

Appraisal log

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

Queensland Racing Integrity Commissioner

Date: 18 October 2019

Title	Scope Note
RACING REGULATION (QRIC)	<i>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.</i>
Activities	
1.1 Advice 1.2 Agreements 1.3 Animal Welfare 1.4 Appeals 1.5 Appointments 1.6 Audit 1.7 Claims 1.8 Complaints 1.9 Control 1.10 Disciplinary Action 1.11 Disposal 1.12 Enforcement 1.13 Incident and Emergency Responses	1.14 Inspections 1.15 Investigation 1.16 Licensing 1.17 Monitoring and Surveillance 1.18 Partnerships 1.19 Planning 1.20 Prosecution 1.21 Registration 1.22 Research 1.23 Stakeholder Engagement 1.24 Stewarding 1.25 Testing and Identification

1.1 Advice

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.1.1	<i>Racing Related Advice</i> Records relating to the provision of racing related advice where the advice is	Background/Business Process: Advice records are created across many processes, and in many roles, for example developing racing based industries in metropolitan and regional areas, and providing customised advice to industry members and members of the public, potentially property and racing animal owners. Advice is

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	<p>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"> • legislative compliance • animal welfare • exotic disease control • prohibited substances • scientific processes. <p>Excludes legal advice. See <u>GRDS</u>.</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>Disposal action – Retain for 7 years after action completed.</p>	<p>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 racing regulation and code management processes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • 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. <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement • support the decisions of the business • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>General Retention and Disposal Schedule</i> Disposal Authorisation 1001 Advice – Other. 7 years after business action completed.</p> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620:</i></p> <ul style="list-style-type: none"> • <i>Reference 1.1.1</i> Records relating to the provision of advice to racing industry control bodies on animal welfare, exotic disease control, prohibited substances, Racing Science Centre procedures, etc. Includes correspondence and related documentation. Retain for 7 years after last action. • <i>Reference 2.1.2</i> - correspondence relating to general racing matters, e.g. enquiries in relation to a retired racing horses scheme, farrier training in Malaysia, the Eagle Farm Raceway redevelopment, overseas racing business delegations, etc. Retain for 7 years after last action. • <i>Reference 2.1.3</i> - correspondence from breeders, owners, bookmakers, jockeys, trainers, regional racing associations regarding policy issues - retain for 7 years after last action.
1.1.2	<p>Control Body Related Advice</p> <p>Records relating to the provision of advice relating to racing control bodies</p>	<p>Background/Business Process: See above.</p> <p>Business requirements: See above.</p>

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	<p>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). Includes advice related to:</p> <ul style="list-style-type: none"> • policies, procedures and rules of control bodies (for regulation of their code of racing) • ministerial approvals and variations of control bodies • rules of racing, plans, implementation plans, marketing plans, constitutions and reports e.g. <i>annual reports</i> • on-going compliance of racing control bodies and other accredited corporations and individuals • corporations and individuals associated with control bodies • other racing related entities (other than racing control bodies) <p>Includes advice about rules of racing.</p> <p>Disposal action –</p>	<p>Comparison with other schedules:</p> <p><i>General Retention and Disposal Schedule</i> Disposal Authorisation 1001 Advice – Other. 7 years after business action completed.</p> <p><i>Tasmanian Disposal Schedule for the Administration of Racing DA 2165 Reference 07.05.02</i> Records relating to the development and review of national rules of racing, including: • Australian Harness Rules of Racing • Australian Greyhound Rules of Racing Destroy 7 years after adoption of national rule.</p> <p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620:</i></p> <ul style="list-style-type: none"> • <i>Reference 1.1.1</i> Records relating to the provision of advice to racing industry control bodies on animal welfare, exotic disease control, prohibited substances, Racing Science Centre procedures, etc. Includes correspondence and related documentation. Retain for 7 years after last action. • <i>Reference 2.1.2</i> - correspondence relating to general racing matters, e.g. enquiries in relation to a retired racing horses scheme, farrier training in Malaysia, the Eagle Farm Raceway redevelopment, overseas racing business delegations, etc. Retain for 7 years after last action. • <i>Reference 2.1.3</i> - correspondence from breeders, owners, bookmakers, jockeys, trainers, regional racing associations regarding policy issues - retain for 7 years after last action. <p><i>Various references relating to approval and variation of approvals for racing code control bodies exemplified in Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620:</i></p> <p><i>Note references apply to records about which advice may be sought, not the actual records themselves.</i></p> <ul style="list-style-type: none"> • <i>Reference 3.2.1 Control Body Registration - Applications – Approved</i> Records relating to applications submitted to the Minister for registration as a control body for a code of racing, in accordance with s.10 of the <i>Racing Act 2002</i>. Retain for 7 years after approval is cancelled or lapses. • <i>Reference 2.10.2</i> Reports prepared by control bodies annually as required under ss. 41-44 of the <i>Racing Act 2002</i>. Include plans for managing codes of racing, notices about eligibility as a corporation, change of executive officers, events and related documentation. Retain for 7 years after last action. • <i>Reference 3.8.1 Statutory reporting</i> Records relating to reports prepared annually by the control body and submitted to the Office of Racing, in accordance with ss.41 – 44 of the <i>Racing Act 2002</i>. Records may include, but are not limited to annual plan for managing the code of racing notices about eligibility as a corporation notices of change of chief executive

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	Retain for 7 years after action completed.	<p>officers - notices of change to eligibility of executive officers. See reference number 2.10.2 for copies of annual reports kept by the Office of Racing. Retain for 7 years after last action.</p> <ul style="list-style-type: none"> • Reference 3.6.6 Policies Records relating to policies, procedures and rules developed by the control body for the regulation of their particular code of racing and submitted to the Office of Racing, in accordance with s.81 of the <i>Racing Act 2002</i>. Retain for 5 years after superseded. • Reference 3.6.5 Planning Records relating to plans and strategies for developing, promoting and marketing the commercial operations of the code of racing, in accordance with s.34(1)(c) of the <i>Racing Act 2002</i>. Retain for 5 years after superseded. <p>Comments: Separate records class (despite same retention) has been used for clarity and elaboration on scope of control body related advice (instead of combining with 1.1.1 for a larger class).</p>

1.2 Agreements

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.2.1	<p>Agreements – Significant * Records relating to significant racing related agreements between the agency and other parties/entities, or which are overseen, authorised or facilitated by the agency. Also includes selected agreements not proceeded with where agreement and negotiation processes have significance. Agreements include, but are not limited to agreements with/about:</p>	<p>Background/business process: Agreements are created during racing regulation and industry management processes as evidence of foundational and facilitative arrangements as the basis for working with others in partnerships, collaborations, funding arrangements, through various means of agreements <i>e.g. memoranda of understanding, signed documents, formal agreements.</i></p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • 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. <p>Regulatory requirements: <i>Racing Integrity Act – s. 10</i></p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide long term reference value

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	<ul style="list-style-type: none"> • racing code service provision • veterinary service provision <i>e.g. relating to animal welfare.</i> <p>Significant includes agreements with control bodies.</p> <p>Disposal action – Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> • document the history of the department’s significant work. <p>Permanent retention criteria: Meets the following characteristics</p> <ul style="list-style-type: none"> • 5 - Substantial Contribution to Community Memory • 6 - Environmental Management and Change <p>Comments: Amendment on 18 October 2019 to <i>retention and disposal log entry</i> for this class resulting in reissue of this QDAN as version 2. Inconsistency inadvertently created through an administrative process and retention in RDS amended to be consistent with this retention period.</p> <p>Note: Significant class (1.2.1) includes contracts (sealed and unsealed) where significant e.g. significant content/context, see Appendix for definitions. “Other~” class (1.2.2) includes contracts (sealed and unsealed) where other i.e. not significant.</p> <p>Comparison with other schedules: <i>General retention and disposal schedule disposal authorisation</i> disposal authorisation 1002 Agreements and contracts – significant – Permanent.</p>
1.2.2	<p>Agreements – other ~ 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. Other includes contracts (sealed and unsealed) that are not significant. Other includes agreements for scientific, professional and integrity service delivery to racing industry control bodies, including scientific</p>	<p>Background/business process: “Other~” class (1.3.2) includes contracts (sealed and unsealed) where other i.e. not significant.</p> <p>Regulatory requirements: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • 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 <i>General Retention and Disposal Schedule</i> • support the decisions of the business including ongoing requirements of the department under current agreements • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>testing, identification and analysis services.</p> <p>Excludes agreements that do not proceed. See 1.2.3.</p> <p>Disposal action – 12 years after the expiry or termination of the agreement or contract.</p>	<p><i>General retention and disposal schedule</i> disposal authorisation 1003 Agreements – under seal. – 12 years after the expiry or termination of the agreement or contract.</p> <p><i>General retention and disposal schedule</i> disposal authorisation 1004 Agreements and contracts – not under seal – 7 years after the expiry or termination of the agreement or contract.</p> <p><i>Tourism Retention and Disposal Schedule QDAN709 v.1</i> Reference 1.2.1 Agreements made – Retain for 7 years after agreement terminated or expired.</p> <p><i>Agriculture Retention and Disposal Schedule QDAN719 v.1</i> Reference 1.3.1 Agreements-proceeded with – Retain for 7 years after agreement terminated or expired.</p> <p><i>Functional records of the Tasmanian Department of Primary Industries, Parks, Water & Management DA2297</i> Reference 04.03.02 Land management agreements – Destroy 7 years after expiry, completion or termination of agreement.</p> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620:</i></p> <ul style="list-style-type: none"> • <i>Reference 1.2.1</i> Records relating to the delivery of scientific, professional and integrity services to racing industry control bodies (i.e., Queensland Racing Limited, Queensland Harness Racing Board & Greyhound Racing Authority (Queensland)). Include service level agreements between the Racing Science Centre and control bodies and related correspondence. Retain for 7 years after expiry of agreement. • <i>Reference 3.6.9 Reciprocal arrangements</i> Records relating to reciprocal arrangements with control bodies for a code of racing in another state or country. See reference number 3.5.7 for records relating to interstate clearances to and from other jurisdictions. Retain for 7 years after expiry or cancellation of agreement. • <i>Reference 3.7.1 Racing Integrity Control – Agreements</i> Records relating to agreements between the control body and an accredited facility for the provision of scientific and professional services, such as analysis of things relating to licensed animals for the presence of drugs and other substances, in accordance with s.40 of the <i>Racing Act 2002</i>. Retain for 7 years after expiry or cancellation of agreement.
1.2.3	<p>Agreements - Not Proceeded With</p> <p>Records relating to racing related agreements between the agency and other entities, or which are</p>	<p>Background/business process: Agreements not proceeded may include draft unsigned agreements and working papers, where conditions agreeable to both parties could not be reached.</p> <p>Regulatory requirements: See above.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>overseen, authorised or facilitated by the agency, that do not proceed.</p> <p>Disposal action – Retain 7 years after decision to not proceed.</p>	<p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business including ongoing requirements of the department under current agreements • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>General retention and disposal schedule</i> disposal authorisation 1005 Agreements and contracts not proceeded with. - 2 years after business action completed.</p>

