

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA314**

This authority covers records documenting the function of environmental and natural resources protection, conservation and sustainability

Issued to Office of Environment and Heritage and Department of Trade, Investment, Regional Infrastructure and Services

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** FA314

**SR file no** 07/0734

**Scope**

This functional retention and disposal authority covers records documenting the function of environmental and natural resources protection, conservation and sustainability.

**Public office**

Office of Environment and Heritage and Department of Trade, Investment, Regional Infrastructure and Services

**Approval date**

Alan Ventress  
Director

State Records Authority of New South Wales

28/10/2011

Date

## About the Functional Retention and Disposal Authority

### Purpose of the authority

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

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

### The retention and disposal of State records

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

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

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

## **Implementing the authority**

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

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

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see also the *General Retention and Disposal Authority – 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, formal applications for access) where the records may be required as evidence.

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

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

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

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

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

### **Custody**

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

recommendation to retain records in the organisation for more than 25 years does not imply that a *still in use determination* (see Part 4, Section 28 of the *State Records Act 1998*) or that a distributed management agreement (see Part 4, Section 30 of the *State Records Act 1998*) has been approved by State Records. Advice on arrangements for managing and transferring State archives can be obtained from State Records.

### **Administrative change**

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

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

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

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

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

### **Contact Information**

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

**Functional Retention and Disposal Authority**  
**Environmental and natural resources protection, conservation and sustainability (Office of Environment and Heritage and Department of Trade, Investment, Regional Infrastructure and Services)**

Authority number: FA314

Dates of coverage: Open

List of Functions and Activities covered

Reference	Function	Activity	Page
1.0.0	ASSET MANAGEMENT		11
1.1.0		Acquisition	11
2.0.0	CATCHMENT MANAGEMENT		12
2.1.0		Agreements	12
2.2.0		Authorisation	13
2.3.0		Landcare program coordination	13
2.4.0		Service provision	14
3.0.0	CLIMATE CHANGE POLICY FRAMEWORK		15
3.1.0		Advice	15
3.2.0		Assessments	16
3.3.0		Auditing	17
3.4.0		Planning	17
3.5.0		Policy	18
3.6.0		Programs	19



## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

List of Functions and Activities covered
--

Reference	Function	Activity	Page
4.0.0	EDUCATION AND TRAINING		20
4.1.0		Accreditation	21
5.0.0	ECOSYSTEM CONSERVATION		21
5.1.0		Agreements	22
5.2.0		Modelling	23
5.3.0		Strategies	24
6.0.0	ENVIRONMENTAL IMPACT ASSESSMENTS		24
6.1.0		Registration	25
7.0.0	ENVIRONMENTAL PLANNING STRATEGIES		26
7.1.0		Exhibitions	26
8.0.0	GEOGRAPHICAL INFORMATION MANAGEMENT		27
8.1.0		Acquisition	27
8.2.0		Consultancy services	28
8.3.0		Maps and Plans	28
8.4.0		Surveying	29

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

### List of Functions and Activities covered

Reference	Function	Activity	Page
9.0.0	LAW ENFORCEMENT		30
9.1.0		Compliance	30
10.0.0	LICENSING AND PERMITS		30
10.1.0		Authorisation	30
11.0.0	SOIL AND LAND MANAGEMENT		31
11.1.0		Advice	32
11.2.0		Assessments	32
11.3.0		Enquiries	33
11.4.0		Liaison	34
11.5.0		Modelling	34
11.6.0		Monitoring (resources)	35
11.7.0		Planning	36
11.8.0		Policy	36
11.9.0		Projects and programs	37
11.10.0		Reporting	38

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

List of Functions and Activities covered
--

Reference	Function	Activity	Page
11.11.0		Research	38
11.12.0		Reviewing	39
11.13.0		Standards	40
12.0.0	SUSTAINABILITY FRAMEWORKS		41
12.1.0		Agreements	41
12.2.0		Monitoring	42
12.3.0		Planning	43
12.4.0		Policy	44
12.5.0		Procedures	44
12.6.0		Reporting	45
12.7.0		Reviewing	45
12.8.0		Standards	46
12.9.0		Tool development	47
13.0.0	WATER MANAGEMENT		47
13.1.0		Liaison	49

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

List of Functions and Activities covered

Reference	Function	Activity	Page
13.2.0		Reviewing	49

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No	Function/Activity	Description	Disposal Action	Custody*
1.0.0	<b>ASSET MANAGEMENT</b>	<p>The function of managing the capital assets of the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PROPERTY MANAGEMENT</b> for records relating to the management of land or built assets.</p>		
1.1.0	<b>Acquisition</b>	<p>The process of gaining ownership or use of property and items through purchase, donations, requisitions, lease or other means.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>WATER MANAGEMENT - Planning</b> for records relating to policy for and decisions about purchasing water licenses for environmental purposes.</p> <p>See Functional Retention and Disposal Authority <i>Department of Water and Energy</i> <b>WATER MANAGEMENT - Licensing</b> for records relating to assessments and granting of water licenses.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records relating to development of water sharing plans and Government agreements for purchasing water licenses for environmental purposes.</p>		
1.1.1		Records relating to the acquisition of water licenses. Records include negotiations relating to the terms and conditions for acquisition of the licence, certificates or conditions of title.	Retain minimum of 10 years after expiry or	

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

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No	Function/Activity	Description	Disposal Action	Custody*
<i>CATCHMENT MANAGEMENT</i>				
			termination of licence, then destroy	
2.0.0	<b>CATCHMENT MANAGEMENT</b>	<p>The function of assessing the needs and resources of a catchment area and providing administrative and in-kind support to agencies and programs responsible for Catchment Management.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> for records relating to the assessment of the needs and resources of a catchment area, including records relating to the allocation of grants and financial support and input into the development of targets and standards, and for records relating to zoning or development proposals.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to the formation, meetings and decisions of committees, task forces and working groups, such as coastal or floodplain management committees</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>WATER MANAGEMENT - Assessment</b> for records relating to the assessment and analysis of water usage.</p>		
2.1.0	<b>Agreements</b>	The activities associated with the establishment, maintenance, review, negotiation and implementation of formal agreements relating to catchment management.		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

