mining the deposit is not commercially viable in the short term.</p> <p>Includes managing the registration of agreements against titles.</p> <p>Includes managing and regulating exploration licences.</p> <p>Includes processing applications for mineral claims which entitle the holder to prospect for and mine specified minerals.</p> <p>Includes processing applications from lease holders for inclusion or deletion of a lease or leases in a colliery holding.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - COMMITTEES for Committees, advisory bodies or expert panels etc established and operated to support the administration of exploration and mining activities.</p> <p>Use COLLECTIONS MANAGEMENT for core samples collected.</p> <p>Use ROYALTIES MANAGEMENT for the payment of mining royalties.</p> <p>Use INDUSTRY AND PUBLIC SAFETY for regulation and monitoring of safety standards within the mining industry.</p> <p>Use NATURAL RESOURCES AND ENVIRONMENTAL MANAGEMENT for records relating to the monitoring of the environmental impact of mining operations.</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
4.1.0	<b>Allocation</b>	<p>The activities associated with the creation of or allocation of mining areas. Includes advice on the allocation process to mining companies and government and prospect reports.</p> <p>Use DEVELOPMENT, EXPLORATION AND TITLES - Approvals for the issue of licenses.</p>		
4.1.1		<p>Records relating to the creation of areas for mining and/or prospecting e.g. Ministerial Consents and advice. Includes reports on the state of the industry, advice on the allocation process to mining companies and government and prospect reports.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
4.2.0	<b>Approvals</b>	<p>The process of issuing and managing approvals for exploration and mining activity within the state of NSW.</p> <p>Includes exploration licenses, exploration license renewals, assessment leases, mineral claims, mining leases, transfer of titles, production exploration licenses and opal prospecting licenses.</p> <p>Includes assessing and stipulating the statutory requirements in order to determine the operational and the environmental conditions under which exploration and mining activities may take place.</p> <p>Includes reviewing and assessing environmental impact statements and assessments under the Environmental Planning and Assessment Act for development approval.</p> <p>Includes managing compensation and private mining agreements.</p> <p>Includes assisting mining operations to obtain approval for the</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>project to proceed from the consenting authority, e.g. local council, Department of Planning.</p> <p>Use NATURAL RESOURCE &amp; ENVIRONMENTAL MANAGEMENT – Compliance for data received from companies relating to surveys and levels of subsidence arising from underground mining activities.</p>		
4.2.1		<p>Summary records such as hard copy registers or equivalent digital information management systems for:</p> <ul style="list-style-type: none"> <li>- mining or exploration leases and authorities granted e.g. the Titles Administration System (TAS, TAS2) and equivalent predecessor systems e.g. hard copy registers of lease or authorities etc</li> <li>- collieries. Details include name of operator, conditions, dates of issue and expiration.</li> <li>- prospecting licences granted.</li> </ul>	Required as State archives	Transfer to State Records 10 years after date of last action
4.2.2		<p>Geological Survey assessed reports received from Mining Companies detailing the results of exploration. This includes original reports and reports digitised and managed in the Digital Imaging Geological System (DIGS) and any associated identified photographs or explanatory notes that may relate to a map produced.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
4.2.3		<p>Records relating to authorities for exploration or mining activities located in or impacting on sensitive environments or which have long term cumulative or wide ranging impacts. This may include</p>	Required as State archives	Transfer to State Records 10 years after date of last

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>authorities relating to the commissioning of new mines or large scale bulk sampling operations, the undertaking of mining activities in or adjacent to environmentally sensitive areas, the consolidation of mining activities into a colliery's holdings and petroleum exploration. Records may include:</p> <ul style="list-style-type: none"> <li>- deeds of agreements and correspondence with the applicant on the granting of a title</li> <li>- records relating to the evaluation of the environmental affects of an application and approvals (ministerial, technical and environmental)</li> <li>- tracings/plans of area of proposed activities</li> <li>- correspondence with other consent authorities regarding the application e.g. Local Government Authorities, NPWS, EPA and Aboriginal Lands Council</li> <li>- changes to ownership/ transfers of titles</li> <li>- cancellation and return of security deposits/bonds</li> <li>- renewals, transfers and consolidations of the authority.</li> </ul>		action
4.2.4		<p>Records relating to authorities for the conduct of exploration or mining activities in non-sensitive environments e.g. extensively cleared agricultural areas or those which do <b>not</b> have long term cumulative or wide ranging impacts. This includes small scale mining activities, such as those undertaken on mineral claims or preliminary exploration activities such as core drilling. Records include:</p>	<p>Retain minimum of 20 years after operations cease and security deposit has been returned, then destroy</p>	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>- deeds of agreements and correspondence with the applicant on the granting of a title</li> <li>- records relating to the evaluation of the environmental affects of an application and approvals (ministerial, technical and environmental)</li> <li>- tracings/plans of area of proposed activities</li> <li>- correspondence with other consent authorities regarding the application e.g. Local Government Authorities, NPWS, EPA and Aboriginal Lands Council</li> <li>- changes to ownership/ transfers of titles</li> <li>- cancellation and return of security deposits/bonds</li> <li>- renewals, transfers and consolidations of the authority.</li> </ul>		
4.2.5		Records relating to pre-approval planning advice and assistance provided to applicants by the agency. Includes pre-planning meetings with relevant agencies to determine means of ensuring environmental, technical and safety standards are met during the operation.	Retain minimum of 20 years after last action, then destroy	
4.2.6		Records of mining applications, prospecting or exploration licences that do not proceed. This includes records relating to pre-approval planning assistance provided by the agency.	Retain minimum of 10 years after last action or claim relinquished, whichever is longer, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
4.2.7		Records relating to successful applications to prospect for opals (Opal prospecting licences).	Retain minimum of 5 years after last action or expiry or lapse of licence, then destroy	
4.2.8		Records relating to routine enquiries about mining and licensing approvals and processes including security bonds. Includes pre-approval processes to assess the likelihood of an applications outcome prior to formal submission of the application.	Retain minimum of 5 years after last action, then destroy	
4.2.9		Records relating to the negotiation, establishment and management of private mining agreements (ie when a mineral is vested to the owner of the land) or of agreements with title holders other than the Crown for payments in compensation for conducting mining activities.	Retain minimum of 12 years after agreement expires, then destroy	
4.3.0	<b>Planning &amp; Program Development</b>	<p>The process of formulating ways in which objectives can be achieved to ensure the administration of exploration and mining operations in accordance with government policy.</p> <p>Use NATURAL RESOURCE &amp; ENVIRONMENTAL MANAGEMENT - Planning &amp; Program Development for the management of derelict mines.</p>		
4.3.1		<p>Records relating to the development, establishment, evaluation and reviewing of strategic plans for the administration of exploration and mining activities, operations and titles.</p> <p>Includes input, through advice and support, into plans, drafts prepared for circulation and comments received, and reporting to</p>	Required as State archives	Transfer to State Records 10 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		Senior management/the Executive in relation to the evaluation, review or overall implementation of the plan and summary reports to Senior management/the Executive of program outcomes.		
4.3.2		<p>Records relating to the development, establishment, implementation and evaluation of operational plans or programs supporting the administration of exploration and mining activities, operations and titles.</p> <p>Includes input into plans, comments received and drafts, program management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and routine summary reporting of program implementation.</p> <p>Includes geoscientific data, data models and analysis reports and identified photographs developed for geological areas or regions.</p>	Retain minimum of 5 years after last action or after plan or program superseded or after information updated or superseded, then destroy	
4.3.3		Records relating to the provision of advice to other organisations regarding NSW geoscience and exploration.	Retain minimum of 5 years after last action, then destroy	
4.4.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents for managing the titles and authorities to mine, explore, assess, fossick etc.		
4.4.1		Records documenting the development and establishment of policies for the granting of authorities to carry out exploration or mining activities, for the administration of mining titles and the oversight of the conduct of mining or exploration activities or operations. Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final	Required as State archives	Transfer to State Records 10 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		policy documents, national and state policy statements.		
4.4.2		Administrative records relating to policy implementation. Includes determination of security bonds, internal audits of the implementation, summary timetable schedules and assignment of implementation activities or project schedules.	Retain minimum of 3 years after implementation, then destroy	
4.5.0	<b>Procedures</b>	Standard methods of operating laid down by the Department according to formulated policy for managing the titles and authorities to mine, explore, assess fossick, etc.		
4.5.1		Master set of agency manuals, handbooks, directives etc detailing procedures supporting mining and exploration approval and administration activities and processes.	Required as State archives	Transfer to State Records 10 years after date of last action
4.5.2		Records relating to the development of procedures supporting mining and exploration approval and administration activities and processes.	Retain minimum of 3 years after last action, then destroy	
4.6.0	<b>Tendering</b>	The activities involved in receiving and assessing tenders, of making offers for and finalising contract arrangements for the allocation of mineral areas.		
4.6.1		Final reports and recommendations of tender evaluation and review	Required as State archives	Transfer to State Records 10 years after date superceded

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
4.6.2		<p>Records relating to the development, issue, evaluation and review of tenders for the allocation of mineral areas. Records include:</p> <ul style="list-style-type: none"> <li>- planning for the tender</li> <li>- minutes or notes of meetings</li> <li>- Statements of Requirements</li> <li>- Requests for Tender (RFT)</li> <li>- tenders received</li> <li>- draft contracts</li> <li>- arrangements for carrying out the evaluation process</li> <li>- public notices</li> <li>- post offer negotiations</li> <li>- due diligence checks.</li> </ul>	<p>Retain minimum of 7 years after tender process completed or last action, whichever is the longer, then destroy</p>	
5.0.0	<p><b>DROUGHT &amp; EMERGENCY RESPONSE</b></p>	<p>The function of developing strategies and providing services to primary producers to assist with responding to or recovery from drought, natural disasters and emergencies, including bush fires, flooding, or outbreaks of pests and diseases.</p> <p>Includes preparing and reviewing strategies and management plans, providing assistance, and liaising with other support agencies.</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>Includes managing and responding to specific incidents.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records - COMMITTEES</i> for Committees, advisory bodies etc established and operated to support the administration of how assistance in emergencies is given.</p> <p>Use BIOSECURITY for records relating to the control or management of pest and disease outbreaks.</p> <p>Use DROUGHT &amp; EMERGENCY RESPONSE - Planning &amp; Program Development for the development of publications or support materials to be used for the general public related to specific incidents.</p> <p>Use PRODUCTION SYSTEMS - Extension for publications and advice related to drought management for primary producers.</p>		
5.1.0	<b>Planning &amp; Program Development</b>	<p>The activity of evaluating and monitoring disaster preparedness, response and recovery programs to assist with responding to or recovering from the effects of drought, natural disasters and emergencies, including bush fires, flooding, or outbreaks of pests and diseases.</p> <p>Includes the development of publications or support materials to be used for the general public related to specific incidents.</p> <p>Use the appropriate function for the actual implementation of emergency plans.</p>		
5.1.1		Records relating to the development, establishment, evaluation	Required as State	Transfer to State