1.3 Animal Welfare

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.3.1	<p><i>Racing Animal Welfare</i> Records relating to taking direct action with racing animals in order to assess, 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"> • promoting and/or protecting animal welfare • providing animal related services e.g. <i>greyhound</i> 	<p>Background/business process: With the enactment of the Racing Integrity Act 2016 and subsequent establishment of the Queensland Racing Integrity Commission, animal welfare issues were raised as the responsibility of government and government regulation, with the function of safeguarding the welfare of any animal involved in racing, and the humane treatment of animals paramount to the successful operation and promotion of racing.</p> <p>Regulatory requirements: <i>Racing Act s. 2002 s. 71</i> <i>Racing Integrity Act s. 10, 191</i></p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business process enhancement and improvement in the treatment of animals • support the decisions of the business including ongoing requirements of the department • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>.

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	<p><i>adoption services, veterinary services</i></p> <ul style="list-style-type: none"> • direct interventions in individual racing animal lives • approving kennels, stables and other housing as suitable operations to care for animals • scheduling of individual veterinarians and veterinary services for particular race related activities • medical assistance, consultations and procedures to animals on and off track, on race days, meets, training and as necessary • enabling biological activities <i>e.g. drug detection, disease identification</i> • enacting quarantine procedures and precautions <i>e.g. assisting government biosecurity personnel</i> <p>Covers:</p> <ul style="list-style-type: none"> • racing animals including greyhounds and all 	<p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620:</i></p> <ul style="list-style-type: none"> • <i>Reference 1.7.9</i> Records relating to animal care monitoring programs. Includes notifications, reports and related correspondence. Retain for 5 years after last action. • <i>Reference 3.6.1 Adoption programs</i> Records relating to the administration of animal adoption programs, such as the Greyhound Adoption Program (GAP). Includes applications, assessments, promotions and related correspondence. Retain for 10 years after last action. <p>Comments: Although the earlier disposal authorisation for Greyhound Adoption Program records was 10 years, the Department has indicated that 7 years is sufficient to support its goal of “improvement in the treatment of animals”.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>types of equine racing animals</p> <ul style="list-style-type: none"> • racing animals on the track through their racing career, and post-racing, off the track (<i>e.g. injured, retired</i>) or animals bred for, but not required for racing (<i>e.g. surplus, non-starters</i>). <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> <p>Excludes monitoring animal welfare and breeding facilities and programs. See 1.3.3.</p> <p>Excludes lifecycle tracking of individual animals to monitor their ongoing welfare. See 1.21.4.</p> <p>Excludes registration of racing animal processes for racing purposes (other than related to animal welfare). See 1.21.1.</p> <p>Disposal action –</p>	

Disposal Authorisation	Record class and retention period	Justifying the retention period
	Retain 7 years after action completed.	
1.3.2	<p>Breeding Programs - Approving</p> <p>Records relating to approving animal breeding programs to ensure racing animal wellbeing and humane experiences whilst being bred for use in racing. Excludes lifecycle tracking of individual animals to monitor their ongoing welfare. See 1.21.4.</p> <p>Excludes monitoring animal welfare and breeding facilities and programs. See 1.3.3.</p> <p>Disposal action – Retain 20 years after program ceases.</p>	<p>Background/business process: See above.</p> <p>Regulatory requirements: <i>Racing Integrity Act s. 10</i></p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 20 years as they:</p> <ul style="list-style-type: none"> • are required for future business process enhancement and improvement in the treatment of animals • support the decisions of the business including ongoing requirements of the department • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>Tasmanian Disposal Schedule for Records of the Administration of Racing in Tasmania DA 2165 01.06.04</i></p> <p>Records documenting the administration of breeding activities. These may include:</p> <ul style="list-style-type: none"> • Sire registration • Sire summary report • Notification of mating/service • Notification of whelping/foaling • Application for DNA testing • Confirmation of DNA analysis • Branding Certificate • Naming application • Naming approval • Gelding notification • Export/Import clearance • Litter registration • Branding report <i>Destroy 15 years after last action.</i> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 3.6.2 Breeding programs</i> Records relating the administration of breeding programs, such as QBred, including registration of animals in the program. Records may include, but are not limited to: Sire registration and summary reports notifications branding certificates and reports naming applications litter registrations approvals. Retain for 20 years after last action. <p>Comments: The retention period reflects a collective history of a breeding program which allows for generational patterns and animal lineage to be traced. It also reflects the lifespan of a horse being 25-30 years old</p>

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		(with average retirement age 5-12 years). Records being kept for 20 years would be of ongoing breeding programs and track animal heritage/lineage issues.
1.3.3	<p><i>Monitoring animal welfare and breeding facilities and programs</i></p> <p>Records relating to monitoring animal welfare and breeding facilities and programs to ensure racing animal wellbeing and humane experiences whilst being housed and bred for use in racing. Includes monitoring kennels, stables and other housing as suitable operations to care for animals.</p> <p>Excludes monitoring of other racing related licence holders and entities. See 1.17.1.</p> <p>Excludes lifecycle tracking of individual animals to monitor their ongoing welfare. See 1.21.4.</p> <p>Disposal action –</p> <p>Retain 7 years after action completed.</p>	<p>Background/business process:</p> <p>See above. Monitoring breeding program records and processes specifically:</p> <ul style="list-style-type: none"> scan the environment/area for issues of non-compliance by breeding programs and initiate other processes such as inspections, investigations, incident/ emergency responses, animal welfare approvals (e.g. action to suspend/cancel approvals) or trigger more serious compliance responses such as enforcement actions (e.g. directives, orders, fines, etc.) or formal quality related processes. focus on compliance efforts with the data collected generally used to inform further compliance monitoring processes where data is an input into those processes (as well outputs of monitoring related processes). <p>Regulatory requirements:</p> <p>Monitoring is an inferred responsibility given enforcement, inspection, investigation, and prosecution activities.</p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> are required for future business enhancement and improvement need to be retained to support the decisions of the business. <p>Comparison with other schedules:</p> <p><i>Fisheries Retention and Disposal Schedule QDAN 724.v1 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 QDAN 725.v1 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>

