

# Queensland Racing Integrity Commission (QRIC) retention and disposal schedule QDAN 742 v.2

## Authorised on 18 October 2019

An authorisation under s.26 of the *Public Records Act 2002* for the disposal of records relating to the integrity and welfare standards of racing animals and participants as well as preventing and detecting crime and upholding the Rules of Racing. The QRIC Racing Science Centre also tests animals and industry participants for the use of banned substances. These records are created by the Queensland Racing Integrity Commissioner.

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The [Queensland Government \(For Government\) website](#) should always be referred to  
for the current, authorised version.

## Using this schedule

The Queensland Racing Integrity Commission (QRIC) retention and disposal schedule authorises the disposal of records relating to the integrity and welfare standards of racing animals and participants as well as preventing and detecting crime and upholding the Rules of Racing. The QRIC Racing Science Centre also tests animals and industry participants for the use of banned substances. These records are created by the Queensland Racing Integrity Commissioner. It applies to records created in any format, unless otherwise specified in the class description.

The Queensland Racing Integrity Commission (QRIC) retention and disposal schedule can be used in conjunction with the [General retention and disposal schedule \(GRDS\)](#). Record classes in the Common Activities section of the *GRDS* can be applied to any function undertaken by the agency, provided the retention period meets all of the agency's specific regulatory requirements and there are no exclusions listed.

Any references to repealed legislation may be taken as a reference to current legislation if the context permits.

Any previously authorised retention and disposal schedule covering record classes described in this schedule is now superseded and previous versions should be removed from use. It is the agency's responsibility to maintain the current approved schedule within their business practices and systems.

Schedules should be reviewed at least every 5 years.

## When this schedule should not be used

It is an offence under the Criminal Code Act 1899 (s.129) 'for a person, who knowing something is or may be needed in evidence in a judicial proceeding, damages it with intent to stop it being used in evidence'. A duty of care exists for agencies to ensure records that may be needed in evidence in a judicial proceeding, including any legal action or a Commission of Inquiry, are not disposed of. Internal processes should be implemented to meet this obligation, which may include consultation with your legal or Right to Information area or issuing an internal records disposal freeze if it is reasonably expected that a judicial proceeding may occur e.g. retaining property files that may contain information on the use of asbestos in buildings.

Additionally, any group of records covered by a disposal freeze issued by the State Archivist cannot be disposed of while the freeze is in place. Disposal freezes generally relate to a particular topic or event which has gained prominence or provokes controversy. Further information about current disposal freezes and whether they affect the use of this schedule is available from the [Queensland Government \(For Government\) website](#).

Records which are subject to a request for access under the Right to Information Act 2009, the Information Privacy Act 2009 or any other relevant Act must not be destroyed until the action, and any applicable appeal period, has been completed.

## Schedule layout

Each class has been allocated a unique number to aid with the disposal of records. Further implementation information is available on the [Queensland Government \(For Government\) website](#).

## Disposal

No further authorisation is required from the State Archivist for the records disposed of under this schedule. However, disposal must be appropriately documented in accordance with *Information Standard 31: Retention and Disposal of Public Records*. Approval from your CEO or authorised delegate is also required prior to disposal.

Any disposal of public records without authorisation from the State Archivist may be a breach of the *Public Records Act 2002 (s.13)*.

**How we can help?**

More information on implementing schedules is available on the [Queensland Government \(For Government\) website](#). Any enquiries about this schedule or recordkeeping should be directed in the first instance to your Records Manager. If further information is required, please contact Queensland State Archives on (07) 3037 6630 or via the [Queensland Government \(For Government\) website](#).

**Revision history**

<b>QDAN</b>	<b>Date of approval</b>	<b>Extent of revision</b>
QDAN742 version 1	26 October 2017	First release
QDAN742 version 2	18 October 2019	Discrepancy in retention status of class <i>1.2.1 Agreements – significant</i> corrected.

**Approved by State Archivist: Mike Summerell****Date: 18 October 2019**

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# 1. RACING REGULATION (QRIC)

*The function of regulating the racing industry to improve integrity and public confidence that the industry is being operated in an accountable and responsible manner. This is achieved through implementing and monitoring a regulatory and policy framework; assessing and reporting on applications from eligible corporations seeking appointment as control bodies; auditing and reporting on control bodies; researching, analysing and advising on international, national and State developments and trends in racing, wagering and related industries; and protecting the integrity of the racing industry through the provision of drug testing and other scientific services.*

Disposal Authorisation	Description of records	Retention period & trigger
<b>ADVICE</b>	<p><i>The activities associated with preparing and communicating advice providing information and guidance to the public as individual and business clients and industry members about matters within the scope of functional responsibility. Advice is often tailored to particular circumstances and can be upon request or as a proactive response to a perceived or known need for assistance. Includes offering opinions by or to the organisation as to an action or judgement. Include the process of advising.</i></p> <p><i>See the General Retention and Disposal Schedule (GRDS) for advice records relating to financial management matters, legislation formulated by other public authorities, general administrative matters and Crown law and legal advice.</i></p>	
1.1.1	<p><b><i>Racing Related Advice</i></b></p> <p>Records relating to the provision of racing related advice where the advice is not related to a specific enforcement or monitoring action or case file. Includes, but is not limited to, advice on:</p> <ul style="list-style-type: none"> <li>• legislative compliance</li> <li>• animal welfare</li> <li>• exotic disease control</li> <li>• prohibited substances</li> <li>• scientific processes</li> </ul> <p>Excludes legal advice. See GRDS.</p> <p>Excludes inter-agency collaboration advice and intelligence/data sharing/communications. See 1.23.3.</p> <p>Excludes advice relating to racing control bodies and rules of racing. See 1.1.2.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• advice correspondence</li> <li>• research notes, advice notices, fact sheets.</li> </ul>	Retain for 7 years after action completed.

Disposal Authorisation	Description of records	Retention period & trigger
1.1.2	<p><b>Control Body Related Advice</b></p> <p>Records relating to the provision of advice relating to racing control bodies where it relates to the approval and variation of approvals for racing code control bodies and sought by racing industry bodies (e.g. Racing Queensland).</p> <p>Includes advice related to:</p> <ul style="list-style-type: none"> <li>• policies, procedures and rules of control bodies (for regulation of their code of racing)</li> <li>• ministerial approvals and variations of control bodies</li> <li>• plans, implementation plans, marketing plans, constitutions and reports <i>e.g. annual reports</i></li> <li>• ongoing compliance of racing control bodies and other accredited corporations and individuals</li> <li>• corporations and individuals associated with control bodies</li> <li>• other racing related entities (other than racing control bodies)</li> </ul> <p>Includes advice about rules of racing.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• <i>policies and rules of control bodies</i></li> <li>• <i>plans of control bodies.</i></li> </ul>	Retain for 7 years after action completed.
<p><b>AGREEMENTS</b></p> <p><i>The activities associated with establishing, maintaining, reviewing and negotiating agreements. Includes agreements as foundational and facilitative documents for collaborative arrangements, partnerships, outputs, products and services. Includes memoranda of understanding, informal agreements, signed documents and legal contracts.</i></p> <p><i>See the General Retention and Disposal Schedule (GRDS) for records relating to the negotiation, establishment, maintenance and review of agreements relating to financial management and agreements about the performance of public authority functions between the public authority and other government entities.</i></p>		
1.2.1	<p><b>Agreements – Significant *</b></p> <p>Records relating to significant racing related agreements between the agency and other parties/entities, or which are overseen, authorised or facilitated by the agency.</p> <p>Also includes selected agreements not proceeded with where agreement and negotiation processes have significance.</p> <p>Agreements include, but are not limited to agreements with/about:</p>	Permanent. Transfer to QSA after business action completed