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No	Function/Activity	Description	Disposal Action	Custody*
<i>CATCHMENT MANAGEMENT - Agreements</i>				
2.1.1		Records relating to inter-agency and inter-governmental agreements on responsibilities for and compliance and performance monitoring of water and natural resource management in catchment areas, includes agreements relating to the management or utilisation of resources such as surface water extraction agreements between States. Records include correspondence, notes of meetings with stakeholders and parties to the agreement, drafts containing significant changes or alterations, final versions of agreements.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
2.2.0	<b>Authorisation</b>	The approval or authorisation of activities or processes.  See Functional Retention and Disposal Authority <i>Environment and Conservation</i> for records relating to the assessment of zoning or development proposals within catchment areas		
2.2.1		Records relating to ministerial approvals for the setting of contribution rates for developments within catchment areas. Records include briefs, submissions, correspondence, negotiations with local government, developers and catchment authorities, policy advice, calculations.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
2.3.0	<b>Landcare program coordination</b>	Activities associated with the co-ordination of community-based land care and conservation programs.  See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> for records relating to reporting on, the evaluation or review of and provision of financial support to Landcare and other community based		

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## Environmental and natural resources protection, conservation and sustainability

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<i>CATCHMENT MANAGEMENT - Landcare program coordination</i>				
		<p>conservation projects</p> <p>See Functional Retention and Disposal Authority <i>National Parks and Wildlife Service</i> for records relating to land care programs in national parks</p>		
2.3.1		Records relating to the co-ordination of joint activities with non-government agencies, such as Landcare Australia, to support and promote programs and initiatives to preserve natural resources and the environment. Includes resources and registers developed to support and facilitate the management or coordination of projects.	Retain minimum of 20 years after action completed, then destroy	
2.4.0	<b>Service provision</b>	<p>Activities relating to the provision of support to and liaison with other organisations involved in or responsible for the management of programs or activities within catchment areas. Includes agencies such as Catchment Management Authorities (CMA), Water Trusts, and the Natural Resources Commission. Includes provision of administrative or corporate support services.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNING BODIES</b> for records relating to the selection, appointment and service of board members</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to appointments or involvement in committee selection processes</p> <p>See General Retention and Disposal Authority <i>Personnel records</i> <b>PERSONNEL</b> for records relating to the recruitment and appointment of senior personnel</p>		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

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No	Function/Activity	Description	Disposal Action	Custody*
<i>CATCHMENT MANAGEMENT - Service provision</i>				
2.4.1		Records relating to the provision of corporate and administrative support services to government bodies, such as the Catchment Management Authorities, Natural Resources Commission, Environmental or Water Trusts, etc. Includes records relating to providing administrative or corporate support services for management of staff, training and development, information distribution and publications, website development, liaison and networking support.	Retain minimum of 10 years after action completed, then destroy	
3.0.0	<b>CLIMATE CHANGE POLICY FRAMEWORK</b>	The function of providing whole-of-government co-ordination for monitoring and responding to the impact of climate change and reducing greenhouse gas emissions. Includes policy development, intergovernment liaison and co-ordinating NSW Government responses to national or inter state initiatives.		
3.1.0	<b>Advice</b>	<p>The activities associated with offering opinions and advice to the Minister, executive, public and other government agencies.</p> <p>See <b>CLIMATE CHANGE POLICY FRAMEWORK - Assessments</b> for proposals or recommendations arising from research</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>COMMUNITY EDUCATION</b> for records relating to the provision of community education and information on climate change.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>GRANTS AND FUNDING - Enquiries</b> for advice provided to the public about grants,</p>		

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## Environmental and natural resources protection, conservation and sustainability

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No	Function/Activity	Description	Disposal Action	Custody*
<i>CLIMATE CHANGE POLICY FRAMEWORK - Advice</i>				
		<p>applications and rebates entitlements for energy and water conservation.</p> <p>See Functional Retention and Disposal Authority <i>Department of Water and Energy</i> <b>FINANCIAL ASSISTANCE - Applications</b> for records relating to applications for grants or loans to protect or improve natural resources.</p>		
3.1.1		Records relating to the provision of policy advice to government on developments, issues or practices relating to climate change. Includes co-ordination of national and state government responses to proposed schemes or targets, and incentives for re-newable energy sources. Records include briefings, submissions, proposals for policy initiatives and intergovernmental liaison.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
3.1.2		Records relating to the provision of advice to other sections of the organisation, to management or other government agencies on adopted climate change policy and its implementation. Includes advice which is based on published data or relating to interpretation of policy.	Retain minimum of 15 years after action completed, then destroy	
3.1.3		Records relating to the provision of routine advice to the public on climate change policy and implementation. Includes general advice on programs, etc.	Retain minimum of 10 years after action completed, then destroy	
3.2.0	<b>Assessments</b>	The assessment of potential impacts of climate change.		
3.2.1		Records relating to research into the impacts of climate change and the development of potential responses. Records include baseline data used for modelling, research findings	Required as State archives	

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

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No	Function/Activity	Description	Disposal Action	Custody*
<i>CLIMATE CHANGE POLICY FRAMEWORK - Auditing</i>				
		or predictions as to changes and their impact and proposals or recommendations for responding.		
3.3.0	<b>Auditing</b>	<p>Activities relating to the receipt and collation of data from environmental audits.</p> <p>See <b>CLIMATE CHANGE POLICY FRAMEWORK - Programs</b> for reporting on State wide results (such as under the State plan) and reporting federal government for national accounts</p> <p>See <b>SUSTAINABILITY FRAMEWORKS - REVIEWING</b> for reports submitted by building assessors on the environmental performance of buildings and sites</p>		
3.3.1		Records relating to the collection of building, premise, or workplace auditing data under greenhouse or environmental performance rating schemes. Records include data, models, charts, analysis, progress reports.	Retain minimum of 10 years after action completed, then destroy	
3.4.0	<b>Planning</b>	The processes of formulating ways in which objectives can be achieved. Includes the determination of services, needs and solutions to those needs.		
3.4.1		Records relating to development and implementation of plans or strategies for minimising the impact of, adapting to, or reducing the rate of climate change, where the agency has significant input, is the lead agency, or develops the plan. Records include final approved versions of plans, background research, notes of meetings or reports analysing issues and the outcome of consultations with the public and industry stakeholders, submissions.	Required as State archives	Retain minimum of 10 years after superseded, then transfer