1.4 Appeals

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.4.1	<p><i>Court & Tribunal Appeals – Significant*</i></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"> • appeals to the District Court and the Supreme Court on matters of law • appeals based on interpretation of governing legislation, and procedure or policy challenges and precedents to courts and tribunals • appeals lodged against decisions of the Queensland Civil and Administrative Tribunal (about racing matters) <p>Significant includes appeals against previous Racing Appeals Tribunal (and similar named bodies) decisions.</p>	<p>Background/business process:</p> <p>Appeals are administrative and legal review processes (conducted after initial internal or judicial reviews) that are conducted by a higher and/or independent body or court with jurisdictional powers.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • Receive and assess appeals application; conduct preliminary hearing; request further information; assess supporting information and reports; consult with stakeholders (if required); conduct conference to conciliate/mediate resolution; evaluate case; give directions; conduct hearing; make decision. • Receive notice of appeal; prepare agency case; consult with stakeholders (if required); attend conference; present findings; report outcomes; attend hearing; present findings; receive judgement; implement court orders, directions and decisions. <p>Regulatory requirements: <i>Racing Integrity Act ss. 246-251</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide long term reference value • document the history of the department's significant work. <p>Permanent retention criteria:</p> <p>Meets the following characteristics</p> <ul style="list-style-type: none"> • 5 - Substantial Contribution to Community Memory <p>Comparison with other schedules:</p> <p><i>Industrial Relations Regulation Retention and Disposal Schedule (QDAN727 v.1) Reference 3.1.1 - Appeals – review of decisions – significant –</i> Records relating to applications to review a decision by a person whose interests are affected by an action or decision of the agency. Includes reviews undertaken internally, externally and by commission. Also includes records relating to the agency appealing decisions by a higher court or tribunal not to suspend or cancel the entitlements of a person whose interests are affected by an action or decision of the agency. Retain permanently</p> <p><i>Parks retention and disposal schedule (QDAN 740 v.1) Reference 1.22.1 - Prosecution – significant* -</i> Records relating to prosecuting significant offences under relevant legislation for the protection of</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>Excludes appeals against decisions of stewards. See 1.24.2</p> <p>Disposal action – Permanent. Transfer to QSA after business action completed.</p>	<p>State protected parks, areas and wildlife, including protected areas, marine areas, national parks and recreation areas. Significant offences include precedent setting cases. Permanent.</p> <p><i>Liquor and Gaming Regulation Sector retention and disposal schedule:</i> Disposal authorisation 1613 – Investigation case files – significant (includes prosecutions) – Records relating to investigations arising from complaints, inspections and/or compliance audits where the investigation results in significant changes to legislation, policy or processes or the case file sets a precedent. Permanent.</p> <p><i>Mining retention and disposal schedule (QDAN 737 v.2):</i> Reference 1.17.1 - Prosecution – significant*- Records relating to prosecuting significant offences, and precedent setting cases, under relevant legislation. Permanent.</p> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620:</i></p> <ul style="list-style-type: none"> Reference 1.4.1 Records of appeals to the District Court and Supreme Court relating to the testing and analysis of samples by the Racing Science Centre. Records include legal advice, copies of court rulings and related correspondence. Permanent Retain permanently. <p>Reference 1.4.2 Legal advice relating to procedural or policy challenges, precedents or interpretation of governing legislation. Permanent Retain permanently.</p>
1.4.2	<p>Court & Tribunal Appeals – Other~</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"> appeals to the District Court and the Supreme Court on matters of law appeals based on interpretation of governing legislation, 	<p>Background/business process: See above.</p> <p>Regulatory requirements: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> provide long term reference value document the history of the department’s significant work. <p>Permanent retention criteria: Meets the following characteristics</p> <ul style="list-style-type: none"> 5 - Substantial Contribution to Community Memory <p>Comparison with other schedules: <i>Tasmanian Disposal Schedule for the Administration of Racing DA 2165</i></p> <ul style="list-style-type: none"> Reference 05.01.02 Records documenting appeals and associated correspondence. These may include: • Notice and Grounds of Appeal • Application for Stay of Proceedings • Objections to

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	<p>and procedure or policy challenges and precedents to courts and tribunals</p> <ul style="list-style-type: none"> appeals lodged against decisions of the Queensland Civil and Administrative Tribunal (about racing matters). <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</p> <p>Disposal action – Retain 7 years after case/appeal is closed.</p>	<p>Application for Stay • Decisions in relation to Application for Stay • Case notes of Board members. Destroy 7 years after Board decision.</p> <ul style="list-style-type: none"> <i>Reference 05.01.04</i> Records documenting inquiries conducted by the Director of Racing where the matter is under appeal. These may include: • Audio-tape recording of inquiry • Notice of inquiry • Documents tabled as evidence at inquiry (exhibits) and subsequent appeal hearing • Notes of proceedings • Formal decision of Director. Destroy 7 years after Board decision. <i>Reference 05.02.03</i> Records documenting betting disputes and associated correspondence. This may include: • Application to have matter heard • Betting stewards' report • Bookmaker's Betting sheets • Betting tickets • Audio-tape recording of placement of bet Destroy 7 years after resolution of the dispute. <p>Comments: The official record of District and Supreme Court appeal hearings are retained permanently by the relevant court.</p>

1.5 Appointments

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.5.1	<p>Authorised and Accredited Officers</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"> • audits • inspections • investigations • monitoring and enforcement of breaches of legislation. • stewarding. <p>Excludes appointments made under Public Service Act. See <u>GRDS</u>.</p> <p>Excludes appointments that are in essence licensing approvals. See 1.16.</p> <p>Disposal action –</p> <p>Retain for 7 years after appointment ceased.</p>	<p>Background/business process:</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>Appointments of stewards under Appointments (authorised and accredited officers) is a process independent of their employment (recruitment/selection/appointment as an employee. Authorised officers are employed firstly by the agency (with or without a matching job description e.g. Steward, Investigator) and appointed secondly with their matching legislative functions and powers (e.g. their authorisation to enact powers under legislation).</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • 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. <p>Regulatory requirements:</p> <p><i>Racing Integrity Act 2016 - s. 7 (race day stewards)</i></p> <p><i>Racing Integrity Act 2016 – s. 143, 145-151, 229 (authorised/accredited officers)</i></p> <p><i>Racing Integrity Act 2016 - s. 14-15 for Commissioner/Deputy appointments under Public Service Act (excluded from records class)</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • provide evidence of business processes associated with appointments including allocating conditions, varying and terminating appointments • support the decisions of the business • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p> <p><i>Agriculture Retention and Disposal Schedule QDAN719 v.1 Reference 1.4.1 Authorised and accredited officers – Retain for 7 years after appointment ceased.</i></p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620 Reference 2.3.1</i></p> <p>Records relating to the appointment of authorised officers, i.e., compliance and integrity officers under the Act (ss. 261-268 of the Act refer). Include correspondence and related documentation. Retain for 7 years after last action.</p>

1.6 Audit

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.6.1	<p>Significant * Recommendations and Findings</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"> racing licences e.g. <i>racing animals, riders, drivers, colours, etc.</i> racing professions, including 	<p>Background/business process:</p> <p>Audit records are created whilst checking quality management processes, management controls and operational processes, for their effectiveness for product/service quality, operational applicability and fraud prevention.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> 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. <p>Regulatory requirements:</p> <p><i>Racing Act 2002 (updated July 2016) - s. 73</i></p> <p><i>Racing Integrity Act 2016 – s. 10, 75-99</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> provide long term reference value document the history of the department's significant work. <p>Permanent retention criteria:</p> <p>Meets the following characteristics</p> <ul style="list-style-type: none"> 5 - Substantial Contribution to Community Memory 6 - Environmental Management and Change <p>Comparison with other schedules:</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>bookmakers and their business and executive associates</p> <ul style="list-style-type: none"> • racing control bodies and their controls and systems to license, accredit or authorise. <p>Excludes audits of agency compliance to other legislative/regulatory regimes. See 1.9.2</p> <p>Disposal action - Permanent. Transfer to QSA after business action completed.</p>	<p><i>General retention and disposal schedule</i> disposal authorisation 1007 Audits – significant. Permanent.</p> <p><i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS02-03 Reference 3.7.2</i> - 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.</p>
1.6.2	<p>Other ~ Observations and Actions</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"> • racing licences e.g. <i>racing animals, riders, drivers, colours, etc.</i> 	<p>See above.</p> <p>Regulatory requirements: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement • need to be retained to support the decisions of the business • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>State Records New South Wales Department of Primary Industries Retention and Disposal Schedule/Authority FA258 Reference 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>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> • racing professions, including bookmakers and their business and executive associates • racing control bodies and their controls and systems to license, accredit or authorise. <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>Disposal action – Retain for 7 years after action completed.</p>	<p><i>State Records New South Wales Department of the Arts, Sport and Recreation - NSW Office of Liquor, Gaming and Racing - Liquor, Racing, Gaming and Charitable Fundraising Regulation FA239 Reference 2.4.3</i> Compliance auditing Records relating to the conduct of onsite compliance audits of registered clubs. Retain minimum of 7 years after audit, then destroy.</p> <p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620 Reference 2.2.1</i> Records relating to annual audit programs prepared and conducted by the Office of Racing, in accordance with ss.46 – 51 and ss.59 – 60 of the <i>Racing Act 2002</i>. Records may include, but are not limited to: programs for each control body reports financial audit reports briefing notes notices requesting information or documents criminal history reports related correspondence. Retain for 7 years after last action.</p>