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• racing code service provision</li> <li>• veterinary service provision <i>e.g. relating to animal welfare</i></li> </ul> <p>Significant includes agreements with control bodies. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• contracts</li> <li>• variations</li> <li>• memorandum of understanding.</li> </ul>	
1.2.2	<p><b><i>Agreements – Other ~</i></b></p> <p>Records relating to other racing related agreements between the agency and other entities that proceed, or which are overseen, authorised or facilitated by the agency, not covered by reference number 1.2.1.</p> <p>Other includes contracts (sealed and unsealed) that are not significant.</p> <p>Other includes agreements for scientific, professional and integrity service delivery to racing industry control bodies, including scientific testing, identification and analysis services.</p> <p>Excludes agreements that do not proceed. See 1.2.3.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• unsealed contracts</li> <li>• variations</li> <li>• memorandum of understanding.</li> </ul>	12 years after the expiry or termination of the agreement or contract.
1.2.3	<p><b><i>Agreements Not Proceeded With</i></b></p> <p>Records relating to racing related agreements between the agency and other entities, or which are overseen, authorised or facilitated by the agency, that do not proceed.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• draft contracts and memorandums of understanding</li> <li>• draft negotiation papers</li> <li>• withdrawn offers</li> <li>• proposals.</li> </ul>	Retain 7 years after decision to not proceed.

Disposal Authorisation	Description of records	Retention period & trigger
<b>ANIMAL WELFARE</b>		
<p><i>The activity of taking direct action relating to racing animals in order to monitor, intervene, assist and treat individual animals, ensure racing animal wellbeing, enable humane racing experiences, and appreciate and improve individual racing animal lives. Includes promoting and/or protecting animal welfare through the provision of animal related services e.g. greyhound adoption services, veterinary services, that intervene directly in the lives of individual racing animals, both on the track through their racing career, and post-racing, off the track (e.g. injured, retired) or animals breed for, but not required for racing (e.g. surplus, non-starters). Includes lifecycle tracking of individual animals to monitor their ongoing welfare. Includes monitoring and approving kennels, stables and other housing as suitable operations to care for animals. See other activities under RACING REGULATION - QRIC for other business activities designed to improve the welfare of racing animals generally e.g. POLICIES AND STANDARDS, rather than specific actions taken and services provided to assist individual animals.</i></p>		
1.3.1	<p><b>Racing Animal Welfare</b></p> <p>Records relating to taking direct action with racing animals in order to monitor, intervene, assist and treat individual animals, ensure racing animal wellbeing, enable humane racing experiences, and appreciate and improve individual racing animal lives. Includes:</p> <ul style="list-style-type: none"> <li>• promoting and/or protecting animal welfare</li> <li>• providing animal related services e.g. <i>greyhound adoption services, veterinary services</i></li> <li>• direct interventions in individual racing animal lives</li> <li>• approving and monitoring kennels, stables and other housing as suitable operations to care for animals</li> <li>• scheduling of individual veterinarians and veterinary services for particular race related activities.</li> <li>• medical assistance, consultations and procedures to animals on and off track, on race days, meets, training and as necessary</li> <li>• enabling biological activities e.g. <i>drug detection, disease identification</i></li> <li>• enacting quarantine procedures and precautions e.g. <i>assisting government biosecurity personnel</i></li> </ul> <p>Covers:</p> <ul style="list-style-type: none"> <li>• racing animals including greyhounds and all types of equine racing animals.</li> <li>• racing animals on the track through their racing career, and post-racing, off the track (e.g. <i>injured, retired</i>) or animals breed for, but not required for racing (e.g. <i>surplus, non-starters</i>)</li> </ul> <p>Excludes agreements to provide animal welfare or veterinary services. See 1.2.</p> <p>Excludes the actual testing, analysis and reporting enabled by veterinarians. See 1.25.</p> <p>Excludes approving animal breeding programs. See 1.3.2</p>	Retain 7 years after action completed.



Disposal Authorisation	Description of records	Retention period & trigger
	<p><i>Excludes monitoring animal welfare and breeding facilities and programs. See 1.3.3.</i></p> <p>Excludes lifecycle tracking of individual animals to monitor their ongoing welfare. <i>See 1.21.4</i></p> <p>Excludes registration of racing animal processes for racing purposes (other than related to animal welfare). <i>See 1.21.1.</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• service contracts and service level agreements</li> <li>• animal medical records</li> <li>• approvals.</li> </ul>	
1.3.2	<p><b><i>Breeding Programs – Approving</i></b></p> <p>Records relating to approving animal breeding programs to ensure racing animal wellbeing and humane experiences whilst being bred for use in racing.</p> <p>Excludes lifecycle tracking of individual animals to monitor their ongoing welfare. <i>See 1.21.3.</i></p> <p>Excludes monitoring animal welfare and breeding facilities and programs. <i>See 1.3.3.</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• applications and approvals</li> <li>• renewals, transfers, suspensions, cancellations</li> <li>• facility plans and procedures.</li> </ul>	Retain 20 years after program ceases.
1.3.3	<p><b><i>Monitoring Animal Welfare and Breeding Programs</i></b></p> <p>Records relating to monitoring animal breeding programs to ensure racing animal wellbeing and humane experiences whilst being bred for use in racing.</p> <p>Excludes lifecycle tracking of individual animals to monitor their ongoing welfare. <i>See 1.21.4.</i></p> <p>Excludes monitoring of other racing related licence holders and entities. <i>See 1.17.1.</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• renewals</li> <li>• facility plans and procedures.</li> </ul>	Retain 7 years after action completed.