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>and reviewing of strategic plans to assist with responding to drought, natural disasters and emergencies.</p> <p>Includes input into plans, drafts prepared for circulation and comments received, and reporting to Senior management/the Executive in relation to the evaluation, review or overall implementation of the plan and summary reports to Senior management/the Executive of program outcomes.</p>	archives	Records 10 years after date of last action
5.1.2		<p>Records relating to the development, establishment, implementation and evaluation of operational plans or of programs supporting responses to or the provision of assistance to persons affected by drought, natural disasters and emergencies.</p> <p>Includes input into plans, comments received and drafts, program management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and routine summary reporting of program implementation.</p> <p>Includes the development of publications or support materials to be used for the general public related to specific incidents.</p> <p>Includes the operation of outreach programs e.g. counselling services offered as part of a broader community solution.</p>	Retain minimum of 10 years after last action, then destroy	
5.2.0	<b>Policy</b>	The activity of establishing policy governing disaster preparedness, response and recovery programs, projects and services.		
5.2.1		Records documenting the development and establishment of policies to assist with responding to drought, natural disasters and emergencies. Records include policy proposals, research papers,	Required as State archives	Transfer to State Records 10 years after date of last

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		results of consultations, supporting reports, major drafts, final policy documents, national and state policy statements.		action
5.2.2		Administrative records relating to policy implementation. Includes internal audits of the implementation, summary timetable schedules and assignment of implementation activities or project schedules.	Retain minimum of 3 years after implementation, then destroy	
5.3.0	<b>Procedures</b>	The activity of establishing procedures relating to disaster preparedness, response and recovery systems and services.  Use BIOSECURITY for procedures relating to the control or management of pest and disease outbreaks		
5.3.1		Records detailing standard methods of operating for responding to drought, natural disasters and emergencies, including bush fires, or flooding, etc. Includes, drafts, consultation, and final documents.	Retain minimum of 10 years after last action, then destroy	
6.0.0	<b>EDUCATION &amp; TRAINING</b>	The function of providing formal education and training to registered or enrolled participants, to meet the needs of primary producers, resource developers and the community. Includes short courses and workshops.  Use Extension under the appropriate function for the delivery of communication and learning activities including demonstrations, forums, visits, seminars, and field days.  Use General Retention and Disposal Authority - Administrative Records - COMMITTEES for Boards and Committees established		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		and operated to support the college or training.		
6.1.0	<b>Accreditation</b>	<p>The accreditation of the organisation as a training provider.</p> <p>Includes courses delivered under the Australian Qualifications Framework.</p> <p>Includes accreditation as a Registered Training Organisation.</p> <p>Includes accreditation against an internally developed program.</p> <p>Includes applying for accreditation and complying with rules and requirements for accreditation.</p> <p>Includes audits and inspections undertaken to assess compliance internally or by external organisations.</p> <p>Includes provision of advice to, or by, the agency related to obtaining accreditation.</p>		
6.1.1		Records documenting the internal accreditation of courses not linked to a national qualification e.g. against industry standards or through internal processes. Records include applications, copies of supporting evidence, notifications, correspondence, appointment of assessors etc.	Retain minimum of 7 years after last action, then destroy	
6.1.2		Records relating to the accreditation of the agency to deliver externally accredited courses e.g. VETAB accreditation. Includes documentation related to inspections for compliance for operation as a Registered Training Organisation (RTO).	Retain minimum of 30 years after course discontinued, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
6.1.3		Records relating to the development of industry based competency standards and appropriate methods of examination or competency assessments where it is a requirement for accreditation, e.g. against Australian Qualifications Framework.	Required as State archives	Transfer to State Records 10 years after date superceded
6.2.0	<b>Compliance</b>	<p>The activities associated with complying with standards or requirements for the provision of courses of study.</p> <p>Includes inspections of the agency's facilities, equipment and processes to ensure compliance with agreed standards.</p> <p>Includes assessing and monitoring the agency's compliance against agreed regulations and standards on an ongoing basis.</p> <p>Includes provision of advice to, or by, the agency on compliance.</p>		
6.2.1		Records relating to inspections, audits or assessments of the agency's processes, systems or facilities for compliance with relevant legislation, regulations and standards, including the assessment of quality management programs against industry standards, reporting and providing advice on issues related to compliance.	Retain minimum of 7 years after last action, then destroy	
6.3.0	<b>Course Delivery</b>	<p>The means by which education &amp; training is conducted. Includes the administration of enrolments in training courses, examinations and assessments related to the course. Includes monitoring and evaluating programs and courses, through quality assurance and student feedback.</p> <p>Use COURSE DEVELOPMENT for records relating to the development of curriculum and study programs for formal training</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		to enrolled students.		
6.3.1		Subject resources and material used in course delivery. Records include subject outlines; study guides; readings; self assessment exercises; audio/visual teaching aides; reading lists; assignment lists; lecture notes, examination papers. Includes records documenting the use of chemicals in the conduct of the course.	Retain minimum of 7 years after delivery of course ceases or after material superseded, then destroy	
6.3.2		Records relating to course attendance. Records include attendance lists; sick leave forms; and medical certificates.	Retain minimum of 7 years after last action, then destroy	
6.3.3		Administrative records relating to course management and delivery. Records include delivery options, resourcing schedules, teaching availability, room scheduling, student enquiries.	Retain minimum of 2 years after delivery of course, then destroy	
6.4.0	<b>Course Development</b>	The activities associated with the development of curriculum and study programs for formal training to enrolled students.		
6.4.1		Master set of approved curricula, course guides and handbooks for courses leading to formal degree/recognised qualification. Including training materials for mining operation.	Required as State archives	Transfer to State Records 10 years after date of last action
6.4.2		Approved curricula, course guides and handbooks for courses not leading to formal degree/recognised qualification.	Retain minimum of 10 years after course superseded or withdrawn, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
6.4.3		Records relating to the development of curriculum and study programs. Records include correspondence with reference, advisory, industry groups, records of committees and working parties, working papers and notes. Includes records of courses not approved.	Retain minimum of 5 years after curriculum is superseded, then destroy	
6.5.0	<b>Grant Funding</b>	<p>The activities associated with the application for and receipt of grants for the development and delivery of courses to meet industry requirements.</p> <p><i>Use General Retention and Disposal Authority – Financial and Accounting Records - FINANCIAL MANAGEMENT - Accounting for records documenting financial transactions and the transfer of monies.</i></p> <p>See EDUCATION &amp; TRAINING - Bursaries, scholarships etc for records relating to the provision of financial assistance to students.</p>		
6.5.1		<p>Records relating to applications for grants or funding from industry bodies for the development or delivery of education and training for persons involved in primary production, resource development or for the community.</p> <p>Records include application, assessment, decisions or outcome, copies of agreement, progress reports, periodic financial returns and acquittals. Records of appeals of decisions or determinations regarding the awarding of grants.</p>	Retain minimum of 7 years after last action, then destroy	
6.6.0	<b>Planning &amp; Program</b>	The process of formulating ways in which objectives can be achieved to ensure offerings of industry required courses within		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
	<b>Development</b>	<p>the formal and informal education sectors of the department.</p> <p>Includes determination of services, needs and solutions to those needs.</p> <p>Includes developing programs designed to achieve organisational objectives or to solve specific problems.</p> <p>Includes reviewing and revising plans through debriefs and meetings.</p>		
6.6.1		<p>Records relating to the development, establishment, evaluation and reviewing of strategic plans to support education and training programs and goals.</p> <p>Includes input into plans, drafts prepared for circulation and comments received, and reporting to Senior management/the Executive in relation to the evaluation, review or overall implementation of the plan and summary reports to Senior management/the Executive of program outcomes.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
6.6.2		<p>Records relating to the development, establishment, implementation and evaluation of operational plans or of programs to support the delivery of training and education services and courses.</p> <p>Includes input into plans, comments received and drafts, program management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and routine summary reporting of program implementation.</p>	Retain minimum of 5 years after last action, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
6.7.0	<b>Scholarships/ Prizes/ Bursaries/ Fellowships</b>	<p>To bestow on students scholarships, bursaries, prizes or fellowships. These can take the form of money, medals, certificates or the waving of fees. Some will have conditions placed on the student and/or the institution. This includes both internal and external scholarships, bursaries, prizes or fellowships.</p> <p>Scholarships: Benefits, usually in the form of money, which are tenable by students for specified periods of time under certain conditions, e.g. proceeding to the next year in a course. They are generally gained on the basis of performance at examinations.</p> <p>Prizes: Rewards for results in annual examinations, essay, compositions and other forms of assessment.</p> <p>Fellowships: Benefits, usually in the form of money, travel or accommodation costs, tenable for specified periods and usually offered by, or in conjunction with another institution.</p> <p>Bursaries: Financial support available to students, usually on the home campus, who meet specified criteria.</p>		
6.7.1		Records relating to applications and nominations to receive scholarships, bursaries, prizes or fellowships including records relating to the decision making process.	Retain minimum of 1 year after date finalised, then destroy	
6.7.2		Records relating to the management of scholarships and administrative arrangements for the delivery of scholarships, bursaries, prizes or fellowships. Includes funds management.	Retain minimum of 6 years after last action, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
6.7.3		Records of recipients of scholarships, bursaries, prizes or fellowships.	Required as State archives	
6.7.4		Records relating to the establishment and conditions of scholarships, prizes, bursaries and fellowships. This can include terms and conditions for both internal and external scholarships, prizes, bursaries and fellowships.	Required as State archives	
6.8.0	<b>Student Administration</b>	The activities associated with managing students needs including enrolment, fees, examination and graduation.		
6.8.1		Records of graduands of higher education courses (e.g. degree or diploma programs). Includes final academic results.	Required as State archives	Transfer to State Records 10 years after date of last action
6.8.2		Records relating to the assessment or examination of students undertaking a formal course or accredited program of study. Records include any work submitted or completed by students for the purposes of assessment or evaluation by examinations (written or oral); assignments; practicum reports; field work reports; or presentations.	Retain minimum of 2 years 6 months after appeal period has expired, then destroy	
6.8.3		Results of VETAB accredited course students. Includes student's name, each unit of competency and that student's achievement in that competency - e.g. 'competent' or 'not competent' and a record of whether they were issued with a qualification.	Retain minimum of 30 years after last action, then destroy	
6.8.4		Records relating to admission or enrolment to any course of study	Retain minimum of 6	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		offered by the agency/ college. Records include application forms and supporting documents; offers of places; interview records; entry examinations; and correspondence.	years after completion of study by student, then destroy	
6.8.5		Records relating to applications for study that are unsuccessful.	Retain minimum of 2 years 6 months after appeal period has expired, then destroy	
6.8.6		Routine enquiries and requests for information about courses and qualifications.	Retain minimum of 2 years after last action, then destroy	
6.8.7		Records of and relating to administrative arrangements for the graduation ceremony. This can include arranging for venue, speakers, catering, seating, special access, etc.  Records include program/order of proceedings, receipt/delivery of testamurs, uncollected testamurs. , and transcripts, audio and video recordings of occasional addresses and student's address in reply.	Retain minimum of 1 year after action completed, then destroy	
6.9.0	<b>Student Grievances</b>	Managing the activities associated with the handling and resolution of grievances from students.  Includes handling complaints over perceived discrimination or arising over work/study environment, assessment/assignment organisation or distribution, peers, lecturers, tutors or supervisors, the provision of access to opportunities such as equipment,		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		facilities (such as laboratories), tutorials, or other services.		
6.9.1		Records relating to formal grievances raised by a student, which are precedent setting cases and have resulted in significant change to procedure.	Retain minimum of 15 years after last action, then destroy	
6.9.2		Records relating to grievances and complaints raised by a student (proven and not proven) which are <b>not</b> precedent setting cases and have resulted in significant change to procedure.	Retain minimum of 6 years after last action, then destroy	
6.10.0	<b>Student Recruitment</b>	This function relates to the recruitment of students to courses of study.		
6.10.1		Marketing of services and courses offered by the agency in order to encourage prospective students and researchers to apply. This can include open days, careers markets and promotional material.	Retain minimum of 1 year after last action, then destroy	
6.10.2		Records relating to arrangements with recruitment/advertising agencies for the recruitment of full fee paying students from overseas through placement of advertisements.	Retain minimum of 2 years after last action, then destroy	
6.11.0	<b>Student Services</b>	The provision of services to students such as counselling, financial assistance, child care and careers advice.  Note: The disposal classes within this function only apply to records created or received in the conduct of business. This does not extend to records created by external bodies.		