1.7 Claims Management

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.7.1	<p>Compensation claims</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"> • racing animal welfare. <p>See <i>Agriculture Retention Disposal Schedule QDAN 719 for compensation claims relating to animal management, quarantines, inspection and testing for pests and diseases.</i></p> <p>Disposal action –</p> <p>Retain for 7 years after claim determined.</p>	<p>Background/business process:</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 excise of legislative and inspectorate duties.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • Receive and assess compensation claim application; request further information; investigate claim; approve application; reject application; pay claim. <p>Regulatory requirements:</p> <p><i>Racing Integrity Act 2016 - s. 206</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • provide evidence of decisions made in support of claims • remain available for potential repeat and overlapping claims for compensation • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p> <p><i>General retention and disposal schedule</i> disposal authorisation 1159 Claims – other. 7 years after settlement of claim.</p> <p><i>Queensland Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN 653</i></p> <ul style="list-style-type: none"> • <i>Reference 9.7.1</i> - claims made for compensation under the <i>Vegetation Management Act 1999</i> - retain for 7 years after last action • <i>Reference 10.8.1</i> - claims made for compensation under the <i>Water Act 2000</i> and the <i>Water Supply (Safety and Reliability) Act 2008</i> - retain for 7 years after last action. <p><i>State Records New South Wales Department of Primary Industries Retention and Disposal Schedule/Authority FA258 Reference 13.1.3</i> - 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.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.7.2	<p>Recovery of Monies Incurred By State</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"> incidents and situations involving racing entities offences and non-compliance with directions penalties imposed by State material contraventions of industry codes, including attempts/involvements remedial works done on behalf of other entities court orders and court awarded costs made in favour of State. <p>Disposal action – Retain for 7 years after claim resolved/written off.</p>	<p>Background/business process:</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 racing industry or community, or has outstanding revenue from default of fees and interest payable by industry parties, including rectifying a range of loss and damage expenses incurred. Actions could be taken to rectify costs associated with compliance actions.</p> <p>Illustrative processes:</p> <ul style="list-style-type: none"> Identify and assess recovery claim (identified by registrars, inspectors or chief executive officer); request further information; investigate claim; submit claim to party in default; submit follow up notices as required; receipt and account for monies received; submit outstanding claims to court. Recovering monies under Supreme Court orders (section 120X) where State enforces the order as a judgment of the court for a debt of that amount. Includes requesting the court to make instalment orders based on the debtor's circumstances, assets and income, attending oral examinations/hearings, obtaining orders for garnishing debtor's wages, obtaining warrants for seizure and sale of debtor possessions, obtaining warrants to sell real property <i>e.g. their home</i>, commence proceedings to bankrupt large debtors. <p>Regulatory requirements: <i>Racing Integrity Act 2016 - s. 237</i></p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years, where they:</p> <ul style="list-style-type: none"> provide evidence of decisions made in support of claims remain available for potential repeat and overlapping claims for compensation ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974 section 10</i>. <p>Comparison with other schedules: <i>General retention and disposal schedule</i> disposal authorisation 1009 Asset and money management. 7 years after the financial year to which the records relate. <i>Queensland Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN 653</i></p> <ul style="list-style-type: none"> <i>Reference 9.7.1 - claims made for compensation under the Vegetation Management Act 1999 - retain for 7 years after last action.</i>

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> Reference 10.8.1 - claims made for compensation under the <i>Water Act 2000</i> and the <i>Water Supply (Safety and Reliability) Act 2008</i> - retain for 7 years after last action. <p><i>State Records New South Wales Department of Primary Industries Retention and Disposal Schedule/Authority FA258 Reference 13.1.3</i> - 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.</p>

1.8 Complaints

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.8.1	<p>Complaint Resolution</p> <p>Records relating to handling, mediating and conciliating racing related complaints including, but not limited to:</p> <ul style="list-style-type: none"> conduct of racing officials racing control bodies animal welfare other racing matters. <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 <u>GRDS</u>.</p>	<p>Background/business process:</p> <p>Complaint resolution records are created when a member of the public submits a written complaint into the conduct of licence holders, authorised officers or the department and its staff. Their behaviour is investigated, evidence is documented, recommendations are reported and complainant is advised. Complaints needing further investigation or escalation are forwarded for review by an appropriate officer (e.g. disciplinary action processes) or where appropriate to a hearing by a committee or board.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> Receive complaint, assess complaints, escalate or refer complaints (where identified); request further information, investigate complaint, draft findings, draft response including findings, approve response, forward response <p>Regulatory requirements:</p> <p><i>Racing Integrity Act 2016 - s. 10</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> are required for future business enhancement and improvement support the decisions of the business by providing evidence of complaint outcomes ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Significant complaints associated with or contained on significant audit, investigation and prosecution files are to be linked and managed in accordance with the relevant significant case files.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>Excludes significant complaints associated with or contained on significant audit, investigation and prosecution files.</p> <p>Disposal action – Retain for 7 years after action completed.</p>	<p>Comparison with other schedules:</p> <p><i>Archives Office of Tasmania Records Disposal Authorisation no. 2165 Retention and Disposal Schedule for Records of the Administration of Racing in Tasmania</i></p> <ul style="list-style-type: none"> • <i>Reference 03.06.01:</i> Public Grievances (Integrity control) – Records documenting complaints which create a precedent, raise policy or legal issues, raise issues requiring broader follow up, contain qualified legal opinion or lead to procedural changes – Permanent. • <i>Reference 03.06.02:</i> Records documenting complaints not included in 03.06.01 – Destroy 2 years after action completed. <p><i>State Records NSW Functional Retention and Disposal Authority FA239 documenting the function of liquor, racing, gaming and charitable fundraising regulation</i></p> <ul style="list-style-type: none"> • <i>Reference 7.5.1:</i> Records of individual complaints which are not investigated or do not proceed to prosecution – Retain minimum of 10 years after last action, then destroy. • <i>7.5.0:</i> Records of individual complaints which are not investigated or do not proceed to prosecution – Retain minimum of 10 years after last action, then destroy. <p><i>Archives Office of Tasmania Records Disposal Authorisation no. 2165 Retention and Disposal Schedule for Records of the Administration of Racing in Tasmania</i></p> <ul style="list-style-type: none"> • <i>Reference 01.05.01:</i> Public Grievances (Industry licensing and registration) - Records documenting complaints which create a precedent, raise policy or legal issues, raise issues requiring broader follow up, contain qualified legal opinion or lead to procedural changes – Permanent. • <i>Reference 01.05.02:</i> Records documenting complaints not included in 01.05.01 – Destroy 2 years after action completed. <p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 2.5.1</i> Records of complaints received from race clubs, licensees and members of the public which are addressed to the Minister or Office of Racing Regulation. Include correspondence and related documentation in regard to control bodies, animal welfare and other racing matters. Retain for 7 years after last action. • <i>Reference 2.11.1</i> Records relating to the investigation of complaints referred to/ undertaken by the Office of Racing Regulation (ss. 52-58 of the Act refer). Include investigation plans, copies of control body policies and procedures, audit programs, etc., and related correspondence. Retain for 7 years after last action.

1.9 Control

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.9.1	<p>Compliance Requirements</p> <p>Records relating to maintaining agency compliance with legislative requirements and regulatory standards relating to the provision of racing services and functions e.g. <i>compliance requirements for Racing Science Centre (and subsequent named bodies)</i>. Includes but not limited to:</p> <ul style="list-style-type: none"> • racing science equipment calibrations, checks and tests • racing science laboratory accreditations • racing science testing and analytical services • requisite business related licences and authorisations. <p>Includes:</p> <ul style="list-style-type: none"> • accreditation by NATA as an international quality accredited testing facility • registration as a user of animals for scientific purposes 	<p>Background/business process:</p> <p>Compliance control records are created in maintaining regulatory compliance to external statutory processes, including holding correct authorities in conducting business functions.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • Identify need for regulatory compliance instrument; identify application requirements; commission special requirements e.g. environmental studies; collate application requirements and supporting documents; obtain approvals to submit; submit application and supporting documents; provide information as requested; amend application as required; receive approvals/rejections; revise and resubmit application as required; notify business areas needing approvals to commence other work. <p>Regulatory requirements:</p> <p>As per legislation administered by other agencies, with regulatory requirement to hold particular licences as part of the Department functions, including various legislation and standards associated with scientific and technical activities, including international and Australian standards and codes.</p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business by providing evidence of compliance outcomes and requirements • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period:</p> <p><i>State Records NSW Functional Retention and Disposal Authority FA239 documenting the function of liquor, racing, gaming and charitable fundraising regulation Reference 7.6.1</i> – Records relating to compliance audits whether or not there is a finding of non-compliance – Retain minimum of 10 years after audit, then destroy.</p> <p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 1.7.1</i> Records relating to the Racing Science Centre's accreditation as an accredited facility to analyse things relating to licensed animals under the Racing Act 2002. Include