Disposal Authorisation	Description of records	Retention period & trigger
<p><b>APPEALS</b></p> <p><i>The activities associated with processing appeals against decisions by application to a higher authority. Includes appeals of Departmental decisions on regulatory matters such as licensing rejections.</i></p> <p><i>See the General Retention and Disposal Schedule (GRDS) for records relating to processing appeals prior to and including lodgement and resolution by an external tribunals or boards, including the Queensland Civil and Administrative Tribunal, Racing Appeals Tribunal and Racing Appeals Authority.</i></p>		
1.4.1	<p><b><i>Courts and Tribunal Appeals – Significant *</i></b></p> <p>Records relating to preparing cases and contributing to racing related appeal cases submitted to courts and tribunals, including cases assessed/reviewed, where the case is significant, including:</p> <ul style="list-style-type: none"> <li>• appeals to the District Court and the Supreme Court on matters of law.</li> <li>• appeals based on interpretation of governing legislation, and procedure or policy challenges and precedents to courts and tribunals</li> <li>• appeals lodged against decisions of the Queensland Civil and Administrative Tribunal (about racing matters)</li> </ul> <p>Significant includes appeals against previous Racing Appeals Tribunal (and similar named bodies) decisions.</p> <p>Excludes appeals against decisions of stewards. See 1.24.2.</p>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>
1.4.2	<p><b><i>Courts and Tribunal Appeals – Other ~</i></b></p> <p>Records relating to preparing cases and contributing to racing related appeal cases submitted to courts and tribunals, including cases assessed/reviewed, where the case is not significant, including:</p> <ul style="list-style-type: none"> <li>• appeals to the District Court and the Supreme Court on matters of law.</li> <li>• appeals based on interpretation of governing legislation, and procedure or policy challenges and precedents to courts and tribunals</li> <li>• appeals lodged against decisions of the Queensland Civil and Administrative Tribunal (about racing matters).</li> </ul> <p>Excludes appeals against previous Racing Appeals Tribunal (and similar named bodies) decisions. See 1.4.1. <i>Significant Courts and Tribunal Appeals</i></p> <p>Excludes appeals against decisions of stewards. See 1.24.2 <i>Stewards Inquiries</i>.</p>	<p>Retain 7 years after case/appeal is closed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
<p><b>APPOINTMENTS</b></p> <p><i>The activities associated with nominating and appointing candidates to representative, authorised and legislated positions within the organisation and to statutory authorities, councils, boards of management, committees etc. Includes recruiting, nominating, selecting and electing appointees. Includes determining terms, conditions, powers, limitations and remuneration of appointments.</i></p> <p><i>See the General Retention and Disposal Schedule (GRDS) for the appointment of Chief Executive Officers (CEO) and Senior Executive Officers directly appointed under the Public Service Act 2008 and delegations appointing departmental officers as CEO representatives in meetings of the Board and similar bodies.</i></p>		
1.5.1	<p><b>Authorised and Accredited Officers</b></p> <p>Records relating to the appointment of officers and inspectors authorised or accredited to undertake racing related activities including, but not limited to:</p> <ul style="list-style-type: none"> <li>• audits</li> <li>• inspections</li> <li>• investigations</li> <li>• monitoring and enforcement of breaches of legislation</li> <li>• stewarding.</li> </ul> <p>Includes appointments made under Racing Integrity Act e.g. appointment of stewards.</p> <p>Excludes appointments made under Public Service Act. <i>See GRDS.</i></p> <p>Excludes appointments that are in essence licensing approvals. <i>See 1.16 Licensing.</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• appointment notices and instruments including temporary appointments</li> <li>• qualifications and experience statements</li> <li>• records of termination, variations or resignation</li> <li>• investigations and background checks</li> <li>• conditions.</li> </ul>	Retain for 7 years after appointment ceased.

Disposal Authorisation	Description of records	Retention period & trigger
<p><b>AUDIT</b></p> <p><i>The activities associated with checking quality assurance and operational records in an official, systematic way to ensure they have been kept and maintained in accordance with agreed or legislation and standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits, quality assurance audits as well as recommendations for changes in policy and/or procedures as a result of an audit.</i></p>		
1.6.1	<p><b>Significant * Recommendations and Findings</b></p> <p>Records relating to conducting audits of racing organisations and professions, including quality assurance audits to monitor compliance to racing related legislation, where significant recommendations and findings were made resulting in significant changes to processes, policies and procedures.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• racing licences e.g. racing animals, riders, drivers, colours, etc.</li> <li>• racing professions, including bookmakers and their business and executive associates</li> <li>• racing control bodies and their controls and systems to license, accredit or authorise</li> </ul> <p>Excludes audits of agency compliance to other legislative/regulatory regimes. See 1.9.2.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>• audit reports and papers</li> <li>• recommendations and findings.</li> </ul>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>
1.6.2	<p><b>Other ~ Observation and Actions</b></p> <p>Records relating to conducting audits of racing organisations and professions including quality assurance audits to monitor compliance to racing related legislation, where other observations and action recommendations were made resulting in insignificant changes.</p> <p>Includes auditing:</p> <ul style="list-style-type: none"> <li>• racing licences e.g. racing animals, riders, drivers, colours, etc.</li> <li>• racing professions, including bookmakers and their business and executive associates</li> <li>• racing control bodies and their controls and systems to license, accredit or authorise</li> </ul> <p>Other includes internal audits of veterinary and analytical services, including laboratory internal audits and related documentation.</p> <p>Excludes audits of agency compliance to other legislative/regulatory regimes. See 1.9.2.</p> <p>Records include but are not limited to:</p>	<p>Retain for 7 years after action completed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• audit reports and papers</li> <li>• recommendations and findings.</li> </ul>	
<p><b>CLAIMS</b></p> <p><i>The activities associated with administering and managing payments sought as compensation for injury, death or denial of rights of a person, damage to or destruction of property, resumption of land or property, or for any actions of Government employees where those actions result in a compensable claim. Includes disputes over rights and ownership, and recompense sought for stolen or lost property. Includes claims for damages from exercise of inspectorate powers. Includes recovery of compliance costs incurred by the Department.</i></p>		
1.7.1	<p><b>Compensation Claims</b></p> <p>Records relating to claims for compensation for costs, damage or loss incurred under racing related legislation and exercise of State powers including, but not limited to:</p> <ul style="list-style-type: none"> <li>• racing animal welfare</li> </ul> <p><i>See Agriculture Retention Disposal Schedule QDAN 719 for compensation claims relating to animal management, quarantines, inspection and testing for pests and diseases.</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• assessments</li> <li>• compensation claim</li> <li>• applications/requests</li> <li>• notifications</li> <li>• claim approvals, advice payments</li> <li>• Gazette notices.</li> </ul>	Retain for 7 years after claim determined.
1.7.2	<p><b>Recovery of Monies Incurred by State</b></p> <p>Records relating to recovering monies from authorities and license holders for fees, costs, losses, interest and expenses incurred by the State under relevant legislation. Includes recovering costs of dealing with:</p> <ul style="list-style-type: none"> <li>• incidents and situations involving racing entities</li> <li>• offences and non-compliance with directions</li> <li>• penalties imposed by State</li> <li>• material contraventions of industry codes, including attempts/involvements</li> <li>• remedial works done on behalf of other entities</li> </ul>	Retain for 7 years after claim resolved/written off.

