

# Appraisal log

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Water Retention and Disposal Schedule QDAN 738 v1

Department of Natural Resources and Mines (DNRM)

Department of Energy and Water Supply (DEWS)

Date: November 2016

Function	Scope note
<b>1 COMMON ACTIVITIES</b>	<i>These activities are common across all water-related functions and can be used to sentence or dispose of records that are classified under any water-related function. The records classes covered by these activities often have similar purposes and outcomes. They may have different processes but often create broadly similar records. Alternatively, there are records classes that have unique content or different Retention period &amp; triggers (which might otherwise be expected to be covered by a common activity) and these are covered by the relevant activity under water-related functions (later in the schedule).</i>
<b>Activities</b>	
1.1 Advice	1.12 Investigations
1.2 Agreements	1.13 Licensing
1.3 Appointments	1.14 Mapping
1.4 Audit	1.15 Modelling
1.5 Authorisation	1.16 Monitoring and Surveillance
1.6 Claims Management	1.17 Partnerships
1.7 Declarations	1.18 Planning
1.8 Development	1.19 Prosecution
1.9 Disposal	1.20 Registration
1.10 Enforcement	1.21 Research
1.11 Inspections	1.22 Stakeholder Engagement

*\*\* DNRM business units with water-related responsibilities include water-related business units of Water Policy, Office of Groundwater Impact Assessment, Groundwater Investigation and Assessment (Coal Seam Gas Compliance), Registrar of Water Allocations, Water Metering, Water Systems, National Water Compliance Framework, Water and Governance Projects, Water Services Implementation and Improvement, Water Services – Regions, Water Planning, Water Monitoring, Water Management and Use, Water Services Technical Support, Great Artesian Basin Sustainability Initiative.*

Disposal authorisation	Record class and retention period	Justifying the retention period
1.1	<b>Advice</b>	
1.1.1	<p><b>Advice – significant*</b></p> <p>Records relating to the provision of significant water-related advice, where the advice is not related to a specific enforcement or compliance monitoring action, or activity case file, for example, a licence file.</p> <p>Significant advice includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• natural water resources protection and water management</li> <li>• water resources management, including bulk water, water supply, sewerage and wastewater disposal for community and commercial purposes</li> <li>• water regulatory programs and activities</li> <li>• water market trading</li> <li>• water supply pricing</li> <li>• pricing and cost modelling</li> <li>• waterways</li> <li>• water efficiency</li> <li>• water entitlements</li> <li>• water sustainability</li> <li>• impact of mining activities, e.g. petroleum, coal seam gas water discharges, on water sources, e.g. underground storage, and other land holder safety, access and environmental concerns</li> <li>• stormwater and flood risk management</li> </ul>	<p><b>Background/business process:</b></p> <p>Advice records are created across many processes, and in many roles, for example, protecting natural water resources, developing water-based industries, and providing customised advice to industry members and members of the public, e.g. water entitlement holders and land owners. Advice is inclusive in a number of records classes as well as an independent records class in its own right. Advice records class was sourced via file plan analysis with provision of advice crossing all water management processes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• Identify advice request/requirement; research generic advice; research client particulars/circumstances; draft generic advice; tailor and package advice to client circumstances; seek approval; forward advice.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department for projects which continue over many years, e.g. long-term strategies to grow the water industry</li> <li>• document the history of the department's work in facilitating significant water initiatives through provision of advice</li> <li>• provide evidence of advice given or received by the agency on issues which can have, or have resulted in far reaching implications on government and the community.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>local government water and sewerage infrastructure planning, development schemes and subsidy submissions and reports.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<p><i>NSW Functional Retention and Disposal Authority FA256 issued to Department of Water and Energy reference number 4.1.1</i> Water management advice on significant policy developments, controversial issues or innovative practices concerning the management, usage, conservation, allocation of or access to water resources. Required as State archives.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 2.1</i> offering or receipt of advice concerning the management of water catchment areas or the supply, transfer or release of water that has potential impact on major liabilities or obligations of the organisation or potential long term consequences. Required as State archives.</p>
1.1.2	<p><b>Advice – other~</b> Records relating to the provision of other water related advice, not covered by reference <a href="#">1.1.1</a>.</p> <p><i>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b> 7 years after business action completed.</p>	<p><b>Background/business process</b> See above.</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>are required for future business enhancement and improvement</li> <li>support the decisions of the business</li> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><b>Comparison with other schedules:</b> <i>Office of Racing Retention and Disposal Schedule/Authority QDAN620 reference number 2.1.2</i> – correspondence relating to general racing matters – retain for 7 years after last action; reference number 2.1.3 – correspondence from breeders, owners, bookmakers, jockeys, trainers, regional racing associations regarding policy issues – retain for 7 years after last action.</p> <p><i>Public Record Office of Victoria PROS12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions:</i></p> <ul style="list-style-type: none"> <li><i>reference number 4.1.2</i> Records of input by the agency into a planning scheme amendment that is not approved. Destroy 7 years after submission</li> <li><i>reference number 4.1.3</i> Records documenting the preparation and drafting of input into planning scheme amendments. Records include invitation for public</li> </ul>

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		<p>submissions, submissions from the public and copies of records provided for information to gain input and comment. Destroy 7 years after action completed.</p> <p><i>State Records Office of WA General Disposal Authority for State Government Information 2013-017 reference number 5.4</i> advice provided or received by the agency relating to agency business (which is not significant or legal advice or opinion). Retain 7 years after action completed, then destroy.</p> <p><i>State Records Office of WA General Disposal Authority for Local Government Records RD 2010046 reference number 29.6</i> advice of intention to connect (or disconnect) sewerage, water supplies, drainage, gas, telecommunications, electrical or other systems, includes notices. Destroy 7 years after last action.</p>
1.2	<b>Agreements</b>	
1.2.1	<p><b>Agreements – significant*</b></p> <p>Records relating to significant water-related agreements between the department and other entities that proceed.</p> <p>Significant agreements include, but are not limited to:</p> <ul style="list-style-type: none"> <li>managing and accessing natural water resources</li> <li>using water, e.g. water use efficiency, water recycling agreements</li> <li>managing water infrastructure, water supplies and water services, e.g. construction, maintenance</li> <li>bulk water, water supply, sewerage and wastewater disposal for community and commercial purposes</li> <li>availability, sourcing, treating, delivery of water using supply systems, infrastructure, e.g. reservoirs, purification plants, distribution pipes</li> </ul>	<p><b>Background/business process:</b></p> <p>Agreements are created during water management and regulatory processes as evidence of foundational and facilitative arrangements and as the basis for working with others in partnerships, collaborations and funding arrangements, through various agreement means, e.g. memoranda of understanding, signed documents, formal agreements.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>identify need for agreement and potential parties; negotiate and agree with potential parties; draft agreement; negotiate signing; plan and organise responsibilities under agreement; fulfil responsibilities (via other business processes); identify review date for agreement; review agreement.</li> </ul> <p>Includes contracts under seal which are also significant. Contracts under seal which are not considered significant will be managed under the appropriate class in the General Retention and Disposal Schedule (GRDS).</p> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.1000, 1003, 1003A (approving standard and private water supply agreements where CEO performing water authority functions, e.g. insolvency)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>sustainable management of natural water resources, e.g. cooperative agreements between community, stakeholders and government</li> <li>supply, storage and delivery of water under water supply emergency declarations or regulations, and contingency operations, e.g. chief executive officer acts as water authority under insolvency provisions</li> <li>interim water storage and supply (under interim licensing arrangements)</li> <li>oversight of distributor-retailer agreements with local governments</li> <li>agreements with long-term impacts on land, such as those about water services enabled by infrastructure built on land.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</i></p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work</li> <li>show requirements and expectations regarding water management, use and sustainability over time.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b> Meets the following characteristic of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>6 – Environmental Management and Change</li> </ul> <p><b>Comparison with other schedules:</b> <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.2.1</i> Records of major agreements to supply or receive water, drainage or sewerage services where special conditions apply. Includes water drainage, bulk supply agreements, agreements to build over sewerage easements, water supply and grazing agreements. Permanent <i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 14.3</i> establishment, negotiation, maintenance and review of bulk water supply agreements. Required as State archives.</p>
1.2.2	<p><b>Agreements – other~</b> Records relating to other water-related agreements between the department and other entities that proceed, not covered by reference <a href="#">1.2.1</a>.</p> <p><i>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b> 7 years after agreement terminated or expired.</p>	<p><b>Background/business process:</b> See above. Excludes contracts under seal which are not considered significant. These will be managed under the appropriate class in the General Retention and Disposal Schedule (GRDS).</p> <p><b>Regulatory requirements:</b> See above.</p> <p><b>Business requirements:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> <li>• are required for financial reasons. They are linked to the receipt of monies and are therefore required to be retained for the same period of time as the related financial records, which is 7 years within the GRDS</li> <li>• support the decisions of the business including ongoing requirements of the department under current agreements</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.2.2</i> Records of minor agreements to supply water, drainage or sewerage services where standard conditions apply. Includes house connection, standpipe use and outside area agreements. Destroy 7 years after agreement ceases.</p>
1.2.3	<p><b>Agreements – not proceeded with</b></p> <p>Records relating to water-related agreements between the department and other entities that do not proceed.</p> <p><b>Retention period &amp; trigger</b></p> <p>2 years after decision not to proceed.</p>	<p><b>Background/business process:</b></p> <p>Agreements not proceeded may include draft unsigned agreements and working papers, where conditions agreeable to both parties could not be reached.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for 2 years as they:</p> <ul style="list-style-type: none"> <li>• meet the department's short-term obligations for accountability and information accessibility</li> <li>• provide evidence of the decision by the department or another body not to approve an agreement</li> <li>• ensure short-term access to agreements for the resurrection of an agreement or reworking of an agreement following a change of circumstance, e.g. changes in government, changes in funding etc.</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 1.1.5</i> – records relating to the development and negotiation of agreements between Forestry Plantations Queensland and other parties that do not result in a signed agreement – retain for 2 years after last action.</p> <p><i>Fisheries Retention and Disposal Schedule QDAN724.v1 reference number 1.2.2 agreements not proceeded with.</i> Retain for 2 years after decision not to proceed.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725.v1 reference number 1.2.2 agreements not proceeded with.</i> Retain for 2 years after decision not to proceed.</p>
1.3	<b>Appointments</b>	
1.3.1	<p><b>Authorised and accredited officers</b></p> <p>Records relating to the appointment of officers and inspectors authorised or accredited to undertake advisory, analytical, enforcement, metering and auditing roles and duties, to provide services and carry out approved powers and functions under relevant legislation for water management and regulation, and dam safety management. Roles include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• state analyst (water fluoride)</li> <li>• inspections and investigations</li> <li>• monitoring and enforcement of breaches of legislation.</li> </ul> <p>Includes allocating conditions, and varying and terminating appointments.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after appointment ceases.</p>	<p><b>Background/business process:</b></p> <p>Appointment records are created during representative, selection, nomination and election processes and subsequent remuneration negotiations. Powers are given by instruments of appointment, expressed with conditions and limitations as required.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• identify role need/vacancy; identify potential, suitable and short-listed candidates; forward nomination/election notifications; run nomination/election process; identify successful candidate; negotiate remuneration; draft appointment including terms and conditions; seek approvals; appoint successful candidate; publish appointment notices.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.739-744 (enforcement officers)</p> <p><i>Water Act 2000</i> – s.973-976 (metering contractors)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• provide evidence of business processes associated with appointments including allocating conditions, varying and terminating appointments</li> <li>• support the decisions of the business</li> </ul>



Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p>While other jurisdictions have higher retention periods for similar records, Water Supply Division (DEWS), and DNRM business units** have identified a business requirement for shorter retention.</p> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>State Records New South Wales Department of Primary Industries Retention and Disposal Schedule/Authority FA258:</i></p> <ul style="list-style-type: none"> <li><i>reference number 7.2.5</i> – 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 destroy.</li> <li><i>reference number 10.3.6</i> – records relating to the appointment of inspectors for the purpose of monitoring compliance – retain minimum of 10 years after appointment expires, then destroy.</li> </ul>
1.4	<b>Audit</b>	
1.4.1	<p><b>Audit – significant*</b></p> <p>Records relating to conducting audits of water-related resources, plans, works, facilities, structures, occupations, and entitlements, rights, allocations, authorities, licences, permits, and holders of these rights, where significant recommendations and findings were made or resulted in significant changes to processes, policies and procedures.</p> <p>Significant audits include, but are not limited to:</p>	<p><b>Background/business process:</b></p> <p>Audit records are created whilst monitoring compliance, checking quality management processes, management controls and operational processes, for their regulatory compliance, effectiveness for product/service quality, operational applicability and fraud prevention.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>schedule audit, collect required audit documentation, mobilise to audit site, check auditable records, complete audit documentation, draft audit report, report audit results, communicate audit report.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.119C (resource and distribution operation licences)</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>quality assurance audits to monitor compliance with licensing and accreditation conditions</li> <li>water use audits</li> <li>validation of monitoring and reporting information provided by holders of entitlements, rights, allocations, authorities, licences and permits etc.</li> <li>compliance audits of licensees for resource operation licences, interim resource operation licences and distribution operations licences</li> <li>water service providers and licensees (including bulk water, water supply, sewerage and wastewater disposal) quality management systems</li> <li>compliance with drinking and recycled water quality parameters</li> <li>re-audits.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<p><i>Water Act 2000 – s.186A (interim resource operation licence holders)</i></p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work</li> <li>identify critical improvement areas, with significant issues requiring long-term work and often significant dollar investments to address.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b> Meets the following characteristic of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>6 – Environmental Management and Change</li> </ul> <p><b>Comparison with other schedules:</b> <i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS02-03 reference number 3.7.2 – site audits – overseeing of audits conducted under the Environmental Auditor (Contaminated Land) program and similar programs. Audit report files, consultants' reports, correspondence with stakeholders (such as planning authorities and owners/developers of contaminated sites), clearance documents, Notice of Contamination, Certificate/Statement of Environmental Audit – retain permanently.</i></p> <p><i>NSW General Retention and Disposal Authority GA28 reference number 19.2.1 audits which cross functions, examine core functions or measure organisational performance or compliance, which set a precedent or lead to major change in policies. Required as State archives.</i></p>
1.4.2	<p><b>Audit – other~</b> Records relating to conducting other audits of water-related resources, plans, works, facilities, structures, occupations, and entitlements, rights, allocations, authorities, licences, permits, and holders of these rights, not covered by reference <a href="#">1.4.1</a>.</p> <p><i>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p>	<p><b>Background/business process:</b> See above.</p> <p><b>Regulatory requirements:</b> See above.</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<ul style="list-style-type: none"> <li>are required for future business enhancement and improvement</li> <li>need to be retained to support the decisions of the business</li> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>State Records New South Wales Department of Primary Industries Retention and Disposal Schedule/Authority FA258 reference number 6.2.1</i> – records relating to inspections, audits or assessments of the agency's education and training 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.</p> <p><i>NSW General Retention and Disposal Authority GA28 reference number 19.2.2</i> audits which cross functions, examine core functions or measure organisational performance or compliance, which do not set a precedent or lead to major change in policies. Retain minimum of 6 years after action completed, then destroy.</p>
1.5	<b>Authorisation</b>	
1.5.1	<p><b>Granted water rights and allocations – significant*</b></p> <p>Records relating to assessing and approving significant water-related rights and allocations, including trading rights, authorities, and approvals, under relevant legislation.</p> <p>Significant rights and allocations include, but are not limited to:</p> <ul style="list-style-type: none"> <li>native title rights</li> <li>applications, renewals, transfers, releases, changes, surrenders, cancellations, terminations</li> <li>assessing and approving documents to maintain currency of authorisation, e.g.</li> </ul>	<p><b>Background/business process:</b></p> <p>Records are created during the authorisation assessment and approval processes for a range of rights, entitlements, allocations and authorities, which grant water-related permissions to approved applicants under relevant legislation. The period of currency or renewal period varies.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>receive and assess rights application; request further information; assess individual supporting studies and reports; consult with stakeholders (if required); make required checks, e.g. check histories (e.g. criminal, occupational), qualifications, examination results; check mutual recognition and previous rights status (as applicable); grant rights, issue rights identification or certification; transfer, suspend or cancel rights.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.19 (water rights)</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>submissions, annual reports, annual returns, procedures, plans, management plans, etc.</p> <ul style="list-style-type: none"> <li>making, approving or overseeing making of agreements that result in, or put effect to, rights of authorisation</li> <li>converting existing rights from transitional arrangements for legislative changes.</li> </ul> <p><i>* Refer to <a href="#">Appendix: Definition of Significant Versus Other</a>.</i></p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<p><i>Water Act 2000 – s.20-21 (authorisations)</i>  <i>Water Act 2000 – s.1089a (water authorities conversion)</i>  <i>Water Act 2000 – s.94 (water allocations to implement water resource plans)</i>  <i>Water Act 2000 – s.94, 121A, 122 (interim water allocations to water allocations)</i>  <i>Water Act 2000 – s.25, 128A-B (water allocations)</i>  <i>Water Act 2000 – s.192-195 196-197A, 198 (interim water allocations)</i>  <i>Water Act 2000 – s.142-145, 146A-B, 200, 230-236 (seasonal water assignments)</i></p> <p><b>Business requirements:</b>  Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work</li> <li>cover the agency for risks associated with water rights and allocations which can at times be contentious.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent criteria:</b>  Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>5 – Substantial Contribution to Community Memory</li> </ul> <p><b>Comparison with other schedules:</b>  <i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.4.1 – external authorisations, including licences and permits, covering activities which have the potential to cause environmental harm – retain for 7 years after last action.</i>  <i>Department of Natural Resources and Water (Forestry Plantation Queensland) Retention and Disposal Schedule/Authority QDAN633 reference number 2.3.1 – records relating to external authorisation for Forestry Plantations Queensland to conduct environmentally relevant activities in accordance with the <i>Environmental Protection Act 1994</i> – retain for 7 years after approval cancelled or superseded.</i>  <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.2.1 Records of major agreements to supply or receive water, drainage or sewerage services where special conditions apply. Includes water</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		drainage, bulk supply agreements, agreements to build over sewerage easements, water supply and grazing agreements. Permanent.
1.5.2	<p><b><i>Granted water rights and allocations – other~</i></b></p> <p>Records relating to assessing and approving other water-related rights and allocations, including trading rights, authorities and approvals, not covered by reference <a href="#">1.5.1</a>. ~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other See reference <a href="#">1.5.1</a> for native title rights.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after entitlement, allocation, authority or other authorisation expires or ceases.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• need to be retained to support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.4.1</i> – external authorisations, including licences and permits, covering activities which have the potential to cause environmental harm – retain for 7 years after last action.</p> <p><i>Department of Natural Resources and Water (Forestry Plantation Queensland) Retention and Disposal Schedule/Authority QDAN633 reference number 2.3.1</i> – records relating to external authorisation for Forestry Plantations Queensland to conduct environmentally relevant activities in accordance with the <i>Environmental Protection Act 1994</i> – retain for 7 years after approval cancelled or superseded.</p>
1.5.3	<p><b><i>Granted water grid services, infrastructure and operational rights – significant*</i></b></p> <p>Records relating to assessing and approving significant rights for water grid services, infrastructure and operations rights, for bulk water supply, water supply, and water-related services including sewerage, wastewater</p>	<p><b>Background/business process:</b></p> <p>Records are created during authorisation assessment and approval processes for a range of rights, entitlements, allocations and authorities granted to approved applicants under relevant legislation. The period of currency or renewal period varies under different legislation.</p> <p>Illustrative process:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>treatment and disposal providers, including authorities and approvals, under relevant legislation.</p> <p>Significant services, infrastructure and operation rights include, but are not limited to:</p> <ul style="list-style-type: none"> <li>market grid participant rights bestowed under previous Queensland Water Commission processes</li> <li>water infrastructure rights for range of water and wastewater related services</li> <li>applications, renewals, transfers, releases, changes, surrenders, cancellations, terminations</li> <li>assessing and approving documents to maintain currency of authorisation, e.g. submissions, annual reports, annual returns, procedures, plans, management plans, etc.</li> <li>making, approving or overseeing making of agreements that result in, or put effect to, rights of authorisation</li> <li>converting existing rights from transitional arrangements for legislative changes.</li> </ul> <p><i>* Refer to Appendix 1: Definition of Significant Versus Other.</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> <li>receive and assess rights application; request further information; assess individual supporting studies and reports; consult with stakeholders (if required); make required checks, e.g. check histories (e.g. criminal, occupational), qualifications, examination results; check mutual recognition and previous rights status (as applicable); grant rights, issue rights identification or certification; transfer, suspend or cancel rights.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000 – s.19 (water rights)</i></p> <p><i>Water Act 2000 – s.20-21 (authorisations)</i></p> <p><i>Water Act 2000 – s.122A (standard supply contracts under water allocations for resource operations licences)</i></p> <p><i>Water Act 2000 – s.1089a (water authorities conversion)</i></p> <p><i>Water Act 2000 – s.94 (water allocations to implement water resource plans)</i></p> <p><i>Water Act 2000 – s.94, 121A, 122 (interim water allocations to water allocations)</i></p> <p><i>Water Act 2000 – s.125, 128A-B (water allocations)</i></p> <p><i>Water Act 2000 – s.192-195 196-197A, 198 (interim water allocations)</i></p> <p><i>Water Act 2000 – s.142-145, 146A-B, 200, 230-236 (seasonal water assignments)</i></p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work</li> <li>cover the agency for risks associated with authorising and approval of water grid services, infrastructure and operational rights.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>5 – Substantial Contribution to Community Memory</li> <li>6 – Environmental Management &amp; Change</li> </ul> <p><b>Comparison with other schedules:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management:</i></p> <ul style="list-style-type: none"> <li>reference number 14.3 establishment, negotiation, maintenance and review of bulk water supply agreements. Required as State archives.</li> <li>reference number 5.1 establishment, maintenance and review of the organisation's licences to operate water and wastewater treatment services. Required as State archives.</li> </ul>
1.5.4	<p><b><i>Granted water grid services, infrastructure and operational rights – other~</i></b></p> <p>Records relating to assessing and approving other rights for water grid services, infrastructure and operations rights, for bulk water supply, water supply, and water-related services including sewerage, wastewater treatment and disposal providers, including authorities and approvals, not covered by reference <a href="#">1.5.3</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after entitlement, allocation, authority or other authorisation expires or ceases.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>are required for future business enhancement and improvement</li> <li>need to be retained to support the decisions of the business</li> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.4.1 – external authorisations, including licences and permits, covering activities which have the potential to cause environmental harm – retain for 7 years after last action.</i></p> <p><i>Department of Natural Resources and Water (Forestry Plantation Queensland) Retention and Disposal Schedule/Authority QDAN633 reference number 2.3.1 – records relating to external authorisation for Forestry Plantations Queensland to conduct environmentally relevant activities in accordance with the <i>Environmental Protection Act 1994</i> – retain for 7 years after approval cancelled or superseded.</i></p>
1.5.5	<p><b><i>Granted natural water resources rights and allocations – significant*</i></b></p>	<p><b>Background/business process:</b></p>



Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Records relating to assessing and approving significant natural water resource related rights and allocations, including related authorisations, under relevant legislation.</p> <p>Significant rights and allocations include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• applications, renewals, transfers, releases, changes, surrenders, cancellations, terminations</li> <li>• assessing and approving documents to maintain currency of authorisation, e.g. submissions, annual reports, annual returns, procedures, plans, management plans, etc.</li> <li>• making, approving or overseeing making of agreements that result in, or put effect to, rights of authorisation</li> <li>• converting existing rights from transitional arrangements for legislative changes.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>Records are created during authorisation assessment and approval processes for a range of rights, entitlements, allocations and authorities granted to approved applicants under relevant legislation. The period of currency or renewal period varies under different legislation.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive and assess rights application; request further information; assess individual supporting studies and reports; consult with stakeholders (if required); make required checks, e.g. check histories (e.g. criminal, occupational), qualifications, examination results; check mutual recognition and previous rights status (as applicable); grant rights, issue rights identification or certification; transfer, suspend or cancel rights.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.19 (water rights)</p> <p><i>Water Act 2000</i> – s.20-21 (authorisations)</p> <p><i>Water Act 2000</i> – s.122A (standard supply contracts under water allocations for resource operations licences)</p> <p><i>Water Act 2000</i> – s.1089a (water authorities conversion)</p> <p><i>Water Act 2000</i> – s.94 (water allocations to implement water resource plans)</p> <p><i>Water Act 2000</i> – s.94, 121A, 122 (interim water allocations to water allocations)</p> <p><i>Water Act 2000</i> – s.125, 128A-B (water allocations)</p> <p><i>Water Act 2000</i> – s.192-195 196-197A, 198 (interim water allocations)</p> <p><i>Water Act 2000</i> – s.142-145, 146A-B, 200, 230-236 (seasonal water assignments)</p> <p><i>Water Act 2000</i> – s.206-212A, 213-229E (water licences)</p> <p><i>Water Act 2000</i> – s.326-333, 335-339 (operations licences for water entitlements not under resource operations licences)</p> <p><i>Water Act 2000</i> – s.1111 (interim resource operations licences)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work</li> </ul>



Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>cover the agency for risks associated with authorising and approval of granted natural water resources rights and allocations.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>5 – Substantial Contribution to Community Memory</li> <li>6 – Environmental Management &amp; Change</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management</i></p> <ul style="list-style-type: none"> <li><i>reference number 14.3</i> establishment, negotiation, maintenance and review of bulk water supply agreements. Required as State archives</li> <li><i>reference number 5.1</i> establishment, maintenance and review of the organisation's licences to operate water and wastewater treatment services. Required as State archives.</li> </ul> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.2.1</i> Records of major agreements to supply or receive water, drainage or sewerage services where special conditions apply. Includes water drainage, bulk supply agreements, agreements to build over sewerage easements, water supply and grazing agreements. Permanent</p>
1.5.6	<p><b><i>Granted natural water resources rights and allocations – other~</i></b></p> <p>Records relating to assessing and approving other natural water resource related rights and allocations, including authorisations and approvals, not covered by reference <a href="#">1.5.5</a>.</p> <p><i>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after entitlement, allocation, authority or other authorisation expires or ceases.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>are required for future business enhancement and improvement</li> <li>need to be retained to support the decisions of the business</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.4.1 – external authorisations, including licences and permits, covering activities which have the potential to cause environmental harm – retain for 7 years after last action.</i></p> <p><i>Department of Natural Resources and Water (Forestry Plantation Queensland) Retention and Disposal Schedule/Authority QDAN633 reference number 2.3.1 – records relating to external authorisation for Forestry Plantations Queensland to conduct environmentally relevant activities in accordance with the <i>Environmental Protection Act 1994</i> – retain for 7 years after approval cancelled or superseded.</i></p>
1.5.7	<p><b><i>Unsuccessful, refused and withdrawn applications – all rights, allocations, authorities, approvals</i></b></p> <p>Records relating to unsuccessful, refused and withdrawn applications for:</p> <ul style="list-style-type: none"> <li>water-related rights and allocations, including trading rights, authorities and approvals</li> <li>water infrastructure and grid services rights, including bulk water supply, water supply, water service providers, and related rights and allocations, including authorities and approvals</li> <li>natural water resource related rights and allocations, including natural water resources related authorisations and approvals.</li> </ul> <p><b>Retention period &amp; trigger</b></p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for two years as they:</p> <ul style="list-style-type: none"> <li>meet the department's short-term obligations for accountability and information accessibility</li> <li>support the decisions of the business as evidence of the reasons for an application refusal.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v. 1:</i></p> <ul style="list-style-type: none"> <li><i>reference number 1.7.2 common activities – licensing – unsuccessful and withdrawn applications. Retain for 2 years after licence or permit refused or withdrawn</i></li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	2 years after application lapsed, refused or withdrawn.	<ul style="list-style-type: none"> <li><i>reference number 4.1.2</i> fisheries management – authorisation – unsuccessful and withdrawn applications. Retain for 2 years after licence or permit refused or withdrawn.</li> </ul> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1:</i></p> <ul style="list-style-type: none"> <li><i>reference number 1.4.2</i> forestry management – authorisation – unsuccessful and withdrawn applications. Retain for 2 years after authority refused or withdrawn</li> <li><i>reference number 1.14.2</i> forestry management – licensing – unsuccessful and withdrawn applications. Retain for 2 years after licence or permit refused or withdrawn.</li> </ul>
1.6	<b>Claims</b>	
1.6.1	<p><b>Claims – significant*</b></p> <p>Records relating to significant compensation claims for water access entitlements, including changes to entitlements or quantity of water allowed, water allocation reductions in allocation values, damage caused whilst inspectorate were exercising authorised powers and functions, damage caused by water works construction or construction and operation of dams and associated infrastructure, incurred under water-related legislation.</p> <p>Claims may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>events, accidents or incidents resulting in human fatalities</li> <li>serious or high potential events, accidents and incidents leading to damage, loss or having financial impact</li> <li>extreme safety or health matters and offences</li> <li>dangerous and post-emergency situations</li> </ul>	<p><b>Background/business process:</b></p> <p>Compensation claim records are created when assessing the department's liability for compensation payable to applicants for a range of loss, damage and costs associated with the department's exercise of legislative and inspectorate duties.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>receive and assess compensation claim application; request further information; investigate claim; approve application; reject application; pay claim.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.764 (compensation for exercise of authorised powers)</p> <p><i>Water Act 2000</i> – s.986 (compensation for changes to water allocations)</p> <p><i>Water Act 2000</i> – s.986A-992 (compensation for water access entitlements changes)</p> <p><i>Water Act 2000</i> – s.25R, 25V (compensation for action taken under water supply emergency declarations or regulations)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value to the department for water-related projects which continue over many years, e.g. long-term strategies</li> <li>document the history of the department's work dealing with claims relating to water initiatives</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>diseases, hazardous substances and wide-spread, systemic failures of safety and health management systems</li> <li>claims relating to dams.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</i></p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> <li>identify critical improvement areas, with significant issues requiring long-term work and often significant dollar investments to address.</li> </ul> <p>Significant claims relating to dams are permanent as dams have a potential lifespan of 100 years plus, with historical records being invaluable resources.</p> <p>Records relating to all dams are kept as it is impossible to define significant dams. Seemingly non-significant dams can have very significant consequences for downstream populations.</p> <p>Significant claims are expected to be only the rarest amount of records. Most records will fall under the Other banner. The Significant class will only be used where required.</p> <p><b>Permanent retention criteria:</b> Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>5 – Substantial Contribution to Community Memory</li> <li>6 – Environmental Management and Change.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b> There are no precedents for significant compensation claims being permanent. However, in the <i>General Retention and Disposal Schedule</i>, a new disposal class is being proposed to cover these types of records.</p>
1.6.2	<p><b>Claims – other~</b> Records relating to other claims for compensation for costs, damage or loss incurred under water related legislation, not covered by reference <a href="#">1.6.1</a>.</p> <p><i>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><i>See reference <a href="#">1.6.1</a> for claims relating to dams.</i></p> <p><b>Retention period &amp; trigger</b> 7 years after claim determined.</p>	<p><b>Background/business process:</b> See above.</p> <p><b>Regulatory requirements:</b> See above.</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>provide evidence of decisions made in support of claims</li> <li>remain available for potential repeat and overlapping claims for compensation</li> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN653 reference number 9.7.1 – claims made for compensation under the Vegetation Management Act 1999 – retain for 7 years after last action; reference number 10.8.1 – claims made for compensation under the Water Act 2000 and the Water Supply (Safety and Reliability) Act 2008 – retain for 7 years after last action.</i></p> <p><i>NSW Department of Primary Industries Retention and Disposal Schedule/Authority FA258 reference number 13.1.3 – records relating to collecting royalty payments, payments made to private landowners in compensation for the conduct of mining activities – retain minimum of 7 years after date of audit.</i></p> <p><i>Queensland State Archives General Retention and Disposal Schedule: reference 1159 compensation claims – adults. Retain for 7 years after settlement of claim.</i></p>
1.6.3	<p><b><i>Recovery of monies as expenditure incurred by State – significant*</i></b></p> <p>Records relating to recovering significant monies from licence holders for fees, costs, losses, interest and expenses incurred by the State (the Departments) relating to water under relevant legislation.</p> <p>Includes applying costs to security monies (as applicable) to recover money and filing recovery orders in Magistrates Court.</p> <p>Significant recovery of monies includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• emergency and remedial action for incidents and situations involving water, including dam failures, including on land impacted by dam failures</li> </ul>	<p><b>Background/business process:</b></p> <p>Recovery claim records are created when the State loses or outlays monies for actions it has taken in the best interest of the water industry or community, or has outstanding revenue from default of fees and interest payable by water-related parties, including rectifying a range of loss and damage expenses incurred. Actions could be taken to rectify costs associated with compliance actions to prevent or limit environmental damage or community exposure to hazardous substances, and rehabilitation of land from company negligence/neglect. Illustrative process:</p> <ul style="list-style-type: none"> <li>• identify and assess recovery claim; request further information; investigate claim; submit claim to party in default; submit follow up notices as required; receipt and account for monies received; prepare case, submit outstanding claims to court; attend court hearings; close cases of claims not supported by the court; monitor outstanding court orders; reconcile received monies; close cases of claims paid.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000 – s.453 (recovery of costs for non-compliance of tenure holder)</i></p> <p><i>Water Act 2000 – Chapter 5 (recovery of costs for remedying compliance issues as debt to State)</i></p> <p><i>Water Act 2000 – s.1013B (recovery of unpaid fees and charges)</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• construction and operations of dams and infrastructure from non-compliance of others</li> <li>• works completed under emergency declarations or regulations</li> <li>• remedying impacts of authorised activities (with debts payable by owners)</li> <li>• remedying compliance issues legislated as debt to the State</li> <li>• rehabilitation of damaged areas</li> <li>• designing establishment water works, including costs of site investigations and consultation processes</li> <li>• removal and disposal of property</li> <li>• unpaid fees and court orders</li> <li>• court awarded costs</li> <li>• other instances of regulatory non-compliance.</li> </ul> <p>Significant recovery of costs may result from, but is not limited to:</p> <ul style="list-style-type: none"> <li>• events, accidents or incidents resulting in human fatalities</li> <li>• serious or high potential events, accidents and incidents leading to damage, loss or having financial impact</li> <li>• extreme safety or health matters and offences</li> <li>• dangerous and post-emergency situations</li> <li>• diseases, hazardous substances and wide-spread, systemic failures of safety and health management systems</li> </ul>	<p><i>Water Act 2000 – s.25P</i> (recovery of water service provider contributions for works under emergency declarations or regulations)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department for water-related projects which continue over many years, e.g. long-term strategies</li> <li>• document the history of the department's work dealing with claims relating to water initiatives.</li> </ul> <p>Significant claims relating to dams are permanent as dams have a potential lifespan of 100 years plus, with historical records being invaluable resources.</p> <p>Records relating to all dams are kept as it is impossible to define significant dams. Seemingly non-significant dams can have very significant consequences for downstream populations.</p> <p>Significant monies recovered often will be precedents set for recovering monies from licensees for significant events, accidents and incidents, and are the last process in a clean-up involving records from other processes such as incident and emergency responses. These records are expected to be only the rarest amount of records. Most records will fall under the Other banner. The Significant class will only be used where significant cases exist and may never be utilised (except claims relating to dams).</p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><small>** See page 3 for more details.</small></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>claims relating to dams.</li> </ul> <p>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	
1.6.4	<p><b><i>Recovery of monies as expenditure incurred by State – other~</i></b> Records relating to recovering monies from licence holders for fees, costs, losses, interest and expenses incurred by the State relating to water under relevant legislation, not covered under reference <a href="#">1.6.3</a>. ~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other. See reference <a href="#">1.6.3</a> for recovery claims relating to dams.</p> <p><b>Retention period &amp; trigger</b> 7 years after claim determined.</p>	<p><b>Background/business process:</b> See above.</p> <p><b>Regulatory requirements:</b> See above.</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years, where they:</p> <ul style="list-style-type: none"> <li>provide evidence of decisions made in support of claims</li> <li>remain available for potential repeat and overlapping claims for compensation</li> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b> <i>Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN653 reference number 9.7.1 – claims made for compensation under the Vegetation Management Act 1999 – retain for 7 years after last action; reference number 10.8.1 – claims made for compensation under the Water Act 2000 and the Water Supply (Safety and Reliability) Act 2008 – retain for 7 years after last action.</i> <i>State Records New South Wales Department of Primary Industries Retention and Disposal Schedule/Authority FA258 reference number 13.1.3 – records relating to collecting royalty payments, payments made to private landowners in compensation for the conduct of mining activities – retain minimum of 7 years after date of audit.</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<i>Queensland State Archives General Retention and Disposal Schedule: reference 1099</i> debts, overpayments and material losses. Retain for 7 years after the financial year to which the records relate.
1.7	<b>Declarations</b>	
1.7.1	<p><b>Declarations – significant*</b></p> <p>Records relating to significant water-related declarations made through operational activities such as enforcement, monitoring and surveillance, incident and emergency responses, other legislative and regulatory processes, or which are made on a long-term or permanent nature.</p> <p>Significant declarations are made about and include, but are not limited to:</p> <ul style="list-style-type: none"> <li>those relating to dams</li> <li>using water</li> <li>managing water infrastructure, water supplies and water services</li> <li>bulk water, water supply, sewerage and wastewater disposal for community and commercial purposes</li> <li>natural water resources, including lakes, rivers, creeks, springs, groundwater, underground water, artesian and sub-artesian water resources</li> <li>full supply levels (including temporary full supply levels) for dams to mitigate potential flood or drought impacts</li> <li>managing dams and associated infrastructure</li> <li>outer banks of watercourses (relevant lengths of course)</li> </ul>	<p><b>Background/business process:</b></p> <p>Declaration records are created during operational activities to monitor and enforce compliance with legislative and regulatory processes, or respond to emergency situations and safety issues such as declaring critical recycled water schemes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>identify affected areas; survey/map and highlight areas (links to mapping business processes); draft declarations, seek approvals; publish declarations.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.5B (outer banks of watercourses)</p> <p><i>Water Act 2000</i> – s.25B-D (water supply emergencies)</p> <p><i>Water Act 2000</i> – s.986J (water management plans)</p> <p><i>Water Act 2000</i> – s.365 (affected cumulative management areas by underground water rights of multiple tenure holders)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value to the department for water-related projects which continue over many years, e.g. long-term strategies to grow the water industry</li> <li>document the history of the department's work in facilitating significant water initiatives via legislative, regulatory and declaratory activities.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>5 – Substantial Contribution to Community Memory</li> </ul>



Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• cumulative management areas affected by underground water rights of multiple tenure holders</li> <li>• quarry materials</li> <li>• downstream and upper stream limits for water access</li> <li>• moratoriums for water catchments or planning areas (restricting water use and licensing)</li> <li>• groundwater areas</li> <li>• coal seam gas areas</li> <li>• sub artesian areas</li> <li>• bulk water, water supply, sewerage and wastewater disposal related areas and schemes</li> <li>• water services</li> <li>• service areas</li> <li>• water supply emergencies</li> <li>• water management plans</li> <li>• water schemes</li> <li>• recycled water schemes as critical recycled water schemes.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</i></p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b> <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 7.6.3</i> Records of notifications regarding the supply of unsafe drinking water or potential supply of unsafe drinking water including the issuance of warning notices to the community. Permanent</li> <li>• <i>reference number 1.2.1</i> Records documenting the issuing, receipt and actioning of incident notifications for emergency situations that cause critical impacts to water or wastewater infrastructure assets or the natural environment or is one of a series of similar emergencies forming a significant pattern of disruption to water quality or the provision of water services to the community. Permanent.</li> </ul> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 14.1</i> notifications about the supply or potential supply of unsafe drinking water. Required as State archives.</p>
1.7.2	<p><b>Declarations – other~</b> Records relating to other water-related declarations, not covered by reference <a href="#">1.7.1</a>. Includes declarations made of a transitory or temporary nature, or with an expiry or end date.</p>	<p><b>Background/business process:</b> See above.</p> <p><b>Regulatory requirements:</b> See above.</p> <p><b>Business requirements:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other See reference <a href="#">1.7.1</a> for declarations relating to dams.</p> <p><b>Retention period &amp; trigger</b> 7 years after business action completed.</p>	<p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>document business processes associated with declarations on property titles</li> <li>protect the rights and entitlements of citizens by providing evidence of changes to property titles used during the acquisition and disposal of property</li> <li>are required for reference purposes once the declaration has been lifted</li> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b> <i>Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN653 reference number 7.18.2</i> – notices required for wild river declarations in accordance with the <i>Wild Rivers Act 2005</i> – retain for 7 years after last action; <i>reference number 10.19.1</i> – publication of notices relating to the <i>Water Act 2000</i> in the media and/or Gazette – retain for 7 years after last action. <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 1.2.3</i> Records documenting the issuing, receipt and actioning of incident notifications for emergency situations that cause minor damage to infrastructure, water or wastewater infrastructure assets or the natural environment. This includes minor disruptions to the provision of water services to the community. Destroy 7 years after incident.</p>
1.8	<b>Development</b>	
1.8.1	<p><b>Development – significant*</b> Records relating to planning and implementing significant business development initiatives designed to support the water industry and meet community needs. Significant development initiatives include, but are not limited to:</p>	<p><b>Background/business process:</b> Development and development planning plays a key role in facilitating economic growth, progress and investment opportunities for water-related industries. Illustrative processes:</p> <ul style="list-style-type: none"> <li>research development environment and markets; determine broad direction appropriate to environment and markets; identify goals, objectives and strategies; draft planning document; consult with stakeholders; approve planning document; map activities; develop task lists and work schedules; run planned work as per other business processes; monitor performance; review plans.</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• water resources management, including bulk water, water supply, sewerage and wastewater disposal for community and economic purposes</li> <li>• natural water resources</li> <li>• dams</li> <li>• development initiatives relating to dams.</li> </ul> <p><u>Excludes</u> development applications and approvals relating to dams. See reference <a href="#">2.3.1</a>.</p> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</i></p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department for projects which continue over many years, e.g. long-term strategies to grow the water industry</li> <li>• document the history of the department's work in facilitating and implementing significant water industry developments.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b> Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 3 – Enduring Rights and Entitlements</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b> <i>PROS 04-01 Department of Primary Industries Retention and Disposal Schedule/ Authority reference number 9.1.0 – management plans – management and implementation of strategies/programs that protect resources, prepare for incidents and/or known risks, or set standards regarding resource use. • resource management plans • regional management plans • regional catchment strategies • correspondence – Retain permanently.</i> <i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 11.1 research projects conducted or commissioned to support the development of significant or innovative water or wastewater management initiatives or strategies. Required as State archives.</i></p>
1.8.2	<p><b>Development – other~</b> Records relating to planning and implementing other business development initiatives designed to support the water industry and assist its growth and meet</p>	<p><b>Background/business process:</b> See above.</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>community needs, not covered by reference <a href="#">1.8.1</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><u>Excludes</u> development initiatives relating to dams. See reference <a href="#">1.8.1</a>.</p> <p><u>Excludes</u> development applications and approvals relating to dams. See reference <a href="#">2.3.1</a>.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<ul style="list-style-type: none"> <li>• have less significance than those projects covered in reference <a href="#">1.7.1</a></li> <li>• are required for future business enhancement and improvement</li> <li>• support the decisions of the business for future projects</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p>While the other schedule has a higher retention period for similar records, Water Supply Division (DEWS), and DNRM business units** have identified a business requirement for shorter retention.</p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 1.2.1</i> – records documenting the identification and examination of business opportunities and initiatives which lead to the completion of a business deal – retain for 10 years after last action.</p>
1.8.3	<p><b><i>Development approvals</i></b></p> <p>Records relating to assessing and approving water- related developments.</p> <p>Development approvals include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• removing, destroying or damaging natural water resources in the course of development</li> <li>• water resources management, including bulk water, water supply, sewerage and wastewater disposal for community and commercial purposes</li> <li>• natural water resources</li> <li>• development of bulk water, water supply, sewerage and wastewater disposal related areas, schemes, land and works</li> <li>• consent arrangements, emergency notices for water infrastructure work, work</li> </ul>	<p><b>Background/business process:</b></p> <p>Development assessments and approvals are created in regulatory processes of designing, applying, assessing, conducting or requiring mandatory research and studies (such as environmental impact statements, impact assessment studies), consultation, and decision making processes (approvals, rejections, amendments, conditions).</p> <p>Usually received from external parties, but includes state-initiated development applications to develop land and add development value.</p> <p>Illustrative processes for development approvals:</p> <ul style="list-style-type: none"> <li>• receive development application, assess application, request further information, approve/reject application.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Sustainable Planning Act 2009</i> – s.680B (relevant development applications)</p> <p><i>Sustainable Planning Act 2009</i> – s.584 (emergency exemptions)</p> <p><i>South East Queensland Water (Distribution and Retail Restructuring) Act 2009</i></p> <p><i>Water Act 2000</i> – s.966-967 (removal of quarry material from leased land, construction/modification of levees)</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>directions for maintenance works, and advice of emergency developments</p> <ul style="list-style-type: none"> <li>land, construction, augmentation, alteration or maintenance of water infrastructure</li> <li>construction of road works affected by water infrastructure</li> <li>works in drainage, embankment, wild river floodplain and special floodplain areas</li> <li>irrigation, gauging stations, effluent regulators, water regulators, water diverters, weirs, stormwater devices, flood devices, pumping equipment, diversion channels, barrages, bores and levee banks</li> <li>working with multiple licensees, authorities and councils</li> <li>refusing applications</li> <li>making and amending conditions and environmental offsets</li> <li>issuing development permits</li> <li>cancelling development permits for decommissioned dams</li> <li>handling emergency development advice of flood mitigation development.</li> </ul> <p>Approvals include assessing:</p> <ul style="list-style-type: none"> <li>design and engineering investigations</li> <li>flood mitigation, strategies and annual preparedness</li> <li>flood manuals, alternative operational procedures for flood events</li> <li>safety and development conditions</li> </ul>	<p><i>Water Act 2000 – s.968-972A, 1014 (operational works – water interference, quarry materials, drainage and embankment areas, wild river floodplains, wild river special floodplain management areas)</i></p> <p><i>Water Act 2000 – s.972C (operational works)</i></p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work</li> <li>cover the agency for risks associated with assessing and approving water-related developments, which can have far reaching impacts on government and the community.</li> </ul> <p>Additionally, dams have a potential lifespan of 100 years plus, with historical records of investigations and decisions being invaluable resources. Moreover, it is impossible to define significant dams. Seemingly non-significant dams can have very significant consequences for downstream populations.</p> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria (where applicable):</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>3 – Enduring Rights and Entitlements</li> <li>5 – Substantial Contribution to Community Memory</li> <li>6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 4.2.1</i> Summary records of subdivision and planning permit applications and conditions for approval. Permanent</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 1.9</i> key records relating to design, construction, commissioning, major renovation or restoration or decommissioning of water management assets and infrastructure of significance. Required as State archives.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• safety excesses of temporary or full supply levels</li> <li>• emergency development (e.g. flood restoration work) carried out under the <i>Sustainable Planning Act 2009</i>.</li> </ul> <p><u>Excludes</u> development applications and approvals relating to dams. See reference <a href="#">2.3.1</a>.</p> <p><u>Excludes</u> development initiatives for community water planning. See references <a href="#">1.8.1</a> and <a href="#">1.8.2</a>.</p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<p><i>NSW Functional Retention and Disposal Authority FA256 issued to Department of Water and Energy reference 4.5.1</i> design and construction of structures project records, includes approvals. Required as State archives.</p>
1.8.4	<p><b><i>Land acquisitions by resumption</i></b> Records relating to compulsorily acquiring (resuming) land for water works. Land acquisitions include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• natural water resource protection or enhancement</li> <li>• water resources management, including bulk water, water supply, sewerage and wastewater disposal for community and commercial purposes</li> <li>• relevant development works</li> <li>• works associated with community dam developments</li> <li>• land resumptions relating to dam projects and including land with dams.</li> </ul> <p><b>Retention period &amp; trigger</b></p>	<p><b>Background/business process:</b> Land resumption records are created in regulatory processes of planning, identifying and resuming land. Includes conducting assessment processes and research and studies (such as environmental impact statements, impact assessment studies), consultation, and decision making processes (approvals, rejections, amendments, conditions). Includes paying for land and conducting land exchanges. Includes adding legal easements to land titles as a partial or whole resolution of process. Illustrative processes for development approvals:</p> <ul style="list-style-type: none"> <li>• identify land for resumption from approved planning documents, assess land for market and other values; commission studies as required; survey land as required, issue resumption notices; negotiate purchase or trade; settle on property purchase or trade; negotiate owner options, e.g. staying on in property as tenant until works started; organise property management contracts; commission works to maintain property or prepare for coming works (as required).</li> </ul> <p><b>Regulatory requirements:</b> <i>Sustainable Planning Act 2009</i> – Chapter 5 (land resumption for community purposes) <i>Acquisition of Land Act 1967</i> – s.7, 13, 41 (resuming land)</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	Permanent. Transfer to QSA after business action completed.	<p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work</li> <li>• provide evidence of economic and social development in the State</li> <li>• demonstrate compliance with acquiring land and that the acquisition was in the interest of economic and social development.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria (where applicable):</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 3 – Enduring Rights and Entitlements</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>SEQWater Retention and Disposal Schedule QDAN717 v.1 reference 1.3.2</i> surveying – built infrastructure, includes land acquisition surveys. Retain permanently.</p> <p><i>Local Government Sector Retention and Disposal Schedule QDAN480 v.4 reference number 5.2.1</i> acquisition of land – historically significant. Retain permanently.</p> <p><i>Coordinator-General Retention and Disposal Schedule QDAN703 v.1 reference 1.1.1</i> acquisition of land – records relating to the acquisition of land or easements by the Coordinator-General. Retain permanently.</p>
1.9	<b>Disposal</b>	
1.9.1	<p><b>Disposal – property, products and waste</b></p> <p>Records relating to disposing of property, products and waste seized during enforcement, inspection and investigation activities under relevant legislation.</p> <p>Includes dealing with and disposing by selling, destroying and other means:</p>	<p><b>Background/business process:</b></p> <p>Disposal-related records are created during processes of evidence seizure, property forfeiture and waste collection generally through enforcement processes (e.g. inspections, investigations, prosecution) and disposal of such items in line with legislative and procedural requirements for handling said items.</p> <p>Illustrative process:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>plant and property</li> <li>products and waste</li> <li>quarry materials</li> <li>seized and forfeited evidence and property.</li> </ul> <p><u>Excludes</u> hazardous waste.</p> <p><b>Retention period &amp; trigger</b> 7 years after business action completed.</p>	<ul style="list-style-type: none"> <li>obtain warrants; collect evidence; seize property and waste; list and store evidence; list and store seized/forfeited items; issue seizure receipts/forfeiture notices; issue disposal notices; seek approvals; destroy items; certify destruction.</li> </ul> <p><b>Regulatory requirements:</b> <i>Water Act 2000</i> – s.757A-757J (seizure and forfeiture of evidence/property)</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>support the decisions of the business</li> <li>ensure records are available in the event of a claim for damages or loss</li> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Comparison with other schedules:</b> <i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 7.1.2</i> – records relating to the destruction of expired, unsafe or surplus explosives in accordance with AS 2187 – 2006 – retain for 7 years after last action. <i>NSW Department of Primary Industries Retention and Disposal Schedule/Authority FA258 reference number 2.4.3</i> – 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, destruction orders, pest control orders, penalty notices – retain minimum of 10 years after last action. <i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.9.1</i> disposal of seized property, products or waste. Retain for 7 years after action completed. <i>Local Government Sector Retention and Disposal Schedule QDAN480 v.4 reference number 31.9.1</i> removal, treatment and disposal of commercial and trade waste. Retain for 7 years after last action.</p>
1.10	<b>Enforcement</b>	
1.10.1	<b>Regulatory enforcement</b>	<b>Background/business process:</b>



Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Records relating to issuing directives, orders, fines, penalties or exemptions relating to natural water resources, and water resources management, including bulk water, water supply, sewerage and wastewater disposal, under relevant legislation.</p> <p>Enforcement includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• issuing: <ul style="list-style-type: none"> <li>○ improvement notices</li> <li>○ moratorium notices to protect natural ecosystems and existing water entitlements and other authorities</li> <li>○ notices to landowners to remove vegetation, litter, refuse or other matter obstructing or affecting water flows, water quality or integrity of natural watercourses, lakes or springs</li> <li>○ orders to restrict or limit taking of water</li> <li>○ notices for the application of safety and development conditions</li> <li>○ notices of prescribed incidents and alerts regarding water quality in recycled water schemes</li> <li>○ directions to water service providers to comply with water supply emergency regulations</li> <li>○ notices and directions for water security or continuity of supply</li> <li>○ notices to take over water infrastructure operations</li> </ul> </li> </ul>	<p>Enforcement-related records are created during compliance monitoring processes to ensure adherence to legislative requirements, and take punitive action against offenders.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• identify breach/issue; communicate breach/issue to relevant person; issue notices; register issued notices; communicate issued notices to other business processes; follow up notices with action requirements; collect payment requirements; follow up payments</li> <li>• as part of monitoring and surveillance programs, and conducting inspection or investigation processes, on-the-spot notices, such as directives, orders, fines, penalties and exemptions, are issued.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – Chapter 5 (investigation, enforcement and offences)</p> <p><i>Water Act 2000</i> – s.273, 448-449, 450-451, 454, (various enforcement notices)</p> <p><i>Water Act 2000</i> – s.26-29 (moratoriums)</p> <p><i>Water Act 2000</i> – s.25G-H (directions for emergency compliance)</p> <p><i>Water Act 2000</i> – s.780</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required to be retained for financial reasons as they are linked to the receipt of monies and are therefore required to be retained for the same period of time as the related financial records which is seven years within the <i>General Retention and Disposal Schedule</i></li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Comparison with other schedules:</b></p> <p><i>Public Record Office Victoria Department of Primary Industries Retention and Disposal Schedule/Authority PROS 04-01 reference number 8.6.0</i> – issue of penalties or</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>○ notices to discharge trade waste or seepage water into sewerage infrastructure.</li> <li>● referring reports of investigative leads, offences and designated incidents requiring further inspection or investigation to inspectors.</li> </ul> <p><u>Excludes</u> regulatory enforcement relating to dams.</p> <p><b>Retention period &amp; trigger</b> 7 years after business action completed.</p>	<p>instruction for remedial actions to be undertaken in response to a breach of regulations – destroy 7 years after date of last access.</p> <p><i>NSW Food Safety Management Retention and Disposal Schedule/Authority FA284 reference number 1.4.1</i> – summary records of issued penalty notices and prosecutions – retain minimum of 7 years after last action, then destroy; <i>reference number 1.4.3</i> – records relating to the seizure, impounding or destruction of food stuffs, goods or equipment in connection with the preparation and handling of food substances – retain minimum of 7 years after last action, then destroy.</p> <p><i>Safe Food Production Queensland Retention and Disposal Schedule/Authority QDAN 708 reference number 1.4.1</i> – enforcement of food safety standards – retain for 7 years after last action.</p> <p><i>Fisheries Retention and Disposal Schedule QDAN 724.v1 reference number 5.2.1</i> regulatory enforcement. Retain for 7 years after action completed.</p>
1.11	<b><i>Inspections</i></b>	
1.11.1	<p><b><i>Inspections – significant*</i></b></p> <p>Records relating to conducting significant water related inspections of natural water resources, associated licensees, businesses and practices, bulk water and water supply, sewerage and wastewater disposal infrastructure, works, operations, businesses and associated practices, for compliance with relevant legislation.</p> <p>Significant inspections include, but are not limited to:</p> <ul style="list-style-type: none"> <li>● natural water resources, and associated licensees, businesses and associated practices</li> <li>● bulk water and water supplies, and sewerage and wastewater disposal infrastructure, works, operations, businesses and associated practices</li> </ul>	<p><b>Background/business process:</b></p> <p>Inspection records are created during compliance enforcement processes to inspect premises, vehicles, equipment and other items under relevant legislation.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>● schedule inspection; collect required inspection documentation; mobilise to inspection site; observe/monitor inspection site; complete inspection documentation; draft inspection report; report inspection results; communicate inspection report.</li> </ul> <p><b>Regulatory requirements:</b> <i>Water Act 2000</i> – Chapter 5 (investigation, enforcement and offences)</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRm business units** require these records to be retained for 25 years as they:</p> <ul style="list-style-type: none"> <li>● are required for long-term business needs based on industry cycles of renewal and regeneration</li> <li>● cover the department for risks associated with the government's responsibility to check and catch problems. Inspectors can uncover significant risks and undue exposure to the community, environment and workforce during routine inspections</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• water facilities, infrastructure and resources impacted by coal seam gas mining sites and activities</li> <li>• water supplies</li> <li>• water quality, misuse, undue consumption or contamination</li> <li>• waste treatments</li> <li>• rural irrigation channels (for example, water efficiency)</li> <li>• works, fittings, drainage apparatus, and other property</li> <li>• works construction</li> <li>• water quality testing and treating</li> <li>• water meter data verification from self-read meters</li> <li>• water systems, stormwater systems and wastewater systems</li> <li>• programs and projects.</li> </ul> <p><u>Excludes</u> inspections relating to dams. See reference <a href="#">2.5</a> <i>Dam Safety Management – Inspections</i>.</p> <p><u>Excludes</u> inspections of mining sites and operations. See <i>Mining Retention and Disposal Schedule</i>.</p> <p><u>Excludes</u> inspections uncovering environmental damage which is referred to the agency responsible for the Environment. See <i>Environment Retention and Disposal Schedule</i>.</p> <p><u>Excludes</u> inspections whose inspection results yield information, evidence or compliance</p>	<ul style="list-style-type: none"> <li>• directly relate to or provide background information to significant incidents or investigations</li> <li>• represent industry cycles over time required for reference to effectively assess long-term impacts including environmental impacts and outcomes.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Primary Industries and Fisheries (BSES) Retention and Disposal Schedule/Authority QDAN596 reference number 2.5.1</i> – inspections of farms and the issue of destruction orders under the <i>Plant Protection Act 1989</i> for crops found to be affected by pests or disease – retain for 20 years after last action.</p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.6.1</i> conducting significant fisheries related inspections for compliance with the <i>Fisheries Act 1994</i>. Retain for 25 years after action completed.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.12.1</i> conducting significant inspections of forestry related premises, land, leases, licences, authorities, permits, products and materials for compliance under relevant legislation. Retain for 25 years after action completed.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>outcomes which are enforced by other agencies, e.g. <i>terrorist/criminal activity, environmental damage</i>. See reference <a href="#">1.11.3</a> <i>Inspections Overlapping or Informing Other Government Responsibilities</i>.</p> <p>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>25 years after business action completed.</p>	
1.11.2	<p><b><i>Inspections – other~</i></b></p> <p>Records relating to conducting other water related inspections not covered by reference <a href="#">1.11.1</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Employment, Economic Development and Innovation (Office of Racing) Retention and Disposal Schedule/Authority QDAN620 reference number 2.10.4 –</i> copies of audit programs for licenced animals, clubs, participants and venues developed by control bodies and subsequently provided to the Office of Racing Regulation for review – retain for 7 years after last action.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 6.4</i> records relating to the management of the provision of water and wastewater services to customers, includes inspection or maintenance of sewers on private property. Retain minimum of 7 years after action completed, then destroy.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 13.7</i> records relating to the operational management of other stormwater and wastewater systems, programs and projects such as inspections of the level and causes of pollution in stormwater systems. Retain minimum of 7 years after action completed, then destroy.
1.11.3	<p><b><i>Inspections overlapping or informing other government responsibilities</i></b></p> <p>Records relating to conducting inspections which yield significant or not insignificant background, information, results, and recommendations which impact on other activities of other Queensland government agencies with responsibilities for mining and the environment.</p> <p>Inspections may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• inspections of actual mining sites and operations. <i>For more information, see also Mining Retention and Disposal Schedule</i></li> <li>• inspections uncovering environmental damage which is referred to the agency responsible for the environment. <i>For more information, see also Environment Retention and Disposal Schedule</i></li> <li>• other inspections of an overlapping or informative nature, where other government agencies have formally advised agency/ agencies responsible for water (and their corporate services partners) of their requirement to keep these records permanently given their significance or importance to identified business processes.</li> </ul>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>Regulatory requirements are not listed in water-related legislation but inferred from business activities of other legislation administered by other agencies and their disposal requirements approved by Queensland State Archives.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently, with business imperatives and caution increasing retention, as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• support the documentation of the history of another Queensland Government department's significant work.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Permanent retention criteria (where applicable):</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 3 – Enduring Rights and Entitlements</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Primary Industries and Fisheries (BSES) Retention and Disposal Schedule/Authority QDAN596 reference number 2.5.1</i> – inspections of farms and the issue of destruction orders under the <i>Plant Protection Act 1989</i> for crops found to be affected by pests or disease – retain for 20 years after last action.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.	<i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.6.1</i> conducting significant fisheries related inspections for compliance with the <i>Fisheries Act 1994</i> . Retain for 25 years after action completed.  <i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.12.1</i> conducting significant inspections of forestry-related premises, land, leases, licences, authorities, permits, products and materials for compliance under relevant legislation. Retain for 25 years after action completed.
1.12	<b>Investigations</b>	
1.12.1	<b>Investigations – significant*</b> Records relating to significant water-related investigations involving offences under relevant legislation. Significant investigations include, but are not limited to: <ul style="list-style-type: none"> <li>• native title rights</li> <li>• natural water resources, and associated licensees, businesses and associated practices</li> <li>• bulk water and water supplies, and sewerage and wastewater disposal infrastructure, works, operations, businesses and associated practices</li> <li>• water quality of coal seam gas impacted groundwater.</li> </ul> <u>Excludes</u> investigations relating to dams. <i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i> <b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.	<b>Background/business process:</b> Investigation records are created as part of compliance enforcement processes, where an investigating officer finds a cause or evidence to open a case to investigate further, or has a case referred by other authorised officers (inspectors, complaint conciliators) with a view to successfully prosecute for an offence under relevant legislation. A case proceeds to prosecution if a worthy case has been made and is likely to succeed through the courts. Illustrative process: <ul style="list-style-type: none"> <li>• receive complaint/notification of potential offence; conduct investigations; conduct interviews; collect evidence; compile case; make recommendations for prosecution; refer to prosecutors.</li> </ul> <b>Regulatory requirements:</b> <i>Water Act 2000</i> – Chapter 5 (investigation, enforcement and offences) <i>Water Act 2000</i> – s.22, 349-354, 360F, 360J, 360S, 390-400, 452, 808-828 <i>Water Act 2000</i> – s.757A-757J (seizure and forfeiture of evidence/property) <b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they: <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work</li> <li>• provide evidence of decisions, support actions, and provide a history of the investigations relating to the water industry.</li> </ul> ** See page 3 for more details.

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><b>Permanent retention criteria:</b> Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 1 – Authority, Foundation &amp; Structure of Government</li> <li>• 5 – Substantial Contribution to Community Memory.</li> </ul> <p><b>Comparison with other schedules:</b> <i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 3.4.1</i> – investigations into major fires that have a significant impact on State forest plantations, e.g. major wild fires that cause a significant loss of life, plantation or property – retain permanently. <i>PROS02/03 Environment Protection Authority Retention and Disposal Schedule/Authority reference number 3.8.2.1</i> – site-specific investigations that set a precedent, involve possible substantial damage to the environment, have general public notoriety, or raise systemic issues – retain permanently. <i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 1.14</i> reports, findings and recommendations of major reviews and investigations into asset and infrastructure safety, conditions, conservation, performance, structural behaviour and potential threats. Required as State archives.</p>
1.12.2	<p><b><i>Investigations – other~</i></b> Records relating to investigating other water-related offences under relevant legislation not covered by reference <a href="#">1.12.1</a>. ~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b> 7 years after business action completed.</p>	<p><b>Background/business process:</b> See above.</p> <p><b>Regulatory requirements:</b> See above.</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.1.2</i> – routine investigations of accidents or incidents that caused, or had the potential to cause, minimal environmental harm to native forests – retain for 7 years after last action.</p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 2.1.2</i> – investigations of environmental accidents or incidents where minimal environmental harm occurred – retain for 7 years after last action.</p> <p><i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 reference number 3.8.2.2</i> – investigation reports, recommendations and outcomes, consultants' reports, audit reports, prosecution briefs, memoranda of legal advice, prosecution recommendations, correspondence, testing and monitoring data, background information, complaint reports, log books, witness reports – destroy 7 years after the investigated activity has ceased.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 10.1</i> records relating to the issue of infringements or notices for offences. Retain minimum of 7 years after action completed, then destroy.</p>
1.13	<b>Licensing</b>	
1.13.1	<p><b>Granted water licences and permits – significant*</b></p> <p>Records relating to assessing and approving significant water-related licences and permits, under relevant legislation.</p> <p>Significant licences and permits include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• native title rights</li> <li>• applications, renewals, transfers, releases, changes, surrenders, cancellations, terminations</li> <li>• assessments and approvals of any submissions, annual reports, annual</li> </ul>	<p><b>Background/business process:</b></p> <p>Records are created during licensing assessment and approval processes for a range of licences, permits and permissions granted to approved applicants under relevant legislation. The period of currency or renewal period varies.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive and assess licensing application; request further information; assess individual supporting studies and reports; consult with stakeholders (if required); make required checks, e.g. check histories (e.g. criminal, occupational), qualifications, examination results; check mutual recognition and previous licensing status (as applicable); grant licences, issue licence identification or certification; transfer, suspend or cancel licence.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.206-212A, 213-229E (water licences)</p>



Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>returns, procedures, plans, e.g. management plans, etc., to maintain currency of licences</p> <ul style="list-style-type: none"> <li>making, approving or overseeing making of agreements that result in, or put effect to, rights of licensees</li> <li>converting existing rights from transitional arrangements for legislative changes.</li> </ul> <p><u>Excludes</u> licences and permits relating to dams.</p> <p><u>Excludes</u> dams relating to mining, e.g. <i>hazardous waste dams, tailings dams, evaporation dams, exploration waste dams.</i> See also <i>Environment Retention and Disposal Schedule</i>.</p> <p>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><i>Water Act 2000</i> – s.326-333, 335-339 (operations licences for water entitlements not under resource operations licences)</p> <p><i>Water Act 2000</i> – s.1111 (interim resource operations licences)</p> <p><i>Water Act 2000</i> – s.122A (standard supply contracts under water allocations for resource operations licences)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work</li> <li>cover the agency for risks associated with assessing and approving water licences and permits.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Permanent criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>5 – Substantial Contribution to Community Memory.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.1.5</i> Records of seasonal water determinations used to determine climate change impacts overtime. Permanent.</p> <p><i>NSW Functional Retention and Disposal Authority FA256 issued to Department of Water and Energy reference number 4.8.1</i> Records relating to the application, granting, monitoring and reviewing of licences, approval, consents or permits relating to access to, usage or the supply of water. Required as State archives.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 5.1</i> Records relating to the establishment, maintenance and review of the organisation's licences to operate water and wastewater treatment services. Required as State archives.</p> <p><i>Territory Records (Records Disposal Schedule-Environmental Management Records) Approval 2011 NI2011-86</i> Reference 113.014.002 Final versions of approved</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		environmental authorisations to undertake Class 'A' or Class 'B' activities described in environmental protection legislation, with long-term environmental, social or economic consequences. Includes water related activities – Retain as Territory archives.
1.13.2	<p><b><i>Granted water licences and permits – other</i></b> ~</p> <p>Records relating to assessing and approving other water-related licences and permits, not covered by reference <a href="#">1.13.1</a>.</p> <p><u>Excludes</u> licences and permits relating to dams.</p> <p><u>Excludes</u> dams relating to mining, e.g. <i>hazardous waste dams, tailings dams, evaporation dams, exploration waste dams</i>. See also <i>Environment Retention and Disposal Schedule</i>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after licence or permit expires or ceases.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• provide evidence of business processes associated with granting rights</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.4.1</i> – external authorisations, including licences and permits, covering activities which have the potential to cause environmental harm – retain for 7 years after last action.</p> <p><i>Department of Natural Resources and Water (Forestry Plantation Queensland) Retention and Disposal Schedule/Authority QDAN633 reference number 2.3.1</i> – records relating to external authorisation for Forestry Plantations Queensland to conduct environmentally relevant activities in accordance with the <i>Environmental Protection Act 1994</i> – retain for 7 years after approval cancelled or superseded.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 13.4</i> records relating to authorisations for commercial, trade and other uses of the organisation's infrastructure and the licensing of bio solids sites. Retain a minimum of 7 years after expiry or termination of permit or licence, or 7 years after action completed, then destroy.</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>reference number 1.7 records relating to refused applications or approvals for connections, permits etc. Retain minimum of 7 years after action completed, then destroy.</li> </ul>
1.13.3	<p><b><i>Granted water grid services, infrastructure and operations – licences and permits – significant*</i></b></p> <p>Records relating to assessing and approving significant water grid services, infrastructure and operations licences and permits, for bulk water supply, water supply, and water-related services including sewerage, wastewater treatment and disposal providers, under relevant legislation.</p> <p>Significant granted water grid services, infrastructure and operations – licences and permits includes, but are not limited to:</p> <ul style="list-style-type: none"> <li>distribution operations</li> <li>resource operations</li> <li>applications, renewals, transfers, releases, changes, surrenders, cancellations, terminations</li> <li>assessments and approvals of any submissions, annual reports, annual returns, procedures, plans, e.g. management plans, etc., to maintain currency of authorisation</li> <li>making, approving or overseeing making of agreements that result in, or put effect to, rights of authorisation</li> <li>converting existing rights from transitional arrangements for legislative changes.</li> </ul> <p><small>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</small></p> <p><b>Retention period &amp; trigger</b></p>	<p><b>Background/business process:</b></p> <p>Records are created during licensing approval processes for a range of licences, permits or permissions granted to approved applicants under relevant legislation. The period of currency or renewal period varies. Some entitlements (e.g. water licences) are long-term, having been authorised until 2111 by s.213A of the <i>Water Act 2000</i>.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>receive and assess licensing application; request further information; assess individual supporting studies and reports; consult with stakeholders (if required); make required checks, e.g. check histories (e.g. criminal, occupational), qualifications, examination results; check mutual recognition and previous licensing status (as applicable); grant licences, issue licence identification or certification; transfer, suspend or cancel licence.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.108A, 108B, 108C, s113, 125, 128A, 128B, 168-190, 328-333, 335-339</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work</li> <li>cover the agency for risks associated with assessing and approving licences and permits for water grid services, infrastructure and operations.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>5 – Substantial Contribution to Community Memory</li> <li>6 – Environmental Management and Change.</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	Permanent. Transfer to QSA after business action completed.	<p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.1.5</i> Records of seasonal water determinations used to determine climate change impacts over time. Permanent.</p> <p><i>NSW Functional Retention and Disposal Authority FA256 issued to Department of Water and Energy reference number 4.8.1</i> Records relating to the application, granting, monitoring and reviewing of licences, approval, consents or permits relating to access to, usage or the supply of water. Required as State archives.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 5.1</i> Records relating to the establishment, maintenance and review of the organisation's licences to operate water and wastewater treatment services. Required as State archives.</p> <p><i>Territory Records (Records Disposal Schedule-Environmental Management Records) Approval 2011 NI2011-86 Reference 113.014.002</i> Final versions of approved environmental authorisations to undertake Class 'A' or Class 'B' activities described in environmental protection legislation, with long-term environmental, social or economic consequences. Includes water-related activities – Retain as Territory archives.</p>
1.13.4	<p><b><i>Granted water grid services, infrastructure and operations – licences and permits – other~</i></b></p> <p>Records relating to assessing and approving other water grid services, infrastructure and operations licences and permits, for bulk water supply, water supply, and water-related services including sewerage, wastewater treatment and disposal providers, not covered by reference <a href="#">1.13.3</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after licence or permit expires or ceases.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• provide evidence of business processes associated with granting rights</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.1.4</i> Records of applications submitted to the agency for water shares, water-use licences, water-use registration, delivery shares, works licences and take and use licences. Includes the assessment of applications and amendments to entitlements and allocations. Destroy once entitlement expires or is superseded.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 13.4</i> records relating to authorisations for commercial, trade and other uses of the organisation's infrastructure and the licensing of bio solids sites. Retain a minimum of 7 years after expiry or termination of permit or licence, or 7 years after action completed, then destroy.</li> <li>• <i>reference number 1.7</i> records relating to refused applications or approvals for connections, permits etc. Retain minimum of 7 years after action completed, then destroy.</li> </ul>
1.13.5	<p><b><i>Granted natural water resources licences and permits – significant*</i></b></p> <p>Records relating to assessing and approving significant natural water resource licences and permits, under relevant legislation.</p> <p>Significant licences and permits include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• applications, renewals, transfers, releases, changes, surrenders, cancellations, terminations</li> <li>• assessments and approvals of any submissions, annual reports, annual returns, procedures, plans, e.g. management plans, etc., to maintain currency of licences</li> </ul>	<p><b>Background/business process:</b></p> <p>Records are created during licensing approval processes for a range of licences, permits and permissions granted to approved applicants under relevant legislation. The period of currency or renewal period varies.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive and assess licensing application; request further information; assess individual supporting studies and reports; consult with stakeholders (if required); make required checks, e.g. check histories (e.g. criminal, occupational), qualifications, examination results; check mutual recognition and previous licensing status (as applicable); grant licences, issue licence identification or certification; transfer, suspend or cancel licence.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.19 (water rights)</p> <p><i>Water Act 2000</i> – s.20-21 (authorisations)</p> <p><i>Water Act 2000</i> – s.25ZA (restrictions of sub artesian water)</p> <p><i>Water Act 2000</i> – s.238-245 (permits for defined activity and periods)</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>making, approving or overseeing making of agreements that result in, or put effect to, rights of licences</li> <li>converting existing rights from transitional arrangements for legislative changes.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><i>Water Act 2000 – s.266-272 (excavating or placing fill in a watercourse, lake or spring)</i></p> <p><i>Water Act 2000 – s.280-283, 285, 288, 292 (quarry material allocations)</i></p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work</li> <li>cover the agency for risks associated with assessing and approving natural water resources licences and permits.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>5 – Substantial Contribution to Community Memory</li> <li>6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules</b></p> <p><i>NSW Functional Retention and Disposal Authority FA256 issued to Department of Water and Energy reference number 4.8.1</i> Records relating to the application, granting, monitoring and reviewing of licences, approval, consents or permits relating to access to, usage or the supply of water. Required as State archives.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 5.1</i> Records relating to the establishment, maintenance and review of the organisation's licences to operate water and wastewater treatment services. Required as State archives.</p> <p><i>Territory Records (Records Disposal Schedule-Environmental Management Records) Approval 2011 NI2011-86 Reference 113.014.002</i> Final versions of approved environmental authorisations to undertake Class 'A' or Class 'B' activities described in environmental protection legislation, with long-term environmental, social or economic consequences. Includes water-related activities – Retain as Territory archives.</p>
1.13.6	<b>Granted natural water resources licences and permits – other~</b>	<b>Background/business process:</b>



Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Records relating to assessing and approving other natural water resource related licences and permits, and water-related occupational licences, not covered by reference <a href="#">1.13.5</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after licence or permit expires or ceases.</p>	<p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• provide evidence of business processes associated with granting rights</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.1.4</i> Records of applications submitted to the agency for water shares, water-use licences, water-use registration, delivery shares, works licences and take and use licences. Includes the assessment of applications and amendments to entitlements and allocations. Destroy once entitlement expires or is superseded.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 13.4</i> records relating to authorisations for commercial, trade and other uses of the organisation's infrastructure and the licensing of bio solids sites. Retain a minimum of 7 years after expiry or termination of permit or licence, or 7 years after action completed, then destroy</li> <li>• <i>reference number 1.7</i> records relating to refused applications or approvals for connections, permits etc. Retain a minimum of 7 years after action completed, then destroy.</li> </ul>
1.13.7	<p><b><i>Granted water-related occupational licences</i></b></p> <p>Records relating to assessing and approving water-related occupational licences, including</p>	<p><b>Background/business process:</b></p> <p>Records are created during authorisation approval processes for a range of authorities, permissions and rights granted to approved applicants under relevant legislation. The period of currency or renewal period varies under different legislation.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>water bore driller licences, under relevant legislation.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after licence or permit expires or ceases.</p>	<p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive and assess licensing application; request further information; assess individual supporting studies and reports; consult with stakeholders (if required); make required checks, e.g. check histories (e.g. criminal, occupational), qualifications, examination results; check mutual recognition and previous licensing status (as applicable); grant licences, issue licence identification or certification; transfer, suspend or cancel licence.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.299-302, 304-310, 314 (water bore driller licences)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• provide evidence of business processes associated with granting rights</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.4.1</i> – external authorisations, including licences and permits, covering activities which have the potential to cause environmental harm – retain for 7 years after last action.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 13.4</i> records relating to authorisations for commercial, trade and other uses of the organisation's infrastructure and the licensing of bio solids sites. Retain a minimum of 7 years after expiry or termination of permit or licence, or 7 years after action completed, then destroy.</li> <li>• <i>reference number 1.7</i> records relating to refused applications or approvals for connections, permits etc. Retain a minimum of 7 years after action completed, then destroy.</li> </ul>



Disposal authorisation	Record class and retention period	Justifying the retention period
1.13.8	<p><b><i>Unsuccessful, refused and withdrawn applications – water-related licences and permits</i></b></p> <p>Records relating to unsuccessful, refused and withdrawn applications for water-related licences and permits.</p> <p>Applications include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• water infrastructure and grid services licences and permits, including bulk water supply, water supply, water service providers, including sewerage, wastewater treatment and disposal providers</li> <li>• natural water resource related entitlements, allocations, licences and permits</li> <li>• water-related occupational licences.</li> </ul> <p><u>Excludes</u> licences and permits related to dams.</p> <p><b>Retention period &amp; trigger</b></p> <p>2 years after application lapsed, refused or withdrawn.</p>	<p><b>Background/business process:</b></p> <p>See references <a href="#">1.13.1</a>, <a href="#">1.13.3</a>, <a href="#">1.13.5</a>, <a href="#">1.13.7</a> above.</p> <p><b>Regulatory requirements:</b></p> <p>See references <a href="#">1.13.1</a>, <a href="#">1.13.3</a>, <a href="#">1.13.5</a>, <a href="#">1.13.7</a> above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for two years as they:</p> <ul style="list-style-type: none"> <li>• meet the department's short-term obligations for accountability and information accessibility</li> <li>• support the decisions of the business as evidence of the reasons for an application refusal.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Comparison with other schedules:</b></p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.7.2</i> unsuccessful and withdrawn applications. Retain for 2 years after licence or permit refused or withdrawn.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.14.1</i> unsuccessful and withdrawn applications. Retain for 2 years after licence or permit refused or withdrawn.</p>
1.13.9	<p><b><i>Water use and supply management plans – water authorities and other service providers – significant*</i></b></p> <p>Records relating to assessing and approving significant water use and supply management plans submitted by bulk water authorities and other service providers.</p> <p>Significant plans include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• corporate plans</li> </ul>	<p><b>Background/business process:</b></p> <p>Plans, including water use and supply management plans submitted by bulk water authorities and other service providers, are created by external parties and licensees during their development and compliance processes, to fulfil legislative and regulatory compliance requirements of licences, authorities, etc.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive and assess plans; request further information; assess supporting studies and reports; consult with stakeholders (if required); make required checks; approve plan; reject plan; forward decision notices, explanatory information, required</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>commercialisation charters</li> <li>management plans for:               <ul style="list-style-type: none"> <li>water efficiency</li> <li>outdoor water use conservation</li> <li>incident and emergency responses</li> <li>flood mitigation</li> <li>drought</li> <li>insufficiency contingencies.</li> </ul> </li> <li>approving, refusing, revoking plans</li> <li>applying conditions</li> <li>making amendments, exclusions, exemptions</li> <li>assessing draft, interim, subordinate and associated plans</li> <li>those which authorise water use, supply and related services and activities</li> <li>those which enable ongoing ownership of water-related licences, authorities, rights or allocations (where plan is a regulatory requirement).</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>activities and extension requirements; follow up outstanding plans; provide notice of offence and contravention information.</p> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.38, 38A, 39-40, 40A, 46-52, 52A,53-54, 55-57, Chapter 9 Part 6 (water resource plans)</p> <p><i>Water Act 2000</i> – s.94-96, 98, 99A, 100, 102-105, Chapter 8 Part 4B, 4C, Chapter 9 Part 1 (resource operations plans)</p> <p><i>Water Act 2000</i> – Chapter 9 Part 1 (water management plans, water allocation and management plans)</p> <p><i>Water Act 2000</i> – Chapter 9 Part 1 (water flow management plans, land and water management plans) Part 2 (flood mitigation manuals) Chapter 9 Part 5 (water efficiency management plans) Part 5 s.1136F (system leakage management plans), 1136G (drought management plans)</p> <p><i>Water Act 2000</i> – s.354-360A (water security programs), 370, 391 (underground water impact reports), 372-377 (petroleum tenure reports), 378 (water monitoring strategies), 379-383 (spring impact management strategies), 394-399, 402 (tenure baseline assessment plans of water bores), 641 (commercialisation charter), 642 (water authority corporate plans), 652 (water authority performance plans).</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value to the department including knowledge of past planning activities reducing the potential for repetition of mistakes, or unnecessary cycling through unsuccessful methodologies</li> <li>document the history of the department's significant work.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>5 – Substantial Contribution to Community Memory</li> <li>6 – Environmental Management and Change.</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><b>Comparison with other schedules:</b>  <i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 2.9.1</i> – development, management, and application of programs and actions aimed at controlling the occurrence of pests (e.g. insects and arachnids, animals and birds) and/or diseases which have a significant impact on NRW Forest Products core assets – retain permanently.</li> <li>• <i>reference number 2.6.1</i> – records relating to environmental conservation issues which underpin NRW Forest Products policies relating to environmental management. Includes Codes of Practice; Conservation plans; and Conservation counter-disaster plans – retain permanently.</li> </ul> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 2.5.1</i> – environmental conservation issues which underpin Forestry Plantations Queensland policies relating to environmental management – retain permanently.</p>
1.13.10	<p><b><i>Water use and supply management plans – bulk water authorities and other service providers – other ~</i></b></p> <p>Records relating to assessing and approving other water use and supply management plans submitted by bulk water authorities and other service providers, not covered by reference <a href="#">1.13.9</a>.</p> <p>Non-significant plans include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• customer service standards</li> <li>• management plans for drinking water quality, strategic assets, system leakages, recycled water schemes, etc.</li> </ul> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</p> <p><b>Retention period &amp; trigger</b>  25 years after plan submitted.</p>	<p><b>Background/business process:</b>  See above.</p> <p><b>Regulatory requirements:</b>  See above.</p> <p><b>Business requirements:</b>  Water Supply Division (DEWS), and DNRM business units** require these records to be retained for 25 years as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department for the development of future curricular</li> <li>• support the business processes associated with assessing suitability of operations relating to water management.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Comparison with other schedules:</b>  <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 6.6.1</i> Records of the development of reuse schemes</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		includes environmental improvement plans and site management plans. Destroy 25 years after scheme is finished.
1.13.11	<p><b><i>Natural water resources plans (regulatory) – licence/authority holders – subordinate water plans – significant*</i></b></p> <p>Records relating to assessing and approving plans for natural water resource use, with plans and strategies, for managing and using water, where the water resource or use is significant.</p> <p>Significant plans include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• resource operations plans</li> <li>• water flow management plans</li> <li>• water allocation plans</li> <li>• water management plans</li> <li>• water use plans</li> <li>• impact management strategies</li> <li>• monitoring strategies</li> <li>• consultation, overview reporting, amendments</li> <li>• assessing draft, interim, replacement, subordinate and associated plans</li> <li>• reviewing submissions about draft plans</li> <li>• panel investigations and recommendations on submissions</li> <li>• approvals, decisions to not proceed and granting deferrals.</li> </ul> <p><small>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</small></p> <p><b>Retention period &amp; trigger</b></p>	<p><b>Background/business process:</b></p> <p>Plans, including water resource management plans, are created by external parties and licensees during their development and compliance processes, to fulfil legislative and regulatory compliance requirements of licences, authorities, etc.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive and assess plans; request further information; assess supporting studies and reports; consult with stakeholders (if required); make required checks; approve plan; reject plan; forward decision notices, explanatory information, required activities and extension requirements; follow up outstanding plans; provide notice of offence and contravention information.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.60-64,68-70 (water use plans for high risk negative effects of water use on land and water resources, including rising underground water levels, increasing salinisation, deteriorating water quality, waterlogging of soils, destabilisation of bed and banks of watercourses, damage to riverine environment, increasing soil erosion)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department including knowledge of past planning activities reducing the potential for repetition of mistakes, or unnecessary cycling through unsuccessful methodologies</li> <li>• document the history of the department's significant work.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	Permanent. Transfer to QSA after business action completed.	<p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 2.9.1</i> – development, management, and application of programs and actions aimed at controlling the occurrence of pests (e.g. insects and arachnids, animals and birds) and/or diseases which have a significant impact on NRW Forest Products core assets – retain permanently</li> <li>• <i>reference number 2.6.1</i> – records relating to environmental conservation issues which underpin NRW Forest Products policies relating to environmental management. Includes Codes of Practice; Conservation plans; and Conservation counter-disaster plans – retain permanently.</li> </ul> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 2.5.1</i> – environmental conservation issues which underpin Forestry Plantations Queensland policies relating to environmental management – Permanent.</p>
1.13.12	<p><b><i>Natural water resources plans (regulatory) – licence/authority holders – subordinate water plans – other~</i></b></p> <p>Records relating to assessing and approving other plans for natural water resource use, with plans and strategies, for managing and using water, where the water resource or use is not covered by reference <a href="#">1.13.11</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after plan has been superseded by new plan.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• provide evidence of business processes associated with granting rights</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p>
1.14	<b><i>Mapping</i></b>	
1.14.1	<p><b><i>Mapping – significant*</i></b></p> <p>Records relating to mapping sites of original and historical significance created in the</p>	<p><b>Background/business process:</b></p> <p>Mapping records are created as support tools to a variety of business processes, especially those which run state-wide programs. Common processes include</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>purposes of water management and related water infrastructure and works.</p> <p>Significant mapping includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• inspecting and surveying sites, including dam sites</li> <li>• completing aerial and assessment surveys</li> <li>• water-related facilities (e.g. construction plans) for bulk water, water supply and distribution, and sewerage and wastewater disposal infrastructure, works and operations</li> <li>• dams and related sites, dam-related facilities and works (e.g. construction plans) sites of bulk water catchment, water supply and distribution, and sewerage and wastewater disposal infrastructure, works and operations</li> <li>• waterway catchment areas, including dam catchments</li> <li>• boundaries, roads, waterways and other features</li> <li>• surrounding properties</li> <li>• area plans, supply schemes, defined areas (e.g. prohibition or regulation areas)</li> <li>• prescribed levels, dimensions and specifications for water and dam related infrastructure, including catchments, supplies, facilities, distribution pipes, waste water sewers, drains, materials and apparatus etc.</li> <li>• maps of original and historical significance</li> </ul>	<p>enforcement, extension, licensing, monitoring and surveillance, registrations and research.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• identify land areas to be mapped, identify sites to be mapped, research legal instruments, research available land survey data, pack for site, mobilise to site, take field measurements, observe and analyse field data, identify/plan property boundaries, establish property markers, e.g. boundaries, conduct control surveys, establish cadastral surveys, examine property records and historical evidence, create surveys, certify surveys (required by statute or local ordinance), register surveys, overlay layouts, areas and zones on survey maps. Areas overlaid could include declared areas, special zones and exclusion areas.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work.</li> </ul> <p>Additionally, dams have a potential lifespan of 100 years plus, with historical records of investigations and decisions being invaluable resources. Moreover, it is impossible to define significant dams. Seemingly non-significant dams can have very significant consequences for downstream populations.</p> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 3 – Enduring Rights and Entitlements</li> <li>• 4 – Significant Impact on Individuals</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>NSW Department of Planning Retention and Disposal Schedule/Authority FA245 reference number 3.9.1 – Maps, plans and drawings associated with significant sites identified for key public projects or to protect natural assets, such as heritage or</i></p>



Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>maps of significant sites.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>heritage listed property, or property significant to the state or a region – retain permanently.</p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.8.1</i> records relating to original fisheries maps of historical significance, includes survey plans and land descriptions. Retain permanently.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.15.1</i> records relating to original forestry maps of historical significance, includes survey plans and land descriptions. Retain permanently.</p>
1.14.2	<p><b>Mapping – other~</b></p> <p>Records relating to other mapping sites created in the purposes of water management and related water infrastructure and works, not covered by reference <a href="#">1.14.1</a>.</p> <p><i>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Whilst current and then for 7 years after business action completed.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>are required for future business enhancement and improvement</li> <li>need to be retained to support the decisions of the business.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 5.6.1</i> – original working maps used in the preparation of published maps and any subsequently scanned electronic copies – retain for 10 years after last action; <i>reference number 5.6.5</i> – records relating to remotely sensed data (RSD) either purchased or created by NRW Forest Products and used to update corporate maps. Includes satellite images, aerial photography, laser altimetry, etc. – retain for 10 years after last action.</p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 6.6.2</i> – original working maps used in the preparation of published maps and any subsequently scanned electronic copies – retain for 10 years after last action.</p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.8.2</i> records relating to creating maps, including inspecting, surveying, photographing and assessing sites. Retain whilst current and then for 7 years after action completed.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.15.2</i> records relating to creating maps, including inspecting, surveying, photographing and assessing sites. Retain whilst current and then for 7 years after action completed.
1.15	<b>Modelling</b>	
1.15.1	<p><b>Modelling – significant*</b></p> <p>Records relating to designing, testing and evaluating sample model profiles of significant water-related supply and distribution infrastructure and systems, and natural water resource systems and elements, to test, illustrate or allow repeatable analysis of systems and elements.</p> <p>Significant modelling includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• irrigations channel efficiency</li> <li>• water catchment inflows</li> <li>• flood projections</li> <li>• water pricing structures</li> <li>• lakes, rivers, creeks, springs, etc.</li> <li>• groundwater impact assessments</li> <li>• coal seam gas activities</li> <li>• hydrological assessments</li> <li>• stormwater disbursal</li> <li>• flood behaviours</li> <li>• resource plan assessments</li> <li>• erosion</li> <li>• pollution</li> <li>• water quality</li> </ul>	<p><b>Background/business process:</b></p> <p>Modelling is used to calculate, describe and represent particular outcomes, e.g. estimates, projections, with causal components and relationships identified, and used to provide numbers, statistics and dollar values around particular scenarios, e.g. water yields where weather patterns (e.g. rainfall) and water allowance rates allow particular water harvest rates.</p> <p>Modelling records are created in the design, building and validating models, before making available the modelling results to applicable and target audiences. Modelling techniques include computer-based numerical simulation models with charting and mapping outputs.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• identify need for model, develop and design model/program, build model/ program, collect data for model/program, process data, analyse data, present data (e.g. create a flowchart, diagram, table, 3-D representation), disseminate data, review/evaluate model.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000 – s. 955-959</i></p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work.</li> </ul> <p>Additionally, dams have a potential lifespan of 100 years plus, with historical records of modelling being invaluable resources. Moreover, it is impossible to define significant dams.</p> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b></p>



Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• water supply, e.g. catchments, supplies, flows, distributions, discharges, flood reductions</li> <li>• natural water resources, e.g. catchments, flows, impacts</li> <li>• dams, e.g. catchments, storage, failure risks, failure impacts</li> <li>• water infrastructure, e.g. funding, capital costs, flood mitigation</li> <li>• maintaining operational formulas for water supply and distribution.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change</li> </ul> <p><b>Comparison with other schedules:</b> <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 2.2.1</i> Summary records of environmental activities undertaken to meet compliance requirements for legislative, operational, research and development purposes which are measured over time. Records include flood management plans, flood warning systems, quantity and quality flow, drought management plans and water savings and conservation plans. Permanent</li> <li>• <i>reference number 2.2.2.</i> Records of environmental monitoring activities undertaken to meet compliance requirements for legislative, operational and research and development purposes. Records include analytical reports, biological monitoring data and other raw data. Permanent.</li> </ul> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 11.1</i> Records relating to research projects conducted or commissioned by the organisation to support the development of significant or innovative water or wastewater management, includes final approved versions of flood models for dams. Required as State archives</li> <li>• <i>reference number 8.7</i> Final reports or findings of projects or investigations into flood levels and frequency, and the consequences of flooding in catchment areas, dams, reservoirs and stormwater systems. Includes final approved flood models. Required as State archives.</li> </ul>
1.15.2	<p><b>Modelling – other~</b> Records relating to designing, testing and evaluating other sample model profiles of water- related supply and distribution infrastructure and systems, natural water resource systems and elements under analysis, to test, illustrate or allow repeatable</p>	<p><b>Background/business process:</b> See above.</p> <p><b>Regulatory requirements:</b> See above.</p> <p><b>Business requirements:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>analysis of systems and elements, not covered by reference <a href="#">1.15.1</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p>See reference <a href="#">1.15.1</a> for modelling relating to dams.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>are required for future business enhancement and improvement</li> <li>need to be retained to support the decisions of the business.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>SunWater Retention and Disposal Schedule QDAN650 v.1 reference 6.4.1</i> – Financial modelling – Records relating to financial modelling conducted on a monthly, annual or otherwise specified basis. Retain for 7 years after last action.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.16.1</i> design, testing and evaluating sample model profiles of native, State and plantation forest systems and elements under analysis. Retain for 7 years after action completed.</p>
1.16	<b>Monitoring and Surveillance</b>	
1.16.1	<p><b>Monitoring water-related holders and areas</b></p> <p>Records relating to conducting surveillance and monitoring compliance of water-related entitlements, rights, allocations, licences, permits and other holders, areas and the community generally, under relevant legislation.</p> <p>Monitoring includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>natural water resources and management areas</li> <li>bulk water and water supplies, and sewerage and wastewater disposal</li> <li>hazardous substances and containment systems</li> <li>water catchments, water uses</li> <li>water resources plans, water entitlements, trading rights and allocations, including authorities, licences, permits</li> </ul>	<p><b>Background/business process:</b></p> <p>Monitoring and surveillance records are created in planning and programming enforcement action processes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>gather and analyse enforcement-related data (e.g. remote sensors, offence demographics), report on enforcement-related issues, plan enforcement priorities, design enforcement program, run enforcement program, (e.g. authorised officers duty rosters), collect enforcement work and output data, report on enforcement work outputs (e.g. planned versus actual comparisons) and outcomes (e.g. reductions/increases), review enforcement outcomes (e.g. recommendations for next program).</li> </ul> <p><b>Regulatory requirements:</b></p> <p>Monitoring and surveillance is an inferred responsibility given enforcement, inspection, investigation, and prosecution activities. However, some legislation mandates monitoring and surveillance activities:</p> <p><i>Water Act 2000</i> – s.458</p> <p><i>Water Act 2000</i> – s.311-313, 361 (monitoring water bores)</p> <p><b>Business requirements:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>trading of water allocations (seasonal and relocatable)</li> <li>water sharing, reserves, restrictions, quality, fluoridation, levels</li> <li>water meters and meter readings</li> <li>market pricing of water and services</li> <li>water supply industry activities, regulatory requirements, e.g. increasing commercial opportunities</li> <li>impacts of floods, droughts and other weather conditions on water resources and supplies</li> <li>impacts of natural disasters on water supplies and emergency water releases</li> <li>flood mitigation activities</li> <li>bore drilling activities, coal seam gas activities, hydrological assessments</li> <li>water service providers, including water distributors-retailers, bulk water suppliers</li> <li>drinking water, recycled water and irrigation water services</li> <li>water systems, stormwater systems and wastewater systems, programs and projects</li> <li>developing, implementing and maintaining compliance programs.</li> </ul> <p><b>Retention period &amp; trigger</b> 7 years after business action completed.</p>	<p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>are required for future business enhancement and improvement</li> <li>need to be retained to support the decisions of the business.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 3.6.1</i> – records relating to the development, management and application of prescribed burning programs. Includes prescribed burning guidelines; monitoring and surveillance programs; weather conditions, fuel, soil moisture, and damage assessments; aerial ignition programs; and district fire protection plans – retain for 7 years after last action.</p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.9.1</i> Monitoring licence holders and associated areas – monitoring and administering compliance of industry, businesses and individuals to regulatory requirements. Retain for 7 years after action completed.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.17.1</i> Monitoring licence holders and areas – monitoring and administering compliance of industry, businesses and individuals to regulatory requirements. Retain for 7 years after action completed.</p>
1.17	<b>Partnerships</b>	
1.17.1	<p><b>Partnerships – significant*</b></p> <p>Records relating to managing significant joint operations by the department with other</p>	<b>Background/business process:</b>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>organisations (both private sector and government) through contracts, joint contribution of funds, time, co-research or collaboration, where the partnership provides a significant contribution to water management outcomes for:</p> <ul style="list-style-type: none"> <li>• natural water resources and management areas</li> <li>• bulk water and water supplies, and sewerage and wastewater disposal</li> <li>• water markets and regulatory programs.</li> </ul> <p><u>Excludes</u> partnerships relating to dam safety, operations and management, and dams and associated infrastructure.</p> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>Partnership records are created in setting up arrangements to work with others in significant partnerships and joint ventures set up to carry significant water industry development responsibilities, activities and programs.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• identify need for partnership, identify potential parties, negotiate with potential parties, agree on parties, agree on funding*, agree on roles and responsibilities, identify format of agreement (e.g. formal agreement, memorandum of understanding), draft agreement or instrument (as required), negotiate signing*, plan and organise responsibilities under partnership, fulfil responsibilities (via other business processes), identify review date for agreement*, review agreement* (*if required).</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forestry Plantation Queensland) Retention and Disposal Schedule/Authority QDAN633 reference number 1.1.1 – joint ventures – significant – agreements between Forestry Plantations Queensland and other private organisations for the joint establishment and maintenance of State forest plantations where the venture has major significance to the State, e.g. propagation of Wollemi Pine. Includes records relating to the development, negotiation and ongoing management of agreements. Includes; agreements; and validation reports – retain permanently.</i></p> <p><i>Department of Primary Industries and Fisheries (BSES) Retention and Disposal Schedule/Authority QDAN596 reference number 1.2.1 – records relating to the</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>establishment of joint venture plant breeding projects and plant variety trials. Records include signed agreements, objectives, summary and final reports, evaluations, membership, funding, proposed projects and contracts under seal as well as minutes and agendas of meetings – retain permanently.</p> <p><i>Public Records Office Victoria Department of Primary Industries PROS04-01 reference number 12.1.1</i> – program development – development and implementation of initiatives and programs. Includes but is not limited to industry and community development, heritage and cultural programs, conservation and environmental policy initiatives, joint ventures and service development. Minister approved • project files • program documentation • correspondence • implementation files • reports • surveys/feedback • seminar development files • program performance reports – retain permanently.</p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference 1002</i> records relating to joint ventures of major significance. Retain permanently.</p>
1.17.2	<p><b>Partnerships – other~</b></p> <p>Records relating to managing other joint operations by the department with other organisations (private sector and government) not covered by reference <a href="#">1.17.1</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after partnership expires.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• need to be retained to support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forestry Plantation Queensland) QDAN633 reference number 1.1.2</i> – joint ventures – other agreements between Forestry Plantations Queensland and other private organisations for the joint establishment and maintenance of State forest plantations. Includes records relating to the development, negotiation and ongoing management of agreements. Includes agreements; and validation reports – retain for 7 years after expiry of agreement.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<i>Queensland State Archives General Retention and Disposal Schedule reference 1004</i> records relating to other joint ventures. Retain for 7 years after last action.
1.18	<b>Planning</b>	
1.18.1	<p><b>Planning – significant*</b></p> <p>Records relating to planning significant water-related development initiatives, programs, strategies, priorities and activities for improved community outcomes.</p> <p>Significant planning includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• natural water resources and management areas</li> <li>• bulk water and water supplies, and sewerage and wastewater disposal</li> <li>• water regulatory programs and activities</li> <li>• water market trading</li> <li>• water demand, use, supply and distribution associated with bulk water and water supplies, including dams, weirs and town supplies</li> <li>• management of water supply, distribution and catchment areas</li> <li>• coordination, integration and improvement of water related facilities</li> <li>• forecasting water demand and supply</li> <li>• preparing management plans and consultation processes with community and key stakeholders.</li> </ul> <p><small>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</small></p> <p><b>Retention period &amp; trigger</b></p>	<p><b>Background/business process:</b></p> <p>Planning records are created during planning, reviewing and evaluating water management industry development processes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• research environment and markets; determine broad direction appropriate to environment and markets; develop mission statement; identify goals, objectives and strategies; draft planning document; consult with stakeholders; approve planning document; map activities; develop tactical and operational plans, task lists and work schedules; run planned work as per other business processes; monitor performance as per performance management processes; review plans.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department including knowledge of past planning activities reducing the potential for repetition of mistakes, or unnecessary cycling through unsuccessful methodologies</li> <li>• document the history of the department's significant work.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.6.1</i> – records relating to environmental conservation issues which underpin NRW Forest Products policies</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	Permanent. Transfer to QSA after business action completed.	relating to environmental management. Includes Codes of Practice; Conservation plans; and Conservation counter-disaster plans – retain permanently. <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 1.1.1</i> Records documenting systems, processes and assessments that identify and manage risk to water and wastewater infrastructure assets, the natural environment or continuity of the water supply including risks to public health where health surveillance and/or monitoring is required. Includes the agency's Emergency Response Plan which documents the accepted convention for emergency management through the mitigation, preparedness, response, and recovery continuum. Permanent.
1.18.2	<p><b>Planning – other~</b> Records relating to planning other water-related development initiatives, programs, strategies, priorities, activities for improved community outcomes that are not covered by reference <a href="#">1.18.1</a>. ~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b> 7 years after business action completed.</p>	<p><b>Background/business process:</b> See above.</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b> <i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.11.2</i> Planning – records relating to planning fisheries programs, strategies, priorities and activities for improved community outcomes. Retain for 7 years after action completed. <i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.19.2</i> Planning – records relating to planning other initiatives, programs, strategies, priorities and activities for improved community and safety outcomes and business activities. Retain for 7 years after action completed.</p>
1.19	<b>Prosecution</b>	
1.19.1	<b>Prosecution – significant*</b>	<b>Background/business process:</b>



Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Records relating to prosecuting significant water-related offences under relevant legislation including precedent setting cases. Significant prosecution includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• natural water resources and management areas</li> <li>• bulk water and water supplies, and sewerage and wastewater disposal</li> <li>• precedent setting cases.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>Prosecution records are created when charging persons/parties with offences under relevant legislation and conducting court cases by presenting evidence and arguments to the judiciary to resolve cases and prosecute offenders as a disincentive for non-compliance to legislation and other statutory instruments.</p> <p>Significant cases include those that set a precedent or are the first of its kind.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive referrals for prosecution from investigators; research and assess case; schedule agreed cases; prepare prosecution notes; conduct court case/present evidence; receive outcome; review case.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – Chapter 5 (investigation, enforcement and offences)</p> <p><i>Water Act 2000</i> – s.22, 349-354, 360F, 360J, 360S, 390-400, 452, 808-828</p> <p><i>Water Act 2000</i> – Chapter 7 Part 1-2 (prosecution)</p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 3 – Enduring Rights and Entitlements</li> <li>• 4 – Significant Impact on Individuals.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide evidence of decisions, support actions, and provide a history of repeat and habitual offenders</li> <li>• provide long-term reference for generational change</li> <li>• set a precedent.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Justice and Attorney-General (Crown Law) Retention and Disposal Schedule/Authority QDAN677 reference number 1.2.1</i> – records relating to representation and litigation services provided by Crown Law in matters which are precedent setting – retain permanently.</p>



Disposal authorisation	Record class and retention period	Justifying the retention period
		<i>Public Records Office Victoria Department of Primary Industries PROS04-01 6.2.0 – legal documents – preparation of legal documents. Includes proformas (e.g. standard contracts, agreements and schedules for attachment) and bespoke documents. • master copies of legal proformas (e.g. standard contracts, agreements and schedules for attachment) • master copies of bespoke legal documents – retain permanently.</i>
1.19.2	<p><b>Prosecution – other~</b> Records relating to prosecuting other offences under relevant legislation not covered by reference <a href="#">1.19.1</a>. ~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b> 7 years after business action completed.</p>	<p><b>Background/business process:</b> See above.</p> <p><b>Regulatory requirements:</b> See above.</p> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b> <i>State Records New South Wales Food Safety Management Retention and Disposal Schedule/Authority FA284 reference number 1.4.1 – summary records of issued penalty notices and prosecutions – retain minimum 7 years after last action, then destroy.</i> <i>Public Record Office Victoria Department of Primary Industries Retention and Disposal Schedule PROS 04-01 reference number 6.1.0 – litigation – consultation and discussion transcripts, explanatory notes, submissions and supporting documentation, instructions to counsel, drafts prepared by counsel, external legal advice (e.g. VGSO) – destroy 7 years after administrative use has concluded.</i></p>
1.20	<b>Registration</b>	
1.20.1	<p><b>Investigations and prosecutions registers</b> Records relating to registering investigations and prosecutions including results of investigating and prosecuting offences under water-related legislation.</p>	<p><b>Background/business process:</b> Investigation and prosecution registration records are created during investigation and prosecution processes. Illustrative processes for front end processes:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Includes offences of, but not limited to:</p> <ul style="list-style-type: none"> <li>natural water resources and management area events and incidents, and breaches</li> <li>bulk water and water supplies, and sewerage and wastewater disposal events and incidents</li> <li>water use, supply and distribution related offences.</li> </ul> <p><u>Excludes</u> registers relating to dams.</p> <p><b>Retention period &amp; trigger</b> 25 years after business action completed.</p>	<ul style="list-style-type: none"> <li>receive and assess registration application; request further information; approve registration application; register entry</li> <li>receive and assess change request; request further information; approve change request; register entry</li> <li>receive deletion request (internally approved request/external advice); delete entry.</li> </ul> <p><b>Business requirements:</b> Water Supply Division (DEWS), and DNRM business units** require these records to be retained for 25 years as they:</p> <ul style="list-style-type: none"> <li>provide long term reference value for current and previous cases including the identification of historical and contextual information about relevant parties to current investigations and prosecutions</li> <li>document the history of the department's work</li> <li>are significant investigations and investigations relating to dams being kept permanently and the Courts hold significant case files permanently or 12 years for non-significant ones.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Comparison with other schedules:</b> <i>Fisheries Retention and Disposal Schedule QDAN724 v.1:</i></p> <ul style="list-style-type: none"> <li><i>reference number 1.12.1</i> Investigations and prosecutions registers. Retain for 25 years after action completed</li> <li><i>reference number 1.12.2</i> Licence, authorisations, entitlements and other rights holder registers. Retain for 25 years after action completed.</li> </ul> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.22.1</i> Investigations and prosecutions register. Retain for 25 years after action completed.</p>
1.20.2	<p><b><i>Water-related entitlements, rights and allocations registers</i></b></p> <p>Records relating to registering water-related entitlements, rights and allocations for water infrastructure, bulk water supply, water supply, water markets, water services, water service providers, water trading, natural water</p>	<p><b>Background:</b> Water resource, dam and associated land area registration records are created in water-related entitlements, rights, allocations and other authorisation approval processes, including development approvals.</p> <p>Illustrative processes for front end processes:</p> <ul style="list-style-type: none"> <li>receive registration application, assess registration application, request further information, approve registration application, register entry</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>resources, and other water management related areas under relevant legislation.</p> <p>Registers include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• water supply and related entitlements and allocations,</li> <li>• market grid participation rights and authorisations, e.g. distributor-retailer participation rights</li> <li>• market trading rights and allocations</li> <li>• natural water resources related authorisations, licences and permits</li> <li>• water-related occupational licences</li> <li>• water-related land areas and land declarations in registry (titles)</li> <li>• bulk water supply agreements and amendments</li> <li>• standard and private water supply agreements, where State performing functions of water authorities</li> <li>• transactions relating to water assets, liabilities or instruments, including transfers from distributor-retailers and local governments</li> <li>• service providers</li> <li>• management plans from water service providers</li> <li>• recycled water schemes</li> <li>• emergency notices</li> <li>• Water Industry Compliance Database (WICD) and other similar or similarly named registers</li> </ul>	<ul style="list-style-type: none"> <li>• receive change/transfer/cancellation request, assess change request, request further information, approve change request, register entry</li> <li>• receive deletion request (internally approved request of external advice), delete entry.</li> </ul> <p><b>Governance:</b>  <i>Water Supply (Safety and Reliability) Act 2008</i> mandates the processes resulting in records created but does not mandate any specific recordkeeping retention requirements. Sections 353M, 361 and 362 of the Act give powers relating to dam registration.  <i>Water Act 2000</i> – s.94, 100, 127-128, 135, 150 (water allocations, interests, dealings, changes)  <i>Water Act 2000</i> – s.360K (bulk water supply agreements and amendments)  <i>Water Act 2000</i> – s.1001, 1003A (standard and private water supply agreements under insolvency provisions)</p> <p><b>Business requirements:</b>  Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department</li> <li>• document the history of the department's significant work</li> <li>• are significant water-related entitlements, rights and allocations records being kept permanently.</li> </ul> <p><b>Permanent retention criteria (where applicable):</b>  Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 3 – Enduring Rights and Entitlements</li> <li>• 5 – Substantial Contribution to Community Memory.</li> </ul> <p><b>Comparison with Other Schedules Retention Periods:</b>  <i>PROS 07-10 2.1.0 Land Title Registration.</i> The recording and registration of land description, proprietorship of, and encumbrances on, a property for which the title has been issued. Includes details of current and non-current proprietorship, encumbrances on title, land description, the derivative (parent title) and the title diagram source that</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• applications, renewals, transfers, releases, changes, surrenders, cancellations, terminations</li> <li>• adding registrations of debt notices to leased state land to land title registry</li> <li>• registering approved associated emergency action plans (as regulatory requirement).</li> </ul> <p><u>Excludes</u> registers relating to dams.</p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>defines the boundaries of the land in question. Includes the Registered Search Statement. Includes indexes to the register. Permanent.</p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.1.1</i> Victorian Water Register is used to record all water-related entitlements in order to manage the state's water resources. The Water Corporations, Water Registrar and the Minister are responsible for establishing and maintaining records within the Water Register. The Register is held and maintained centrally by the Victorian Water Registrar to record transactions relating to • water shares, mortgages and limited term transfers (leases) relevant to these water shares, licences to take and use surface water and groundwater, works-related licences, water allocations that are available in the current season, volumes of water entitlements by water system and trading zone, and water-use licences and delivery shares that are managed by water agencies. Permanent.</p>
1.21	<b>Research</b>	
1.21.1	<p><b>Research – significant*</b></p> <p>Records relating to researching and enquiring into significant water-related research areas to discover facts, theories and principles that support improved community and water industry outcomes and business activities. Significant research includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• natural water resources and management areas</li> <li>• bulk water, water supplies, sewerage and wastewater disposal</li> <li>• dam safety, operations and management</li> <li>• risks and failure criticalities of dams and associated infrastructure</li> <li>• long-term water-related strategies</li> <li>• impacts of proposed legislative amendments to regulatory water resource</li> </ul>	<p><b>Background/business process:</b></p> <p>Research records are created in scientific experiments, trials and knowledge advancement processes which are used for the innovation, introduction and improvement of water management products and processes and increasing knowledge of water care. Research can endeavour to solve a problem, such as cure a disease, increase productivity, e.g. better yields or form a platform of information for planning and reviewing purposes.</p> <p>Includes research such as studying water quality improvement techniques and technology.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• conduct scan for previous research; develop research proposal; submit research proposal; seek approvals; conduct information scan; conduct research experiments/trials; manage project; draw conclusions based on experiment/trial outcomes; draft research report; report on progress; report completion; close project.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>plans and supporting legislation before drafting and enactment</p> <ul style="list-style-type: none"> <li>• water systems, stormwater systems and wastewater systems, programs and projects</li> <li>• dams research.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> <li>• provide long-term reference value to the department upon which future research is built</li> <li>• cover risks associated with challenges made to patents, commercialisation and other significant research outcomes, including transparency and repeatability of research trials and experiments</li> <li>• document the history of the department's significant work.</li> </ul> <p>Additionally, dams have a potential lifespan of 100 years plus, with historical records of investigations and decisions being invaluable resources. Moreover, it is impossible to define significant dams. Seemingly non-significant dams can have very significant consequences for downstream populations</p> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environment Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 3.7.1</i> – records of original research to support the development of significant fire management programs, e.g. reports into the cessation or extension of prescribed burning – retain permanently</li> <li>• <i>reference number 5.3.1</i> – records of original research, including method trials, to support the development of significant nursery management programs, e.g. reports on cloning etc. – retain permanently.</li> </ul> <p><i>Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN653 reference number 10.22.5</i> – final reports of significant scientific and technical investigations conducted by the department and where the report has not been subject to legal deposit requirements – retain permanently.</p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 2.3.1</i> The collection, analysis, monitoring and evaluation of data and the reporting undertaken to support the protection of the natural environment,</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		including threatened or endangered species, water quality, vegetation density, soil health, salinity. Retain as State archives.
1.21.2	<p><b>Research – other~</b></p> <p>Records relating to researching and enquiring into other water-related research areas, not covered by reference <a href="#">1.21.1</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</p> <p>See reference <a href="#">1.21.1</a> for research relating to dams.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• need to be retained to support the decisions of the business.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 4.6.1 – research to support the development of significant forest product marketing programs within NRW Forest Products – retain for 10 years after last action.</i></p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 4.7.1 – research to support the development of significant natural forest product marketing programs within Forestry Plantations Queensland – retain for 10 years after last action.</i></p>
1.22	<b>Stakeholder Engagement</b>	
1.22.1	<p><b>Stakeholder engagement – significant*</b></p> <p>Records relating to conducting consultative and engagement processes with external stakeholders, where engagement revealed significant public interest matters, precedents or issues that had a significant impact on the department's decisions to initiate, develop and operate water-related initiatives and activities. Includes activities relating to dams.</p> <p>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</p> <p><b>Retention period &amp; trigger</b></p>	<p><b>Background/business process:</b></p> <p>Stakeholder engagement records can be a subset of other record classes where consultation and liaison are part of the job, however they are also created as separate but influential records sets.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• identify aspirations, identify stakeholders, identify champion stakeholders, identify and assess material issues and stakeholder needs, identify stakeholder participants for material issues and informing business processes, identify stakeholder roles and responsibilities (including roles of collaborating, reviewing, assessing, advising, deciding, informing, communicating, receiving), draft stakeholder plan, initiate engagement as per plan monitor stakeholder interaction (links to other business</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	Permanent. Transfer to QSA after business action completed.	<p>processes as per context of material issues), review engagement (links to performance management process).</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work.</li> </ul> <p>Additionally, dams have a potential lifespan of 100 years plus, with historical records of stakeholder engagement being invaluable resources.</p> <p><i>** See page 3 for more details.</i></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristic of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 5 – Substantial Contribution to Community Memory</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 02/03 Environment Protection Authority Retention and Disposal Schedule/Authority reference number 3.3.1 – liaison activity that leads to the establishment of business sustainable programs and sets a precedent or raises systemic issues – retain permanently.</i></p>
1.22.2	<p><b>Stakeholder engagement – other~</b></p> <p>Records relating to conducting other consultative and engagement processes with external stakeholders not covered by reference <a href="#">1.22.1</a>.</p> <p><i>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</i></p> <p><i>See reference <a href="#">1.22.1</a> for activities relating to dams.</i></p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><b>Comparison with other schedules:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>PROS 02/03 Environment Protection Authority Retention and Disposal Schedule/ Authority reference number 3.3.2 – all other liaison activity – client files etc. – destroy 7 years after the activity and client cease.</i></p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.14.2 Stakeholder engagement other – records relating to conducting consultative and engagement processes with external stakeholders. Retain for 7 years after action completed.</i></p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.24.2 Stakeholder engagement other – records conducting other consultative and engagement processes with stakeholders. Retain for 7 years after action completed.</i></p>



Function	Scope note
<b>2 DAM SAFETY MANAGEMENT</b>	<i>The function of regulating referable dams to protect the community from dam failure and potential loss of life. Includes the formulation of policy on dam safety and spillway upgrades, monitoring the compliance of safety conditions and the administration of the farm dams assessment programs.</i>
<b>Activities</b>	
2.1 Advice	2.7 Licensing
2.2 Agreements	2.8 Monitoring and Surveillance
2.3 Development	2.9 Partnerships
2.4 Enforcement	2.10 Planning
2.5 Inspections	2.11 Prosecution
2.6 Investigations	2.12 Registration
<i>For other activities covered by this schedule and inclusive of this function, see Common Activities.</i>	

The following information was provided by Information Technology Partners who provide records management services to DNRM and DEWS for, in addition to other sectors, water. This is an explanation as to the need to retain dam records permanently, regardless of the size of the dam or the impact/consequences of issues and incidents.

*Dams are not categorised as per their private or commercial use. They are classified according to their size, or more accurately mainly their dam wall heights and how many mega litres of water they can contain, along with the number of people at risk if the dam fails.*

*DEWS and DNRM do not licence non-referable dams. They may provide expert advice and information about dam locations, safety and integrity, dam catchments, infrastructure, water flows, water quantity and quality datasets, modelling, policy and standards etc. Just as referable dams are the responsibility of the owner (once licensed, development approved etc.), non-referable dams are the responsibility of the owner and are not regulated for dam safety purposes (i.e. where inspections, monitoring, enforcement, safety reviews, emergency planning, reporting, quality documentation, design requirements, development approvals, decommissioning requirements, etc. actions would be enacted for referable dams).*

*These ‘smaller’ dams (non-referable) do not miss regulation. They are regulated through local council planning schemes and requirements to obtain development approvals for the construction or expansion of dams in particular areas (e.g. within flood and inundation areas) and of a particular size (e.g. involving more than a minimum of square meters of material).*

*It should be strongly noted that the business area was very specific and very adamant that ALL dam safety records were kept regardless of size. This is in spite of them regulating only a small comparative portion of dams, i.e. the larger ones. And despite the owner having liability for dam safety incidents and issues, any records associated with dams, regardless of size, were to be kept permanently. This requirement had not been made or stressed by any other business areas consulted (where a permanent QDAN reference did not already exist) through the development of 14 plus schedules across 6 agencies. It has been taken seriously with the application of permanent retention to all activities about all dams.*

*Whilst the 'smaller' dams are not regulated tightly by the Department/s, a dam still has a long-term land-based nature, and with changing owners the same requirements (for the dam owner to manage and be liable for the dam's safety), still exist. The Department would still have a use/interest in the history of smaller dams where issues have been brought to the Department's attention by an incident, inspection, monitoring action, etc. if only to monitor that the dams are still non-referable (not extended), and to resolve issues created by owners enacting dam works without approvals, licences, etc. and to investigate/prosecute breaches of legislation where referable dams have not been referred to the Department for regulatory compliance actions.*

#### Referable dam

Generally, a dam is a referable dam if in the event of a dam failure people are at risk. A dam failure occurs if there is:

- a physical collapse of all or part of the dam
- an uncontrolled release of any of its contents.