6.11.1		Records relating to the provision of accommodation, catering and	Retain minimum of 7	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		medical services (excluding patient records).	years after last action, then destroy	
6.11.2		Records related to the treatment of patients, including patient medical records.	Retain minimum of 7 years after patient's last attendance or last action, or at least until the patient would have attained the age of 25 years, whichever is the longer, then destroy.  <b>Note:</b> last action could include medical/legal action or access by or on behalf of the patient.	
7.0.0	<b>INDUSTRY &amp; PUBLIC SAFETY</b>	The function of developing, implementing, maintaining, and monitoring safety management systems for the protection of mining and primary production industry workers and of consumers.  Includes accreditation of persons and processes to operate in mining and primary production environments.  Includes authorising the use of equipment and products (such as pesticides, herbicides and veterinary chemicals) in mining and primary industries.  Includes developing of safe working practices for mining and		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>primary industries.</p> <p>Includes regulating mining and primary production activities to ensure that safety standards are being met.</p> <p>Includes investigations into incidents involving fatalities and serious injury.</p> <p>Includes regulation of food production to ensure that food is not contaminated.</p> <p><i>Use General Retention and Disposal Authority - Administrative Records - OCCUPATIONAL HEALTH &amp; SAFETY for implementing and co-ordinating occupational health and safety and associated legislation throughout the agency.</i></p> <p><i>Use General Retention and Disposal Authority - Administrative Records - COMMITTEES for records of committees established and operated to support the protection of industry workers and consumers. e.g. the Mine safety Advisory Council, Coal Competency Board etc</i></p> <p><i>Use General Retention and Disposal Authority - Administrative Records - STRATEGIC MANAGEMENT - Grant funding for records relating to the agency applying for and receipt of grant funding.</i></p>		
7.1.0	<b>Accreditation</b>	<p>The accreditation of persons and processes to operate in mining and primary production environments.</p> <p>Includes assessment of applications for accreditation, rules and requirements for accreditation.</p> <p>Includes audits and inspections undertaken to assess compliance</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>of other organisations.</p> <p>Includes provision of advice to, or by, the agency related to obtaining accreditation.</p> <p>See INDUSTRY &amp; PUBLIC SAFETY for records relating to the appointment of examiners or inspectors to undertake assessments.</p>		
7.1.1		<p>Records documenting the accreditation of persons or organisations to undertake specified activities within the mining or primary production industries. Includes records documenting the certification of other organisations' processes and facilities as required under legislation.</p> <p>Records include applications, copies of supporting evidence, notifications, correspondence, appeals where not granted and records of advice, audits, inspections etc relating to accreditation processes and approvals.</p>	Retain minimum of 7 years after last action or accreditation expires or lapses, whichever is the longer, then destroy	
7.2.0	<b>Authorisation</b>	<p>The activity of administering or assisting with registration of agricultural and veterinary chemicals, or to the issue of licenses (or permits) including those for tourist and educational activities within former mine sites.</p> <p>Use LABORATORY SERVICES for testing of chemicals.</p>		
7.2.1		Records of chemical formulae approved for use within the Agricultural industry.	Required as State archives	Transfer to State Records 10 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
7.2.2		<p>Records relating to the issue of licenses (or permits) for the conduct of tourist and educational activities within former mine sites, for food research or food product, for the use of chemicals in processes. Includes records relating to:</p> <ul style="list-style-type: none"> <li>- the determination of fees and charges for licensing/registration</li> <li>- applications, approvals, renewals, copies of licences, correspondence with the license holder, complaints, cancellations, and any supporting material</li> <li>- efficacy reviews eg for use of chemicals in processes.</li> </ul>	Retain minimum of 7 years after last action or after permit or licence expires or ceases, then destroy	
7.2.3		<p>Records relating to approvals for the use of mechanical and electrical apparatus in mines, the granting of exemptions to mine sites to allow operations to continue.</p> <p>Includes records relating to applications for approval, associated correspondence, inspection etc.</p>	Retain minimum of 10 years after last action or after appointment ceases, then destroy	
7.2.4		Records of competency certificates issued to mining industry personnel eg mine managers, engineers, shot firers, engine drivers etc. Information includes names, type of permit or licence, period valid and other details as required.	Retain minimum of 25 after last action or expiry of certification, then destroy	
7.2.5		Records relating to the terms, conditions, qualifications and appointment of persons authorised to conduct examinations, assessments or inspections for the purposes of assessing the compliance of persons or operations with industry safety standards, regulations, competency or accreditation requirements.	Retain minimum of 10 years after last action or after appointment ceases, whichever is the longer, then	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
			destroy	
7.3.0	<b>Compliance</b>	<p>The activity of assessing quality management methodologies within the mining, primary production or resource development industry to determine if they comply with protocols and standards.</p> <p>Use INDUSTRY &amp; PUBLIC SAFETY - Investigations where a breach has been identified.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - STRATEGIC MANAGEMENT - Audit for records relating to audits of the organisation's own programs or processes.</p>		
7.3.1		<p>Records relating to inspections for compliance with relevant legislation, regulations and standards, including the assessment of quality management programs against industry standards.</p> <p>Includes the appointment of inspectors for the purpose of monitoring compliance.</p> <p>Includes routine quality assurance audits of the agricultural industry, mining industry (e.g. inspecting for subsidence) or compliance inspections of mine sites.</p> <p>Records include safety management and emergency response plans for individual sites or operations, records of audits, site surveys and examinations, physical site inspections and associated identified photographs.</p>	Retain minimum of 10 years after last action or until after appointment expires, then destroy	
7.3.2		<p>Records relating to the assessment of mine sites where a compliance breach is detected. A compliance breach is defined as a</p>	Retain minimum of 50 years after last	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		deviation from acceptable standards that  - causes, or is likely to cause, death, or serious injury or ill health, or  - continues to occur after other representations or interventions by the Department, or  - interferes with the proper investigation of the causes and circumstances surrounding an event.	action, then destroy	
7.4.0	<b>Enforcement</b>	The activity of enforcing Regulations, through the issue of infringement notices.  Use INDUSTRY & PUBLIC SAFETY - Investigations for all investigation issues after the infringement has been issued.		
7.4.1		Records relating to the enforcement of regulations through the issue of infringement notices.	Retain minimum of 7 years after last action, then destroy	
7.5.0	<b>Extension</b>	The process of transferring new knowledge and skills to primary producers and resource managers on issues of developing, implementing, maintaining, and monitoring safety management systems for the protection of industry workers and consumers.  Includes a range of communication and learning activities include demonstrations, forums, visits, seminars, and field days.  See INDUSTRY & PUBLIC SAFETY - Policy for official policy advice on content covered under Extension activities.		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
7.5.1		<p>Records relating to the development and delivery of information resources, such as fact sheets etc and of extension activities such as courses and field days to promote or advise on the safety and protection of industry workers and of consumers.</p> <p>Records include master copy of materials, handouts, lists of attendees, promotional materials, displays, publications related to the subject produced for a particular industry or issue.</p>	Retain minimum of 7 years after last action or material is superseded or withdrawn from use, then destroy	
7.6.0	<b>Investigations</b>	<p>The activity of investigating complaints or incidents.</p> <p>Includes investigating collecting and testing for residues, the interpretation of residue data and the analysis of market access associated with chemical residues.</p> <p>Includes undertaking detailed examination of mine sites in response to complaints, incidents or accidents, such as spillages, pollution, potential site contamination etc.</p> <p>Includes investigations into complaints by the public or industry bodies.</p> <p>Includes investigations following notification of a breach of compliance.</p> <p>Includes planning, collecting evidence, evaluation and verification of all relevant information, recording and report writing.</p> <p>Includes undertaking investigations as requested where there has not necessarily been a breach or incident.</p> <p>This includes investigations conducted in association with other</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>agencies, such as the Environmental Protection Authority (EPA) or the Department of Land Water and Conservation (DLWC).</p> <p>Use INDUSTRY &amp; PUBLIC SAFETY - Compliance for the management of the outcome of the investigation.</p>		
7.6.1		Summary records of industry and public safety incidents which require investigation by the agency. Includes date of incident, parties involved, description of incident, investigation outcomes etc.	Required as State archives	Transfer to State Records 10 years after date of last action
7.6.2		<p>Records relating to investigations into incidents where there has been:</p> <ul style="list-style-type: none"> <li>- a fatality or serious accident, or</li> <li>- a major public health risk, such as the discovery of residues in foodstuffs.</li> </ul> <p>Records include case files, preliminary reports or notifications of incidents, injuries or occurrences, lost time injury reports, oral notification checklists background and briefing papers on the incident, notifications, identified photographs, reports and submissions, response and media management of the incident.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
7.6.3		Records relating to investigations into accidents or incidents resulting in serious injuries. This includes case files, preliminary reports or notifications of incidents, injuries or occurrences, lost time injury reports, oral notification checklists or letters of complaint, background and briefing papers on the incident, draft reports and submissions and associated identified photographs of	Retain minimum of 30 years after last action, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>investigation activities.</p> <p>A serious injury is defined as an accident that causes a bone fracture or dislocation, an amputation of the hand or foot, the loss of sight, an internal haemorrhage requiring hospital treatment, burns requiring hospital treatment, or asphyxia.</p>		
7.6.4		<p>Records relating to investigations and inquiries, <b>not</b> involving a fatality, major public health risk or serious injury, where there has been a breach of compliance resulting in enforcement or prosecution. Includes occurrences where damage is minor, such as minor damage to a residential building or where consequences are not expected to have long term effects.</p> <p>Records include preliminary reports or notifications of incidents, injuries or occurrences, lost time injury reports, oral notification checklists or letters of complaint, background and briefing papers on the incident, associated identified photographs, draft reports and submissions.</p>	Retain minimum of 15 years after last action, then destroy	
7.6.5		<p>Records of interviews and investigations where there has been a breach of compliance not resulting in any action or which do not result in issue of infringement notices. Records include letter of complaint, working notes, investigation reports, inspectors' reports, mediation notes, correspondence, etc.</p>	Retain minimum of 7 years after last action, then destroy	
7.7.0	<b>Planning &amp; Program Development</b>	<p>The activity of planning primary industry and public safety programs eg farm chemical, food safety, quality management and mining safety programs.</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
7.7.1		<p>Records relating to the development, establishment, evaluation and reviewing of strategic plans to support the protection of industry workers and consumers.</p> <p>Includes input into plans, drafts prepared for circulation and comments received, and reporting to Senior management/the Executive in relation to the evaluation, review or overall implementation of the plan and summary reports to Senior management/the Executive of program outcomes.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
7.7.2		<p>Records relating to the development, establishment, implementation and evaluation of operational plans or of programs supporting the implementation of initiatives or programs to protect or improve on industry or consumer safety.</p> <p>Includes input into plans, comments received and drafts, program management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and routine summary reporting of program implementation.</p>	Retain minimum of 7 years after last action or after plan superseded, then destroy	
7.8.0	<b>Policy</b>	The activities of developing policy for the protection of industry workers and consumers. Includes providing advice on policy to internal and external persons and agencies.		
7.8.1		Records documenting the development and establishment of policies to support the protection of industry workers, the public and consumers. Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents, national and state policy statements.	Required as State archives	Transfer to State Records 10 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
7.8.2		Administrative records relating to policy implementation. Includes internal audits of the implementation, summary timetable schedules and assignment of implementation activities or project schedules.	Retain minimum of 3 years after implementation, then destroy	
7.8.3		Records relating to providing advice on policy for the protection of industry workers and consumers to internal and external persons.	Retain minimum of 10 years after last action, then destroy	
7.9.0	<b>Procedures</b>	The activity of establishing procedures relating to the improvement and monitoring of public and industry safety.		
7.9.1		Master set of agency manuals, handbooks, directives etc detailing procedures relating to the conduct of activities supporting the improvement and monitoring of safety management systems for the protection of industry workers, the public or consumers.	Required as State archives	Transfer to State Records 10 years after date superceded
7.9.2		Records relating to the development of procedures supporting developing, implementing, maintaining, and monitoring safety management systems for the protection of mining and primary production industry workers and of consumers.	Retain minimum of 10 years after last action, then destroy	
7.10.0	<b>Standards</b>	The process of developing and implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of an organisation.		
7.10.1		Records relating to safety, competency or quality assurance standards developed by the agency (or where the agency had significant input), for implementation by mining industry, farmers,	Required as State archives	Transfer to State Records 10 years after date of last