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>CLIMATE CHANGE POLICY FRAMEWORK - Planning</i>				
3.4.2		Records relating to the development of plans and strategies concerning climate change policy or strategies where the agency has minor or no input into strategies.	Retain minimum of 10 years after action completed, then destroy	
3.5.0	<b>Policy</b>	<p>Activities associated with the development, review and/or implementation of international, national and state climate change policies.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>LICENSING AND PERMITS - Trading schemes</b> for records relating to the operation of emission reduction trading schemes</p>		
3.5.1		Records relating to the development and implementation of State-wide policies to address or respond to the impacts of climate change. This includes policies relating to the reduction of emissions across various sectors or policy responses to address or mitigate the impact of climate change. Records include final approved versions of policies, research results, findings or projections, submissions and notes of meetings or reports analysing issues and outcomes of consultation (industry, public, other stakeholder), reports on the outcomes of programs or projects implemented to support the policy.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
3.5.2		Records relating to arrangements and administrative planning for the consultation processes supporting the development of climate change policies. Records include notices, strategies or plans for consultation, contact lists.	Retain minimum of 5 years after action completed, then destroy	

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

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No	Function/Activity	Description	Disposal Action	Custody*
<i>CLIMATE CHANGE POLICY FRAMEWORK - Programs</i>				
3.6.0	<b>Programs</b>	<p>Activities associated with the co-ordination and implementation of policies, strategies and plans for monitoring and responding to the impact of climate change. This includes initiatives targeting greenhouse gas reduction and programs to engage or support other state and local government agencies to implement measures.</p> <p>See <b>CLIMATE CHANGE POLICY FRAMEWORK - Advice</b> for findings of reviews of the economic impacts of proposed national initiatives or schemes</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>GRANTS AND FUNDING - Programs</b> for records relating to programs implemented by other agencies that are supported by funding from the agency</p> <p>See Functional Retention and Disposal Authority <i>Environment and Conservation</i> <b>LICENSING AND PERMITS - Trading schemes</b> for records relating to emission reduction trading schemes.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>NATURAL RESOURCES MANAGEMENT - Programs</b> for records relating to programs to improve the sustainable use of natural resources.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>WATER MANAGEMENT - Programs</b> for records relating to programs to improve</p>		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>CLIMATE CHANGE POLICY FRAMEWORK - Programs</i>				
		<p>water quality, usage and distribution.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Inquiries</b> for responses or submissions by the agency to formal government inquiries.</p>		
3.6.1		Records relating to the management, evaluation and review of programs initiated to respond to or reduce the impact of climate change, e.g. abatement or emission reduction schemes or programs aimed at industry, producers, business or consumers. Records include program objectives, statements of methodology, reports relating to the evaluation or review of outcomes and effectiveness.	Required as State archives	
3.6.2		Records relating to periodic reviews of schemes or programs aimed at emission reduction or abatement. Records include responses and reviews of the initiatives in other jurisdictions and of programs operated by other government agencies.	Retain minimum of 10 years after action completed, then destroy	
3.6.3		Records relating to the coordination of programs initiated to respond to or reduce the impact of climate change. Records include project management records, schedules, arrangements, delivery methods and contact lists.	Retain minimum of 5 years after action completed, then destroy	
4.0.0	<b>EDUCATION AND TRAINING</b>	<p>The function of developing and implementing training and education programs for industry or the general community.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>COMMUNITY EDUCATION - Training</b> for records relating to provision of industry training</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>EDUCATION AND TRAINING - Accreditation</i>				
4.1.0	<b>Accreditation</b>	<p>Activities associated with the administration of accreditation programs.</p> <p>See <b>SUSTAINABILITY FRAMEWORKS - REVIEWING</b> for reports submitted by building assessors on the environmental performance of buildings and sites</p>		
4.1.1		Records relating to successful applications for building assessor accreditation. Records include summary data on individuals who achieve accreditation (ID number, contact details, date of registration, date of expiry or termination), applications, qualifications and renewals.	Retain minimum of 10 years after accreditation expires, then destroy	
4.1.2		Records relating to unsuccessful applications for building assessor accreditation.	Retain minimum of 2 years after action completed, then destroy	
5.0.0	<b>ECOSYSTEM CONSERVATION</b>	<p>The function of conserving and protecting ecosystems, including patterns of vegetation with associated animal populations, the promotion of ecosystem health and the regulation of the environmental processes that influence ecosystems.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>BIODIVERSITY &amp; ECOSYSTEMS CONSERVATION</b> for records relating to data collection, monitoring, planning and the management of programs targeting issues for improvement</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Joint ventures</b> for</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>ECOSYSTEM CONSERVATION - Agreements</i>				
		<p>records relating to joint venture arrangements with other organisations supporting the conservation of ecosystems</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>ENVIRONMENTAL IMPACT ASSESSMENTS - Assessments</b> for records relating to the assessment of the environmental impact of proposed developments</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>[under relevant function] - Planning, Programs or Reporting</b> for records of conservation activities for the preservation, protection, maintenance, restoration and enhancement of lakes, estuaries, foreshores and rivers</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>[under relevant function] - Consultation</b> for records of consultation with professional associations, local community and conservation groups and stakeholders.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>NATURAL RESOURCES MANAGEMENT - Monitoring</b> for records of coastal, estuary and floodplain monitoring, including floodplain risk assessments, salinity reports and photographs</p>		
5.1.0	<b>Agreements</b>	Activities associated with the establishment, maintenance, review, negotiation and the agency's implementation of formal agreements.		