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> authorisation to import drugs for testing and research e.g. <i>Schedule 8 and 9 drugs</i>. <p>Disposal action – Retain for 7 years from authorisation, license, accreditation, assurance, instrument or recalibration expired/ceased.</p>	<p>accreditation applications, decision notices and related correspondence. Retain for 7 years after cancellation or expiry of accreditation.</p> <ul style="list-style-type: none"> <i>Reference 1.7.2</i> Records relating to the Racing Science Centre’s accreditation as an international quality accredited testing facility. Include accreditation applications, systems appraisals and related correspondence. Retain for 3 years after cancellation or expiry of accreditation. <i>Reference 1.7.7</i> Records relating to the Racing Science Centre’s registration as a user of animals for a scientific purpose. Include registration correspondence, registration certificate, applications for activities, supporting documentation and related correspondence. Retain for 5 years after registration has lapsed. <p><i>Reference 1.7.4</i> Records relating to authorisation of the Racing Science Centre to import Schedules 8 and 9 drugs for use in testing and research. Include license/ permit applications, supporting documentation, licences, permits and related correspondence. Retain for 5 years after last action.</p>
1.9.2	<p>Compliance Audits, Report & Registers</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"> accreditation audits of procedures, systems and records <i>e.g. audits of the receipt and analysis of veterinary samples, quarantine audits</i> periodic reports submitted to other 	<p>Background/business process:</p> <p>Audit records are created in maintaining Departmental quality management processes, management controls and operational processes for Departmental compliance to national, state and local government regimes as per audit assessment requirements and criteria.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> Organise required documentation and personnel; check procedures and processes as per scope of audit; update procedures as required; attend audit as scheduled; find further information as requested; receive audit results and findings; implement recommendations, observations and actions; report implementation actions/outcomes to auditor; report audit outcomes to management. <p>Regulatory requirements:</p> <p>As per legislation administered by other agencies, with regulatory requirement to hold particular licences as part of the Department functions, including various legislation and standards associated with scientific and technical activities, including international and Australian standards and codes.</p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> support the decisions of the business by providing evidence of compliance outcomes and requirements ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period:</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>agencies as part of compliance conditions <i>e.g. annual reports of compliance related activities</i></p> <ul style="list-style-type: none"> • equipment calibration <i>e.g. laboratory instrument calibration checks and tests, reports and certificates</i> • consumables registers <i>e.g. sample analysis consumables register.</i> <p>Disposal action – Retain for 7 years from action completed.</p>	<p><i>State Records NSW Functional Retention and Disposal Authority FA239 documenting the function of liquor, racing, gaming and charitable fundraising regulation Reference 7.6.1 – Records relating to compliance audits whether or not there is a finding of non-compliance – Retain minimum of 10 years after audit, then destroy.</i></p> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 1.7.3</i> Records relating to biennial NATA accreditation audits of procedures, systems and records documenting the receipt and analysis of veterinary samples. Include Laboratory Assessment Worksheet, NATA Report on Assessment and related correspondence. Retain for 3 years after last action. • <i>Reference 1.7.4</i> Records of laboratory instrument calibration checks and tests. Include test reports and calibration certificates (hard copy, which is audited). Retain for 3 years or maximum recalibration interval of equipment, whichever is the longer period. • <i>Reference 1.7.6</i> Register of consumables used in the analysis of samples. Information includes chemical type, supplier, amount purchased, date of purchase, unit cost, expiry date; record of usage; storage location, etc. (Currently retained in an Excel spreadsheet & Hippo – incorporation in LIMS planned). Retain for 3 years from end of last financial year. • <i>Reference 1.7.8</i> Annual reports prepared by the Racing Science Centre as required under s. 87 of The Animal Care and Protection Act 2001. Retain for 5 years after last action. • <i>Reference 1.7.11 Register of Controlled Drugs</i> Register of controlled/Schedules 8 and 9 drugs used for research programs conducted by Veterinary Services. Information may include, but is not limited to: name of drug from whom obtained record of usage. Retain for 5 years after last action. • <i>Reference 1.7.13</i> Records relating to AQIS six-monthly audits, including reports and related correspondence. Retain for 5 years after last action. • <i>Reference 1.7.12 Australian Quarantine Inspection Service (AQIS) Register.</i> Register for the Australian Quarantine Inspection Service (AQIS), kept in accordance with the <i>Quarantine Act 1908</i>. Information may include, but is not limited to: · origin of sample · movement notices · storage and disposal details. Retain for 5 years after last action.

1.10 Disciplinary Action

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.10.1	<p><i>Racing Animals, Participants, Owners and Trainers</i></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"> • from complaints or non-conformance with legislation, etc. • against owners or trainers of licensed animals and participants. <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</p>	<p>Background/business process:</p> <p>Disciplinary action records are created as a result of processes monitoring the conduct of license holders, with non-compliant license holders having their behaviour deemed inappropriate, given legislative requirements and terms and conditions of their license. Their behaviour is investigated, evidence is documented, recommendations are reported and license holders are given due notice of their rights to show cause why their license 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"> • 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. <p>Regulatory requirements:</p> <p><i>Racing Act 2002 (updated 1 July 2016) - s.74-80</i></p> <p><i>Racing Integrity Act 2016 - s. 10, 103, 106, 108, 124-125, 127, 129, 131, 134, 240</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • need to be retained to support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Significant disciplinary actions associated with significant audit, investigation and prosecution files are to be linked and managed in accordance with the relevant significant case files.</p> <p>Comparison with other schedules:</p> <p><i>New South Wales Veterinary Practitioners Board Retention and Disposal Schedule/Authority FA273 Reference 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</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>outcome from a significant case.</p> <p>Disposal action – Retain for 7 years after claim determined.</p>	<p>• 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>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 2.8.2</i> Records of disciplinary action relating to an accredited facility (ss. 135-141 of the Act refer), as result of a complaint, non-conformance with procedures, etc. Include copies of show cause notices, information notices, written representations, legal advice and briefing notes. Retain for 7 years after last action. • <i>Reference 3.3.1 Discipline - Disciplinary action</i> Records relating to disciplinary action taken against owners or trainers of licensed animals, clubs, participants and venues, including the issuing of penalties. Retain for 7 years after last action.

1.11 Disposal

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.11.1	<p><i>Property, Products and Waste</i></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"> • plant and property • animals 	<p>Background/business process:</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> <ul style="list-style-type: none"> • 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. <p>Regulatory requirements: <i>Racing Act 2002 (updated 1 July 2016) - s.129</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business • ensure records are available in the event of a claim for damages or loss

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> seized and forfeited evidence. <p>Excludes chemicals, drugs and other hazardous substances. See <u>GRDS</u>.</p> <p>Excludes hazardous waste, including asbestos and radioactive material. See <u>GRDS</u>.</p> <p>Excludes disposal authorisations of racing related assets.</p> <p>Disposal action - Retain for 7 years after action completed.</p>	<ul style="list-style-type: none"> ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN 633 Reference 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.</p>

1.12 Enforcement

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.12.1	<p>Regulatory Enforcement</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> <ul style="list-style-type: none"> veterinarian care of animals 	<p>Background/business process:</p> <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"> 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 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. <p>Regulatory requirements:</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> prohibited things, including drugs and other banned substances interfering with licensed animals, persons or things. <p>Disposal action – Retain for 7 years after action completed</p>	<p><i>Racing Act 2002 (with July updates 2016) – s. 41-42, 70, 79, 86, 99, 120, 124, 130-131, 133, 149-155, 159, 165-166, 224</i></p> <p><i>Racing Integrity Act 2016 - s. 10, 34, 39, 73, 75-77, 100, 107, 109, 130, 138, 141, 173, 177, 182-183, 187, 189, 195, 198, 200-201, 203, 207-209, 212-219, 221-227, 253-255, 263</i></p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained 7 years as they:</p> <ul style="list-style-type: none"> 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 7 years within the <i>General Retention and Disposal Schedule</i>. support the decisions of the business. ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p> <p><i>Public Record Office Victoria Department of Primary Industries Retention and Disposal Schedule/Authority PROS 04-01 Reference 8.6.0 - issue of penalties or instruction for remedial actions to be undertaken in response to a breach of regulations - destroy 7 years after date of last access.</i></p> <p><i>State Records New South Wales Food Safety Management Retention and Disposal Schedule/Authority FA284</i></p> <ul style="list-style-type: none"> <i>Reference 1.4.1 - summary records of issued penalty notices and prosecutions - retain minimum of 7 years after last action, then destroy.</i> <i>Reference 1.4.3 - 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.</i>

1.13 Incident and Emergency Responses

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.13.1	<p>Significant *</p> <p>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"> • animal welfare, illness and disease • racing competition and betting scandals. <p>Significant includes incidents involving the transmission or suspected transmission of animal illnesses/diseases to humans.</p> <p><i>* Refer to Appendix: Definition of Significant Versus Other</i></p> <p>Disposal action –</p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>Background/business process:</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, and serious illnesses/diseases impacting on human health and welfare.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • 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; complete action plan; close incident/emergency; review responses; identify improvements for next incident/emergency. <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide long term reference value for future incidents. • provides evidence of the department's response in the event of legal challenges. • document the history of the department's work in their response to significant incidents. <p>Permanent retention criteria:</p> <p>Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 2 - Primary Functions and Programs of Government • 3 - Enduring Rights and Entitlements • 4 - Significant Impact on Individuals <p>Comparison with other schedules:</p> <p><i>Queensland Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN 623 Reference 2.1.1</i> - investigations of environmental accidents or incidents that caused, or had the potential to cause, significant environmental harm to native forests - retain permanently.</p> <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN 633 Reference 2.1.1</i> - investigations of environmental accidents or incidents where serious environmental damage occurred or could have occurred - retain permanently.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<i>Queensland Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN 653 Reference 6.17.1 - significant incidents on State land including cyclones and bush fires where significant damage occurs - retain permanently.</i>
1.13.2	<p>Other ~ Records relating to managing other incidents, emergencies and natural disasters not covered by reference number 1.13.1. ~ Refer to Appendix: Definition of Significant Versus Other.</p> <p>Disposal action – Retain for 7 years after action completed.</p>	<p>Background/business process:</p> <ul style="list-style-type: none"> • See above. <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement of emergency and incident response handling. • support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>Queensland Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN 623 Reference 2.1.2 - investigations of environmental accidents or incidents where minimal environmental harm occurred - retain for 7 years after last action.</i> <i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN 633 Reference 2.1.2 - investigations of environmental accidents or incidents where minimal environmental harm occurred - retain for 7 years after last action.</i> <i>Queensland Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN 653 Reference 6.17.2 - minor incidents on State land including cyclones and bush fires where minor damage occurs - retain for 7 years after last action.</i></p>