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• court orders and court awarded costs made in favour of State</li> </ul> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>• recovery claim notifications</li> <li>• claim investigations</li> <li>• court orders.</li> </ul>	
<p><b>COMPLAINTS</b>  <i>The activities associated with handling complaints and working towards informal and voluntary resolution and conciliation of complaints.</i></p>		
<p>1.8.1</p>	<p><b>Complaints Resolution</b>                      Records relating to handling, mediating and conciliating racing related complaints including, but not limited to:</p> <ul style="list-style-type: none"> <li>• conduct of racing officials</li> <li>• racing control bodies</li> <li>• animal welfare</li> <li>• other racing matters</li> </ul> <p>Includes investigation of complaints about racing control body policies, procedures, rules of racing, and audit programs.</p> <p>Excludes handling and investigating complaints about staff employed under <i>Public Service Act</i>. See <i>GRDS</i>.</p> <p>Excludes significant complaints associated with or contained on significant audit, investigation and prosecution files.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• complaints</li> <li>• complaint investigations</li> <li>• complaint resolution reports</li> <li>• complaint referrals to a court or tribunal.</li> </ul>	<p>Retain for 7 years after action completed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
<p><b>CONTROL</b></p> <p><i>The activities associated with the creation, maintenance and evaluation of control mechanisms of business processes, and administering compliance to superordinate requirements and legislation, including obtaining licences and authorisations to conduct or oversee work critical to Departmental functions e.g. racing business entitlements and allocations required to operate in racing functions, laboratory accreditation required for research and testing work in racing functions. May specifically refer to the processes associated with the management of individual programs e.g. control programs in managing pests and diseases in racing bloodstock. Includes control registers, indexes, directories and other control mechanisms. See <u>Registration</u> for specific functional registers.</i></p>		
1.9.1	<p><b>Compliance Requirements</b></p> <p>Records relating to maintaining agency compliance with legislative requirements and regulatory standards relating to the provision of racing services and functions <i>e.g. compliance requirements for Racing Science Centre (and subsequent named bodies)</i>. Includes but not limited to:</p> <ul style="list-style-type: none"> <li>• racing science equipment calibrations, checks and tests</li> <li>• racing science laboratory accreditations</li> <li>• racing science testing and analytical services</li> <li>• requisite business related licences and authorisations.</li> </ul> <p>Includes:</p> <ul style="list-style-type: none"> <li>• accreditation by NATA as an international quality accredited testing facility.</li> <li>• registration as a user of animals for scientific purposes.</li> <li>• authorisation to import drugs for testing and research <i>e.g. Schedule 8 and 9 drugs</i>.</li> </ul> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>• certifications, licences, applications</li> <li>• approvals, decision notices</li> <li>• systems appraisals.</li> </ul>	Retain for 7 years from authorisation, license, accreditation, assurance, instrument or recalibration expired/ceased.
1.9.2	<p><b>Compliance Audits, Reports and Registers</b></p> <p>Records relating to participating in auditing regimes of other agencies including national, state and local government compliance regimes, including National Association of Testing Authorities (NATA).</p> <p>Includes racing science related:</p> <ul style="list-style-type: none"> <li>• accreditation audits of procedures, systems and records, <i>e.g. audits of the receipt and analysis of veterinary samples, quarantine audits</i></li> </ul>	Retain for 7 years after last action.

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• periodic reports submitted to other agencies as part of compliance conditions, <i>e.g. annual reports of compliance related activities</i></li> <li>• equipment calibration, <i>e.g. laboratory instrument calibration checks and tests, reports and certificates.</i></li> <li>• consumables registers, <i>e.g. sample analysis consumables register</i></li> </ul> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>• laboratory assessment sheets</li> <li>• assessment reports</li> <li>• registers.</li> </ul>	
<p><b>DISCIPLINARY ACTION</b></p> <p><i>The activities associated with investigating complaints relating to conduct of license holders, and initiating show cause or disciplinary proceedings for licensee to explain why license should not be suspended or cancelled. Includes action taken against the licensee after decision has been made, including suspension or cancellation of licences and confiscation of physical license identifications.</i></p>		
1.10.1	<p><b><i>Racing Animals, Participants, Owners, Trainers</i></b></p> <p>Records relating to issuing show cause notices to racing related licensees for offences under relevant legislation with potential for disciplinary action, and assessing submissions and cases made for disciplinary action, including decisions and the issuing of penalties.</p> <p>Includes disciplinary action:</p> <ul style="list-style-type: none"> <li>• from complaints or non-conformance with legislation, etc..</li> <li>• against owners or trainers of licensed animals and participants.</li> </ul> <p>Excludes significant disciplinary actions associated with significant audit, investigation and prosecution files, either where the disciplinary action forms an investigative basis for a significant case, or where the disciplinary action is an enforcement/compliance outcome from a significant case.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>• show cause notices</li> <li>• submissions</li> <li>• decision notices.</li> </ul>	Retain for 7 years after claim determined.



Disposal Authorisation	Description of records	Retention period & trigger
<p><b>DISPOSAL</b></p> <p><i>The activities associated with process of disposing of property or commodities no longer required by the organisation, by sale, transfer, termination of lease, auction, donation or destruction. Also includes arrangements for disposal of waste, as well as hazardous and radioactive material, in a safe and approved manner.</i></p>		
1.11.1	<p><b><i>Property, Products and Waster</i></b></p> <p>Records relating to disposing of racing related property, products and waste seized under, enforcement, inspection, and investigation activities under relevant legislation, including animal welfare and veterinary services. Includes dealing with and disposing by selling, destroying and other means:</p> <ul style="list-style-type: none"> <li>• plant and property</li> <li>• animals</li> <li>• seized and forfeited evidence.</li> </ul> <p>Excludes chemicals, drugs and other hazardous substances. See <i>GRDS</i>.</p> <p>Excludes hazardous waste, including asbestos and radioactive material. See <i>GRDS</i></p> <p>Excludes disposal authorisations of racing related assets.</p> <p>Records include but are not limited to:-</p> <ul style="list-style-type: none"> <li>• disposal authorisations</li> <li>• destruction orders</li> <li>• evidence seizure receipts.</li> </ul>	Retain for 7 years after action completed.
<p><b>ENFORCEMENT</b></p> <p><i>The activities associated with identifying regulatory compliance issues within area and scope of enforcement parameters, and issuing enforcement notices, including infringement notices, directives, orders, fines, penalties &amp; exemptions.</i></p> <p><i>See Inspections for making official examinations to check compliance and identify standard offences or breaches of legislation. See Investigations for making authorised, often responsive assessments of accidents, incidents or allegations relating to infringements, breaches or offences. See Monitoring and Surveillance for planning and undertaking compliance programs to monitoring the behaviour of licensees, entities and community members in general to identify enforcement actions required.</i></p>		
1.12.1	<p><b><i>Regulatory Enforcement</i></b></p> <p>Records relating to issuing directives, orders, fines, penalties or exemptions for racing related matters and offences under relevant legislation and State regulatory compliance programs including, but not limited to:</p>	Retain for 7 years after action completed.