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>growers or other primary producers.</p> <p>Includes competency standards for mining industry personnel.</p> <p>Records include final copies of competency standards and assessment or examinations produced by the Department or where there was significant input by the Department.</p> <p>Includes background and research material that supported the development of the standard, liaison with stakeholders and other industry professionals.</p>		action
7.10.2		Records relating to the implementation of standards from other organisations. Includes input into implementation programs or comments made, program management, schedules, objectives, methodology, evaluation and summary reporting of the implementation process.	Retain minimum of 10 years after last action, then destroy	
8.0.0	<b>LABORATORY SERVICES</b>	<p>The function of providing laboratory services to industry and the public which include tests for agricultural water, animal disease, soil fertility, plant nutrition, chemical residues, and insect and plant pathogen identifications. Includes the following laboratory and research centres:</p> <p>Agriculture Environmental Laboratory Wollongbar Agricultural Institute Regional Veterinary Laboratory</p> <p>Orange Agricultural Institute Regional Veterinary Laboratory</p> <p>Elizabeth Macarthur Agricultural Institute Plant Health Diagnostic Services</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>NSW Agriculture Elizabeth Macarthur Agricultural Institute</p> <p>Orange Agricultural Institute Plant Health Diagnostic Service</p> <p>Diagnostic and Analytical Laboratories Chemistry Services Laboratory Wagga Wagga</p> <p>Mine Safety Technology Centre</p> <p><i>Use General Retention and Disposal Authority - Administrative Records - COMMITTEES for Boards and Committees established and operated to support the administration of the laboratories.</i></p>		
8.1.0	<b>Accreditation</b>	<p>The activities associated with maintaining accreditation for establishing and maintaining competent, compliant laboratory and research practice.</p> <p>Includes accreditation against ISO 9002 for quality assurance and ISO/IEC 170255 General requirements for the competence of testing and calibration laboratories including for biological testing, chemical testing, measurement science and technology and veterinary testing.</p> <p>Includes the certification of processes and facilities required under NATA.</p> <p>Includes accreditation to be either Diagnostic/Commercial i.e. fee for service or Quarantine Standard e.g. EMAI Lab which is certified to a PC3 standard</p>		
8.1.1		Records documenting the accreditation of the agency's laboratory	Retain minimum of 7	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>services and facilities.</p> <p>Includes records of enquiry, applications, copies of supporting evidence, notifications, correspondence, advisory visits, document reviews, proficiency testing (where applicable), accreditation, assessment and reassessments.</p> <p>Includes provision of advice to, or by, the agency related to obtaining accreditation.</p>	years after last action, then destroy	
8.2.0	<b>Analysis</b>	The activity of undertaking analysis for clients, and recording and reporting on results. Includes diagnostic and analysis services for testing on water, plants, pests, pesticides, diseases, and essential oils. Includes test results and reports on results to stakeholders.		
8.2.1		Records relating to the analysis, diagnosis and testing which results in significant findings e.g. identification of new pests and diseases, or antibodies to diseases.	Required as State archives	
8.2.2		Records relating to routine analysis, diagnosis and testing. Includes laboratory reports, results sheets, fees charged and testing kits.	Retain minimum of 7 years after last action, then destroy	
8.2.3		Records relating to the analysis, diagnosis and testing which results in significant findings of the presence of residues in foodstuffs.	Retain minimum of 15 years after date of last action, then destroy	
8.3.0	<b>Planning &amp; Program</b>	The process of formulating ways in which objectives can be achieved for the successful operation of laboratory services.		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
	<b>Development</b>	Includes determination of services, needs and solutions to those needs. Includes developing programs designed to achieve organisational objectives or to solve specific problems. Includes reviewing and revising plans through debriefs and meetings.		
8.3.1		Records relating to the development, establishment, evaluation and reviewing of strategic plans to provide laboratory services on a commercial basis to industry and the public. Includes input into plans, comments received and drafts.	Retain minimum of 7 years after last action, then destroy	
8.3.2		Records relating to the development, establishment, implementation and evaluation of operational plans or of programs designed to achieve organisational objectives or to solve specific problems.  Includes input into plans, comments received and drafts, program management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and summary reporting of the program.	Retain minimum of 5 years after last action, then destroy	
8.4.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents for the running of laboratories and services offered.		
8.4.1		Records documenting the development and establishment of policies for the provision of laboratory services. Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents and fee structures.	Retain minimum of 10 years after last action, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
8.4.2		Administrative records relating to laboratory services policy implementation. Includes internal audits of the implementation, summary timetable schedules and assignment of implementation activities or project schedules, protective equipment.	Retain minimum of 3 years after implementation, then destroy	
8.5.0	<b>Procedures</b>	Standard methods of operating laid down by an organisation according to formulated policy for the running of laboratories, the conduct of testing and reporting requirements.		
8.5.1		Master set of agency manuals, handbooks, directives etc detailing procedures for the operation of laboratory services and practice.	Retain minimum of 10 years after superseded, then destroy	
8.5.2		Records relating to the development of procedures supporting laboratory services.	Retain minimum of 3 years after last action, then destroy	
9.0.0	<b>MARKET ANALYSIS &amp; DEVELOPMENT</b>	<p>The function of developing new and existing markets, both domestic and export, in which to sell primary produce and resources. Includes analysis of industry trends in international and domestic markets.</p> <p>Includes advertising, promotion, marketing, and sales of products produced by the organisation.</p> <p>Includes protection and enhancement of access to markets.</p> <p>Includes the development of programs in collaboration with government and industry partners.</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>Includes international export marketing operations.</p> <p>Use PRODUCTION SYSTEMS for improving production performance within primary industries in NSW.</p> <p>Use PRODUCTION SYSTEMS – Extension for publications providing industry overviews or status information</p> <p>Use NATURAL RESOURCE &amp; ENVIRONMENTAL MANAGEMENT for assessing geological mineral and energy resources to optimise sustainable exploration and development.</p> <p>Use STATUTORY BOARDS for records relating to the election of members to industry marketing boards or committees eg the Rice Marketing Board, Wine Grapes Marketing Board and the Grains Board.</p> <p>Use <i>General Retention and Disposal Authority – Administrative records</i> – GOVERNING BODIES for records relating to meetings etc of industry marketing boards or committees eg the Rice Marketing Board, Wine Grapes Marketing Board and the Grains Board.</p> <p>Use <i>General Retention and Disposal Authority – Audio visual programs and recordings</i> for promotional films or videos produced for marketing purposes.</p>		
9.1.0	<b>Planning &amp; Program Development</b>	The activity of promoting, advertising and developing domestic and international markets for NSW agricultural, fisheries and forestry products. Includes reporting on and marketing of programs.		
9.1.1		Records relating to the development, establishment, evaluation	Required as State	Transfer to State