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



## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>ECOSYSTEM CONSERVATION - Agreements</i>				
5.1.1		Records relating to the negotiation of inter-agency service level agreements or memoranda of understanding concerning responsibilities for the undertaking of conservation activities or maintenance of infrastructure to support the preservation of lakes, foreshores, coastal regions, floodplains, etc. Records include correspondence and negotiations, drafts containing significant changes/alterations, final, approved copies of agreements, reviews of agreements, service level agreements and memorandum of understanding.	Retain minimum of 20 years after expiry or termination of agreement, then destroy	
5.2.0	<b>Modelling</b>	<p>The processes involved in designing, testing, and evaluating sample model profiles of coastal, estuary, floodplain and other landscape systems.</p> <p>See <b>GEOGRAPHICAL INFORMATION MANAGEMENT - Acquisition</b> for data models on floodplains, native vegetation patterns and riverflows</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>NATURAL RESOURCES MANAGEMENT - Monitoring</b> for baseline data on floodplains, rivers and riverflows that is not replicated elsewhere</p>		
5.2.1		Records relating to the use of models and adjustment to models used to interrogate data associated with ecosystem conservation that is used for the compilation of reports and analyses of results. Records include tables, charts and simulation programs.	Retain minimum of 3 years after superseded, then destroy	

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>ECOSYSTEM CONSERVATION - Strategies</i>				
5.3.0	<b>Strategies</b>	<p>The activities relating to the development of plans to achieve ecosystem conservation within a given timeframe. Plans are required to be developed for lakes, estuaries and flood prone land. Includes State strategies for future development and land use.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>ECOSYSTEM CONSERVATION - Programs</b> for records of ecosystem conservation programs</p>		
5.3.1		<p>Records relating to plans for ecosystem conservation where the agency is the lead agency, has significant input or makes submissions to other agencies towards the development of strategies. Includes coastal development strategies, agency input on building codes for flood prone lands, industry impact strategy e.g. pulp and paper industry, erosion and sediment impact control, flood mitigation strategies, blue green algal management in waterways. Records include research and analysis, submissions, reports, final copies of plans, consultations with stakeholders and local community, policy development and implementation plans.</p>	Required as State archives	Retain minimum of 10 years after action completed, then transfer
6.0.0	<b>ENVIRONMENTAL IMPACT ASSESSMENTS</b>	<p>The assessment of development applications to determine the probable environmental impact of the proposed development.</p> <p>See <b>LICENSING AND PERMITS</b> for records relating to applications for approval or permission to undertake regulated works or activities within catchment management areas, on foreshores, rivers or coastal areas or impacting on</p>		

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>ENVIRONMENTAL IMPACT ASSESSMENTS - Registration</i>				
		<p>native vegetation</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>ENVIRONMENTAL IMPACT ASSESSMENTS or ENVIRONMENTAL PLANNING STRATEGIES</b> for records relating to agency input into or comment on planning instruments or development applications.</p> <p>See Functional Retention and Disposal Authority <i>Department of Water and Energy</i> <b>WATER MANAGEMENT</b> for records relating to approvals to undertake regulated activities around water sources and applications for licenses to undertake rivers or foreshores improvement works.</p>		
6.1.0	<b>Registration</b>	Activities relating to the registration of development proposals, concurrence applications and planning instruments submitted to the agency.		
6.1.1		Summary records or registers of development consents or planning instruments where the agency is the consent authority or the Minister is responsible for recordkeeping, such as clearing of land, landuse, forestry approvals, native vegetation plans, property vegetation plans, and development consents approved by Catchment Management Authorities. Details recorded may include identification numbers, location, description, parties, conditions of consent/duration of authorisation, date, record of agency decisions.	Required as State archives	
6.1.2		Summary records of concurrences, development applications and planning instruments referred to the agency for	Retain minimum of 20 years after	

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>ENVIRONMENTAL PLANNING STRATEGIES</i>				
		comment where the agency is not the consent authority. Detail recorded may include identification numbers, location, description, parties, conditions of consent/duration of authorisation, date, record of agency decisions.	assessment or action completed, then destroy	
7.0.0	<b>ENVIRONMENTAL PLANNING STRATEGIES</b>	<p>The development of planning instruments and strategies for environmental and ecologically sustainable development.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records of meetings of committees, taskforces, working groups, panels etc (includes internal and external groups, private, local, intergovernmental, interdepartmental etc)</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>ENVIRONMENTAL PLANNING STRATEGIES</b> for records relating to the development of planning instruments, policies, programs and strategies</p>		
7.1.0	<b>Exhibitions</b>	<p>The activities associated with mounting displays for the purpose of informing the public of proposed developments, plans, etc, and/or to seek public comment.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>[under relevant function] - Consultation</b> for records relating to submissions or comments received on proposed developments, plans of management, etc.</p>		
7.1.1		Records relating to the publicising and management of exhibitions as part of public consultation on the development	Retain minimum of 7 years after action	

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>GEOGRAPHICAL INFORMATION MANAGEMENT</i>				
		of plans of management, regional environmental plans and strategies, etc. Records include venue arrangements, exhibition brief and design, and exhibition advertisements and notices.	completed, then destroy	
8.0.0	<b>GEOGRAPHICAL INFORMATION MANAGEMENT</b>	<p>The processes associated with the acquisition and management of data that supports the production of information resources such as soil and vegetation maps, and associated reports and end products. Includes management of data sets.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>CONTRACTING-OUT</b> for records relating to the acquisition of services through a contracting out or outsourcing process</p>		
8.1.0	<b>Acquisition</b>	<p>The process of gaining ownership or use of property and items required in the conduct of business through purchase, donations, requisitions, lease or other means.</p> <p>See <b>GEOGRAPHICAL INFORMATION MANAGEMENT - Maps and Plans</b> for the actual records acquired in this process.</p>		
8.1.1		<p>Records relating to the acquisition of aerial photographs, satellite images and other visual data or spatial information used for monitoring vegetation, soil and landuse patterns or to support the production of information resources, such as maps and plans. Records include:</p> <ul style="list-style-type: none"> <li>• Quotes</li> </ul>	Retain minimum of 7 years after action completed, then destroy	