1.14 Inspections

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.14.1	<p>Significant * Records relating to conducting significant racing related inspections for</p>	<p>Background/business process: Inspection records are created during compliance enforcement processes to inspect premises, vehicles, equipment and other items under relevant legislation.</p> <p>Illustrative process:</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>compliance with legislation including, but not limited to:</p> <ul style="list-style-type: none"> • racing entities, businesses and practices • testing and treating of horses and other racing animals • racing related licensees. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action – Retain for 25 years after action completed.</p>	<ul style="list-style-type: none"> • 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. <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 25 years as they:</p> <ul style="list-style-type: none"> • are required for long term business need based on industry cycles of renewal and regeneration. • 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. • directly relate to or provide background information to significant incidents or investigations. • represent industry cycles over time required for reference to effectively assess long-term impacts including environmental impacts and outcomes. <p>Comparison with other schedules: <i>Archives Office of Tasmania Records Disposal Authorisation no. 2165 Retention and Disposal Schedule for Records of the Administration of Racing in Tasmania Reference 03.04.02: Inspection reports – Destroy 7 years after cessation of licence.</i> <i>Archives Office of Tasmania Records Disposal Authorisation no. 2165 Retention and Disposal Schedule for Records of the Administration of Racing in Tasmania Reference 03.04.03: Facilitative records relating to the conduct of stable. Kennel and track inspections and records documenting the provision of general information about inspections – Destroy 2 years after action completed.</i> <i>Archives Office of Tasmania Records Disposal Authorisation no. 2165 Retention and Disposal Schedule for Records of the Administration of Racing in Tasmania Reference 03.07.07: Veterinary record book – Destroy 5 years after last entry.</i></p> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 1.12.1: Positive samples – Retain for 5 years after last action</i> • <i>Reference 1.12.2: Negative samples – Retain for 1 year after last action.</i>
1.14.2	<p>Other ~ Records relating to conducting other racing related inspections not</p>	<p>Background/business process: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>covered by reference number 1.14.1.</p> <p>~ Refer to Appendix: Definition of Significant Versus Other.</p> <p>Disposal action –</p> <p>Retain for 7 years after action completed.</p>	<ul style="list-style-type: none"> • support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620 Reference 2.10.4</i></p> <p>- copies of audit programs for licensed 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>

1.15 Investigation

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.15.1	<p>Significant *</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"> • racing and sports betting venues, events and industry • racing control boards, bodies and associates • conflicts of interest relating to racing and sports betting • animal welfare • breeding of animals 	<p>Background/business process:</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"> • Receive complaint/notification of potential offence; conduct investigations; conduct interviews; collect evidence; compile case; make recommendations for prosecution; refer to prosecutors. <p>Regulatory requirements:</p> <p><i>Racing Integrity Act 2016 – s. 10, 32, 33, 35, 37, 38, 10, 144, 160-172, 174-176, 178-181, 188, 192-194, 196</i></p> <p><i>Recordkeeping requirements in Racing Integrity Act:</i></p> <p><i>s. 35 Criminal history report for investigation</i></p> <p><i>s. 114 confidentiality of criminal intelligence in suitability investigations and appeal proceedings</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires 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"> • racing of licensed animals. <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action – Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> • are required for long term business need based on industry cycles of renewal and regeneration • represent industry cycles over time required for reference to effectively assess long-term impacts. They are the foundations for corporate memory for enhancement and improvement of economic impacts and outcomes. • provide evidence of decisions, support actions, and provide a history of the investigations relating to racing. • are required for long term reference for generational change. • support other business processes including complaint conciliation, mediation, enforcement and dispute resolution processes. <p>This new record class is warranted given that the Queensland Racing Integrity Commission was established after an investigation by the Queensland Greyhound Racing Industry Commission of Inquiry into incidents of live animal baiting.</p> <p>Permanent retention criteria: Meets the following characteristic of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 5 - Substantial contribution to community memory. <p>Comparison with other schedules: <i>State Records NSW Functional Retention and Disposal Authority FA239 documenting the function of liquor, racing, gaming and charitable fundraising regulation</i></p> <ul style="list-style-type: none"> • <i>Reference 7.5.1:</i> Records of individual complaints which are not investigated or do not proceed to prosecution – Retain minimum of 10 years after last action, then destroy. • <i>Reference 7.8.1:</i> Records regarding investigations arising from complaints and/or compliance audits that demonstrated widespread public concern as revealed, for instance, in the media or Parliament or where the investigation results in significant changes in legislation policy or processes. Includes the final report of the investigation – Required as State archives. • <i>Reference 7.8.2:</i> Records of investigations against racing and sports betting venues, events and industry. Records include initial complaint, investigation report into the complaint and outcome – Retain minimum of 10 years after investigation is finalised (including any enforcement action arising), then destroy. <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620 Reference 2.11.1</i> Records relating to the investigation of complaints referred to/ undertaken by the Office of Racing</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<p>Regulation (ss. 52-58 of the Act refer). Include investigation plans, copies of control body policies and procedures, audit programs, etc., and related correspondence. Retain for 7 years after last action.</p> <p>Comments: Documents which relate to the Racing Integrity Commissioner’s exercise of powers under sections 36 to 40 of the <i>Racing Integrity Act 2016</i> are sensitive and have security requirements. The release of select documents may prejudice investigations that are currently being undertaken by the QRIC.</p>
1.15.2	<p>Other ~ Records relating to investigating other racing related offences under relevant legislation not covered by reference number 1.15.1. <i>~ Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action – Retain for 7 years after action completed.</p>	<p>Background/business process: See above.</p> <p>Regulatory requirements: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement. • support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>Queensland Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN 623 Reference 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. <i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN 633 Reference 2.1.2</i> - investigations of environmental accidents or incidents where minimal environmental harm occurred - retain for 7 years after last action. <i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 Reference 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>Earlier disposal authorisations for similar records:</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<p><i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620 Reference 2.11.1</i> Records relating to the investigation of complaints referred to/ undertaken by the Office of Racing Regulation (ss. 52-58 of the Act refer). Include investigation plans, copies of control body policies and procedures, audit programs, etc., and related correspondence. Retain for 7 years after last action.</p>

1.16 Licensing

Disposal Authorisation	Record class and retention period	Justifying the retention period
<p>1.16.1</p>	<p><i>Granted licences and permits – Significant *</i> Records relating to approving and issuing racing related licences and permits including, but not limited to:</p> <ul style="list-style-type: none"> • racing participants • wagering operators and bookmakers. <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.</p>	<p>Background/business process: Licence* records are created during licensing application assessment processes. Illustrative process:</p> <ul style="list-style-type: none"> • Receive licence* application; assess license application; request further information; assess individual supporting studies and reports; consult with stakeholders; make required checks; check histories (e.g. criminal, occupational), qualifications, examination results, mutual recognition and previous licence status; grant licence; issue licence identification or certification; transfer, suspend, renew or cancel licence. <p><i>* License is generic term covering a range of types including licences, permits, leases, certifications, exemptions, clearances, claims, charges, benefits, interests. Note: The period of currency/renewal varies with type of licence and the legislation it is issued under.</i></p> <p>Regulatory requirements: <i>Racing Act 2002 (updated 1 July 2016) - s. 106, 109</i> <i>Racing Integrity Act – s. 3, 10, 67-71, 101-102, 111, 116-123, 142, 240</i> <i>Recordkeeping requirements in Racing Integrity Act:</i> <i>s. 112 destruction of fingerprint records after refusal, surrender or cancellation of license</i> <i>s. 114 confidentiality of criminal intelligence in suitability investigations and appeal proceedings</i></p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • are required for long term business need based on industry cycles of renewal and regeneration.

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>See 2.8.2 for licensing done under previous functional demarcations.</p> <p>Disposal action – Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> • represent industry cycles over time required for reference to effectively assess long-term impacts. They are the foundations for corporate memory for enhancement and improvement of economic impacts and outcomes. • provide evidence of decisions, support actions, and provide a history of significant racing licences • are required for long term reference for generational change <p>Permanent retention criteria: Meets the following characteristic of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 5 - Substantial contribution to community memory. <p>Comparison with other schedules: <i>State Records NSW Functional Retention and Disposal Authority FA239 documenting the function of liquor, racing, gaming and charitable fundraising regulation</i></p> <ul style="list-style-type: none"> • <i>Reference 7.10.2:</i> Racecourse licence applications (individual cases) – Required as State archives. • <i>Reference 7.10.3:</i> Summary records of licensed racing venues, including: name, location, date of registration, operators details – Required as State archives. • <i>Reference 7.10.1:</i> Totalizator licence case files – Required as State archives. <p><i>Public Records Office Victoria PROS 04/07 Retention and Disposal Authority for Record of the Office of Gaming and Racing Reference 2.2:</i> Racecourse Licence Records – Retain as State Archives.</p> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule QDAN 620 Reference 3.5.1:</i> Licensing files – significant Records relating to the licensing of animals, clubs, participants and venues that have made a significant contribution to the racing industry. Factors that can determine a permanent retention include whether the animal, club, participant or venue: · achieved some considerable standing or notoriety in the racing industry · was the subject of controversy or extensive media attention · excelled in their code of racing, e.g. consistently achieved high results, won a considerable number of high profile races or prizemoney in Queensland, interstate or overseas · was of historical interest, e.g. first venue to introduce night meetings, first female driver, trainer or bookmaker, inductee of the Australia Racing Hall of Fame or Australian Greyhound Racing Association Hall of Fame. Retain permanently.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.16.2	<p>Granted licences and permits – Other ~</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"> • racing participants • wagering operators and bookmakers. <p>Excludes licensing of racing animal colours, syndicates and partnerships.</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><i>See 2.8.3 for licensing done under previous functional demarcations.</i></p> <p>Disposal action –</p> <p>Retain 25 years after license/permit expires or ceases.</p>	<p>Background/business process:</p> <p>See above.</p> <p>Regulatory requirements:</p> <p>See above.</p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 25 years as they:</p> <ul style="list-style-type: none"> • represent industry cycles over time required for reference to effectively assess long-term impacts. They are the foundations for corporate memory for enhancement and improvement of economic impacts and outcomes. • are needed to provide evidence of these decisions, support actions, and provide a history of racing industry management programs. • are required for long term reference for generational change. <p>Comparison with other schedules:</p> <p><i>Public Records Office Victoria PROS 04/07 Retention and Disposal Authority for Record of the Office of Gaming and Racing</i></p> <ul style="list-style-type: none"> • <i>Reference 1.1</i> Bookmakers and Bookmakers Clerks Licencing Records – Destroy 7 years after expiry or non-renewal of registration. • <i>Reference 2.1</i> Race Club Licence Records – Destroy 7 years after cancellation or surrender of licence. <p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 3.5.2</i> Licensing files – other – Records relating to the licensing of animals, clubs, participants and venues other than those described under reference number 3.5.1. Retain for 20 years after licence expires or cancelled. • <i>Reference 3.5.8</i> Racing colours Records relating to the registration of racing colours, including registration applications and renewal applications. Retain for 5 years after registration cancelled or expires. • <i>Reference 3.5.7</i> Syndicates and partnerships – Records relating to the registration of syndicates and partnerships. Retain for 7 years after registration cancels or expires.