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• veterinarian care of animals</li> <li>• prohibited things, including drugs and other banned substances</li> <li>• interfering with licensed animals, persons or things</li> </ul> <p>Records include but are not limited to:-</p> <ul style="list-style-type: none"> <li>• check point and road closure information</li> <li>• enforcement action orders, assessments and reports</li> <li>• maps and photographs.</li> </ul>	
<p><b>INCIDENT AND EMERGENCY RESPONSE</b>  <i>The activities associated with responding to incidents and emergencies, including disease outbreaks.</i></p>		
<p>1.13.1</p>	<p><b>Significant *</b>            Records relating to managing significant incidents, emergencies and natural disasters that impact on the racing industry and related racing activities including, but not limited to:</p> <ul style="list-style-type: none"> <li>• animal welfare, illness and disease</li> <li>• racing competition and betting scandals.</li> </ul> <p>Significant includes incidents involving the transmission or suspected transmission of animal illnesses/diseases to humans.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• incident notifications</li> <li>• duration and post-incident reports</li> <li>• community advice notices, advertisements and publications.</li> </ul> <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	<p>Permanent.            Transfer to QSA after business action completed.</p>
<p>1.13.2</p>	<p><b>Other ~</b>            Records relating to managing other incidents, emergencies and natural disasters not covered by reference number 1.13.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• incident notifications</li> <li>• duration and post-incident reports</li> </ul>	<p>Retain for 7 years after action completed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>community advice notices, advertisements and publications.</li> </ul> <p>~ Refer to Appendix: Definition of Significant Versus Other.</p>	
<p><b>INSPECTIONS</b></p> <p><i>The activities associated with the making official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives relating to functions or legislative requirements. Often involves pre-set criteria, factors or checklists against which the inspection is made, and identifies standard offences or breaches of legislation which can be handled mostly via enforcement notices.</i></p> <p><i>See Investigations for incident-responsive assessments of offences or breaches of legislation requiring intensive investigation or not explored fully by inspections, and which often require escalation to prosecution for outcomes.</i></p>		
1.14.1	<p><b>Significant *</b></p> <p>Records relating to conducting significant racing related inspections for compliance with legislation including, but not limited to:</p> <ul style="list-style-type: none"> <li>racing entities, businesses and practices</li> <li>testing and treating of horses and other racing animals.</li> <li>racing related licensees</li> </ul> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>inspection notices</li> <li>inspection assessments and reports</li> <li>inspection notes.</li> </ul> <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	Retain for 25 years after action completed.
1.14.2	<p><b>Other ~</b></p> <p>Records relating to conducting other racing related inspections not covered by reference number 1.14.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>inspection notices/requests</li> <li>inspection assessments and reports</li> <li>inspection notes.</li> </ul> <p>~ Refer to Appendix: Definition of Significant Versus Other</p>	Retain for 7 years after action completed.

Disposal Authorisation	Description of records	Retention period & trigger
<p><b>INVESTIGATIONS</b></p> <p><i>The activities associated with making authorised assessments of accidents, incidents or allegations related to infringements of any legislation, standard, code, business or workplace policy, which may, or may not, lead to further formal action. Includes reports prepared by persons undertaking investigations.</i></p> <p><i>See Inspections for making official examinations often with pre-set criteria, factors or checklists to identify standard offences or breaches of legislation which can be handled mostly via enforcement notices.</i></p>		
1.15.1	<p><b>Significant *</b></p> <p>Records relating to significant racing related investigations involving offences under relevant legislation including, but not limited to:</p> <ul style="list-style-type: none"> <li>• racing betting</li> <li>• racing control boards, bodies and associates</li> <li>• conflicts of interest relating to racing and sports betting</li> <li>• animal welfare</li> <li>• breeding of animals</li> <li>• racing of licensed animals</li> </ul> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• investigation reports</li> <li>• interview transcripts</li> <li>• warrants.</li> </ul> <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>
1.15.2	<p><b>Other ~</b></p> <p>Records relating to investigating other racing related offences under relevant legislation not covered by reference number 1.15.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• investigation reports</li> <li>• interview transcripts</li> <li>• warrants.</li> </ul> <p><i>~ Refer to Appendix: Definition of Significant Versus Other</i></p>	<p>Retain for 7 years after action completed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
<p><b>LICENSING</b></p> <p><i>The activities associated with granting or denying licensing instruments giving authority to undertake particular actions or occupations in line with the authority of the licensing instrument, and bestow special rights of ownership, financial responsibility and/or environmental accountability and other terms and conditions with the license. Includes permits to own or use something or carry out particular actions. Includes but is not limited to licences, permits, leases, certifications, exemptions, clearances, claims, charges, benefits, interests, etc.</i></p> <p><i>See Section 2 Legacy Records for legacy licensing records created under previous functional demarcations.</i></p>		
1.16.1	<p><b>Granted Licences and Permits – Significant *</b></p> <p>Records relating to approving and issuing racing related licences and permits including, but not limited to:</p> <ul style="list-style-type: none"> <li>• racing participants</li> <li>• wagering operators and bookmakers</li> </ul> <p>Includes the submission, renewal, transfer, release, change, surrender, cancellation, termination and surrendering of licences and permits.</p> <p>Includes plans and reports provided by licensees as condition of licences.</p> <p>Excludes licensing of racing animal colours, syndicates and partnerships. <i>See 1.21.3</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• applications (successful)</li> <li>• assessments</li> <li>• information notices.</li> </ul>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>
1.16.2	<p><b>Granted Licences and Permits – Other ~</b></p> <p>Records relating to approving and issuing other racing related licences and permits including, but not limited to:</p> <ul style="list-style-type: none"> <li>• racing participants</li> <li>• wagering operators and bookmakers</li> </ul> <p>Excludes licensing of racing animal colours, syndicates and partnerships. <i>See</i></p> <p>Includes the submission, renewal, transfer, release, change, surrender, cancellation, termination and surrendering of licences and permits.</p> <p>Includes plans and reports provided by licensees as condition of licences.</p> <p>Records may include, but are not limited to:</p>	<p>Retain 25 years after license/permit expires or ceases.</p>

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• applications (successful)</li> <li>• assessments</li> <li>• information notices</li> <li>• renewals.</li> </ul>	
1.16.3	<p><b><i>Granted Licences and Permits – Racing Animal Colours, Syndicates and Partnerships</i></b></p> <p>Records relating to approving and issuing racing animal related licences and permits including, but not limited to:</p> <ul style="list-style-type: none"> <li>• racing animal colours</li> <li>• racing animal syndicates and partnerships</li> </ul> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• applications (successful)</li> <li>• assessments</li> <li>• information notices</li> <li>• renewals.</li> </ul>	Retain 7 years after license/permit expires or ceases.
1.16.4	<p><b><i>Unsuccessful, Refused and Withdrawn Applications</i></b></p> <p>Records relating to unsuccessful, refused and withdrawn applications for racing related licences and permits.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• applications (unsuccessful, refused and withdrawn)</li> <li>• assessments and information notices.</li> </ul>	Retain for 7 years after licence/permit refused/withdrawn.

Disposal Authorisation	Description of records	Retention period & trigger
<p><b>MONITORING AND SURVEILLANCE</b></p> <p><i>The activities associated with planning compliance programs and conducting regular surveillance of resources, environments, systems, markets and communities and observing activities covered by legal, regulatory or quality standards which the relevant agency administers. Includes safeguarding resources ensuring they are used responsibly. Includes maintaining checks and on-the-spot inspections and combined with other enforcement activities, to ensure transparent overview of community compliance status. Includes monitoring particular persons, entities or parties to reduce or eliminate their impact and identify offences against the legislation.</i></p> <p><i>See also Licensing for any action taken on licences/permits as a result of non-compliance found during monitoring activities.</i></p> <p><i>See also Incident and Emergency Responses for specific incidents and emergencies found whilst undertaking generic monitoring compliance activities.</i></p> <p><i>See also Enforcement for the issues of enforcement actions such as directives, orders, fines, penalties or exemptions, within the powers of authorised officers that do not require more detailed activities such as inspections and investigations.</i></p>		
1.17.1	<p><b><i>Monitoring Licence Holders and Areas</i></b></p> <p>Records relating to monitoring and administering compliance of licensees with racing related legislation and licence conditions. Includes monitoring industry actions and conducting targeted or general surveillance of industry participants.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• racing control bodies and their controls and systems</li> <li>• racing animals, riders and drivers</li> <li>• racing animal syndicates and partnerships (groups)</li> <li>• racing participants</li> <li>• bookmakers</li> <li>• racing animal colours</li> </ul> <p>Includes:</p> <ul style="list-style-type: none"> <li>• planning, scheduling, rostering, designing and identifying compliance enforcement monitoring activities, surveillance e.g. cameras, data recorders, and checks e.g. broad sweeps of an area, targeting and visiting targeted specific types rights holders obtaining or creating data about participants</li> <li>• developing plans of proposed compliance activities relevant to monitoring the industry/sector and ensure legislative and regulatory compliance.</li> <li>• conducting random on-the-spot checks (initiated during monitoring and surveillance activities), including smaller “inspections” and “investigations” where no notable non-compliance evidence</li> </ul>	Retain for 7 years after action completed.