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>GEOGRAPHICAL INFORMATION MANAGEMENT - Consultancy services</i>				
		<ul style="list-style-type: none"> <li>• Agreement negotiations</li> <li>• Draft and final agreements</li> <li>• Reviews of agreements.</li> </ul>		
8.2.0	<b>Consultancy services</b>	The function of competing for external contracts for the provision of services. This includes identification of contract opportunities, creating strategic alliances with other organisations, and responding to tenders.		
8.2.1		Records relating to successful offers to provide spatial information and mapping services to clients. Records include requests for service, bid proposals, supporting documentation, notifications, draft and final contract.	Retain minimum of 7 years after action completed, then destroy	
8.2.2		Records relating to unsuccessful offers to provide spatial information and mapping services to clients. Records include requests for service, bid proposals, notifications etc.	Retain minimum of 2 years after action completed, then destroy	
8.3.0	<b>Maps and Plans</b>	<p>The activity associated with producing or managing maps and plans showing physical features of a space.</p> <p>See <b>GEOGRAPHICAL INFORMATION MANAGEMENT - Soil surveys and mapping</b></p> <p>See Functional Retention and Disposal Authority <i>Water resources management</i> <b>WATER MANAGEMENT - Maps and plans</b> for maps and plans of irrigation schemes</p>		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>GEOGRAPHICAL INFORMATION MANAGEMENT - Maps and Plans</i>				
8.3.1		Maps, plans and charts produced or commissioned by the organisation. Includes maps, plans and charts documenting the condition, capabilities, types and properties of soil, vegetation or patterns of landuse of various locations.	Required as State archives	
8.3.2		Aerial photographs, satellite images and other visual or spatial data used for monitoring vegetation, soil and landuse patterns or for the production of maps, plans and images. Records include photographs, images, data, survey results, field books, scientific and technical assessments of soil.	Retain in agency	
8.3.3		Records relating to requests for the production of maps, and plans and derivative products such as interpretative reports, charts and diagrams.	Retain until reference use ceases, then destroy	
8.4.0	<b>Surveying</b>	The activity associated with measuring dimensions, distances, elevations, directions and angles for construction layouts, to establish the extent, form or boundaries of land, or for the development of maps, plans and drawings.		
8.4.1		Records relating to survey work carried out to support the production of maps, charts and plans or the capture of data for soil condition. Records include work requests, field books, notes and recorded field observations, site investigations, survey calculation books, scientific and technical assessments of soil etc.	Retain in agency	
8.4.2		Records relating to survey reports and soil analysis and research findings. Records include compiled data sets, survey, technical and statistical reports and results.	Required as State archives	Retain until reference use ceases, then

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>LAW ENFORCEMENT</i>				
				transfer
9.0.0	<b>LAW ENFORCEMENT</b>	The function of regulating illegal activities.		
9.1.0	<b>Compliance</b>	<p>The activities associated with ensuring compliance with legislative or regulatory requirements.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>LAW ENFORCEMENT - Investigations or Prosecution</b> for records relating to investigations and prosecutions conducted in response to a complaint or incident</p>		
9.1.1		Records relating to audits of properties to ensure protection of native vegetation from unauthorised clearing that do not lead to investigation or prosecution. Includes periodic inspections of facilities, places, items.	Retain minimum of 10 years after action completed, then destroy	
10.0.0	<b>LICENSING AND PERMITS</b>	The function of providing formal authorisation to undertake regulated works or activities.		
10.1.0	<b>Authorisation</b>	<p>The process of receiving and assessing applications for permission to undertake activities which require permission.</p> <p>See Functional Retention and Disposal Authority <i>Environment and Conservation</i> <b>LICENSING AND PERMITS - APPLICATIONS AND RENEWALS</b> 18.2.1 for records relating to approvals to undertake works or activities under Environmental Protection legislation.</p> <p>See Functional Retention and Disposal Authority <i>Water and Energy</i> <b>WATER MANAGEMENT - AUTHORISATION</b> 4.2.1</p>		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>LICENSING AND PERMITS - Authorisation</i>				
		<p>for records relating to approvals to undertake regulated activities around water sources.</p> <p>See Functional Retention and Disposal Authority <i>Water and Energy</i> <b>WATER MANAGEMENT - Licensing</b> 4.8.3 for records relating to applications for licenses to undertake rivers or foreshores improvement works.</p>		
10.1.1		Records relating to applications for approval or permission to undertake regulated works or activities within catchment management areas, on foreshores, rivers or coastal areas or impacting on native vegetation.	Retain minimum of 10 years after consent or approval expires or is terminated, then destroy	
11.0.0	<b>SOIL AND LAND MANAGEMENT</b>	<p>The function of managing, protecting and improving the condition of soil.</p> <p>See <b>GEOGRAPHICAL INFORMATION MANAGEMENT</b> for mapping and surveys</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>COMMUNITY EDUCATION</b> for records relating to education and awareness raising programs and activities</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>ENVIRONMENTAL IMPACT ASSESSMENTS</b> for records relating to advice on proposed developments and development applications</p> <p>See Functional Retention and Disposal Authority <i>Department</i></p>		