Disposal authorisation	Record class and retention period	Justifying the retention period
2.1	<b>Advice</b>	
2.1.1	<p><b><i>Dam safety management advice</i></b></p> <p>Records relating to the provision of dam safety, operations and management-related advice, where the advice is not related to a specific enforcement or compliance monitoring action, or activity case file, e.g. licence file.</p> <p>Advice includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• dam safety, operations and management</li> <li>• dams and associated infrastructure</li> <li>• dam sites.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Advice records are created across many processes, and in many roles, for example, protecting community safety, developing industries through the use of dams, and providing customised advice to industry members and members of the public, e.g. authority holders and land owners. Advice is inclusive in a number of records classes as well as an independent records class in its own right. The advice records class was sourced via file plan analysis with provision of advice crossing all dam safety, operations and management processes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• identify advice request/requirement; research generic advice; research client particulars/circumstances; draft generic advice; tailor and package advice to client circumstances; seek approval; forward advice.</li> </ul> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department for projects which continue over many years, e.g. long-term strategies</li> <li>• document the history of the department's work in facilitating dam initiatives through provision of advice</li> <li>• provide evidence of advice given or received by the agency on issues which can have, or have resulted in far reaching implications on government and the community.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>NSW Functional Retention and Disposal Authority FA256 issued to Department of Water and Energy reference number 4.1.1</i> Water management advice on significant policy developments, controversial issues or innovative practices concerning the management, usage, conservation, allocation of or access to water resources. Required as State archives.</p> <p><i>SEQWater Retention and Disposal Schedule QDAN717 v.1 reference 5.1.7</i> records relating to advice issued and received on dam safety matters that have a significant impact on the policies and strategic direction of the department. Retain permanently.</p>
2.2	<b>Agreements</b>	
2.2.1	<p><b><i>Dam safety management agreements – proceeded with/not proceeded with</i></b></p> <p>Records relating to dam safety, operations and management related agreements between the department and other entities, which may or may not be proceeded with.</p> <p>Agreements include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• dam safety, operations and management</li> <li>• dam-related industries, programs and activities</li> <li>• dams and associated infrastructure.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Agreements are created during dam safety management and regulatory processes as evidence of foundational and facilitative arrangements and as the basis for working with others in partnerships, collaborations and funding arrangements, through various agreement means, e.g. memoranda of understanding, signed documents, formal agreements.</p> <p><b>Illustrative process:</b></p> <ul style="list-style-type: none"> <li>• identify need for agreement and potential parties; negotiate and agree with potential parties; draft agreement; negotiate signing; plan and organise responsibilities under agreement; fulfil responsibilities (via other business processes); identify review date for agreement; review agreement.</li> </ul> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department for projects which continue over many years, e.g. long term strategies</li> <li>• document the history of the department's work in facilitating dam initiatives</li> <li>• show requirements and expectations regarding dam safety, operations and management.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change</li> </ul> <p><b>Comparison with other schedules:</b>  <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.2.1</i> Records of major agreements to supply or receive water, drainage or sewerage services where special conditions apply. Includes water drainage, bulk supply agreements, agreements to build over sewerage easements, water supply and grazing agreements. Permanent.</p>
2.3	<b>Development</b>	
2.3.1	<p><b>Development approvals – dams</b></p> <p>Records relating to assessing and approving dam developments, including removing, destroying or damaging natural water resources in the course of development.</p> <p>Approvals include, but are not limited to, development for or affecting:</p> <ul style="list-style-type: none"> <li>• construction of dams, associated infrastructure and related works, including referable dams, weirs and control structures</li> <li>• consent arrangements</li> <li>• development submissions</li> <li>• working with multiple licensees, authorities and councils</li> <li>• advice of emergency developments</li> <li>• refusing applications</li> <li>• making and amending conditions</li> <li>• issuing development permits</li> <li>• cancelling development permits for decommissioned dams.</li> </ul> <p>Approvals include assessing:</p>	<p><b>Background/business process:</b></p> <p>Development approval records are created in regulatory processes of designing, applying, assessment, mandatory research and studies (such as environmental impact statements, impact assessment studies) consultation, and approval processes.</p> <p>Usually from external parties, but includes State-initiated development applications to develop land and add development value. Includes redevelopment applications.</p> <p>Illustrative processes for development approvals:</p> <ul style="list-style-type: none"> <li>• Receive development application, assess application, request further information, approve/reject application.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Sustainable Planning Act 2009</i> – s.680B (relevant development applications)  <i>Sustainable Planning Act 2009</i> – s.584 (emergency exemptions)  <i>Water Act 2000</i> – s.1065-1070 (dams)</p> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>design and engineering investigations</li> <li>failure impact assessments and ratings</li> <li>safety and development conditions</li> <li>safety excesses of temporary or full supply levels</li> <li>emergency development (e.g. flood restoration work, flood mitigation development) carried out under <i>Sustainable Planning Act 2009</i>.</li> </ul> <p><u>Excludes</u> licences and permits for dams.</p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> <li>cover the agency for risks associated with assessing and approving dam-related developments, which can have far reaching impacts on government and the community.</li> </ul> <p><b>Permanent retention criteria (where applicable):</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>3 – Enduring Rights and Entitlements</li> <li>5 – Substantial Contribution to Community Memory</li> <li>6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions:</i></p> <ul style="list-style-type: none"> <li><i>reference number 4.2.1</i> Summary records of subdivision and planning permit applications and conditions for approval. Permanent</li> <li><i>reference number 4.2.2</i> Records of approved subdivision and planning permit applications and conditions. Records include certified plans of subdivision or consolidation, applications for certification and statements of compliance. Destroy 15 years after action completed.</li> </ul> <p><i>NSW Functional Retention and Disposal Authority FA256 issued to Department of Water and Energy reference number 4.4.1</i> approval or rejection of development proposals in specific local areas where water quality or access could be affected and where the agency opposes a significant development proposal or where there is a high level of public interest in, or controversy concerning the proposal. Required as State archives.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 1.9</i> records relating to the design, construction, commissioning, major renovation or restoration or decommissioning of water management assets and infrastructure (including dams), includes building and development applications. Required as State archives.</p>
2.4	<b>Enforcement</b>	
2.4.1	<b>Regulatory enforcement – dams</b>	<b>Background/business process:</b>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Records relating to issuing directives, orders, fines, penalties or exemptions relating to dam safety, operations and management, dams and associated infrastructure, under relevant legislation.</p> <p>Enforcement includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>issuing: <ul style="list-style-type: none"> <li>improvement notices</li> <li>moratorium notices</li> <li>notices for imminent danger of dam failures</li> <li>notices for the application of safety and development conditions</li> <li>notices requiring the preparation and submission of reports by registered professional engineers on dam design and operation</li> <li>directions for emergency action</li> </ul> </li> <li>taking emergency action on areas of land associated with potential dam failures</li> <li>referring reports of designated incidents requiring further inspection or investigation to inspectors.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>Enforcement-related records are created during compliance monitoring processes to ensure adherence to legislative requirements, and to take punitive action against offenders.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>identify breach/issue; communicate breach/issue to relevant person; issue notices; register issued notices; communicate issued notices to other business processes; follow up notices with action requirements; collect payment requirements; follow up payments</li> <li>as part of monitoring and surveillance programs, and conducting inspection or investigation processes, on-the-spot notices, such as directives, orders, fines, penalties and exemptions, are issued.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – Chapter 5 (investigation, enforcement and offences)</p> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work</li> </ul> <p><b>Permanent retention criteria (where applicable):</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>3 – Enduring Rights and Entitlements</li> <li>6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 2.2.1</i> Summary records of environmental activities undertaken to meet compliance requirements for legislative, operational, research and development purposes which are measured over time. Retain as State archives.</p>
2.5	<b><i>Inspections</i></b>	
2.5.1	<b><i>Inspections – dams</i></b>	<b>Background/business process:</b>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Records relating to conducting inspections of dam safety, operations and management, and dams and associated infrastructure for compliance with relevant legislation.</p> <p>Inspections include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• works construction, plans and specifications, e.g. heights</li> <li>• dam banks</li> <li>• fittings, drainage apparatus and other property</li> <li>• surrounding and downstream land from dams for impacts of dam failures</li> <li>• referable dams on mining sites</li> <li>• clean water supply, e.g. drinking water dams on mining sites.</li> </ul> <p><u>Excludes</u> inspections of non-referable and other (e.g. not related to clean water supply) dams on mining sites and operations. <i>See Mining Retention and Disposal Schedule.</i></p> <p><u>Excludes</u> inspections uncovering environmental damage. For records of inspections that have been referred to the agency responsible for the environment, <i>see Environment Retention and Disposal Schedule.</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>Inspection records are created during compliance enforcement processes to inspect premises, vehicles, equipment and other items under relevant legislation.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• schedule inspection; collect required inspection documentation; mobilise to inspection site; observe/monitor inspection site; complete inspection documentation; draft inspection report; report inspection results; communicate inspection report.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – Chapter 5 (investigation, enforcement and offences)</p> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work</li> <li>• cover the department for risks associated with the government's responsibility to check and catch problems. Inspectors can uncover significant risks and undue exposure to the community, environment and workforce during inspections</li> <li>• directly relate to or provide background information to significant incidents or investigations.</li> </ul> <p><b>Permanent retention criteria (where applicable):</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 3 – Enduring Rights and Entitlements</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules*:</b></p> <p><i>Department of Primary Industries and Fisheries (BSES) Retention and Disposal Schedule/Authority QDAN596 reference number 2.5.1</i> – inspections of farms and the issue of destruction orders under the <i>Plant Protection Act 1989</i> for crops found to be affected by pests or disease – retain for 20 years after last action.</p>



Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.6.1</i> conducting significant fisheries-related inspections for compliance with the <i>Fisheries Act 1994</i>. Retain for 25 years after action completed.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.12.1</i> conducting significant inspections of forestry-related premises, land, leases, licences, authorities, permits, products and materials for compliance under relevant legislation. Retain for 25 years after action completed.</p> <p>*Please see the additional information provided at the start of this function regarding the permanent retention of dam records.</p>
2.6	<b>Investigations</b>	
2.6.1	<p><b>Investigations – dams</b></p> <p>Records relating to investigations of dam safety, operations and management, and dams and associated infrastructure, involving offences under relevant legislation.</p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Investigation records are created as part of compliance enforcement processes, where an investigating officer finds a cause or evidence to open a case to investigate further, or has a case referred by other authorised officers (inspectors, complaint conciliators) with a view to successfully prosecute for an offence under relevant legislation. A case proceeds to prosecution if a worthy case has been made and is likely to succeed through the courts.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive complaint/notification of potential offence; conduct investigations; conduct interviews; collect evidence; compile case; make recommendations for prosecution; refer to prosecutors.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – Chapter 5 (investigation, enforcement and offences)</p> <p><i>Water Act 2000</i> – s.757A-757J (seizure and forfeiture of evidence/property)</p> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department for projects which continue over many years, e.g. long-term strategies</li> <li>• document the history of the department's work in facilitating dam initiatives</li> <li>• provide long-term reference value</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>document the history of the department's significant work</li> <li>provide evidence of decisions, support actions, and provide a history of the investigations relating to dams.</li> </ul> <p><b>Permanent retention criteria:</b> Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>5 – Substantial Contribution to Community Memory</li> <li>6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b> <i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 3.4.1</i> – investigations into major fires that have a significant impact on State forest plantations, e.g. major wild fires that cause a significant loss of life, plantation or property – retain permanently. <i>PROS02/03 Environment Protection Authority Retention and Disposal Schedule/Authority reference number 3.8.2.1</i> – site-specific investigations that set a precedent, involve possible substantial damage to the environment, have general public notoriety, or raise systemic issues – retain permanently. <i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 1.14</i> reports, findings and recommendations of major reviews and investigations into asset and infrastructure safety, conditions, conservation, performance, structural behaviour and potential threats. Required as State archives.</p>
2.7	<b>Licensing</b>	
2.7.1	<p><b>Granted water grid services, infrastructure and operations – licences and permits – dams</b></p> <p>Records relating to assessing and approving dams, including referable dams, related licences and permits under relevant legislation.</p> <p>Licences and permits include, but are not limited to:</p>	<p><b>Background/business process:</b></p> <p>Records are created during licensing approval processes for a range of licences, permits or permissions granted to approved applicants under relevant legislation. The period of currency or renewal period varies. Some entitlements (e.g. dam licences) are long-term, with dams lasting one hundred plus years.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>receive and assess licensing application; request further information; assess individual supporting studies and reports; consult with stakeholders (if required); make required checks, e.g. check histories (e.g. criminal,</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• applications, renewals, transfers, releases, changes, surrenders, cancellations, terminations</li> <li>• making, approving or overseeing making of agreements that result in, or put effect to, rights of authorisation</li> <li>• converting existing rights from transitional arrangements for legislative changes</li> <li>• unsuccessful, refused and withdrawn applications for dam-related licences and permits under relevant legislation.</li> </ul> <p><u>Excludes</u> dams relating to mining, e.g. hazardous waste dams, tailings dams, evaporation dams, exploration waste dams.</p> <p>See <i>Environment Retention and Disposal Schedule</i>.</p> <p>See reference <a href="#">2.3.1</a> for development approvals for referable dams.</p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>occupation), qualifications, results; check mutual recognition and previous licensing status (as applicable); grant licences, issue licence identification or certification; transfer, suspend or cancel licence.</p> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.1065-1070 (dams)</p> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department for projects which continue over many years, e.g. long-term strategies</li> <li>• document the history of the department's work in facilitating dam initiatives.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.1.5</i> Records of seasonal water determinations used to determine climate change impacts over time. Permanent.</p> <p><i>NSW Functional Retention and Disposal Authority FA256 issued to Department of Water and Energy reference number 4.8.1</i> Records relating to the application, granting, monitoring and reviewing of licences, approval, consents or permits relating to access to, usage or the supply of water. Required as State archives.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 5.1</i> Records relating to the establishment, maintenance and review of the organisation's licences to operate water and wastewater treatment services. Required as State archives.</p> <p><i>Territory Records (Records Disposal Schedule-Environmental Management Records) Approval 2011 NI2011-86</i> Reference 113.014.002 Final versions of approved environmental authorisations to undertake Class 'A' or Class 'B' activities described in environmental protection legislation, with long-term</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		environmental, social or economic consequences. Includes water-related activities – Retain as Territory archives.
2.8	<b>Monitoring and Surveillance</b>	
2.8.1	<p><b>Monitoring water-related holders and areas – dams</b></p> <p>Records relating to conducting surveillance and monitoring compliance of dam-related entitlements, rights, allocations, licences, permits and other holders, areas and the community generally, under relevant legislation.</p> <p>Monitoring includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• dam safety, operations and management</li> <li>• dams and associated infrastructure</li> <li>• dam failure risks and assessments</li> <li>• referable dams, self-assessable dams exempt from development permits</li> <li>• hazardous substances and containment systems, including dams</li> <li>• impacts of floods, droughts and other weather conditions on dams</li> <li>• developing, implementing and maintaining compliance programs.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Monitoring and surveillance records are created in planning and programming enforcement actions processes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• gather and analyse enforcement-related data (e.g. remote sensors, offence demographics), report on enforcement-related issues, plan enforcement priorities, design enforcement program, run enforcement program, (e.g. authorised officers duty rosters), collect enforcement work and output data, report on enforcement work outputs (e.g. planned versus actual comparisons) and outcomes (e.g. reductions/ increases), review enforcement outcomes (e.g. recommendations for next program).</li> </ul> <p><b>Regulatory requirements:</b></p> <p>Monitoring and surveillance is an inferred responsibility given enforcement, inspection, investigation, and prosecution activities.</p> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules*:</b></p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 3.6.1</i> – records relating to the development, management and application of prescribed burning programs. Includes prescribed burning guidelines; monitoring and surveillance programs; weather</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>conditions, fuel, soil moisture, and damage assessments; aerial ignition programs; and district fire protection plans – retain for 7 years after last action.</p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 1.9.1</i> Monitoring licence holders and associated areas – monitoring and administering compliance of industry, businesses and individuals to regulatory requirements. Retain for 7 years after action completed.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.17.1</i> Monitoring licence holders and areas – monitoring and administering compliance of industry, businesses and individuals to regulatory requirements. Retain for 7 years after action completed.</p> <p>*Please see the additional information provided at the start of this function regarding the permanent retention of dam records.</p>
2.9	<b>Partnerships</b>	
2.9.1	<p><b>Partnerships – dams</b></p> <p>Records relating to managing joint operations by the department with other organisations (both private sector and government) through contracts, joint contribution of funds, time, co-research or collaboration, where the partnership provides a significant contribution to dam-related outcomes for dam safety, operations and management, and dams and associated infrastructure.</p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Partnership records are created in setting up arrangements to work with others in partnerships and joint ventures set up to carry dam-related development responsibilities, activities and programs.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>identify need for partnership, identify potential parties, negotiate with potential parties, agree on parties, agree on funding*, agree on roles and responsibilities, identify format of agreement (e.g. formal agreement, memorandum of understanding), draft agreement or instrument (as required), negotiate signing*, plan and organise responsibilities under partnership, fulfil responsibilities (via other business processes), identify review date for agreement*, review agreement* (*if required).</li> </ul> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forestry Plantation Queensland) Retention and Disposal Schedule/Authority QDAN633 reference number 1.1.1 – joint ventures – significant – agreements between Forestry Plantations Queensland and other private organisations for the joint establishment and maintenance of State forest plantations where the venture has major significance to the State, e.g. propagation of Wollemi Pine. Includes records relating to the development, negotiation and ongoing management of agreements. Includes agreements; and validation reports – retain permanently.</i></p> <p><i>Department of Primary Industries and Fisheries (BSES) Retention and Disposal Schedule/Authority QDAN596 reference number 1.2.1 – records relating to the establishment of joint venture plant breeding projects and plant variety trials. Records include signed agreements, objectives, summary and final reports, evaluations, membership, funding, proposed projects and contracts under seal as well as minutes and agendas of meetings – retain permanently.</i></p> <p><i>Public Records Office Victoria Department of Primary Industries PROS04-01 reference number 12.1.1 – program development – development and implementation of initiatives and programs. Includes but is not limited to industry and community development, heritage and cultural programs, conservation and environmental policy initiatives, joint ventures and service development. Minister approved • project files • program documentation • correspondence • implementation files • reports • surveys/feedback • seminar development files • program performance reports – retain permanently.</i></p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference 1002 records relating to joint ventures of major significance. Retain permanently.</i></p>
2.10	<b>Planning</b>	
2.10.1	<p><b>Planning – dams</b></p> <p>Records relating to planning dam-related development initiatives, programs, strategies,</p>	<p><b>Background/business process:</b></p> <p>Planning records are created during planning, reviewing and evaluating dam safety, operations and management development processes.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>priorities and activities for improved outcomes for dam safety, operations and management, and dams and associated infrastructure.</p> <p>Planning includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• dam-related impacts on water use</li> <li>• supply and distribution associated with bulk water and water supplies</li> <li>• management of dam catchment areas</li> <li>• preparing management plans</li> <li>• consultation processes with community and key stakeholders.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• research environment and markets; determine broad direction appropriate to environment and markets; develop mission statement; identify goals, objectives and strategies; draft planning document; consult with stakeholders; approve planning document; map activities; develop tactical and operational plans, task lists and work schedules; run planned work as per other business processes; monitor performance as per performance management processes; review plans.</li> </ul> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department including knowledge of past planning activities reducing the potential for repetition of mistakes, or unnecessary cycling through unsuccessful methodologies</li> <li>• document the history of the department's significant work.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 2.9.1</i> – development, management, and application of programs and actions aimed at controlling the occurrence of pests (e.g. insects and arachnids, animals and birds) and/or diseases which have a significant impact on NRW Forest Products core assets – retain permanently</li> <li>• <i>reference number 2.6.1</i> – records relating to environmental conservation issues which underpin NRW Forest Products policies relating to environmental management. Includes Codes of Practice; conservation plans; and conservation counter-disaster plans – retain permanently.</li> </ul>
2.11	<b>Prosecution</b>	

Disposal authorisation	Record class and retention period	Justifying the retention period
2.11.1	<p><b>Prosecution – dams</b></p> <p>Records relating to prosecuting dam safety, operations and management, and dams and associated infrastructure-related offences under relevant legislation.</p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Prosecution records are created when charging persons/parties with offences under relevant legislation and conducting court cases by presenting evidence and arguments to the judiciary to resolve cases and prosecute offenders as a disincentive for non-compliance to legislation and other statutory instruments. Significant cases include those that set a precedent or are the first of its kind.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive referrals for prosecution from investigators; research and assess case; schedule agreed cases; prepare prosecution notes; conduct court case/present evidence; receive outcome; review case.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – Chapter 5 (investigation, enforcement and offences)</p> <p><i>Water Act 2000</i> – s.22, 349-354, 360F, 360J, 360S, 390-400, 452, 808-828</p> <p><i>Water Act 2000</i> – Chapter 7 Part 1-2 (prosecution)</p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 3 – Enduring Rights and Entitlements</li> <li>• 4 – Significant Impact on Individuals.</li> </ul> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value, with evidence of decisions, support actions, and provide a history of repeat and habitual offenders</li> <li>• document the history of the department's significant work</li> <li>• set a precedent.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>Agriculture Retention and Disposal Schedule QDAN719 v.1</i> Reference 1.19.1 Prosecution-significant – Retain permanently.</p> <p><i>Gold Coast 2018 Commonwealth Games Coordination Retention and Disposal Schedule QDAN721 v.1</i> Reference 1.12.1 Prosecutions-significant – Retain permanently</p>



Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 5.4.1</i> records relating to prosecuting significant fisheries-related offences under relevant legislation including precedent setting cases. Retain permanently.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.21.1</i> records relating to prosecuting significant offences under relevant legislation. Includes precedent setting cases. Retain permanently.</p>
2.12	<b>Registration</b>	
2.12.1	<p><b>Investigations and prosecutions registers – dams</b></p> <p>Records relating to registering investigations and prosecutions of dam safety, operations and management events, incidents, and offences, including results of investigating and prosecuting offences under related legislation.</p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Investigation and prosecution registration records are created during investigation and prosecution processes.</p> <p>Illustrative processes for front end processes:</p> <ul style="list-style-type: none"> <li>• receive and assess registration application; request further information; approve registration application; register entry</li> <li>• receive and assess change request; request further information; approve change request; register entry</li> <li>• receive deletion request (internally approved request of external advice); delete entry.</li> </ul> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value, with evidence of decisions, support actions, and provide a history of repeat and habitual offenders</li> <li>• provide long-term reference value for current and previous cases including the identification of historical and contextual information about relevant parties to current investigations and prosecutions</li> <li>• document the history of the department's significant work</li> <li>• records of investigations and prosecutions relating to dams are being kept permanently.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristic of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government.</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><b>Comparison with other schedules:</b></p> <p><i>State Records New South Wales Department of Primary Industries Functional Retention and Disposal Authority FA258 Reference 7.6.1</i> Summary records of industry and public safety incidents which require investigation by the agency – Required as State archives</p> <p><i>Public Records Office Victoria Gas Safety Retention and Disposal Schedule/Authority PROS99-06 reference number 7.3.1</i> – summary and registration. Actions that result in the unique identification, control and summary of investigations and prosecutions. Includes • databases or registers of prosecutions or investigations • investigations summary • recent prosecutions (published) – retain permanently.</p>
2.12.2	<p><b><i>Dam-related rights, authorisations, licences, permits and approvals registers</i></b></p> <p>Records relating to registering dam-related rights, authorisations, licences, permits and approvals under relevant legislation.</p> <p>Registering includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• dams, dam developments, land and dam owners, authority holders, e.g. referable dams</li> <li>• emergency notices</li> <li>• Water Industry Compliance Database (WICD) and other similar or similarly named registers</li> <li>• applications, renewals, transfers, releases, changes, surrenders, cancellations, terminations.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background:</b></p> <p>Dam and associated land area registration records are created in related entitlements, rights, allocations and other authorisation approval processes, including development approvals.</p> <p>Illustrative processes for front end processes:</p> <ul style="list-style-type: none"> <li>• receive registration application, assess registration application, request further information, approve registration application, register entry</li> <li>• receive change/transfer/cancellation request, assess change request, request further information, approve change request, register entry</li> <li>• receive deletion request (internally approved request/external advice), delete entry.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Supply (Safety and Reliability) Act 2008</i> – s.353M, 361-362 (dam registration).</p> <p><b>Business requirements:</b></p> <p>Dam Safety (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value, with evidence of decisions, support actions, and provide a history of repeat and habitual offenders</li> <li>• document the history of the department's significant work</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>significant dam rights, authorisations, licences, permits and approvals records are being kept permanently.</li> </ul> <p><b>Permanent retention criteria (where applicable):</b> Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>3 – Enduring Rights and Entitlements.</li> </ul> <p><b>Previous schedules (where applicable):</b> <i>Department of Environment and Resource Management Retention and Disposal Schedule QDAN653 v.1 reference number 2.7.1</i> Referable Dam Register – Retain permanently.</p> <p><b>Comparison with other schedules:</b> <i>Victoria Retention &amp; Disposal Authority for Records of Land Registry PROS 07-10 reference number 2.1.0</i> Land Title Registration. The recording and registration of land description, proprietorship of, and encumbrances on, a property for which the Title has been issued. Includes details of current and non-current proprietorship, encumbrances on title, land description, the derivative (parent title) and the Title diagram source that defines the boundaries of the land in question. Includes the Registered Search Statement. Includes indexes to the register. Permanent.</p>