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>and reviewing of strategic plans to support the development of domestic and export markets.</p> <p>Includes input into plans, drafts prepared for circulation and comments received, and reporting to Senior management/the Executive in relation to the evaluation, review or overall implementation of the plan and summary reports to Senior management/the Executive of program outcomes.</p>	archives	Records 10 years after date of last action
9.1.2		Six monthly pricing detail reports for animals and produce traded within NSW and Six monthly reports on export markets.	Required as State archives	Transfer to State Records 10 years after date of last action
9.1.3		<p>Records relating to the development, establishment, implementation and evaluation of operational plans or of programs designed to develop or promote new and existing markets, both domestic and export, in which to sell primary produce and resources.</p> <p>Includes input into plans, comments received and drafts, market forecasting and daily pricing reports, program or industry advertising campaign management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and routine summary reporting of program implementation.</p>	Retain minimum of 5 years after last action, then destroy	
9.2.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined for the marketing and development of domestic and internal markets for primary industry		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>products and resources.</p> <p><i>Use General Retention and Disposal Authority - Administrative Records - GOVERNMENT RELATIONS - Advice for the provision of advice, and recommendations to Government on the Boards/industry activities.</i></p>		
9.2.1		<p>Records documenting the development and establishment of policies to support the development of new and existing domestic and export markets for primary produce and resources.</p> <p>Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents, national and state policy statements.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
9.3.0	<b>Research &amp; Development</b>	<p>The activities involved in the systematic study of domestic and international markets, directed toward more complete knowledge or understanding.</p> <p>Includes collating information and data in order to develop further knowledge about a subject.</p> <p>Includes analysis of research results.</p> <p>Includes external organisations seeking economic analysis of a specified industry.</p>		
9.3.1		<p>Final reports of externally or internally funded research and development projects looking into markets and market development opportunities.</p>	Required as State archives	Transfer to State Records 20 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
9.3.2		Records of background papers etc. related to the conduct of research. Records include project proposals, progress reports, survey results, statistical information, technical information and contractual agreements.	Retain minimum of 7 years after publication of results, completion of project or expiry of contractual obligations whichever is the longer, then destroy	
9.3.3		Records of project proposals (preliminary and full) where the project did not proceed.	Retain minimum of 3 years after last action, then destroy	
10.0.0	<b>NATURAL RESOURCE &amp; ENVIRONMENTAL MANAGEMENT</b>	<p>The function of ensuring the sustainability of natural resources associated with primary production systems and protecting the environment.</p> <p>Includes promoting good management to conserve resource health and ensure the maximum return from investment in conservation.</p> <p>Includes developing environment management strategies and plans to preserve and protect the natural and built environments.</p> <p>Includes managing the sustainable harvest of wild fisheries and native forests, including private forestry development.</p> <p>Includes rehabilitation programs to restore natural resources and the environment where they have been disturbed or impaired.</p> <p>Includes investigating and responding to managing environmental</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>incidents.</p> <p>Includes assessing geological mineral and energy resources to optimise sustainable exploration and development.</p> <p>Includes waste management and remediation of natural resources.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - COMMITTEES for Committees established and operated to support the administration of sustainability and protecting the environment. e.g. environmental management committees.</p>		
10.1.0	<b>Allocation</b>	The activities associated with commercial fishing entitlements and share management fisheries.		
10.1.1		Records documenting the development and establishment of share management fisheries including the means by which shares are issued and managed under legislation. Includes shares issued for each Share Management Fishery. Records include research papers, results of consultations, supporting reports, major drafts.	Retain minimum of 30 years after last action, then destroy	
10.1.2		Records relating to the allocation of commercial fishing entitlements (quotas) and collection of levies for the management of general fisheries including reallocation and acquisition of existing fishing entitlements. Records include assessment of applicant, records of the allocation, correspondence related to collection of levies and quota assessment.	Retain minimum of 25 years after last action, then destroy	
10.1.3		Records relating to the application for and issue of shares in a share fishery. Includes applications, proof of eligibility,	Retain minimum of 10 years after last action or after share	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		determinations and appeals.	allocation traded or sold, then destroy	
10.2.0	<b>Authorisation</b>	The activity of assessing, granting or denying licences and permits relating to fisheries or threatened species.		
10.2.1		Records relating to the issue of licenses permitting the harm of threatened species, populations or ecological communities or damage to habitats. Records include Ministerial order, species impact statements, copies of license, stop work orders.	Required as State archives	Transfer to State Records 10 years after date of last action
10.2.2		Records relating to the issue of licenses and collection of levies for the conduct of commercial fishing activities eg licences required under the Fisheries Management Act relating to commercial fishing, including individuals or boats, and charter fishing boats.  Includes records for specified classes of fishing gear, fishing business determinations, commercial fishers, commercial fishing boats, charter fishing boats.  Includes applications, approvals, renewals, endorsements, copies of licences, payment receipts, correspondence with the license holder and any supporting material, the determination of fees and charges for licensing/registration and appeals of decisions or determinations relating to the approval or refusal of licence or permit applications.	Retain minimum of 10 years after last action or after expiry of approvals or licence , then destroy	
10.2.3		Records relating to permits for recreational fishing (non-commercial). Includes applications, payments, appeals, correspondence with the permit holder and any supporting	Retain minimum of 3 years after last action or after expiry of	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		material.	permit, then destroy	
10.3.0	<b>Compliance</b>	<p>The activities associated with complying with regulatory or quality standards or requirements to which the agency or the public is subject.</p> <p>Includes appointing inspectors to ensure compliance with legislation.</p> <p>Includes complying with legislation and with national and international standards, such as the ISO 9000 series.</p> <p>Includes inspecting facilities, equipment and processes to ensure compliance with agreed standards.</p> <p>Includes assessing and monitoring compliance against agreed regulations and standards on an ongoing basis.</p> <p>Includes monitoring rehabilitation programs to see whether agreed standards have been met.</p> <p>Includes notifying organisations of changes to compliance requirements.</p> <p>Use ENFORCEMENT for enforcing compliance through the issue of infringement notices.</p> <p>Use PLANNING AND PROGRAM DEVELOPMENT for records relating to the management of derelict mines.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records</i> - STRATEGIC MANAGEMENT - Audit for records relating to</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		audits of the organisation's own programs and processes.		
10.3.1		Records associated with the assessment and evaluation of mining rehabilitation programs to determine whether rehabilitation standards have been met and security deposits can be relinquished. Includes summary records and reports that detail the outcomes of audit programs undertaken by the agency.	Required as State archives	Transfer to State Records 10 years after date of last action
10.3.2		Records relating to monitoring studies of the environmental impact of mining activities for potential pollutants such as acidity, air and water qualities, noise levels, pollution, toxic metals where results indicate environmental damage or potential damage, contamination of sites etc .  Includes the rehabilitation of individual sites.  Includes identified photographs of monitoring activities and sites.	Retain minimum of 80 years after last action, then destroy	
10.3.3		Records relating to the provision of advice concerning and inspections, checks or assessments of mining operations or quality management programs for compliance with licence or operating conditions or with environmental protection legislation, regulations and standards where compliance is not satisfactory or a potential/actual ground contamination is identified.  Includes scoping document, compliance and inspection/monitoring schedules and reporting.  Includes the mining leaseholders Annual Environmental Management Report (AEMR) to the Department.	Retain minimum of 50 years after last action or security deposit relinquished, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		Includes notices issued to mining companies requiring compliance with lease/mining approval conditions.		
10.3.4		<p>Records relating to the provision of advice concerning and inspections, checks or assessments of mining operations or quality management programs for compliance with licence or operating conditions or with environmental protection legislation, regulations and standards where compliance is satisfactory.</p> <p>Includes scoping document, compliance and inspection/monitoring schedules and reporting.</p> <p>Includes the mining leaseholders Annual Environmental Management Report (AEMR) to the Department.</p>	Retain minimum of 20 years after last action or security deposit relinquished, then destroy	
10.3.5		Records of compliance checks of licenses under the Fisheries Management Act.	Retain minimum of 10 years after date of last action, then destroy	
10.3.6		Records relating to the appointment of inspectors for the purpose of monitoring compliance.	Retain a minimum of 10 years after appointment expires, then destroy	
10.4.0	<b>Enforcement</b>	The activity of enforcing Regulations, interviewing for the purpose of collecting evidence, breach investigations, issue of infringement notices and certification for fisheries and fishing.		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
10.4.1		Records of prohibition orders made against repeat offenders. Records include names, contact details, infringement dates, enforcement issue and correspondence between parties.	Retain minimum of 10 years after last action or after order ceases, then destroy	
10.4.2		Records relating to seizure of fishing boats and motor vehicles connected with fisheries offences which results in forfeiture. Records include names, contact details, infringement dates, enforcement issue and correspondence between parties.	Retain minimum of 10 years after last action, then destroy	
10.4.3		Records relating to the seizure of fish, fishing gear and other things (other than boats or motor vehicles) connected with fisheries offences which results in forfeiture. Records include names, contact details, infringement dates, enforcement issue and correspondence between parties.	Retain minimum of 7 years after last action, then destroy	
10.4.4		Records relating to the seizure of fishing gear and other things connected with fisheries offences which does not result in forfeiture. Records include names, contact details, infringement dates, enforcement issue and correspondence between parties.	Retain minimum of 2 years after last action, then destroy	
10.4.5		Records relating to the issue of instructions to mining companies/operators to carry out remediation and/or rehabilitation work.	Retain minimum of 2 years after title relinquished and security deposit returned, then destroy	
10.5.0	<b>Extension</b>	The process of transferring new knowledge and skills to primary producers, mine operators and resource managers on issues		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>related to the protection of the environment and best use of natural resources.</p> <p>Includes a range of communication and learning activities such as demonstrations, forums, visits, seminars, advice and field days.</p>		
10.5.1		<p>Records relating to development and delivery of extension activities such as courses and field days. (derived from research and development activities) to primary producers and resource managers on issues of ensuring the sustainability of natural resources associated with primary production systems and protecting the environment.</p> <p>Records include master copy of materials, handouts, lists of attendees, promotional materials, displays, publications related to the subject produced for a particular industry or issue.</p>	<p>Retain minimum of 7 years after last action or material is superseded or withdrawn from use, then destroy</p>	
10.6.0	<b>Grant Funding</b>	<p>The activities associated with the provision of grants or financial assistance for natural resource and environmental management purposes.</p> <p>Includes administering funding to external bodies in order to implement programs funded by the agency.</p> <p>Includes advertising and promotion of funding programs, receiving and appraising funding proposals, arranging for funds to be released, monitoring the ongoing performance of the funding activity, dealing with breaches of funding conditions and acquittal of funds.</p> <p>Includes the department applying for externally available funding</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>for research programs.</p> <p>Use NATURAL RESOURCE &amp; ENVIRONMENTAL MANAGEMENT - Research &amp; Development for the management of activities after funding received where the Department obtained funding for research programs.</p> <p>Use <i>General Retention and Disposal Authority – Financial and Accounting Records</i> - FINANCIAL MANAGEMENT - ACCOUNTING for recording financial transactions and the transfer of monies.</p> <p>Use <i>General Retention and Disposal Authority – Administrative Records</i> - GOVERNING BODIES for records relating to the establishment of Trusts, and minutes and decisions of meetings.</p>		
10.6.1		<p>Records relating to the establishment of grants or funding program administered by the agency, e.g. establishment of special fisheries trust funds, including the development of funding formulae.</p> <p>Used for the whole program of the particular funding offer, not for individual applications.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
10.6.2		<p>Records documenting applications for grant funding. Records include application, assessment, approvals, copies of agreement, progress reports, periodic financial returns and acquittals and appeals. Includes grants and disbursements to local councils of State Weed management funds. Includes records relating to:</p> <p>Appeals</p> <p>Successful and unsuccessful applications</p>	Retain minimum of 7 years after last action, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		Enquiries from individuals and other organisations regarding grants or funding programs administered by the agency.		
10.6.3		Records relating to enquiries from individuals and other organisations regarding grants or funding programs administered by the agency.	Retain minimum of 2 years after last action, then destroy	
10.7.0	<b>Investigations</b>	<p>Activities associated with investigating complaints or incidents involving the use of natural resources or with environmental management impact.</p> <p>Use Enforcement for breaches of fishing and fishery licences and permits.</p> <p>Use Compliance for breaches of compliance against standards.</p>		
10.7.1		<p>Records relating to investigation of incidents within the mining or other primary production industries involving:</p> <ul style="list-style-type: none"> <li>- fatality or serious injury</li> <li>- serious ground contamination</li> <li>- significant flora or fauna kill</li> <li>- public health or safety risk, or</li> <li>- cancellation of mining title.</li> </ul> <p>Records include background and briefing papers on the incident, notifications, identified photographs, draft reports and</p>	Required as State archives	Transfer to State Records 10 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		submissions, response and media management of the incident.		
10.7.2		<p>Records relating to investigations of incidents within the mining or other primary production industries not involving:</p> <ul style="list-style-type: none"> <li>- fatality or serious injury</li> <li>- serious ground contamination</li> <li>- significant flora or fauna kill</li> <li>- public health or safety risk, or</li> <li>- cancellation of mining title</li> </ul> <p>but where there has been a breach of compliance resulting in enforcement or prosecution.</p> <p>Includes reports of the investigation, notice of complaint, photographs, notes and final reports, may include advice provided to parties. This includes background and briefing papers on the incident, notifications, identified photographs, draft reports and submissions, response and media management of the incident.</p>	Retain minimum of 15 years after last action, then destroy	
10.7.3		Records relating to investigations and inquiries concerning complaints or breaches of the regulations not resulting in any action. Records include letter of complaint, working notes, routine investigation reports, inspectors' reports, mediation notes, correspondence, etc.	Retain minimum of 5 years after last action, then destroy	
10.7.4		Records relating to the provision of technical advice regarding	Retain minimum of 30	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		subsidence or predictions of subsidence in particular areas	years after last action or after mining operations cease, then destroy	
10.8.0	<b>Land Use Assessment</b>	The process of assessing applications for land use against environmental and planning regulations. Includes undertaking a review of environmental factors associated with proposed developments within the framework of Local Environment Plans (LEP's). Includes providing advice to the consent authority on development applications and accompanying documentation. Includes mapping land for agricultural and mining purposes.		
10.8.1		Original maps created by the agency or annotated maps relating to broad classification of land. Includes land for agricultural purposes. Includes land for access to mineral resources.	Required as State archives	Transfer to State Records 10 years after date of last action
10.8.2		Records relating to assessments undertaken for local councils of development applications and building applications. Includes advice given to others on proposals for development.	Retain minimum of 7 years after last action, then destroy	
10.8.3		Records relating to the negotiation and establishment of joint land use agreements with native title owners.	Required as State archives	Transfer to State Records 10 years after date of last action
10.8.4		Records relating to the provision of advice regarding land use proposals that will impact on the ability to utilise natural resources or on the environment and where the Department objects to the	Required as State archives	Transfer to State Records 10 years after date of last