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SOIL AND LAND MANAGEMENT - Advice</i>				
		<p><i>of Environment and Conservation</i> <b>LAW ENFORCEMENT</b> for records relating to compliance monitoring of regulated activities</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Joint ventures</b> for records relating to establishment and monitoring of strategic alliances with other organisations relating to soil and land management</p>		
11.1.0	<b>Advice</b>	The activities associated with offering opinions and advice to the Minister, executive, public and other government agencies.		
11.1.1		Records relating to the provision of advice to the minister, executive, public and other government agencies on policy developments, proposed strategies, initiatives, issues or innovative practices relating to soil and land management.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
11.1.2		Records relating to relating to the provision of advice to other government agencies and sections within the organisation on matters such as soil erosion prevention and salinity avoidance practices and remedial measures and to the provision of technical advice to landholders.	Retain minimum of 10 years after action completed, then destroy	
11.2.0	<b>Assessments</b>	<p>The assessment and analysis of the impact of soil and land management practices (such as by agriculture, mining and human settlement) on particular landscapes or regions.</p> <p>See <b>GEOGRAPHICAL INFORMATION MANAGEMENT</b> for records relating to surveying and mapping soil types or properties over a location.</p>		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SOIL AND LAND MANAGEMENT - Assessments</i>				
		See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>ENVIRONMENTAL IMPACT ASSESSMENT - Assessments</b> for records relating to assessments of proposed development applications		
11.2.1		Baseline data relating to land management practices, land use and its impact which cannot be replaced or replicated. Records include research and survey data, field books, observations, local details for maps and plans, charts, test results and analysis.	Required as State archives	Retain minimum of 10 years after reference use ceases, then transfer
11.2.2		Baseline data relating to land management practices, land use and its impact which can be replaced or replicated. Records include research and survey data, observations, charts, test results and analysis.	Retain minimum of 10 years after action completed, then destroy	
11.2.3		Records relating to the issue of authorities to enter lands to place marks or carry out surveys and assessments. Includes records or information documenting the grant or issue of the authority, powers conferred and period of effect.	Retain minimum of 7 years after action completed, then destroy	
11.3.0	<b>Enquiries</b>	<p>The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.</p> <p>See <b>SOIL AND LAND MANAGEMENT - Advice</b> for records relating to the provision of technical or scientific advice</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Inquiries</b> for records relating to investigations of inquiry by parliamentary</p>		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SOIL AND LAND MANAGEMENT - Enquiries</i>				
		committees		
11.3.1		Records relating to routine requests for information that are satisfied by distribution of or reference to published information.	Retain minimum of 2 years after action completed, then destroy	
11.4.0	<b>Liaison</b>	<p>The activities associated with maintaining regular general contact between the organisation and professional associations, professionals in related fields, other private sector organisations and community groups for sharing informal advice and discussions relating to soil condition, remediation of soil damage, protecting and improving soil conditions.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for liaison through committees, working parties or groups, taskforces, etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Joint ventures</b> for records relating to joint ventures arrangements</p>		
11.4.1		Records relating to the exchange and sharing of information through liaison and networking with stakeholders, such as farmers, farmers associations, local government authorities, other government agencies and departments. Includes information updates and exchange, presentations, discussions and collaboration on issues of interest.	Retain minimum of 10 years after action completed, then destroy	
11.5.0	<b>Modelling</b>	The processes involved in designing, testing, and evaluating sample model profiles of systems, procedures under		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SOIL AND LAND MANAGEMENT - Modelling</i>				
		analysis.  See <b>GEOGRAPHICAL INFORMATION MANAGEMENT - Acquisition</b> for data models.  See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>NATURAL RESOURCES MANAGEMENT - Monitoring</b> for baseline data on soils that is not replicated elsewhere.		
11.5.1		Records relating to the use of models and adjustment to models used to interrogate data associated with soil and land management that are used for compilation of reports and analyses of results.	Retain minimum of 3 years after superseded, then destroy	
11.6.0	<b>Monitoring (resources)</b>	The activities associated with the observation, measurement, testing and collection of information relating to soil and land management in order to detect changes.  See <b>SOIL AND LAND MANAGEMENT - Assessments</b> for baseline data collected in relation to geographic regions or landscapes		
11.6.1		Records relating to the monitoring of particular soil and landscape qualities, conditions or management practices to identify change. Records include research, analysis and testing results, progress and final reports.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
11.6.2		Records relating to collection of raw or primary monitoring data that is summarised in reports or uploaded to consolidated data. Records include: periodic monitoring data and data collected from specific sites.	Retain minimum of 10 years after action completed, then destroy	

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SOIL AND LAND MANAGEMENT - Planning</i>				
11.7.0	<b>Planning</b>	The processes of formulating ways in which objectives can be achieved. Includes the determination of services, needs and solutions to those needs.		
11.7.1		Records relating to the development of final versions of strategic plans supporting major initiatives, projects, and programs of work for soil and land management. Includes planning for managing the impacts of climate change. Records include background research, drafts containing significant changes/alterations, versions formally circulated for comment, negotiations, briefings, submissions, consultations and feedback received, notes of meetings with stakeholders, reports analysing issues and options, final versions of plans.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
11.7.2		Records relating to the development and implementation of operational, action or business plans supporting soil and land management projects or initiatives. Records include background research, drafts containing significant changes/alterations, notes of meetings and final versions of plans.	Retain minimum of 7 years after action completed, then destroy	
11.8.0	<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.		
11.8.1		Records relating to the development of policies and guidelines on soil and land management practices or sustainable development, where agency is the lead agency or where the agency has substantial input. Records include	Required as State archives	Retain minimum of 10 years after action completed,

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SOIL AND LAND MANAGEMENT - Policy</i>				
		background research, drafts containing significant changes/alterations, versions formally circulated for comment, negotiations, briefings, submissions, consultations and feedback received, notes of meetings with stakeholders, reports analysing issues and options, final versions of plans.		then transfer
11.8.2		Records relating to the formulation of policies and guidelines on soil and land management practices or sustainable development where the agency has insignificant or no input. Records include referred copies of documents and associated correspondence.	Retain minimum of 10 years after action completed, then destroy	
11.8.3		Records relating to arrangements and planning for policy development consultation process e.g. notices, consultation plans and schedules.	Retain minimum of 5 years after action completed, then destroy	
11.9.0	<b>Projects and programs</b>	The processes associated with the implementation of strategies to manage, improve and protect the condition of soil and land.  See <b>SOIL AND LAND MANAGEMENT - Reporting</b> for formal statements or reporting on program outcomes or findings arising from program evaluation		
11.9.1		Records relating to programs and projects aimed at monitoring, improving or protecting the condition of soil and land. Includes records of program or project objectives, methodology, evaluation and summary or progress reporting. Records include: project plans, implementation, schedules, payments, progress and periodic reports, evaluation, correspondence.	Retain minimum of 20 years after action completed, then destroy	

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SOIL AND LAND MANAGEMENT - Projects and programs</i>				
11.9.2		Records relating to program or project administration. Records includes project plans, schedules, arrangements, delivery methods, contact lists, etc. Records includes project plans, schedules, arrangements, delivery methods, contact lists, etc.	Retain minimum of 5 years after action completed, then destroy	
11.10.0	<b>Reporting</b>	The activities of developing formal statements or findings arising from an evaluation (of a program), assessments of the current status, measurement of improvements or outcomes of research.  See <b>SOIL AND LAND MANAGEMENT - Research</b> for research reports		
11.10.1		Final versions of published reports, internal reports and reports to external agencies relating to soil and land management programs, projects, strategies, reviews or initiatives.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
11.10.2		Records relating to periodic internal reports relating to routine operational or administrative matters, includes statistics and survey reports that are summarised in published reports.	Retain minimum of 5 years after action completed, then destroy	
11.10.3		Records relating compilation of agency reports, includes working papers, drafts, comments, etc.	Retain minimum of 3 years after action completed, then destroy	
11.11.0	<b>Research</b>	The activities involved in carrying out scientific and technical research or studies to generate knowledge, assess methodologies, or study the effects of practices or activities		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SOIL AND LAND MANAGEMENT - Research</i>				
		<p>on the condition of land and soils.</p> <p>See <b>SOIL AND LAND MANAGEMENT - Assessments</b> for records relating to data collected through the conduct of regional or geographic assessment investigations</p> <p>See <b>SOIL AND LAND MANAGEMENT - Monitoring (resources)</b> for records relating to testing and analysis associated with the regular monitoring of conditions of particular sites or locations</p> <p>See <b>GEOGRAPHICAL INFORMATION MANAGEMENT - Soil surveys and mapping</b> for survey data and testing and analysis records associated with the conduct of soil mapping and survey processes</p>		
11.11.1		Reports or finding of research into the condition or management of land and soils commissioned or carried out by the organisation and associated research data that cannot be replaced or replicated from other sources.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
11.11.2		Records relating to the management and administration of research projects into the condition or management of land and soils. Records include project management planning records, working papers and data that can be replaced or replicated from other sources.	Retain minimum of 5 years after action completed, then destroy	
11.12.0	<b>Reviewing</b>	The activities involved in re-evaluating or re-examining products, processes, procedures, standards or systems. Includes recommendations and advice resulting from these activities.		