Function	Scope note
<b>3 WATER MANAGEMENT</b>	<p><i>The function of managing the distribution and use of the State's water to sustain economic growth whilst protecting the environment. Includes the formulation of policy, and the provision of advice regarding the sustainable distribution and use of water, the planning for Water Resource Plans (WRP), the development of Resource Operation Plans (ROP) and Resource Operation Licences (ROL), the authorisation of water allocations, licences and permits, and the authorisation and ongoing monitoring of water authorities and service providers. Includes authorising water allocations, licences and permits. Includes authorising and monitoring of water markets, authorities and service providers. Includes monitoring of water use by metering and monitoring metering systems. Includes managing flood risks, and stormwater flows and impacts. Includes sampling and monitoring of the flow and quality of waterways and storages, and for hydrological modelling to determine environmental flow.</i></p> <p><i>Use DAM SAFETY MANAGEMENT for the regulation of referable dams.</i></p> <p><i>Activities relating to providing support to Water Authorities and River Improvement Trusts are generally outside the scope of this schedule. Where the Department has provided other support, for example, advice, policy, research, testing activities, use this schedule (Water).</i></p> <p><i>For administrative, secretariat support provided by the Department, see the General Retention and Disposal Schedule (GRDS).</i></p>

Activities
<p>3.1 Disciplinary Action</p> <p>3.2 Planning</p> <p>3.3 Resource Assessment</p> <p>3.4 Training</p> <p><i>For other activities covered by this schedule and inclusive of this function, see Common Activities.</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
3.1	<b><i>Disciplinary Action</i></b>	
3.1.1	<p><b><i>Proceedings against holders of water entitlements, rights, allocations, authorities, licences and permits</i></b></p> <p>Records relating to investigating complaints and initiating disciplinary proceedings against holders of water entitlements, rights, allocations, authorities, licences and permits, with potential for, and requiring, disciplinary action, including issuing show cause notices to licensees for offences under relevant legislation, conducting hearings and assessing submissions.</p> <p>Includes issuing:</p> <ul style="list-style-type: none"> <li>• notices of intentions and proceedings, orders</li> <li>• show cause notices, including notices as to why water allocation should not be forfeited.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business claim determined.</p>	<p><b>Background/business process:</b></p> <p>Disciplinary action records are created as a result of processes monitoring the conduct of licence holders, with non-compliant licence holders having their behaviour deemed inappropriate, given legislative requirements and terms and conditions of their licence. Their behaviour is investigated, evidence is documented, recommendations are reported and licence holders are given due notice of their rights to show cause why their licence should not be suspended or cancelled. Show cause notices can result in an application-like process approving or rejecting applications to take action, or be escalated to a hearing by committee or board.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive or identify issue, assess issue, reject issue, investigate issue, refer issue to investigation of misconduct, investigate misconduct, reject case for disciplinary action, accept case for disciplinary action, issue show cause notices, assess case made for not proceeding with disciplinary action, issue disciplinary action notices, register disciplinary action outcome, suspend or cancel relevant licences, close disciplinary action case.</li> </ul> <p>Also includes unsubstantiated complaints, which are deemed to have the same retention period as substantiated complaints.</p> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.138 (show cause notices)</p> <p><i>Water Act 2000</i> – s.305-310</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• need to be retained to support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i></li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>complaints may not be initially provable, but with time and further action, they could provide history for further actions with evidence substantiated at a later stage.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p>While the other jurisdiction has a higher retention period for similar records, Water Supply Division (DEWS), and DNRM business units** have identified a business requirement for shorter retention.</p> <p><b>Comparison with other schedules:</b></p> <p><i>New South Wales Veterinary Practitioners Board Retention and Disposal Schedule/ Authority FA273 reference number 4.3.3</i> – records relating to complaints that result in disciplinary action. This includes cases resulting in a fine, reprimand, caution or recommendation to the Administrative Decisions Tribunal for de-registration. Records include • the original complaint and other correspondence with the complainant • correspondence between the Board and the practitioner • recommendations of hearings • correspondence prepared in relation to appeals • notification of appeal results, and • a summary of the complaint – retain minimum of 10 years after last action, then destroy.</p>
3.2	<b>Planning</b>	
3.2.1	<p><b><i>Natural water resources plans (regulatory) – water plans – significant*</i></b></p> <p>Records relating to planning natural water resource uses through approved water resource plans and strategies, for managing and using water from natural water resources and catchments, where the water resource or use is significant.</p> <p>Significant plans include, but are not limited to:</p> <ul style="list-style-type: none"> <li>Water Allocation Management Plans (WAMP)</li> <li>Resource Operations Plans (ROP)</li> <li>resource operation amendment plans</li> <li>Interim Resource Operations Plans (IROP)</li> <li>various water flow management plans</li> </ul>	<p><b>Background/business process:</b></p> <p>Planning records are created during planning, reviewing and evaluating water-related plans about water use from natural water resources.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>research environment and markets; determine broad direction appropriate to environment and markets; develop mission statement; identify goals, objectives and strategies; draft planning document; consult with stakeholders; approve planning document; map activities; develop tactical and operational plans, task lists and work schedules; run planned work as per other business processes; monitor performance as per performance management processes; review plans.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.60-64,68-70 (water use plans for high risk negative effects of water use on land and water resources, including rising underground water</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• water management plans</li> <li>• water use plans</li> <li>• spring impact management strategies</li> <li>• water monitoring strategies</li> <li>• planning to support water resource planning of licence/authority holders</li> <li>• consultation, overview reporting, amendments</li> <li>• assessing draft, interim, replacement, subordinate and associated plans</li> <li>• reviewing submissions about draft plans</li> <li>• panel investigations and recommendations on submissions</li> <li>• approvals, decisions to not proceed and granting deferrals.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>levels, increasing salinisation, deteriorating water quality, waterlogging of soils, destabilisation of bed and banks of watercourses, damage to riverine environment, increasing soil erosion)</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department including knowledge of past planning activities reducing the potential for repetition of mistakes, or unnecessary cycling through unsuccessful methodologies</li> <li>• document the history of the department's significant work.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 2.5.1</i> – environmental conservation issues which underpin Forestry Plantations Queensland policies relating to environmental management – Permanent.</p> <p><i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.6.1</i> – records relating to environmental conservation issues which underpin NRW Forest Products policies relating to environmental management. Includes Codes of Practice; Conservation plans; and Conservation counter-disaster plans – retain permanently.</p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 2.2.1</i> Summary records of environmental activities undertaken to meet compliance requirements for legislative, operational, research and development purposes which are measured over time. Records include flood management plans, flood warning systems, quantity and quality</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		flow, drought management plans, water savings and conservation plans. Permanent.
3.2.2	<p><b>Natural water resources plans (regulatory) – water plans – other~</b></p> <p>Records relating to planning other natural water resource uses through approved water resource plans and strategies, for managing and using water from natural water resources and catchments, not covered by reference <a href="#">3.2.1</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after plan superseded by new plan.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>** See page 3 for more details.</p> <p><b>Comparison with other schedules:</b></p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 3.6.1</i> – records relating to development, management, application of prescribed burning programs. Includes prescribed burning guidelines; monitoring and surveillance programs; weather conditions, fuel, soil moisture, damage assessments; aerial ignition programs; district fire protection plans – retain for 7 years after last action.</p> <p><i>State Records New South Wales Department of Primary Industries Retention and Disposal Schedule/Authority FA258 reference number 7.9.2</i> – records relating to the development, establishment, implementation and evaluation of operational plans or of programs supporting the management of natural resources and environmental protection – retain minimum of 5 years after last action, then destroy.</p>
3.3	<b>Resource Assessment</b>	
3.3.1	<b>Condition and trend assessments</b>	<b>Background/business process:</b>



Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Records relating to assessing the condition and trend of the State's natural water resources.</p> <p>Assessments include, but are not limited to:</p> <ul style="list-style-type: none"> <li>determinations of the impact upon the State's natural water resources of proposed development applications, management plans and other proposals</li> <li>application of state interest checks to local and regional planning schemes and strategies</li> <li>testing and analysis of soil, plant and water samples associated with resource assessments</li> <li>testing impact of water sharing and other intensive water resource sharing strategies</li> <li>riverine trust improvement assessments</li> <li>assessments/investigations of water systems, stormwater and wastewater systems, programs and projects (where systems impact on natural resources).</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<p>Resource assessment records are created to support various water management processes by identifying and tracking the condition of man-made and natural water resources. The processes feed other processes, such as informing decisions in water entitlements, rights and allocations, development approvals and research activities. Water resources assessments often measure water quantity and quality in a system, including data collection, data validation, and water accounting techniques, using both ground and remote sensing. However, some assessments include the status of surrounding resources such as soil, silt, river bed rock, and animal and plant life, to provide a picture of overall environmental health, and report on associated high profile outcomes such as land care, erosion and pollution.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>collect data (field measurements and observations), take samples for testing, collect pre-collected available data (rainfall, weather, meter data etc.), examine available, relevant models and modelling data, validate data, test samples, analyse test results, examine all data, formulate findings, compile report.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>are required for future business enhancement and improvement</li> <li>need to be retained to support the decisions of the business</li> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Comparison with other schedules:</b></p> <p><i>Public Record Office Victoria Department of Primary Industries Retention and Disposal Schedule/Authority PROS 04-01 reference number 3.1.0 – risk management – identification of risks and implementation of appropriate mitigation strategies • Reports • Risk investigations • Surveys • Risk assessments • Risk plans • Business continuity plans • Disaster recovery plans – destroy 10 years after date of creation of the record.</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
3.4	<b>Training</b>	
3.4.1	<p><b>Master curricular for formal qualifications (National Framework)</b></p> <p>Records relating to master curricular for training qualifications in water management for national training frameworks, and for developing skills and knowledge in staff and clients (internally and externally), including inspections, investigations and prosecutions under water-related legislation.</p> <p><b>Retention period &amp; trigger</b></p> <p>25 years after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Master curricular (training) records are created in national qualification framework training processes, including the design, development and review of training curriculum for the purpose of enhancing and imparting skills, knowledge and qualifications, organising and conducting training programs and sessions, and assessing and evidencing competence of participants/trainees.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>review existing curricular; research developing knowledge bases; research developing industry practices; develop draft master curricular; prepare consultation information; invite industry review; receive consultation submissions; redraft and finalise master curricular.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for 25 years as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value to the department for the development of future curricular</li> <li>support the business processes associated with training members of the public in water management practices.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Comparison with other schedules:</b></p> <p><i>Agriculture Retention and Disposal Schedule QDAN719 v.1 reference number 1.25.1</i> records relating to master curricular for training qualifications in agriculture for national training frameworks. Retain for 25 years after action completed.</p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 4.6.1</i> records relating to master curricular for training qualifications in fisheries management for national training frameworks. Retain for 25 years after action completed.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.26.1</i> records relating to master curricular for training qualifications for national training frameworks. Retain for 25 years after action completed.
3.4.2	<p><b><i>Master curricular not linked to formal qualifications</i></b></p> <p>Records relating to master curricular for training courses not formally linked to national training frameworks in water management, and for developing skills and knowledge in staff and clients (internally and externally), including inspections, investigations and prosecutions under water-related legislation.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after curricular superseded.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• need to be retained to support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><small>** See page 3 for more details.</small></p> <p><b>Comparison with other schedules:</b></p> <p><i>Agriculture Retention and Disposal Schedule QDAN719 v.1 reference number 1.25.2</i> records relating to master curricular for training courses not linked to national training frameworks in agriculture. Retain for 7 years after curricular superseded.</p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 4.6.2</i> records relating to master curricular for training courses not linked to national training frameworks in fisheries management. Retain for 7 years after curricular superseded.</p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.26.2</i> records relating to master curricular for training courses not formally linked to national training frameworks. Retain for 7 years after curricular superseded.</p>
3.4.3	<p><b><i>Master curricular development material</i></b></p> <p>Records relating to developing and reviewing master curricular for training qualifications in water management and for developing water industry and compliance skills and knowledge in staff and clients</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>(internally and externally), including inspections, investigations and prosecutions under water-related legislation.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• need to be retained to support the decisions of the business.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>State Records New South Wales Department of Primary Industries Retention and Disposal Schedule/Authority FA258 reference number 6.1.1 – education and training – accreditation – 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.</i></p> <p><i>Public Records Victoria Employment, Investment and Industry Retention and Disposal Schedule/Authority PROS08-04 reference number 4.7.0 – training program development – development and administration of training programs. Includes programs designed to skill Victorian businesses and individuals and to address skill shortages or to facilitate the entry of individuals or businesses into an industry – destroy 7 years after the conclusion of program.</i></p>
3.4.4	<p><b><i>Training course guides, presentations, assessment and supporting materials</i></b></p> <p>Records relating to developing, delivering and assessing training courses for training qualifications in water management and to develop water industry and compliance skills and knowledge in staff and clients (internally and externally), including inspections, investigations and prosecutions training under water-related legislation.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after training course superseded.</p>	<p><b>Background/business process:</b></p> <p>Training course records are created in training processes. See above for more information.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• review master curricular (if relevant), identify training outcomes, research training requirements (against curricular/outcomes), research areas of practice, develop draft training course outline, develop training session plans, develop training presentations, develop practical exercises, develop on the job activities, develop assessment activities, develop training tools (e.g. workbooks), test training session plan, review training session plan.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS), and DNRM business units** require these records to be retained for seven years as they:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement</li> <li>• need to be retained to support the decisions of the business.</li> </ul> <p><i>** See page 3 for more details.</i></p> <p><b>Comparison with other schedules:</b></p> <p><i>State Records New South Wales Department of Primary Industries Retention and Disposal Schedule/Authority FA258 reference number 6.1.1 – education and training – accreditation – 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</i></p> <p><i>PROS08/04 Employment, Investment and Industry Retention and Disposal Schedule/ Authority reference number 4.7.0 – training program development – development/ administration of training programs. Includes programs designed to skill Victorian businesses and individuals and to address skill shortages or to facilitate the entry of individuals or businesses into an industry – destroy 7 years after conclusion of program.</i></p> <p><i>Agriculture Retention and Disposal Schedule QDAN719 v.1 reference number 1.25.4 records relating to developing, delivering and assessing of training courses. Retain for 7 years after training course superseded.</i></p> <p><i>Fisheries Retention and Disposal Schedule QDAN724 v.1 reference number 4.6.4 records relating to developing, delivering and assessing of training courses. Retain for 7 years after training course superseded.</i></p> <p><i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.26.4 records relating to developing, delivering and assessing of training courses. Retain for 7 years after training course superseded.</i></p>

Function	Scope note
<b>4 WATER REGULATION</b>	<p><i>The function of regulating and monitoring water operations, including policy and legislation affecting water supply, use, distribution, and wastewater and waste treatment.</i></p> <p><i>Includes statutory functions of the Queensland Water Supply Regulator, such as ensuring continuity of water and sewerage operations and minimising risks to public health.</i></p> <p><i>Also includes water supply assets and water and sewerage service providers.</i></p>

### Activities

- 4.1 Construction
- 4.2 Disciplinary Action
- 4.3 Dispute Resolution
- 4.4 Incident and Emergency Responses
- 4.5 Infrastructure Development
- 4.6 Maintenance
- 4.7 Pricing
- 4.8 Testing and Identification

*For other activities covered by this schedule and inclusive of this function, see Common Activities.*

Disposal authorisation	Record class and retention period	Justifying the retention period
4.1	<b>Construction</b>	
4.1.1	<p><b>Construction – significant*</b></p> <p>Records relating to construction of significant facilities for bulk water, water supply and distribution, and sewerage and wastewater disposal infrastructure, works and operations.</p> <p>Significant construction includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• concept, design, working and master planning</li> <li>• developing construction specifications.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</i></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Construction of water infrastructure, including planning, construction, extension and improvement plays a key role in building and improving water-related industries.</p> <p>Illustrative processes:</p> <ul style="list-style-type: none"> <li>• construction, extension and improvement processes as per basic project management processes.</li> </ul> <p>Related planning and land resumption processes:</p> <ul style="list-style-type: none"> <li>• research environment and markets; draft planning documents; consult with stakeholders; approve planning document; map activities</li> <li>• acquire land and property via resumption, purchasing, exchange processes.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value</li> <li>• document the history of the department's significant work</li> <li>• could have many impacts on the community from, as examples heritage, environmental, sustainability, or safety aspects.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 6.2.1</i> Final records of the design, construction or refurbishment of wastewater infrastructure assets. Records include location</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>information, construction and engineering as-built plans, specifications, field books, site surveys and commissioning records. Permanent.</p> <ul style="list-style-type: none"> <li>• <i>reference number 6.2.1</i> Final records of the design, construction or refurbishment of wastewater infrastructure assets. Records include location information, construction and engineering as-built plans, specifications, field books, site surveys and commissioning records. Permanent.</li> </ul> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 2.1</i> key records relating to the design, construction, commissioning, major renovation or restoration or decommissioning of water management assets and infrastructure...which has significance. Required as State archives.</p> <p><i>SunWater Retention and Disposal Schedule QDAN650 v.1 reference 8.3.1</i> records relating to the construction of water infrastructure assets that have major significance. Retain permanently.</p> <p><i>SEQWater Retention and Disposal Schedule QDAN717 v.1 reference 1.2.1</i> infrastructure construction – significant. Retain permanently.</p>
4.1.2	<p><b>Construction – other~</b></p> <p>Records relating to construction of other facilities for bulk water, water supply and distribution, and sewerage and wastewater disposal infrastructure, works and operations, not covered by reference <a href="#">4.1.1</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after infrastructure, building or structure is disposed of, then transfer to new owner, or destroy if not required.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 6.2.2</i> Records documenting the drafting, planning and design phase for the implementation of new or the refurbishing of existing wastewater infrastructure assets. Records include design notes, draft plans and</p>



Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>engineer reports. Destroy 7 years after infrastructure has been decommissioned.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 2.1</i> key records relating to the design, construction, commissioning, major renovation or restoration or decommissioning of water management assets and infrastructure...which are not significant. Retain minimum of 7 years after building or structure is disposed of, then destroy or transfer to new owner as required.</p> <p><i>SunWater Retention and Disposal Schedule QDAN650 v.1 reference 8.3.2</i> records relating to the construction of specifically designed and/or purpose-built water infrastructure assets that do not have major significance. Retain for 7 years after the transfer, disposal or demolition of the water infrastructure asset.</p> <p><i>SEQWater Retention and Disposal Schedule QDAN717 v.1 reference 1.2.2</i> infrastructure construction – other. Retain for 7 years after the transfer, disposal or demolition of the water infrastructure asset.</p>
4.2	<b>Disciplinary Action</b>	
4.2.1	<p><b>Licensee disciplinary action</b></p> <p>Records relating to investigating complaints and initiating disciplinary proceedings against bulk water, water supply, sewerage and wastewater disposal related rights holders (e.g. licences, authorities) for misconduct and/or misuse of rights, with potential for, and requiring, disciplinary action. Includes:</p> <ul style="list-style-type: none"> <li>issuing orders, show cause notices and notices of intentions and proceedings</li> <li>conducting hearings and assessing submissions.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>7 years after claim determined.</p>	<p><b>Background/business process:</b></p> <p>Disciplinary action records are created as a result of processes monitoring the conduct of licence holders, with non-compliant licence holders having their behaviour deemed inappropriate, given legislative requirements and terms and conditions of their licence. Their behaviour is investigated, evidence is documented, recommendations are reported and licence holders are given due notice of their rights to show cause why their licence should not be suspended or cancelled. Show cause notices can result in an application like process approving or rejecting applications to take action, or be escalated to a hearing by committee or board.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>receive or identify issue, assess issue, reject issue, investigate issue, refer issue to investigation of misconduct, investigate misconduct, reject case for disciplinary action, accept case for disciplinary action, issue show cause notices, assess case made for not proceeding with disciplinary action, issue</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>disciplinary action notices, register disciplinary action outcome, suspend or cancel relevant licences, close disciplinary action case.</p> <p><b>Regulatory requirements:</b>  <i>Water Act 2000</i> – s.138 (show cause notices)  <i>Water Act 2000</i> – s.334, 779, 972H-I</p> <p><b>Business requirements:</b>  Water Supply Division (DEWS) requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• need to be retained to support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><b>Comparison with other schedules:</b>  <i>New South Wales Veterinary Practitioners Board Retention and Disposal Schedule/ Authority FA273 reference number 4.3.3</i> – records relating to complaints that result in disciplinary action. This includes cases resulting in a fine, reprimand, caution or recommendation to the Administrative Decisions Tribunal for de-registration. Records include • the original complaint and other correspondence with the complainant • correspondence between the Board and the practitioner • recommendations of hearings • correspondence prepared in relation to appeals • notification of appeal results, and • a summary of the complaint – retain minimum of 10 years after last action, then destroy.</p> <p>While the other jurisdiction has a higher retention period for similar records, Water Supply Division (DEWS), and DNRM business units** have identified a business requirement for shorter retention.</p> <p><small>** See page 3 for more details.</small></p>
4.3	<b>Dispute Resolution</b>	
4.3.1	<p><b>Final decisions</b></p> <p>Records relating to final decisions of cases of dispute resolution between bulk water, water supply, sewerage and wastewater disposal service providers about agreements or proposed</p>	<p><b>Background/business process:</b></p> <p>Dispute resolution records are created as a result of other processes, e.g. agreements, partnerships, licensing, where the State has taken on a role as disagreement mediator in order to facilitate a smooth flow of these processes, or where it is in the community's best interest to have order, rather than see</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>agreements for water allocations, assignments and schemes under relevant legislation.</p> <p>Includes dispute resolution of cases between parties to multiple-entity recycled water schemes, where State operates as mediator or arbitrator.</p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>conflicts escalate to unproductive legal action for parties. The State is potentially further involved resolving information discovery orders for court action. Disputes can be resolved using processes of mediation or arbitration.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>identify issue, assess issue, reject or accept issues for mediation/arbitration, investigate issue, refer issue to investigation, investigate, communicate with parties, write up outcomes, organise meetings, conduct meetings, write up outcomes, recommendations and/or agreements, repeat communication and meetings as required, write up final decision, refer unresolved cases to further arbitration if appropriate, e.g. tribunal, court.</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.426-433</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value</li> <li>document the history of the department's significant work.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>3 – Enduring Rights and Entitlements</li> <li>4 – Significant Impact on Individuals</li> <li>5 – Substantial Contribution to Community Memory.</li> </ul>
4.3.2	<p><b><i>Case histories and working papers</i></b></p> <p>Records relating to cases of dispute resolution between bulk water, water supply, sewerage and wastewater disposal service providers about agreements or proposed agreements for water allocations, assignments and schemes under relevant legislation.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained for seven years as they:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Includes dispute resolution of cases between parties to multiple-entity recycled water schemes, where the department operates as mediator or arbitrator.</p> <p><b>Retention period &amp; trigger</b> 7 years after case resolution.</p>	<ul style="list-style-type: none"> <li>• need to be retained to support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p>The retention period is consistent with NSW, Victoria and there is precedent in Queensland with Energy &amp; Water Ombudsman Queensland (QDAN700 v.1) and Residential Tenancies (QDAN706 v.1).</p> <p><b>Comparison with other schedules:</b></p> <p><i>State Records Authority of NSW Alternative Dispute Resolution Directorate FA338 Reference 1.2.1</i> Records relating to dispute cases/matters – Retain minimum of 7 years after action completed, then destroy.</p> <p><i>PROV Retention and Disposal Authority for records of alternative dispute resolution services PROS15/04 Reference 1.2</i> Records documenting the ADR process – Destroy 5 years after last action.</p> <p><i>Energy and Water Ombudsman Queensland Retention and Disposal Schedule QDAN700 v.1 Reference 1.2.3</i> Resulting in an agreement-minor – Retain for 7 years after investigation is finalised.</p> <p><i>Residential Tenancies Retention and Disposal Schedule QDAN706 v.1 Reference 2.1.1</i> Conciliation – Retain for 7 years after finalisation of conciliation process or bond, whichever is latest.</p>
4.4	<b>Incident and Emergency Responses</b>	
4.4.1	<p><b>Incident and emergency response – significant *</b></p> <p>Records relating to managing significant incidents, emergencies and natural disasters that impact on bulk water and water supplies, and sewerage and wastewater disposal capabilities, with significant consequences for human health and welfare, including human fatalities or potential transmission of fatal illnesses or with major consequences for human health and welfare.</p> <p>Significant incident and emergency responses include, but are not limited to:</p>	<p><b>Background/business process:</b></p> <p>Incident/emergency response records are created in one-off processes, designed around the incident or emergency at hand. Significant incidents or emergencies involve loss of life or significant loss of property.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• receive incident/emergency notification; assemble incident/emergency team; prepare recordkeeping framework; meet to discuss and delegate; organise incident/emergency taskforce; develop action plan; undertake delegated roles; liaise with police; emergency services; inspectors/investigators and ground staff; communicate internally; prepare and send media releases;</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• criminal poisoning of water reservoirs</li> <li>• failure of water contingency plans</li> <li>• significant water quality issues</li> <li>• significant flooding.</li> </ul> <p><i>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</i></p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<p>complete action plan; close incident/emergency; review responses; identify improvements for next incident/emergency.</p> <p><b>Business requirements:</b> Water Supply Division (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value for future incidents</li> <li>• provides evidence of the department's response in the event of legal challenges</li> <li>• document the history of the department's work in their response to significant incidents.</li> </ul> <p><b>Permanent retention criteria:</b> Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 3 – Enduring Rights and Entitlements</li> <li>• 4 – Significant Impact on Individuals</li> </ul> <p><b>Comparison with other schedules:</b> <i>State Records New South Wales Department of Primary Industries Functional Retention and Disposal Authority FA258 Reference 7.6.2</i> Records relating to investigation of incidents where there has been a fatality or serious accident – Required as State archives <i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 2.1.1</i> – investigations of environmental accidents or incidents where serious environmental damage occurred or could have occurred – retain permanently. <i>Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN653 reference number 6.17.1</i> – significant incidents on State land including cyclones and bush fires where significant damage occurs – retain permanently. <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 1.3.1</i> Records documenting the response by the agency to emergencies that cause critical impact • to water or wastewater</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		infrastructure assets • the natural environment, or • is one of a series of similar emergencies forming a significant pattern of disruption to water quality or the provision of water services to the community. Permanent
4.4.2	<p><b><i>Incident and emergency response – other~</i></b>  Records relating to managing other incidents, emergencies and natural disasters, that impact on bulk water and water supplies, and sewerage and wastewater disposal capabilities not covered by reference <a href="#">4.4.1</a>.  ~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other.</p> <p><b>Retention period &amp; trigger</b>  7 years after business action completed.</p>	<p><b>Background/business process:</b>  See above.</p> <p><b>Business requirements:</b>  Water Supply Division (DEWS) requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• are required for future business enhancement and improvement of emergency and incident response handling</li> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><b>Comparison with other schedules:</b>  <i>Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN623 reference number 2.1.2</i> – investigations of environmental accidents or incidents where minimal environmental harm occurred – retain for 7 years after last action.  <i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN633 reference number 2.1.2</i> – investigations of environmental accidents or incidents where minimal environmental harm occurred – retain for 7 years after last action.  <i>Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN653 reference number 6.17.2</i> – minor incidents on State land including cyclones and bush fires where minor damage occurs – retain for 7 years after last action.  <i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 1.3.3</i> Records documenting the response by the agency to emergencies that cause minor damage • to water or wastewater infrastructure assets, or • the natural environment. This includes minor</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		disruptions to the provision of water services to the community. Destroy 7 years after incident.
4.5	<b>Infrastructure Development</b>	
4.5.1	<p><b>Water supply industry infrastructure and development property</b></p> <p>Records relating to acquisition, holding, and disposing of property associated with planning, construction, extension and improvement works for bulk water and water supplies, and sewerage and wastewater disposal infrastructure.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>planning building works, operational works, making material change of use applications, and reconfiguring lots</li> <li>construction projects by past water boards, e.g. Metropolitan Water and Sewerage Board.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Infrastructure development planning of construction, extension and improvement activities plays a key role in building and improving water-related industries.</p> <p>Illustrative processes:</p> <ul style="list-style-type: none"> <li>research environment and markets; draft planning documents; consult with stakeholders; approve planning document; map activities</li> <li>acquire land and property via resumption, purchasing, exchange processes</li> <li>hold land and property as per requirements. <i>See MAINTENANCE for activities to maintain value of land and property</i></li> <li>dispose of land and property as surplus to requirements, e.g. where not required for long-term development strategies.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>provide long-term reference value for future incidents</li> <li>provide evidence of the department's response in the event of legal challenges</li> <li>document the history of the department's work in their response to significant incidents.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>2 – Primary Functions and Programs of Government</li> <li>3 – Enduring Rights and Entitlements</li> <li>4 – Significant Impact on Individuals.</li> </ul> <p><b>Comparison with other schedules:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 6.2.1</i> Final records of the design, construction or refurbishment of wastewater infrastructure assets. Records include location information, construction and engineering as-built plans, specifications, field books, site surveys and commissioning records. Permanent.</p> <p><i>NSW Functional Retention and Disposal Authority FA367 documenting the function of water supply and wastewater management reference number 1.9</i> key records relating to design, construction, commissioning, major renovation or restoration or decommissioning of water management assets and infrastructure of significance. Required as State archives.</p>
4.5.2	<p><b><i>Infrastructure and property acquisitions and plans not proceeded with</i></b></p> <p>Records relating to acquisition and planning improvement works for infrastructure and property associated with bulk water and water supplies, and sewerage and wastewater disposal infrastructure where:</p> <ul style="list-style-type: none"> <li>• works are not proceeded with</li> <li>• property is disposed of</li> <li>• property is not, nor was state-owned.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Regulatory requirements:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained for seven years, with business imperatives and caution increasing retention from the lower retention periods of other jurisdictions, as they:</p> <ul style="list-style-type: none"> <li>• support the decisions of the business</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>State Records Office of WA General Disposal Authority for Local Government Records RD2010046 reference number 4.5</i> Acquisition and Disposal – cases cancelled or not proceeded with. Destroy 2 years after last action.</p> <p><i>State Records Office of WA General Disposal Authority for State Government Information 2013-017 reference number 2.8</i> Records of potential acquisitions or disposals not proceeded with or cancelled. Retain 1 year after action completed, then destroy.</p>
4.6	<b><i>Maintenance</i></b>	



Disposal authorisation	Record class and retention period	Justifying the retention period
4.6.1	<p><b><i>Water supply infrastructure and facilities</i></b></p> <p>Records relating to maintenance of infrastructure and facilities, equipment and machinery associated with water supply infrastructure owned or operated by the State, for example, where the State operates the infrastructure in cases of operator incapacity, e.g. insolvency.</p> <p>Includes repairing, servicing and preserving.</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Maintenance plays a key role in maintaining the value of land and property being held for development purposes, in particular building and improving water-related infrastructure.</p> <p>Illustrative processes:</p> <ul style="list-style-type: none"> <li>hold land and property as per requirements, including long-term strategies, by paying ongoing costs and undertaking maintenance activities including services, repairs, preservation work, schedule maintenance activities as required, receive ad hoc maintenance requests, conduct physical checks and reviews, report outstanding or unreported maintenance items, undertake maintenance items (scheduled, ad hoc, outstanding, reported), complete service logs and maintenance records.</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>support the decisions of the business</li> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><b>Comparison with other schedules:</b></p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.4.2</i> Records relating to undertaking routine and emergency maintenance on the water supply network. Records include pipeline maintenance reports, inspection reports and routine maintenance reports. Destroy 7 years after action completed.</p> <p><i>SunWater Retention and Disposal Schedule QDAN650 v. 1:</i></p> <ul style="list-style-type: none"> <li><i>reference 8.8.1</i> records relating to meter readings and the maintenance of water meters. Retain 7 years after last action.</li> <li><i>reference 8.10.1</i> records relating to the performance of preventative maintenance on water infrastructure assets. Retain for 7 years after the transfer, disposal or demolition of the water infrastructure asset.</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>SEQWater Retention and Disposal Schedule QDAN717 v.1 reference 1.4.3</i> records relating to the maintenance carried out on the current condition of SEQWater's infrastructure and assets. Retain for 7 years after the transfer, disposal or demolition of the water infrastructure asset.</p>
4.7	<b>Pricing</b>	
4.7.1	<p><b>Water-related products and services pricing</b></p> <p>Records relating to determining and reviewing prices and pricing structures of water-related products and services for urban and rural water, including water, sewerage and recycled water.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• apportionment of costs of works amongst respective owners and customers</li> <li>• calculating chargeable water rates, sewerage rates, service charges, etc.</li> <li>• reviewing water prices</li> <li>• recommending pricing structures and plans including increases, caps and reductions.</li> </ul> <p><b>Retention period &amp; trigger</b></p> <p>25 years after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Pricing is the activity of determining the sale price of water-related products through the water supply and distribution marketplace; from a price to dispose of trade waste to residential housing supply to irrigating field crops. Prices for different water products will have unique and product-specific pricing processes and calculations.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• research the marketplace, the consumer, e.g. price buyers, value buyers, relationship buyers, and the political environment, e.g. fairer pricing, cost reductions promised; understand the internal mechanisms of water supply including fixed and variable costs of supplying water, including providing and maintaining infrastructure; determine price units, unit volumes, price positions, sale targets given particular demand; calculate break-even point and profit margin, convert to pricing 'mechanism', e.g. formula or code (translatable into cost to different water consumers for different water products).</li> </ul> <p><b>Regulatory requirements:</b></p> <p><i>Water Act 2000</i> – s.292, 360D, 360N-R, 360W</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained for 25 years as they:</p> <ul style="list-style-type: none"> <li>• are required for long-term business needs based on industry cycles of renewal and regeneration</li> <li>• cover the department for risks associated with the government's responsibility to check and catch problems. Inspectors can uncover</li> </ul>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>significant risks and undue exposure to the community, environment and workforce during routine inspections</p> <ul style="list-style-type: none"> <li>• directly relate to or provide background information to significant incidents or investigations</li> <li>• represent industry cycles over time required for reference to effectively assess long-term impacts including environmental impacts and outcomes.</li> </ul> <p><b>Comparison with other schedules:</b>  <i>Forestry Retention and Disposal Schedule QDAN725 v.1 reference number 1.20.1</i> records relating to determining and reviewing prices and pricing structures. Retain for 25 years after action completed.</p>
4.8	<b>Testing and Identification</b>	
4.8.1	<p><b>Testing and identification – significant*</b></p> <p>Records relating to sampling, testing and diagnosing to confirm or exclude presence of known or suspected chemicals, toxins and poisons in water supply catchments and environments, and in water, wastewater and other water and waste products, including laboratory and pathology tests and sample specimens, where research or test results are significant.</p> <p><small>* Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</small></p> <p><b>Retention period &amp; trigger</b></p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b></p> <p>Testing and identification records are created in scientific and technical processes with field samples of water, waste and other products taken.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> <li>• take samples; package, receipt and test samples; record test results; register significant test results; dispose samples (at appropriate point).</li> </ul> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> <li>• provide long-term reference value to the department especially those that provide a significant result, e.g. first of its kind</li> <li>• document the history of the department's significant work.</li> </ul> <p><b>Permanent retention criteria:</b></p> <p>Meets the following characteristics of QSA's Appraisal Statement:</p> <ul style="list-style-type: none"> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change.</li> </ul> <p><b>Comparison with other schedules:</b>  <i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 reference number 4.4.2.1</i> – major</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>reporting that sets a precedent, has general public notoriety or raises systemic issues. Research methodologies used, stack test reports, analytical data, instrument charts, external laboratory reports, air quality control inventory – retain permanently.</p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 6.5.1</i> Records relating to monitoring the performance of treatment plants in accordance with the agency's licence. This includes summary records of raw data that is tested following the treatment process to measure against recommended environmental criteria as required by the Environment Protection Authority guidelines. Permanent</li> <li>• <i>reference number 7.6.2</i> Records of water quality sampling, testing, analysis and reporting. Records include raw data, log sheets, water sample statistics, chemical analysis sampling results, and water quality analysis data sheets. Permanent.</li> </ul>
4.8.2	<p><b>Testing and identification – other~</b></p> <p>Records relating to other sampling, testing and diagnosing to confirm or exclude presence of known or suspected chemicals, toxins and poisons in water supply catchments and environments, and in water, wastewater and other water and waste products, including laboratory and pathology tests and sample specimens, not covered by reference <a href="#">4.8.1</a>.</p> <p>~ Refer to <a href="#">Appendix</a>: Definition of Significant Versus Other</p> <p><b>Retention period &amp; trigger</b></p> <p>7 years after business action completed.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> <li>• support the decisions of the business</li> <li>• provide evidence of the processes used when testing and identification ensuring all findings and results, and subsequent decisions are based on accurate findings and results</li> <li>• reduce risks associated with incorrect sampling or testing by providing evidence of repeatable processes</li> <li>• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>.</li> </ul> <p><b>Comparison with other schedules:</b></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>State Records New South Wales Food Safety Management Retention and Disposal Schedule/Authority FA284 reference number 1.7.1</i> – records relating to the analysis, diagnosis and testing of food samples – retain minimum of 7 years after last action, then destroy.</p> <p><i>PROS 02/03 Environment Protection Authority Retention and Disposal Schedule/ Authority reference number 4.4.2.2</i> – reporting not covered by 4.4.2.1, research methodologies used, stack test reports, analytical data, instrument charts, external laboratory reports, air quality control inventory – destroy 7 years after administrative use is concluded.</p> <p><i>PROS 12/06 Retention &amp; Disposal Authority for Records of the Water Industry Functions reference number 7.6.4</i> Records of routine water quality reports required for regulatory purposes. Destroy 7 years after action completed.</p>
4.8.3	<p><b><i>Test results previously collated into research and test reports</i></b></p> <p>Records relating to sampling, testing and diagnosing to confirm or exclude presence of known or suspected chemicals, toxins and poisons in water supply catchments and environments, and in water, wastewater and other water and waste products.</p> <p>Includes laboratory and pathology tests and sample specimens, where research or test results previously collated or duplicated into research and test reports.</p> <p><b>Retention period &amp; trigger</b></p> <p>Until business action completed.</p>	<p><b>Background/business process:</b></p> <p>See above.</p> <p><b>Business requirements:</b></p> <p>Water Supply Division (DEWS) requires these records to be retained until business action completed as they have no ongoing value to the business area as the results are included in other documentation.</p> <p><b>Comparison with other schedules:</b></p> <p><i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 reference number 4.4.1</i> – testing required for analysis, review and forecasting purposes. Sample testing, smog alert reviews, test records (calculations, observations), test summary sheets, laboratory workbooks, field workbooks, surveillance – destroy after test results have been incorporated into a report.</p> <p><i>Transitory Records and Short Term Retention and Disposal Schedule QDAN720 v.1 reference number 720-01-005</i> drafts, working notes and calculations...which have been incorporated into more substantial drafts or final documents. Retain until business use ceases.</p>

Function	Scope note
<b>5 LEGACY RECORDS</b>	<i>This section covers legacy records dating from 1922 to 2013, of water supply (including dams) and natural water resources commissions, which had various originating departments, including but not limited to Department of Local Government (DLG) / Department Natural Resources (DNR) / Department of Water Resources (DWR) / Department of Irrigation Water Supply &amp; Sewerage (DIWSS). These commissions no longer exist.</i>

Record class and retention period	Justifying the retention period
<p><b>Permanent legacy records</b> Records relating to the establishment and decommissioning, strategic management, high level planning and reporting of Queensland water commissions from 1922 to 2013. Includes administrative records with permanent retention value, for example historically significant personnel files.</p> <p><b>Retention period &amp; trigger</b> Permanent. Transfer to QSA after business action completed.</p>	<p><b>Background/business process:</b> Legacy records have been identified for the following water commissions:</p> <ul style="list-style-type: none"> <li>• Irrigation and Water Supply Commission; two separate Commissions with the same name (1922–1979)</li> <li>• Queensland Water Resources Commission (1979–1992)</li> <li>• Queensland Water Commission (2006–2013)</li> </ul> <p><i>Note: From 1992 to 2006 water commission related activities were performed by the Department of Primary Industries. The Queensland Water Resources Commission was abolished in 1992 and responsibility for water resources given to the Department of Primary Industries, in the form of the Water Resources Division.</i></p> <p>Permanent records include:</p> <ul style="list-style-type: none"> <li>• those relating to the establishment and decommissioning of each commission</li> <li>• official executive orders</li> <li>• strategic management, high level planning and reporting</li> <li>• water regulation, management and dam safety core business files.</li> </ul> <p><b>Business requirements:</b> These permanent records will provide a historical insight into the water sector in Queensland and how the management of water changed over a period of almost 100 years. Among these records, which will have a high historical value, could be records relating to significant commission appointments, along with records for key water projects, some of which had implications for Queensland beyond the sector.<sup>1</sup></p> <p><b>Permanent retention criteria (where applicable):</b> <b>Meets the following characteristics of QSA's Appraisal Statement:</b></p> <ul style="list-style-type: none"> <li>• 1 – Authority, Foundation and Structure of Government</li> <li>• 2 – Primary Functions and Programs of Government</li> <li>• 4 – Significant Impact on Individuals</li> </ul>

Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> <li>• 5 – Substantial Contribution to Community Memory</li> <li>• 6 – Environmental Management and Change</li> </ul> <p><b>Comparison with other schedules' retention period:</b></p> <p>These are an example of some possible disposal classes which may apply to these records.</p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference number 1211</i> Restructures significant. Records relating to reviews and restructures affecting major functional sections of a public authority or the public authority as a whole. Retain permanently.</p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference number 1212</i> Records relating to the establishment and development of a new public authority structure. Retain for 10 years after last action.*</p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference number 1029</i> Strategic plans – final. Final version of public authority-wide strategic or corporate plans.</p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference number 1042</i> Major reports prepared by the public authority about core business activities. Retain permanently.</p> <p><i>Department of Environment and Resource Management Retention and Disposal Schedule QDAN653 v.1:</i></p> <ul style="list-style-type: none"> <li>• <i>reference number 2.11.1</i> Dam safety procedures. Master set of procedures required for dam safety regulation under the <i>Water Supply (Safety and Reliability) Act 2008</i> including guidelines on...dam safety management. Retain permanently by department**</li> <li>• <i>reference number 10.2.1</i> Records relating to advice on water management issues which have significance to the State under the <i>Water Act 2000</i>. Records may include, but are not limited to annual dividend. Retain permanently</li> <li>• <i>reference number 10.6.8</i> Water allocation approvals. Retain permanently.</li> </ul> <p>*In the next version of the GRDS, records relating to establishing a new agency structure are included under the significant restructures class, which has permanent retention.</p> <p>**The functions of Dam Safety, Water Management and Integrated Development Assessment System (IDAS) as it related to water-related developments previously incorporated into <i>Department of Environment and Resource Management Retention and Disposal Schedule QDAN653 v.1</i> have been incorporated into the new water schedule. There is no longer the Retention period &amp; trigger of retain by department; records are either temporary or permanent.</p> <p><sup>1</sup>Chapters 1 and 2 of the publication <i>Watery Sauces: A Peoples History of the Water Resources Commission (Queensland) and its Predecessors 1881–1995</i> by Ian Pullar and Margaret Cook, published by Department of Natural Resources 2001, provides an interesting insight into the early history of the Commissions. Should the</p>

Record class and retention period	Justifying the retention period
<p><b>Temporary legacy records</b> Records relating to the day-to-day administration and operations of Queensland water commissions from 1922 to 2013. Excludes administrative records which will have permanent retention value, for example historically significant personnel files.</p> <p><b>Retention period &amp; trigger</b> Temporary. See relevant classes in this schedule. OR Temporary or Permanent. Sentence using appropriate classes in the GRDS.</p>	<p>legacy records relate to the people, projects or events discussed in this publication, they will be a substantial addition to the collection.</p> <p><b>Background/business process:</b> Legacy records have been identified for the following water commissions:</p> <ul style="list-style-type: none"> <li>• Irrigation and Water Supply Commission; two separate Commissions with the same name (1922–1979)</li> <li>• Queensland Water Resources Commission (1979–1992)</li> <li>• Queensland Water Commission (2006–2013)</li> </ul> <p><i>Note: From 1992 to 2006 water commission related activities were performed by the Department of Primary Industries. The Queensland Water Resources Commission was abolished in 1992 and responsibility for water resources given to the Department of Primary Industries, in the form of the Water Resources Division.</i></p> <p>Temporary records have been created during the day-to-day administration and operation of the commissions and include the areas of human resources, fleet and financial management.</p> <p><b>Business requirements:</b> The types of records will determine which temporary class applies. These records can be sentenced under relevant classes in the <i>General Retention and Disposal Schedule</i>, while some will also be covered by the classes in this schedule.</p> <p>The agency will be advised to contact QSA before disposal of any pre-1950 temporary records, in the event they may be historically significant, for example, an employment file for a person in a significant position.</p> <p><b>Comparison with other schedules' retention period:</b> These are an example of some possible disposal classes which may apply to these records.</p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference number 1233</i> Employee service history. Records relating to the appointment and consolidated employment history of employees. Retain for 80 years from date of birth of 7 years from date of separation, whichever is later.</p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference number 1245</i> Attendance. Records that document the attendance of all employees. Retain for 7 years after last action.</p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference number 1180</i> Non-financial records relating to the acquisition of vehicles by purchase or lease. Retain for 5 years after last action.</p> <p><i>Queensland State Archives General Retention and Disposal Schedule reference number 1178</i> Records relating to vehicle maintenance and services, including registration records (excluding maintenance contracts). Retain while vehicle remains with the public authority.</p>



Record class and retention period	Justifying the retention period
	<i>Queensland State Archives General Retention and Disposal Schedule reference number 1099</i> Accounting records and associated supporting records. Records relating to the payment or receipt of money. Retain for 7 years after the financial year to which the records relate.

## Appendix: Definition of Significant Versus Other

### \* **Significant**

Significance may be determined by a number of factors:

- Department is the lead agency with another government agency or private organisation
- Substantial changes or influences government policy or direction
- Results in a significant government project or program
- Significant contribution to the body of knowledge on a particular subject
- Considerable economic impact (e.g. major government contracts, corporatisation of government assets)
- Notable environmental impact (e.g. drought, salinity, genetically modified crops, heritage buildings/places, world heritage listings, national parks/reserves)
- Extent of profound changes to lives of individuals, families or communities (e.g. Native Title)
- Public reaction or sensitivity
- Serious impact or consequence (e.g. deaths, a large case)
- Precedent setting prosecutions, court cases (e.g. first of its kind).

**If on balance of the factors, the records represent significant issue/s, retain as ‘Significant’.**

**If in doubt, seek advice or keep as default with review until more information becomes available.**

*Exception to Definition: ‘Significant includes’ records or classes that are significant by default.*

### ~ **Other**

Also known as non-state significant, not significant, minor, low value, low risk, routine, etc. Non-significance may be determined by a number of factors:

- Lesser in size, scope or importance
- Represents one individual’s opinion on topic of low value to community
- Not serious i.e. routine, duplicable, low value, short applicability, short term relevance
- Not resulting in changes to government or agency policy, or minor changes only
- Not generating or outlaying significant funds
- Not substantial public interest in the context of the definitions of ‘significant’ above
- Low value to community
- Inconsequential or low risk if records not kept
- Minor operational details
- Routine matters
- Working papers, audio, video or other recordings used as working notes only.

**If on balance of the factors, the records represent non-significant issues, retain as ‘Other’.**

**If in doubt, seek advice or keep as default with review until more information becomes available**