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		development or which elicit a complex response from the Department. Proposals impacting on resource utilisation include developments such as National Parks, State Forests, Aboriginal sites of significance, critical habitats etc.		action
10.8.5		Records relating to the provision of technical advice regarding subsidence or predictions of subsidence in particular areas.	Retain minimum of 30 years after date of last action, then destroy	
10.8.6		Records relating to data models for subsidence analysis. Data models are retained in the database and updated as new information is received.  Textual information about models and technical assumptions for calculations are documented in the Department's publications relating to subsidence or predictions of subsidence.	Retain until superseded, then destroy	
10.8.7		Field data and technical information collected directly by the Department for analysis and prediction of subsidence in regions. Information is retained within the database until updated by new field data.	Retain minimum of 5 years after data superseded, then destroy	
10.9.0	<b>Planning &amp; Program Development</b>	The activity of planning natural resource, soil, water, waste and weed management programs and services and resource information systems.  Includes determination of services, needs and solutions to those needs.  Includes developing programs designed to achieve organisational		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>objectives or to solve specific problems.</p> <p>Includes reviewing and revising plans through debriefs and meetings.</p> <p>Includes reports on the programs operation.</p> <p>Use DEVELOPMENT, EXPLORATION &amp; TITLES - Allocation for the allocation of mining sites.</p>		
10.9.1		<p>Records relating to the development, establishment, evaluation and reviewing of strategic plans for the management of natural resources and environmental management programs including:</p> <ul style="list-style-type: none"> <li>- reviewing of fishery management for each designated fishing activity</li> <li>- protection of any habitat of fish (habitat protection plans), whether the habitat is essential for the survival of the species or required to maintain harvestable populations of the species to support the sustainability of natural resources associated with primary production systems and protecting the environment.</li> <li>- recovery plans and threat abatement plans for the management of threatened species populations and ecological communities.</li> <li>- plans for the management and protection of aquatic reserves.</li> <li>- plans to support private forestry development such as those associated with the investment process in private plantations.</li> <li>-evaluating, monitoring and reporting on natural resource, soil, water, waste and weed management programs and services and</li> </ul>	Required as State archives	Transfer to State Records 10 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>resource information systems.</p> <p>Includes records of consultation, input into plans, drafts prepared for circulation and comments received, and reporting to Senior management/the Executive in relation to the evaluation, review or overall implementation of the plan and summary reports to Senior management/the Executive of program outcomes.</p>		
10.9.2		<p>Records relating to the development, establishment, implementation and evaluation of operational plans or of programs supporting the management of natural resources and environmental protection.</p> <p>Includes input into plans, comments received and drafts, program management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and routine summary reporting of program implementation.</p>	Retain minimum of 5 years after last action, then destroy	
10.9.3		Records relating to the management/rehabilitation of derelict mine sites. Includes summary records relating to the identification of derelict sites, including location, type of mine and rehabilitation action taken.	Required as State archives	Transfer to State Records 10 years after date of last action
10.9.4		Information resources, including controlled versions of maps, data and reports, that assess and record the nature and occurrence of resources and the scientific data that facilitated the production of the resource.	Required as State archives	Transfer to State Records 10 years after date of last action
10.10.0	<b>Policy</b>	The activity of establishing policy for natural resources management (including soil, water, waste and weed management programs and services and resource information systems) and		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		issues associated with the impact of primary production systems and resource exploitation on the environment.		
10.10.1		Records documenting the development and establishment of policies for managing the sustainability of natural resources associated with primary production systems and protecting the environment.  Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents, national and state policy statements.	Required as State archives	Transfer to State Records 10 years after date of last action
10.10.2		Administrative records relating to policy implementation. Includes internal audits of the implementation, summary timetable schedules and assignment of implementation activities or project schedules.  Includes records relating to the offering of advice by or to the agency concerning the private forestry development.  Includes policy advice on investment in private plantations and other routine operational matters.	Retain minimum of 10 years after implementation, then destroy	
10.11.0	<b>Procedures</b>	The activity of establishing procedures relating to natural resources and environmental management		
10.11.1		Records detailing standard methods of operating for ensuring the sustainability of natural resources associated with primary production systems and protecting the environment.  Includes promoting good management to conserve resource health	Retain minimum of 20 years after last action, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>and ensure the maximum return from investment in conservation.</p> <p>Includes development drafts and final copies. Includes, drafts, consultation, and final documents.</p>		
10.12.0	<b>Research &amp; Development</b>	<p>The activities involved in systematic study directed toward ensuring the sustainability of natural resources associated with primary production systems and protecting the environment.</p> <p>Includes collating information and data in order to develop further knowledge about a subject.</p> <p>Includes analysis of research results.</p> <p>Includes basic or applied research for the purpose of creating new, or for improving existing materials, devices, products or processes.</p> <p>Includes farm and field trials to test outcomes of research activities.</p> <p>Includes applications relating to intensive exploration, bulk sampling, changes to mining or processing procedures.</p> <p>Use LABORATORY SERVICES - ANALYSIS for undertaking analysis for clients, and recording and reporting on results.</p> <p>Use NATURAL RESOURCE &amp; ENVIRONMENTAL MANAGEMENT - Grant Funding for activities related to obtaining funding from external sources.</p>		
10.12.1		Summary records of all research & development projects relating to natural resources or environmental management undertaken by	Required as State	Transfer to State Records 10 years