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SOIL AND LAND MANAGEMENT - Reviewing</i>				
		See Functional Retention and Disposal Authority <i>Department of Environment and Conservation ENVIRONMENTAL IMPACT ASSESSEMENTS - Assessments</i> for records relating to reviews of applications for rice farming  See <b>SOIL AND LAND MANAGEMENT - Reporting</b> for records relating to final reports on processes, programs or systems		
11.12.1		Records relating to reviews of soil and land management programs and activities.	Retain minimum of 10 years after action completed, then destroy	
11.13.0	<b>Standards</b>	The processes of providing agency input into the development of standards.		
11.13.1		Records relating to the development of standards and methods associated with soil and land management processes or practices where the agency has had significant input or involvement. Records include background research, drafts containing significant changes/alterations, versions formally circulated for comment, negotiations, briefings, submissions, reports analysing issues and options, final versions of standards issued and implementation plans.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
11.13.2		Records relating to the development of new standards and methods associated with soil and land management processes or practices where the agency has not had significant input or involvement. Includes reviews of quality standards for mapping techniques and data management.	Retain minimum of 10 years after action completed, then destroy	

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SUSTAINABILITY FRAMEWORKS</i>				
12.0.0	<b>SUSTAINABILITY FRAMEWORKS</b>	<p>The development of strategic methods and practices to move towards environmentally sustainable production, including avoidance and prevention of waste, increasing the use of renewable and recovered materials and developing more integrated approaches to managing environmental issues.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>GRANTS AND FUNDING</b> for grants allocated by the agency for sustainability activities</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>COMMUNITY EDUCATION</b> for records relating to public education and awareness raising programs and activities</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>WASTE AVOIDANCE AND RECOVERY</b> for records relating to the implementation of programs under the NSW Waste Strategy and for partnerships and joint ventures supporting waste avoidance and recovery</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Joint ventures</b> for records relating to joint ventures established as part of sustainability frameworks</p>		
12.1.0	<b>Agreements</b>	<p>Activities associated with the establishment, maintenance, review, negotiation and implementation of formal agreements.</p>		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SUSTAINABILITY FRAMEWORKS - Agreements</i>				
		See <b>SUSTAINABILITY FRAMEWORKS - Reporting</b> for evaluations and progress reports on the implementation of agreements  See <b>SUSTAINABILITY FRAMEWORKS - Standards</b> for technical specifications established under international standards		
12.1.1		Records relating to industry or sector wide agreements or to innovative or precedence setting agreements with individual companies/organisations (such as the Sensis, HP agreement on electronic waste) to support the implementation of, changes to or improvements in production or operating practices.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
12.1.2		Records relating to intergovernmental agreements to move to environmentally sustainable production, such as agreements to reduce energy use and implement sustainable building measures, agreements or arrangements for national packaging standards, for product stewardship to reduce or recycle wastes, etc. Includes records relating to the negotiation and drafting of the agreement, final versions of agreements and records relating to the interpretation of obligations under the agreements.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
12.1.3		Records relating to agreements with specific businesses to assist reduced use or consumption of natural resources such as energy, raw materials and water, and to reduce waste production or assist in resource recovery.	Retain minimum of 7 years after action completed, then destroy	
12.2.0	<b>Monitoring</b>	Activities involving the measurement of the effectiveness of		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SUSTAINABILITY FRAMEWORKS - Monitoring</i>				
		<p>sustainability strategies.</p> <p>See <b>SUSTAINABILITY FRAMEWORKS - Reporting</b> for reports on the outcomes or findings of monitoring</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>SUSTAINABILITY FRAMEWORKS - Research</b> for surveys and specific projects</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>WASTE AVOIDANCE AND RECOVERY - Assessments</b> for data relating to the recycling and diversion of resources from waste streams</p>		
12.2.1		Baseline data regarding the use of natural resources in production which cannot be replaced or replicated.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
12.2.2		Records relating to periodic data collection and analysis on sustainable production measures. Records include periodic (monthly and quarterly) reports, local area data, returns and survey results.	Retain minimum of 10 years after action completed, then destroy	
12.3.0	<b>Planning</b>	<p>The processes of formulating ways in which objectives can be achieved. Includes the determination of services, needs and solutions to those needs.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>SUSTAINABILITY FRAMEWORKS</b> for records relating to planning for</p>		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SUSTAINABILITY FRAMEWORKS - Planning</i>				
		sustainability frameworks, including priorities, major initiatives, projects and programs  See <b>SUSTAINABILITY FRAMEWORKS - Reporting</b> for reporting on the outcomes or evaluation of programs and initiatives		
12.3.1		Records relating to the approval and monitoring of savings action plans developed by other organisations. Records include submitted plans, annual progress reports and associated correspondence.	Retain minimum of 5 years after action completed, then destroy	
12.4.0	<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.		
12.4.1		Records relating to the formulation of policy and guidelines on sustainable production, resource use and methods for measuring and reporting environmental impacts by businesses and consumers. Records include proposals, options, briefs and submissions, research, drafts with significant changes/ alterations, reports, issue papers.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
12.5.0	<b>Procedures</b>	Standard methods of operation laid down by the agency, according to formulated policy.  See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>SUSTAINABILITY FRAMEWORKS - Advice</b> for guidelines for organisations to prepare water and energy savings plans		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SUSTAINABILITY FRAMEWORKS - Procedures</i>				
12.5.1		Records relating to the development of operational support procedures relating to the implementation of sustainability programs, projects and initiatives. Includes drafts and final copies.	Retain minimum of 10 years after superseded, then destroy	
12.6.0	<b>Reporting</b>	The activities of developing formal statements or findings arising from an evaluation (of a program), assessments of the current status, measurement of improvements or outcomes of research.  See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>SUSTAINABILITY FRAMEWORKS - Research</b> for research reports		
12.6.1		Final versions of formal internal management and published reports relating to sustainable production systems, programs, reviews or initiatives.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
12.6.2		Records relating to periodic internal reporting concerning routine operational or administrative matters relating to sustainability programs. Records include statistical and routine monthly or quarterly reporting on operational or administrative matters.	Retain minimum of 5 years after action completed, then destroy	
12.6.3		Records relating to the compilation of agency reports, includes working papers, drafts, comments, etc.	Retain minimum of 3 years after action completed, then destroy	
12.7.0	<b>Reviewing</b>	The activities involved in re-evaluating or re-examining products, processes, procedures, standards or systems.		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>SUSTAINABILITY FRAMEWORKS - Reviewing</i>				
		Includes recommendations and advice resulting from these activities.  See <b>SUSTAINABILITY FRAMEWORKS - Reporting</b> for the summary or accumulated results of annual progress reporting on performance by government agencies and specified premises		
12.7.1		Records relating to reviews of reports submitted by building assessors on the environmental performance of buildings and sites. Records include environmental rating, assessment reports, research and analysis, briefs, draft and final versions of internal reports, action plans.	Retain minimum of 7 years after action completed, then destroy	
12.8.0	<b>Standards</b>	The processes of providing agency input into the development of standards.		
12.8.1		Records relating to the development of standards for assessing or implementing environmental performance or sustainability where the agency has had significant input or involvement. Records include background research, drafts containing significant changes/alterations, versions formally circulated for comment, negotiations, briefings, submissions, reports analysing issues and options, final versions of standards issued and implementation plans.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
12.8.2		Records relating to the development of standards for assessing or implementing environmental performance or sustainability where the agency has minor or no input. Records include draft and final versions of standards, correspondence and negotiations.	Retain minimum of 10 years after action completed, then destroy	