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.16.3	<p><i>Granted licences and permits – Racing animal colours, syndicates and partnerships</i></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"> • racing animal colours • racing animal syndicates and partnerships. <p>Disposal action –</p> <p>Retain 7 years after license/permit expires or ceases.</p>	<p>Background/business process:</p> <p>See above.</p> <p>Regulatory requirements:</p> <p>See above.</p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p> <p><i>Public Records Office Victoria PROS 04/07 Retention and Disposal Authority for Record of the Office of Gaming and Racing</i></p> <ul style="list-style-type: none"> • <i>Reference 1.1</i> Bookmakers and Bookmakers Clerks Licencing Records – Destroy 7 years after expiry or non-renewal of registration. • <i>Reference 2.1</i> Race Club Licence Records – Destroy 7 years after cancellation or surrender of licence. <p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 3.5.8</i> Racing colours Records relating to the registration of racing colours, including registration applications and renewal applications. Retain for 5 years after registration cancelled or expires. • <i>Reference 3.5.7</i> Syndicates and partnerships – Records relating to the registration of syndicates and partnerships. Retain for 7 years after registration cancels or expires.

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.16.4	<p><i>Unsuccessful, refused and withdrawn applications</i></p> <p>Records relating to unsuccessful, refused and withdrawn applications for racing related licences and permits.</p> <p>Disposal action – Retain for 7 years after licence/permit refused/withdrawn.</p>	<p>Background/business process: See above.</p> <p>Regulatory requirements: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 3.5.3</i> Applications – refused Records relating to applications for licences for animals, clubs, participants and venues that are refused by the control body. Includes renewal applications that are refused. Retain for 7 years after last action and conclusion of appeals process. • <i>Reference 3.5.4</i> Applications – lapsed/withdrawn Records relating to applications for licences for animals, clubs, participants and venues that have lapsed or are withdrawn by the applicant. Retain for 7 years after last action.

1.17 Monitoring and Surveillance

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.17.1	<p><i>Monitoring licence holders and areas</i></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"> • racing control bodies and their controls and systems • racing animals, riders and drivers • racing animal syndicates and partnerships (groups) • racing participants • bookmakers • racing animal colours. <p>Includes:</p> <ul style="list-style-type: none"> • planning, scheduling, rostering, designing and identifying compliance enforcement monitoring activities, surveillance 	<p>Background/business process:</p> <p>Monitoring and surveillance records are created in planning and programming enforcement actions processes. Monitoring processes scan the ‘environment’ or area for issues of non-compliance and can initiate many other processes such as inspections (1.14), investigations (1.15), incident/emergency responses, licensing (e.g. action to suspend/cancel within licensing processes (1.16)) and may trigger a more serious compliance response such as enforcement actions (e.g. directives, orders, fines, etc. within enforcement processes (1.12)), or formal quality processes such as auditing (5.1.1). Monitoring processes may also inform research activities, but is distinct from research that is conducted for its own sake, or as a functional activity improvement process. Monitoring processes are focussed on compliance efforts with the data collected generally used to inform further compliance monitoring processes. If other processes use monitoring related data, this data is an input into those other processes as well as being an output of monitoring related processes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • 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). <p>Regulatory requirements:</p> <p>Monitoring and surveillance is an inferred responsibility given enforcement, inspection, investigation, and prosecution activities, however:</p> <p><i>Racing Integrity Act – s. 10, 69, 87-93, 100, 106, 111, 114-124, 126-128, 169</i></p> <p><i>Racing Act (with July 2016 update) – s. 71</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement. • need to be retained to support the decisions of the business. <p>Comparison with other schedules:</p> <p><i>State Records NSW Functional Retention and Disposal Authority FA239 documenting the function of liquor, racing, gaming and charitable fundraising regulation Reference 7.12.2: Reports on race</i></p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p><i>e.g. cameras, data recorders, and checks</i> <i>e.g. broad sweeps of an area, targeting and visiting targeted specific types rights holders obtaining or creating data about participants</i></p> <ul style="list-style-type: none"> • developing plans of proposed compliance activities relevant to monitoring the industry/sector and ensure legislative and regulatory compliance • conducting random on-the-spot checks (initiated during monitoring and surveillance activities), including smaller “inspections” and “investigations’ where no notable non-compliance evidence was found in inspection and investigation processes. <i>See 1.14 and 1.15</i> <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>meetings, TAB monitoring, bookmakers telephone conversations and on course incidents – Retain minimum of 5 years after last action, then destroy.</p> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 1.7.9</i> Records relating to animal care monitoring programs. Includes notifications, reports and related correspondence. Retain for 5 years after last action.

Disposal Authorisation	Record class and retention period	Justifying the retention period
	Disposal action - Retain for 7 years after action completed.	
	<i>For monitoring animal welfare and breeding facilities and programs, see 1.3.3.</i>	

1.18 Partnerships

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.18.1	<p>Significant *</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><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action – Permanent. Transfer to QSA after business action completed.</p>	<p>Background/business process:</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 racing industry development responsibilities, activities and programs.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> 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). <p>Regulatory requirements: <i>Racing Integrity Act – s. 10</i></p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> provide long term reference value. document the history of the department’s significant work. <p>Permanent retention criteria: Meets the following characteristics</p> <ul style="list-style-type: none"> 2 - Primary Functions and Programs of Government 5 - Substantial Contribution to Community Memory 6 - Environmental Management and Change

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<p>Comparison with other schedules:</p> <p><i>General retention and disposal schedule</i> disposal authorisation 1002 Agreements and contracts – significant. Permanent.</p> <p><i>Department of Natural Resources and Water (Forestry Plantation Queensland) Retention and Disposal Schedule/Authority QDAN 633 Reference 1.1.1</i> - 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.</p> <p><i>Department of Primary Industries and Fisheries (BSES) Retention and Disposal Schedule/Authority QDAN 596 Reference 1.2.1</i> - 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.</p> <p><i>Public Records Office Victoria Department of Primary Industries PROS04-01 Reference 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>
1.18.2	<p>Other ~</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><i>~ Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action –</p> <p>Retain for 7 years after partnership expires.</p>	<p>Background/business process:</p> <p>See above.</p> <p>Regulatory requirements:</p> <p>See above.</p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement. • need to be retained to support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<p><i>General retention and disposal schedule</i> disposal authorisation 1002 Agreements and contracts – not under seal. 7 years after the expiry or termination of the agreement or contract.</p> <p><i>Department of Natural Resources and Water (Forestry Plantation Queensland) QDAN 633 Reference 1.1.2 - 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.</i></p>

1.19 Planning

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.19.1	<p>Significant *</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"> • racing industry reviews and forward planning • racing industry reporting <i>e.g. quarterly, annual reporting</i> used for planning. 	<p>Background/business process:</p> <p>Planning records are created during planning, reviewing and evaluating racing regulation and industry development processes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • 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. <p>Regulatory requirements: <i>Racing Integrity Act – s. 47</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • 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. • document the history of the department’s significant work. <p>Permanent retention criteria:</p> <p>Meets the following characteristic of the QSA Appraisal Statement:</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<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><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action – Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> • 2 - Primary functions and programs of government • 5 - Substantial contribution to community memory • 6 - Environmental management and change. <p>Comparison with other schedules: <i>General retention and disposal schedule</i> disposal authorisation 1029 Plans – significant. Permanent. <i>Queensland Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN 623 Reference 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. <i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN 633 Reference 2.5.1</i> - environmental conservation issues which underpin Forestry Plantations Queensland policies relating to environmental management - retain permanently. <i>Queensland Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN 623 Reference 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>
1.19.2	<p>Other ~ 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><i>~ Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action – Retain for 7 years after action completed.</p>	<p>Background/business process: See above.</p> <p>Regulatory requirements: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement. • support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period: <i>Queensland Local Government Sector QDAN480 v4 Reference 11.1.1 Environmental Management Programs – approved</i> Records relating to approved Environmental Management Programs voluntarily</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<p>submitted to the Environmental Protection Agency by the local government in accordance with the <i>Environmental Protection Act 1994</i>. Retain for 7 years after program completed or activity ceases.</p> <p><i>New South Wales Department of Environment and Conservation DA 216 Reference 19.11.2</i> Records relating to the development of action or business plans supporting natural resource management projects or programs. Includes routine drafts, comments etc. Retain minimum of 7 years after last action, then destroy.</p>