Disposal Authorisation	Description of records	Retention period & trigger
	<p>was found in inspection and investigation processes. <i>See 1.14 Inspections and 1.15 Investigations for non-compliance related activities.</i></p> <p>Excludes animal welfare related monitoring, including monitoring kennels, stables and other housing as suitable operations to care for animals, and monitoring animal breeding facilities and programs. <i>See 1.3.</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• compliance monitoring programs and schedules</li> <li>• enforcement data and analysis</li> <li>• area maps and photographs.</li> </ul>	
	<p><b><i>For monitoring animal welfare and breeding facilities and programs, see 1.3.3.</i></b></p>	
<p><b>PARTNERSHIPS</b></p> <p><i>The activities associated with managing joint collaborations for agreed outcomes in areas of joint interest or responsibility, where there are agreed responsibilities, agreements, joint contribution of funds and/or time Includes operations between departments, either within the organisation or with other organisations, or with the government. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations.</i></p>		
<p>1.18.1</p>	<p><b>Significant *</b></p> <p>Records relating to managing significant joint operations 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 racing regulation and industry outcomes and to improve compliance and integrity of racing industry.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• partnership agreements</li> <li>• performance reports</li> <li>• funding proposals.</li> </ul> <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>
<p>1.18.2</p>	<p><b>Other ~</b></p> <p>Records relating to managing other joint operations with other organisations (private sector and government) not covered by reference number 1.18.1.</p> <p>Records may include, but are not limited to:</p>	<p>Retain for 7 years after partnership expires.</p>



Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• partnership agreements</li> <li>• performance reports</li> <li>• funding proposals.</li> </ul> <p><i>~ Refer to Appendix: Definition of Significant Versus Other</i></p>	
<p><b>PLANNING</b></p> <p><i>The activities associated with making decisions about future directions, actions and goals to be achieved, and organising activities to reach desired goals. Involves the creation and maintenance of planning documents i.e. plans. Includes formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.</i></p>		
1.19.1	<p><b>Significant *</b></p> <p>Records relating to planning significant racing regulation and industry development initiatives, programs, strategies, priorities and activities for improved community outcomes. Includes preparing management plans and consultation processes with community and key stakeholders. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• racing industry reviews and forward planning</li> <li>• racing industry reporting e.g. <i>quarterly, annual reporting</i> used for planning</li> </ul> <p>Excludes plans provided as conditions of license or authorisation processes and kept on license or authorisation case file e.g. <i>strategic, business and operational plans (without infrastructure or development plans)</i>. See 1.16.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• plans and strategies</li> <li>• planning reports</li> <li>• implementation programs and schedules.</li> </ul> <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>
1.19.2	<p><b>Other ~</b></p> <p>Records relating to planning racing regulation and industry development initiatives, programs, strategies, priorities, activities for improved community outcomes that are not covered by reference number 1.19.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• plans and strategies</li> <li>• planning reports</li> </ul>	<p>Retain for 7 years after action completed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• implementation programs and schedules.</li> </ul> <p>~ Refer to Appendix: Definition of Significant Versus Other</p>	
<p><b>PROSECUTION</b></p> <p><i>The activities associated with pursuing a legal course of action against a person/s alleged to have committed a crime or broken a law. Includes acting on recommendations of authorised investigating officers, prosecuting defendants by legal counsel for the Department, in front of relevant Court with jurisdiction over such matters. Includes overseeing appeals of prosecutions. Includes case appeals of prosecuted matters.</i></p>		
<p>1.20.1</p>	<p><b>Significant *</b></p> <p>Records relating to prosecuting significant offences under relevant racing related legislation including appeals.</p> <p>Significant includes precedent setting cases/appeals.</p> <p>Includes activities to support and refer cases to State prosecution agencies including Crown Law, Public Prosecutions, and the Royal Society for the Prevention of Cruelty to Animals (RSPCA).</p> <p>Records include but are not limited to:-</p> <ul style="list-style-type: none"> <li>• case papers and legal notes</li> <li>• evidence exhibits</li> <li>• court transcripts.</li> </ul> <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>
<p>1.20.2</p>	<p><b>Other ~</b></p> <p>Records relating to prosecuting other offences under relevant land related legislation, including appeals, not covered by reference number 1.20.1.</p> <p>Includes activities to support and refer cases to State prosecution agencies including Crown Law, Public Prosecutions, and the Royal Society for the Prevention of Cruelty to Animals (RSPCA).</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>• case papers and legal notes</li> <li>• evidence exhibits</li> <li>• court transcripts.</li> </ul> <p>~ Refer to Appendix: Definition of Significant Versus Other</p>	<p>Retain for 7 years after action completed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
<p><b>REGISTRATION</b></p> <p><i>The activities associated with receiving, processing, granting and refusing applications for registration of objects, people, businesses, entities or legal instruments in electronic and/or physical registers for particular purposes as required by business and legislation. Includes purposes of process control, unique identification and public search requirements. Includes registering license holders, maps, license areas, and investigation and prosecution cases and outcomes.</i></p>		
1.21.1	<p><b>Register of Racing Control Bodies</b></p> <p>Records relating to registration of racing control bodies.</p> <p>Includes details of:</p> <ul style="list-style-type: none"> <li>• licensed/registered corporations and related corporations</li> <li>• licensed/registered individuals, related individuals and associates (business/executive)</li> <li>• industry framework requirements such as plans, policies, standards, procedures, etc.</li> <li>• processes and checks undertaken and approvals given</li> <li>• renewal processes and updates to industry framework requirements</li> <li>• regulatory compliance activities undertaken e.g. audits, inspections, investigations.</li> </ul> <p>Excludes lifecycle tracking of individual animals to monitor their ongoing welfare, before and after racing. See 1.21.4.</p> <p>Excludes registers of racing animals, colours, interest disclosures, tests, participants, syndicates, partnerships, wagering operators, bookmakers, and other racing related entities. See 1.21.3.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>• register entries</li> <li>• register applications and releases.</li> </ul>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>
1.21.2	<p><b>Enforcement, Monitoring, Investigations and Prosecutions Registers</b></p> <p>Records relating to keeping registers of compliance enforcement, monitoring, investigations and prosecutions, including results of investigating and prosecuting offences, under relevant racing related legislation.</p> <p>Includes registration of racing related:</p> <ul style="list-style-type: none"> <li>• enforcement orders</li> <li>• compliance related notifications</li> </ul>	<p>Retain for 25 years after action business completed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• investigations (offences)</li> <li>• prosecutions (offences)</li> <li>• appeals.</li> </ul> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>• register entries</li> <li>• register applications and releases.</li> </ul>	
1.21.3	<p><b><i>Racing Related Registers</i></b></p> <p>Records relating to registering racing related licences, authorisations, animals, roles, occupations and other information related to the racing industry including, but not limited to:</p> <ul style="list-style-type: none"> <li>• racing partnerships</li> <li>• racing syndicates and partnerships</li> <li>• racing animals (on-track registrations/licences)</li> <li>• wagering operators and bookmakers</li> <li>• racing related entities</li> <li>• racing colours</li> <li>• racing animal interest disclosures by control body executives</li> <li>• sample registrations and analytical findings and summaries (e.g. positive and negative samples).</li> </ul> <p>Excludes lifecycle tracking of individual animals to monitor their ongoing welfare, before and after racing. See 1.21.3.</p> <p>Excludes registers of racing control bodies, associated licensed/registered corporations and individuals, and registered details of industry framework requirements and compliance activities. See 1.21.1.</p> <p>Records include but are not limited to:</p> <ul style="list-style-type: none"> <li>• register entries</li> <li>• register applications and releases.</li> </ul>	Retain 7 years after license or registration expires/ceases.