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



## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

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<i>SUSTAINABILITY FRAMEWORKS - Tool development</i>				
12.9.0	<b>Tool development</b>	Activities relating to the development of tools for rating or assessing environmental or sustainable performance. Includes the development of tools, checklists, etc. for use by industry and for those carrying out assessments.		
12.9.1		Records relating to the development of environmental performance assessment and rating tools for buildings. Records include project initiation, specifications, technical background and research, tools development, testing, enhancement requests, production and publication.	Retain minimum of 10 years after action completed, then destroy	
12.9.2		Records relating to information kits for industry and the public to use tools and checklists environmental performance and measurement, such as the online building rating calculator for self assessments. Records include website content and descriptions, publications.	Retain minimum of 15 years after action completed, then destroy	
13.0.0	<b>WATER MANAGEMENT</b>	<p>The development and implementation of programs to improve and reform water quality, usage and distribution. Includes river management and the management of groundwater dependant ecosystems, and monitoring of water flows, for extraction and for environmental use.</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>COMMUNITY EDUCATION</b> for records relating to education and awareness raising programs and activities</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>WATER MANAGEMENT - Assessments</b> for records relating to baseline and other models of river flow, environmental requirements and the</p>		

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## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

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<i>WATER MANAGEMENT</i>				
		<p>impacts of climate change</p> <p>See Functional Retention and Disposal Authority <i>Water resources management</i> <b>WATER MANAGEMENT - Authorisations</b> for the granting or rejection of applications to undertake activities associated with or potentially impacting on water sources</p> <p>See Functional Retention and Disposal Authority <i>Department of Water and Energy</i> <b>WATER MANAGEMENT - Concurrence</b> for records relating to the approval or rejection of development proposals affecting water quality or access.</p> <p>See Functional Retention and Disposal Authority <i>Water resources management</i> <b>WATER MANAGEMENT - Planning</b> for records relating to the allocation of water to sustain environment flows</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>WATER MANAGEMENT - Projects</b> for records relating to project works undertaken with others, such as local Councils, to improve water usage and distribution and to reduce or minimise water loss or wastage</p> <p>See Functional Retention and Disposal Authority <i>Department of Environment and Conservation</i> <b>WATER MANAGEMENT - Reporting</b> for formal internal reports and reports to external organisations on works programs</p> <p>See Functional Retention and Disposal Authority <i>Department</i></p>		

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>WATER MANAGEMENT - Liaison</i>				
		<p><i>of Environment and Conservation</i> <b>WATER QUALITY</b> for records relating to the development of policies and strategies to reduce or mitigate the impact of contaminants on water quality</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> the formation, meetings and decisions of committees, task forces and working groups, such as coastal management or floodplain management committees</p>		
13.1.0	<b>Liaison</b>	The activities associated with maintaining regular general contact between the organisation and other organisations, agencies, industry groups, stakeholders and the public. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.		
13.1.1		Records relating to sharing informal advice and maintaining regular contact, exchange of information with conservation groups, farmers, irrigators and agricultural groups, and other government agencies associated with water resource management. Records include networking and contact management.	Retain minimum of 10 years after action completed, then destroy	
13.2.0	<b>Reviewing</b>	The activities involved in re-evaluating or re-examining products, processes, procedures, standards or systems. Includes recommendations and advice resulting from these activities.		
13.2.1		Records relating to reviews of water resources management policy, performance and the impact or outcomes of water	Required as State archives	

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

## Environmental and natural resources protection, conservation and sustainability

Authority number: FA314

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action	Custody*
<i>WATER MANAGEMENT - Reviewing</i>				
		sharing agreements, arrangements and allocations (environmental and/or for irrigation or other uses, intra or inter-state). Records include analysis, agency comments, feedback, briefings and reports.		
13.2.2		Records relating to the organisation's review of the environmental performance or impact of major or public utilities, such as Sydney Water.	Required as State archives	Retain minimum of 10 years after action completed, then transfer

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