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		the agency. This includes reports on the outcomes or findings of research projects undertaken or commissioned by the agency.	archives	after date of last action
10.12.2		<p>Records relating to externally or internally funded research and development projects which:</p> <ul style="list-style-type: none"> <li>- have national, State-wide or industry-wide impact</li> <li>- have potential long term impact</li> <li>- impact on broader government policies or national industry standards</li> <li>- are innovative or award winning.</li> </ul> <p>Records include project proposals, field and laboratory results, progress reports, survey results, statistical information, technical information and contractual agreements.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
10.12.3		Records of all other accepted externally or internally funded projects. Records include project proposals, field and laboratory results, progress reports, survey results, statistical information, technical information and contractual agreements.	Retain minimum of 7 years after publication of results, completion of project or expiry of contractual obligations whichever is the longer, then destroy	
10.12.4		Records of project proposals (preliminary and full) where the project did not proceed.	Retain minimum of 3 years after last	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
			action, then destroy	
10.13.0	<b>Standards</b>	The process of developing and implementing industry or organisational benchmarks for ensuring the sustainability of natural resources associated with primary production systems and protecting the environment.		
10.13.1		Records relating to the development of standards for ensuring the sustainability of natural resources or protection of the environment developed by the agency. Includes final versions, consultation and background research.	Required as State archives	Transfer to State Records 10 years after date superceded
10.13.2		Records relating to the implementation of standards from other organisations. Includes input into standards or comments made, program management, schedules, objectives, methodology, evaluation and summary reporting of the implementation process.	Retain minimum of 10 years after last action, then destroy	
11.0.0	<b>PRODUCTION SYSTEMS</b>	<p>The function of improving production performance within primary industries in NSW. Primary industries include agriculture, bee management, aquaculture, forestry, mining and exploration. Includes the provision of industry assistance or structural adjustment programs eg the Forest Industry Structural Adjustment Package (FISAP).</p> <p>Includes research and development in new technologies, services, products and knowledge.</p> <p>Includes extension activities which encourage the adoption of new technologies and development practices through the transfer of knowledge to primary producers.</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>Includes developing education and industry assistance programs in collaboration with government and industry partners.</p> <p>Includes licensing and permits.</p> <p>Also includes managing intellectual property developed through research activities.</p> <p>Use MARKET DEVELOPMENT &amp; SALES for developing new and existing markets, both domestic and export, in which to sell primary produce and resources.</p> <p>Use <i>General Retention and Disposal Authority - Administrative Records - COMMITTEES</i> for committees established and operated to advice on or support the improvement of primary industries e.g. seafood industry advisory council, peak oyster advisory council, aquaculture research advisory council and other stakeholder consultation groups.</p>		
11.1.0	<b>Allocation</b>	<p>The process of assigning public water land for the purpose of aquaculture.</p> <p>Use PRODUCTION SYSTEMS - Authorisation for authorisation of individual companies or persons to undertake the lease operation.</p>		
11.1.1		<p>Records relating to the allocation of public water land for the purpose of aquaculture (the cultivation of freshwater and marine organisms for human consumption or use). Records include research papers, results of consultations, supporting reports, major drafts, maps of allocation.</p>	Required as State archives	Transfer to State Records 20 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
11.1.2		Records relating to the formal allocation of leases for the purpose of aquaculture, including oyster lease allocation at state-wide level.	Retain minimum of 10 years after last action or lapse of lease, whichever is the longer, then destroy	
11.2.0	<b>Authorisation</b>	<p>The process of seeking and granting permission to undertake, by controlled means, activities that will improve production performance within primary industries in NSW.</p> <p>Includes the approval and management of applications and the issue of licenses and permits.</p> <p>Includes the formal or official recording (registering) of items, names or actions required by legislation or regulation.</p> <p>Includes the appointment of inspectors.</p>		
11.2.1		Summary records of aquaculture and oyster leases and aquaculture farming licences. Records include names, location, length of lease, the species of fish or marine vegetation authorised to be cultivated by the permit etc.	Required as State archives	Transfer to State Records when administrative and reference use ceases
11.2.2		Records relating to the issue of licenses or permits for oyster leases and aquaculture to individuals, including the collection of levies for the purpose of aquaculture.	Retain minimum of 10 years after last action after expiry of licence or permit, then	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>Includes applications, approvals, renewals, endorsements, copies of licences, payment receipts, correspondence with the license holder and any supporting material, and the determination of fees and charges for licensing/registration.</p> <p>Includes appeals and decisions, routine correspondence and requirements for contact under legislation when in default.</p>	destroy	
11.2.3		Records relating to unsuccessful applications for permits or licenses. Includes applications, correspondence with the license holder and any supporting material.	Retain minimum of 3 years after last action, then destroy	
11.3.0	<b>Compliance</b>	<p>The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality primary industry production system standards or requirements to which the agency, other organisations or operators are subject.</p> <p>Includes appointing inspectors to ensure compliance with legislation.</p> <p>Includes complying with legislation and with national and international standards.</p> <p>Includes inspecting facilities, equipment and processes to ensure compliance with agreed standards.</p> <p>Includes assessing and monitoring compliance against agreed regulations and standards on an ongoing basis.</p> <p>Includes notifying organisations of changes to compliance requirements.</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		Use <i>General Retention and Disposal Authority - Administrative Records - STRATEGIC MANAGEMENT</i> - Audit for records relating to audits of the organisation's own programs and processes.		
11.3.1		Records relating to inspections for compliance with relevant legislation, regulations and standards applying to aquaculture or fisheries production or operators. Includes the appointment of inspectors for the purpose of monitoring compliance.  Includes scoping documents, audit schedule etc.	Retain minimum of 10 years after last action or after appointment expires, then destroy	
11.3.2		Records of interviews and investigations which do not result in the issue of infringement notices or certification of processes.	Retain minimum of 3 years after last action, then destroy	
11.4.0	<b>Extension</b>	The process of transferring new knowledge and skills to primary producers and resource managers.  Includes a range of communication and learning activities such as demonstrations, forums, visits, seminars, and field days.  Includes advice to organisations, government and the public on issues related to production systems.		
11.4.1		Records relating to development of information resources and to the development and delivery of extension activities such as courses and field days to primary producers on issues related to the improvement of industry performance and production through seminars, literature and advice.	Retain minimum of 7 years after last action or after material withdrawn or superseded, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		Records include master copy of materials, handouts, lists of attendees, promotional materials, displays, fact sheets related to the subject produced for a particular industry or issue.		
11.4.2		Key publications produced addressing management practices and production in primary industries including published monographs, series, etc. directed at improving industry practice or providing information on primary industry sectors or areas of production.	Required as State archives	Transfer to State Records when reference use ceases
11.5.0	<b>Grant Funding</b>	<p>The activities associated with the provision of grants or financial assistance for improving primary industry production performance. Primary industries include agriculture, bee management, aquaculture, forestry, mining and exploration.</p> <p>Includes the provision of financial assistance under industry assistance or structural readjustment programs (eg FISAP).</p> <p>Includes grants to non government community organisations for agriculture and fisheries.</p> <p>Includes administering funding to external bodies in order to implement programs funded by the agency.</p> <p>Includes advertising and promotion of funding programs, receiving and appraising funding proposals, arranging for funds to be released, monitoring the ongoing performance of the funding activity, dealing with breaches of funding conditions and acquittal of funds.</p> <p><i>Use General Retention and Disposal Authority – Financial and Accounting Records - FINANCIAL MANAGEMENT - Accounting for</i></p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		records of financial transactions and the transfer of monies.		
11.5.1		Records relating to the establishment of grant or funding programs administered by the agency to support the improvement of primary industry production systems including the development of funding formulae. This includes relevant ministerial approval of revisions to industry assistance or structural adjustment program funding approval guidelines eg Forest Industry Structural Adjustment Package (FISAP) guidelines.	Required as State archives	Transfer to State Records 20 years after date of last action
11.5.2		Records documenting applications for grant funding for activities or initiatives supporting the improvement of primary industry production systems. Records include application, decisions and outcomes, assessment, approvals (including ministerial approval for assistance that falls outside of grant or funding program guidelines), appeals, copies of agreement, progress reports, periodic financial returns and acquittals and appeals.	Retain minimum of 7 years after last action or grant conditions have been fulfilled, then destroy	
11.5.3		Records relating to enquiries from individuals and organisations regarding primary industry grants or funding programs administered by the agency.	Retain minimum of 2 years after last action, then destroy	
11.6.0	<b>Planning &amp; Program Development</b>	<p>The process of formulating ways in which objectives for improving production performance, including agriculture, aquaculture, forestry, mining and exploration can be achieved.</p> <p>Includes determination of services, needs and solutions to those needs.</p> <p>Includes developing programs designed to achieve organisational</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>objectives or to solve specific problems.</p> <p>Includes reviewing and revising plans through debriefs and meetings.</p> <p>Includes agreements as part of a specific program, e.g. farm trials</p> <p>Includes records relating to external reports and internal reports to the executive on agricultural productivity programs, equipment and services</p>		
11.6.1		<p>Records relating to the development, establishment, evaluation and reviewing of strategic plans to support the improvement of primary industry production performance, including agriculture, bee management, aquaculture and non-native forestry.</p> <p>Includes input into plans, drafts prepared for circulation and comments received, and reporting to Senior management/the Executive in relation to the evaluation, review or overall implementation of the plan and summary reports to Senior management/the Executive of program outcomes.</p>	Required as State archives	Transfer to State Records 10 years after date of last action
11.6.2		<p>Records relating to the development, establishment, implementation and evaluation of operational plans or of programs to support the improvement of primary industry production performance, including agriculture, bee management, aquaculture (including fisheries restocking, fish breeding) and non-native forestry.</p> <p>Includes input into plans, comments received and drafts, program management and agreements between parties involved or participating in the program e.g. farm trials, schedules, delivery</p>	Retain minimum of 7 years after last action or plan superseded, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		methods, contact lists, program objectives, methodology, evaluation and routine summary reporting of program implementation (progress reports, post implementation reviews etc).		
11.6.3		Record of activities associated with the management of agricultural crops and livestock, not involved in research projects, including chemical application to crops.	Retain minimum of 3 years after last action, then destroy	
11.7.0	<b>Policy</b>	The activity of establishing policy governing agricultural productivity programs, projects and services		
11.7.1		Records documenting the development and establishment of policies to support the improvement of production performance within primary industries, including agency input into national or other agency's policies with respect to primary production systems or industry assistance.  Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents, national and state policy statements or advice.	Required as State archives	Transfer to State Records 10 years after date of last action
11.7.2		Administrative records relating to policy implementation. Includes internal audits of the implementation, summary timetable schedules and assignment of implementation activities or project schedules.	Retain minimum of 3 years after implementation, then destroy	
11.8.0	<b>Procedures</b>	Standard methods of operating laid down by an organisation according to formulated production systems and performance policy.		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
11.8.1		Master set of field officers' handbooks or manuals	Required as State archives	Transfer to State Records 10 years after superseded
11.8.2		Master sets of manuals, handbooks, directives, other than field officers' handbooks or manuals, etc relating to the promotion of or provision of assistance and guidance to primary industries.	Retain minimum of 10 years after superseded, then destroy	
11.8.3		Records relating to the development of procedures supporting the activities within production systems.	Retain minimum of 3 years after last action, then destroy	
11.9.0	<b>Research &amp; Development</b>	<p>The activities involved in systematic study of production performance, including agriculture, aquaculture, forestry, mining and energy [exploration] directed toward more complete knowledge or understanding of the subject studied.</p> <p>Includes collating information and data in order to develop further knowledge about a subject.</p> <p>Includes analysis of research results.</p> <p>Includes basic or applied research for the purpose of creating new, or for improving existing materials, devices, products or processes.</p> <p>Includes farm and field trials to test outcomes of research activities.</p> <p>Includes specialist geoscientific research in new areas or new</p>		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		technologies		
11.9.1		Summary records of all research and development projects relating to primary industry production systems and production improvement undertaken by the agency. This includes reports on the outcomes or findings of research projects undertaken or commissioned by the agency.	Required as State archives	Transfer to State Records 10 years after date of last action
11.9.2		Records relating to acquisition and management of genetic material for research purposes.	Required as State archives	Transfer to State Records when administrative and reference use ceases
11.9.3		<p>Records relating to externally or internally funded research and development projects which:</p> <ul style="list-style-type: none"> <li>- have national, State-wide or industry-wide impact</li> <li>- have potential long term impact</li> <li>- impact on broader government policies or national industry standards</li> <li>- are innovative or award winning.</li> </ul> <p>Records include project proposals, field and laboratory results, progress reports, survey results, statistical information, technical information, contractual agreements and research reports.</p>	Required as State archives	Transfer to State Records 10 years after date of last action