Disposal Authorisation	Description of records	Retention period & trigger
1.21.4	<p><b><i>Animal Lifecycle Tracking Registers</i></b></p> <p>Records relating to registering animals to enable lifecycle tracking of individual animals to monitor their ongoing welfare, both before and after racing.</p> <p>Records include but are not limited to: -</p> <ul style="list-style-type: none"> <li>• register entries</li> <li>• register applications and releases.</li> </ul>	Retain 2 years after animal deceased.
<p><b>RESEARCH</b></p> <p><i>The activities associated with investigating or enquiring into a subject or area of interest and working creatively in a systematic way to increase and use knowledge to devise new applications, establish or confirm facts, reaffirm results of previous work, expand past work done in the field, solve new or existing problems, support theorems, develop new theories, test the validity of instruments, procedures, or experiments. Includes research and development (R&amp;D). Includes research of better research methods and systems. Includes scientific, humanities, artistic, economic, social, business, practitioner research, etc. Includes supporting development of projects, standards, guidelines etc., and the business activities of the organisation in general. Includes following up enquiries relating to organisational research programs, projects, working papers, literature searches etc. Includes research into the performance of animals, prohibited substances, protection of animal welfare and best practice regulation of animals and participants.</i></p>		
1.22.1	<p><b><i>Significant *</i></b></p> <p>Records relating to researching and enquiring into significant racing related research areas to discover facts, theories and principles that support racing industry improvement outcomes and business activities. Includes research into:</p> <ul style="list-style-type: none"> <li>• performance of racing animals and persons</li> <li>• effects of prohibited drugs</li> <li>• improved racing practices for animals and the racing industry.</li> </ul> <p>Excludes data collected as part of compliance monitoring and surveillance processes, except where monitoring data is an input to research activities (as a secondary use to its monitoring compliance use).</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• research reports and publications</li> <li>• original data</li> <li>• findings and observations.</li> </ul> <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
1.22.2	<p><b>Other ~</b></p> <p>Records relating to researching and enquiring into research areas relating to racing industry improvement outcomes and business activities not covered by reference number 1.22.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• research reports and publications</li> <li>• original data</li> <li>• findings and observations.</li> </ul> <p><i>~ Refer to Appendix: Definition of Significant Versus Other</i></p>	Retain for 10 years after action completed.
<p><b>STAKEHOLDER ENGAGEMENT</b></p> <p><i>The activities associated with conducting ongoing community engagement and consultative processes with stakeholders with an active, two way relationship and information flow, potentially crossing a wide range of issues and activities. Stakeholders can include countries, corporations, governments, associations, officials or persons. Includes correspondence and submissions from stakeholders about departmental legislation, policies, programs, projects, processes, procedures, etc.</i></p>		
1.23.1	<p><b>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 racing regulation and industry development initiatives.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• reports</li> <li>• submissions</li> <li>• correspondence.</li> </ul> <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p>	Permanent. Transfer to QSA after business action completed.
1.23.2	<p><b>Other ~</b></p> <p>Records relating to conducting consultative and engagement processes with external stakeholders not covered by reference number 1.23.1.</p> <p>Excludes inter-agency collaboration processes and projects including compliance related cooperation coordination in enforcement, monitoring and surveillance, investigations and prosecutions. <i>See 1.23.3.</i></p> <p>Records may include, but are not limited to:</p>	Retain for 7 years after action completed.

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• reports</li> <li>• submissions</li> <li>• correspondence.</li> </ul> <p><i>– Refer to Appendix: Definition of Significant Versus Other</i></p>	
1.23.3	<p><b>Inter-Agency Collaboration</b></p> <p>Records relating to cooperating with other agencies, including local, state and federal bodies, and sharing intelligence for better outcomes, including regulatory compliance enforcement and monitoring outcomes. Includes on-the-ground field work directions and communications. Includes sharing schedules and work effort. Excludes inter-agency information sharing on regulatory frameworks e.g. legislation, policy, standards, etc. <i>See GRDS.</i> Excludes inter-agency agreements on collaboration processes and projects. <i>See 1.2.</i> Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• communications</li> <li>• schedules</li> <li>• directions</li> <li>• compliance data/statistics.</li> </ul>	Retain for 7 years after action completed.
<p><b>STEWARDING</b></p> <p><i>The activities associated with managing races, race day and non-race day activities to ensure race days are run according to rules and legislative requirements. Includes monitoring lawful conduct in racing, betting and animal welfare practices. Includes supporting stewards in managing contentious, litigious and administrative issues, including providing legal liaison for stewards.</i></p>		
1.24.1	<p><b>Stewarding Activities</b></p> <p>Records relating to running of races, and race day and non-race day activities by stewards and other authorised officers. Includes:</p> <ul style="list-style-type: none"> <li>• overseeing race day activities across all codes of racing.</li> <li>• monitoring lawful conduct in racing, betting and animal welfare practices.</li> <li>• supporting stewards in managing contentious, litigious and administrative issues.</li> </ul>	Retain 1 year after action completed.

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• providing legal liaison for stewards.</li> </ul> <p>Excludes formal investigation and enforcement processes not relating to race day activities and participants, such as investigating stewards themselves. <i>See 1.15 and 1.20.</i></p> <p>Excludes testing processes for human and animal racing participants <i>e.g. drug testing. See 1.25.</i></p> <p>Excludes appointment of Stewards. <i>See 1.5.1.</i></p> <p>Excludes appeals of race day decisions made by stewards. <i>See 1.24.2</i></p> <p>Excludes appeals. <i>See GRDS.</i></p> <p>Records include:</p> <ul style="list-style-type: none"> <li>• notifications</li> <li>• applications</li> <li>• steward reports</li> </ul>	
1.24.2	<p><b><i>Stewarding Inquiries</i></b></p> <p>Records relating to determining appeals for stewarding activities. Includes:</p> <ul style="list-style-type: none"> <li>• inquiries conducted by racing stewards (in accordance with the control body's rules of racing)</li> <li>• appeals of race day decisions (i.e. decisions made by stewards on race days)</li> <li>• appeals to review certain steward decisions (i.e. to suspend a person's licence or impose a penalty)</li> <li>• written submissions to, and transcripts of, inquiry</li> </ul> <p>Records include:</p> <ul style="list-style-type: none"> <li>• information notices to applicants, stewards, committees</li> <li>• decision notices</li> <li>• steward reports.</li> </ul>	Retain 7 years after appeal decision determined.



Disposal Authorisation	Description of records	Retention period & trigger
<p><b>TESTING AND IDENTIFICATION</b>  <i>The activities associated with sampling, testing and diagnostic activities designed to confirm or exclude the presence of known or suspected objects or organisms. Includes testing, checking, measuring and calibrating instruments to correct standards. Includes laboratory, entomology and pathology tests; sample specimens; processing, transportation and storage.</i></p>		
1.25.1	<p><b>Significant *</b>  Records relating to sampling, testing, processing, analysing and diagnosing racing related activities, drugs, diseases and other chemical and biological substances/products (to confirm or exclude the presence of known or suspected bacteria, chemicals, pests, genes, diseases, medicines, toxins, poisons, viruses, and other contaminants etc.) <i>e.g. by QRIC Racing Science Centre (and subsequent named bodies).</i>  Includes processing, transporting and storing laboratory and pathology tests, and sample specimens, where test results are significant.  Excludes client case files for commissioned testing and analysis service jobs. <i>See 1.25.5.</i>  Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• test reports and publications</li> <li>• field station data and reports</li> <li>• sample registers.</li> </ul> <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p>	<p>Permanent.  Transfer to QSA after business action completed.</p>
1.25.2	<p><b>Other ~</b>  Records relating to sampling, testing, processing, analysing and diagnosing racing related activities, drugs, diseases and other chemical and biological substances/products (to confirm or exclude the presence of known or suspected bacteria, chemicals, pests, genes, diseases, medicines, toxins, poisons, viruses, and other contaminants etc.) <i>(e.g. by QRIC Racing Science Centre and subsequent named bodies)</i> where testing is not covered by reference number 1.25.1.  Includes:</p> <ul style="list-style-type: none"> <li>• analytical data, associated findings and reports</li> <li>• certificates of analysis</li> <li>• analytical data from testing machines.</li> </ul> <p>Excludes client case files for commissioned testing and analysis service jobs. <i>See 1.25.6.</i></p>	<p>Retain for 10 years after action completed.</p>

Disposal Authorisation	Description of records	Retention period & trigger
	<p>Excludes positive sample analysis data and findings. See 1.25.3.</p> <p>Excludes negative sample analysis data and findings. See 1.25.4.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• test reports and publications</li> <li>• field station data and reports</li> <li>• sample registers.</li> </ul> <p>~ Refer to Appendix: Definition of Significant Versus Other</p>	
1.25.3	<p><b>Positive Samples</b></p> <p>Records relating to analysis of samples that have yielded positive results. Includes positive sample analysis data, findings and reports.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• indexes to positive samples stored in freezers and storage.</li> <li>• certificates of analysis</li> <li>• analytical data from testing machines.</li> <li>• race day samples</li> </ul> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• sample data</li> <li>• data findings</li> <li>• indexes to stored samples.</li> </ul>	Retain for 10 years after action completed.
1.25.4	<p><b>Negative Samples</b></p> <p>Records relating to analysis of samples that have yielded negative results. Includes negative sample analysis data, findings and reports.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>• certificates of analysis</li> <li>• analytical data from testing machines.</li> <li>• race day samples</li> </ul> <p>Records may include, but are not limited to:</p>	Retain for 7 years after action completed.

Disposal Authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> <li>• sample data</li> <li>• data findings</li> </ul>	
1.25.5	<p><b><i>Test Results Previously Collated into Research and Test Reports</i></b></p> <p>Records relating to sampling, testing, processing, analysing and diagnosing racing related activities, drugs, diseases and other chemical and biological substances/products to confirm or exclude the presence of known or suspected bacteria, chemicals, pests, genes, diseases, medicines, toxins, poisons, viruses, and other contaminants where test results have been collated into other research and test reports.</p> <p>Excludes positive sample analysis data and findings. See 1.25.3.</p> <p>Excludes negative sample analysis data and findings. See 1.25.4.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• test reports and publications</li> <li>• field station data and reports</li> <li>• sample registers.</li> </ul>	Retain until reference ceases.
1.25.6	<p><b><i>Client Case Files for Commissioned Testing, Analysis and Calibrations</i></b></p> <p>Records relating to providing testing, analysis and calibration services to racing control bodies and relevant entities, or members of the public, including businesses and individuals, as contracted services. Includes handling client requested activities and resulting case files, within scope of engagement.</p> <p>Excludes positive sample analysis data and findings. See 1.25.3.</p> <p>Excludes negative sample analysis data and findings. See 1.25.4.</p> <p>Includes but not limited to:</p> <ul style="list-style-type: none"> <li>• contaminant analysis</li> <li>• animal drug testing</li> <li>• animal disease testing</li> <li>• equipment calibration services</li> </ul> <p>Records include but are not limited to:-</p> <ul style="list-style-type: none"> <li>• engagement brief</li> <li>• advice briefs</li> </ul>	Retain 10 years after business action completed.

<b>Disposal Authorisation</b>	<b>Description of records</b>	<b>Retention period &amp; trigger</b>
	<ul style="list-style-type: none"><li>• land title and supporting titles information</li><li>• reports.</li></ul>	

## 2. LEGACY RECORDS – RACING REGULATION (QRIC)

*This section covers legacy records of the Queensland Racing Integrity Commissioner.*

*Legacy records of all racing related entities prior to enactment of Racing Integrity Act 2016 are generally the responsibility of NPSR, exceptions below.*

*Responsibility for management of these legacy records rests with NPSR as the agency (historically and legislatively) responsible for racing regulation and industry management.*

*See the General Retention and Disposal Schedule for records relating to board meetings and committees.*

Disposal Authorisation	Description of records	Date range	Retention period & trigger
<b>2.1 LICENSED ANIMAL TESTING AND ANALYSIS FACILITY REGISTRATION</b>			
The activities associated with the accreditation of facilities that have the capacity to analyse things relating to licensed animals. The Racing Science Centre is such a facility. Includes disciplinary action taken against an accredited facility, including suspension of accreditation.			
2.1.1	<p><b>Applications</b></p> <p>Records relating to the assessment of an application for accreditation as a facility for analysing things relating to licensed animals, in accordance with ss.129–134 of the Racing Act 2002. Legislation was repealed 1<sup>st</sup> July 2016. Previously QDAN 620 v2 Reference 2.8.1.</p>	< 2016	Temporary. Retain for 7 years after legislation repeal date (1 <sup>st</sup> July 2016).
2.1.2	<p><b>Disciplinary Action</b></p> <p>Records of disciplinary action relating to an accredited facility as result of a complaint, non-conformance with procedures, etc., in accordance with ss.135–141 of the Racing Act 2002. Legislation was repealed 1<sup>st</sup> July 2016. Previously QDAN 620 v2 Reference 2.8.2.</p>	< 2016	Temporary Retain for 7 years after legislation repeal date (1 <sup>st</sup> July 2016).

## 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.**

### ~ 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.**