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
11.9.4		Bio-safety Ethics records of assessment and approval of research, includes GM (genetically modified plants and organisms) research.	Required as State archives	Transfer to State Records 10 years after date of last action
11.9.5		Records of all other accepted externally or internally funded projects.  Records include project proposals, field and laboratory results, progress reports, survey results, statistical information, technical information and contractual agreements.  Includes research and development for the manufacturing of agricultural equipment	Retain minimum of 7 years after publication of results, completion of project or expiry of contractual obligations whichever is the longer, then destroy	
11.9.6		Records of project proposals (preliminary and full) where the project did not proceed.	Retain minimum of 3 years after last action, then destroy	
11.10.0	<b>Standards</b>	The process of developing and implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of an organisation.		
11.10.1		Records relating to standards for production methods or systems developed by the agency (or where the agency had significant input) for implementation by primary industry producers eg farmers, growers, fisheries.	Required as State archives	Transfer to State Records 10 years after date of last action
11.10.2		Records relating to the implementation of standards from other organisations. Includes input into standards implementation	Retain minimum of 5 years after last	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		programs or comments made, program management, schedules, objectives, methodology, evaluation and summary reporting of the implementation process.	action, then destroy	
12.0.0	<b>PROPERTY, INFRASTRUCTURE &amp; ASSETS</b>	The function of acquisition, design, construction, conservation and disposal of purpose-built, specialised premises supporting core functions or with unique design features, e.g. laboratories.		
12.1.0	<b>Construction</b>	The process of making, erecting, renovating or restoring a structure or environs. Includes maintenance work involving structural changes.  Use General Retention and Disposal Authority - Administrative records - PROPERTY MANAGEMENT for records of property and construction related to buildings for staff to occupy.		
12.1.1		Records relating to the construction and design of purpose built facilities for primary industries of state or industry significance or with unique features e.g. some laboratories or ecological design prototypes.	Required as State archives	Transfer to State Records 10 years after date of last action
13.0.0	<b>ROYALTY MANAGEMENT</b>	The function of collecting and distributing royalty payments in the form of fixed fees or a percentage of revenues.  Includes payments received against granting the right to exploit natural and mineral resources.  Includes payments received for use of or the right to use intellectual rights, including, copyright, patents, designs, industrial secrets, trademarks and trade names, know-how, trade and business secrets, goodwill, and payments received against the use		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		of information related to industrial, commercial or scientific expertise.  <i>Use General Retention and Disposal Authority - Administrative Records - STRATEGIC MANAGEMENT – Intellectual property for managing intellectual property arrangements.</i>		
13.1.0	<b>Disbursements</b>	The process of disbursing royalties and issue of payment, assessing data to determine payments to private mineral owners.		
13.1.1		Records of initial determinations, amendments and Departmental interpretations of entitlements for mineral rights	Required as State archives	Transfer to State Records 10 years after date of last action
13.1.2		Records of summary transactions and statistics on royalties collected and distributed annually.	Required as State archives	Transfer to State Records 10 years after date of last action
13.1.3		Records relating to collecting royalty payments, payments made to private landowners in compensation for the conduct of mining activities,  Includes banking, reconciliation and adjustments, debtors records.  Includes mining entities annual details of extracted quantities of minerals from within the State.  Includes correspondence with NSW Treasury regarding Crown Land royalties and annual renewal of ownership taken from Land Titles	Retain minimum of 7 years after date of audit, then destroy	

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		records		
13.1.4		Records relating to returns on construction materials (sand, gravel) and export data (coal, shipping)	Retain minimum of 5 years after date of audit, then destroy	
13.2.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined for royalty management.		
13.2.1		Records documenting the development and establishment of policies to support the setting of Royalty rates. Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents, national and state policy statements.	Required as State archives	Transfer to State Records 10 years after date of last action
13.3.0	<b>Procedures</b>	Standard methods of operating laid down by an organisation according to formulated policy to facilitate the processes of royalty management.		
13.3.1		Records relating to the development of procedures supporting the activities and processes for developing, setting and managing royalties.	Retain minimum of 5 years after last action, then destroy	
14.0.0	<b>STATUTORY BOARDS &amp; COMMITTEE MANAGEMENT</b>	The function of managing statutory boards or committees established under legislation.  Includes Rice Marketing Board, Wine Grapes Marketing Board and		

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
		the Grains Board  <i>Use General Retention and Disposal Authority - Administrative Records - GOVERNING BODIES or COMMITTEES for records relating to meetings, decisions, nomination and appointment of non elected members, disclosure and recording of their pecuniary interests and arrangements for the payment of remuneration and other allowances etc.</i>		
14.1.0	<b>Membership (Elections &amp; Polls)</b>	The activities associated with managing elections and polls for membership of statutory boards or committees , the.		
14.1.1		Petitions and Producers voting rolls	Required as State archives	Transfer to State Records 10 years after date of last action
14.1.2		Records relating to the election of industry or other representatives to governing bodies or committees. Includes records relating to the conduct and arrangements for election, including ballot papers, eligibility lists and the counting of votes.	Retain minimum of 6 months after finalisation of appointment or after expiry of appeal periods or processes, whichever is the longer, then destroy	
15.0.0	<b>PRE 1900 RECORDS</b>			
15.1.0	<b>Primary industry</b>			

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

## Primary industries assistance, regulation and development

Authority no: FA258

Dates of coverage: 1876+

No	Function/Activity	Description	Disposal Action	Custody*
	<b>records</b>			
15.1.1		Records predating 1900 which relate to government activities in the regulation and development of primary industries (including mining, fisheries, forestry or agriculture), providing primary industry education, training, assistance and advice, and undertaking research.	Required as State archives	Transfer to State Records if no longer required for administrative purposes

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