1.20 Prosecution

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.20.1	<p>Significant *</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><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action –</p>	<p>Background/business process:</p> <p>Prosecution records are created when a case has been made to charge persons/parties with offences under relevant legislation. Officers conduct court cases (presenting evidence and arguments to the judiciary) to resolve cases and offenders are prosecuted as a disincentive for non-compliance to legislation and other statutory instruments.</p> <p>A select number of prosecuted cases lead to appeals.</p> <p>Significant cases include those that set a precedent, <i>e.g. first prosecuted large multinational company</i>, or are the first of its kind, <i>e.g. under ground breaking new legislative provisions previously thought to be too complex to successfully prosecute.</i></p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • 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. <p>Regulatory requirements:</p> <p><i>Racing Integrity Act 2016 – s. 10, 32, 33, 37, 38, 10, 144, 160-172, 174-176, 178-181, 188, 192-194, 196</i></p> <p><i>s. 233 by way of summary proceeding under the Justices Act 1886 must start within the later of the following— (a) within 1 year after the offence is committed; (b) within 6 months after the offence comes to the complainant’s knowledge, but within 2 years after the offence is committed.</i></p> <p><i>s. 236 History of convictions for offences against Racing Integrity, Racing Act (and repealed Acts) is not admissible in evidence after 10 years. A conviction for an offence against this Act, the Racing Act</i></p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	Permanent. Transfer to QSA after business action completed.	<p><i>or the repealed Racing and Betting Act 1980 is not, after 10 years from the date of the conviction, receivable in evidence against a person for the purpose of subjecting the person to an increased penalty or to a forfeiture under this Act.</i></p> <p>Permanent retention criteria: Meets the following characteristic of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 3 - Enduring Rights and Entitlements • 4 - Significant Impact on Individuals. <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide evidence of decisions, support actions, and provide a history of repeat and habitual offenders. • provide long term reference for generational change. • set a precedent. <p>Comparison with other schedules: <i>Department of Justice and Attorney-General (Crown Law) Retention and Disposal Schedule QDAN 677 Reference 1.2.1</i> Records relating to representation and litigation services provided by Crown Law in matters which are precedent setting - Retain permanently. <i>Public Records Office Victoria Department of Primary Industries PROS04-01 Reference 6.2.0</i> - Legal documents – Retain permanently. <i>Agriculture Retention and Disposal Schedule QDAN719 v.1 Reference 1.19.1</i> Prosecution – Significant – Retain permanently.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.20.2	<p>Other ~</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><i>~ Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action – Retain for 7 years after action completed.</p>	<p>Background/business process: See above.</p> <p>Regulatory requirements: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>State Records New South Wales Food Safety Management Retention and Disposal Schedule/Authority FA284</i> Reference 1.4.1 - summary records of issued penalty notices and prosecutions - retain minimum 7 years after last action, then destroy. <i>Public Record Office Victoria Department of Primary Industries Retention and Disposal Schedule PROS 04-01</i> Reference 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.</p>

1.21 Registration

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.21.1	<p>Register of racing control bodies</p> <p>Records relating to registration of racing control bodies.</p> <p>Includes details of:</p> <ul style="list-style-type: none"> • licensed/registered corporations and related corporations • licensed/registered individuals, related individuals and associates (business/executive) • industry framework requirements such as plans, policies, standards, procedures, etc. • processes and checks undertaken and approvals given • renewal processes and updates to industry framework requirements • regulatory compliance activities undertaken e.g. audits, inspections, investigations. 	<p>Background/business process:</p> <p>The register of racing control bodies is created to capture applicant/holder's licence details for legislative and regulatory compliance and enforcement. This register facilitates audits and inspections, the planning of compliance activities and general industry monitoring.</p> <p>Permanent retention criteria</p> <p>Meets the following characteristic of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 2 - Primary Functions and Programs of Government • 5 - Substantial Contribution to Community Memory <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide evidence that the Queensland racing industry is subject to a high degree of regulation. • document the history of the regulation and service delivery in the racing industry. • demonstrate that the highest standards of animal welfare are maintained within the racing industry. • provide public confidence that the racing industry is free from corruption. <p>Comparison with other schedules:</p> <p><i>State Records NSW Functional Retention and Disposal Authority FA239 documenting the function of liquor, racing, gaming and charitable fundraising regulation.</i></p> <p><i>Reference 7.10.3: Summary records of licensed racing venues, including: name, location, date of registration, operators details – Required as State archives.</i></p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>Disposal action – Permanent. Transfer to QSA after business action completed.</p>	
1.21.2	<p><i>Enforcement, Monitoring, Investigations and Prosecutions Registers</i> Records relating to keeping registers of compliance enforcement, monitoring, investigations and prosecutions, including results of investigating and prosecuting offences, under relevant racing related legislation. Includes registration of racing related:</p> <ul style="list-style-type: none"> • enforcement orders • compliance related notifications • investigations (offences) • prosecutions (offences) • appeals. <p>Disposal action – Retain for 25 years after action business completed.</p>	<p>Background/business process: Investigation and prosecution registration records are created during investigation and prosecution processes, including beginning and end of investigations and prosecutions, with a select number of cases leading to appeals. Illustrative processes for front end processes:</p> <ul style="list-style-type: none"> • Receive and assess registration application; request further information; approve registration application; register entry. • Receive and assess change request; request further information; approve change request; register entry. • Receive deletion request (internally approved request of external advice); delete entry. <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 25 years as they:</p> <ul style="list-style-type: none"> • 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. • document the history of the department’s work. <p>Significant investigations are being kept permanently and the Courts hold significant case files permanently (or 12 years for non-significant cases).</p> <p>Comparison with other schedules: <i>Agriculture Retention and Disposal Schedule QDAN719 v.1</i> Reference 1.20.1 Investigations and prosecutions registers – Retain for 25 years after action completed.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.21.3	<p>Racing Related Registers</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"> • racing partnerships • racing syndicates and partnerships • racing animals (on-track registrations/licences) • wagering operators and bookmakers • racing related entities • racing colours • racing animal interest disclosures by control body executives • sample registrations and analytical findings and summaries (e.g. positive and negative samples). <p>Excludes lifecycle tracking of individual animals to monitor their ongoing</p>	<p>Background/business process:</p> <p>License holder registration records are created as an out of licensing processes. See 1.21.1 above for illustrative processes.</p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained 7 years as they:</p> <ul style="list-style-type: none"> • need to be retained to support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p> <p><i>State Records NSW Functional Retention and Disposal Authority FA239 documenting the function of liquor, racing, gaming and charitable fundraising regulation.</i></p> <ul style="list-style-type: none"> • <i>Reference 7.10.3:</i> Summary records of licensed racing venues, including: name, location, date of registration, operators details – Required as State archives. <p><i>Tasmanian Disposal Schedule for the Administration of Racing DA 2165.</i></p> <ul style="list-style-type: none"> • Reference 04.05.02 Records documenting the registration of race clubs and racecourses. These may include: • Application for registration • Statement in relation to proprietary club status • Details of membership numbers and fees • Lease documents • Plans and specifications of racecourse • Submissions from interested parties • Letters of objection to registration. Destroy 7 years after cessation of registration. • Reference 04.05.04 Records documenting the registration of bookmakers, bookmakers' agents and bookmakers' clerks. These may include: • Application for registration • Copies of Subsisting and/or Provisional Certificates of Registration. • Statement of assets and liabilities • Record of interview • Criminal record check. Destroy 7 years after cessation of registration. <p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 1.7.11</i> Register of controlled/ Schedules 8 and 9 drugs used for research programs conducted by Veterinary Services. Information includes name of drug, from whom obtained, record of usage, etc. (hard copy). Retain for 5 years after last action. • <i>Reference 1.7.12</i> Australian Quarantine Inspection Service (AQIS) Register (hard copy). Information includes origin of sample, movement notice, storage and disposal details. Retain for 5 years after last action.

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>welfare, before and after racing. See 1.21.4.</p> <p>Excludes register of racing control bodies. See 1.21.1.</p> <p>Disposal action –</p> <p>Retain 7 years after license or registration expires/ceases.</p>	<ul style="list-style-type: none"> • <i>Reference 1.3.1</i> Laboratory Information Management System (LIMS) records. Include sample registration details and summary of analytical findings (for positive and negative samples). Retain for 5 years after last action.
1.21.4	<p><i>Animal Lifecycle Tracking Registers</i></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>Disposal action –</p> <p>Retain 2 years after animal deceased.</p>	<p>Background/business process:</p> <p>License holder registration records are created out of licensing processes. See 1.21.1 above for illustrative processes.</p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained 2 years as they:</p> <ul style="list-style-type: none"> • have short term value in supporting the decisions of the business <p>Comparison with other schedules:</p> <p><i>New South Wales General Disposal Authority for Local Government Records 2015-001 Reference 93.7</i> Other registers, such as: Animal Lodgings Retain 7 years after action completed, then destroy.</p>

1.22 Research

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.22.1	<p>Significant *</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"> • performance of racing animals and persons • effects of prohibited drugs • improved racing practices for animals and the racing industry. <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><small>* Refer to Appendix: Definition of Significant Versus Other.</small></p> <p>Disposal action –</p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>Background/business process:</p> <p>Research records are created in scientific experiments, trials and knowledge advancement processes which are used for the innovation, introduction and improvement of racing management products and processes and increasing knowledge of racing related veterinary 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>Illustrative process:</p> <ul style="list-style-type: none"> • 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. <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide long term reference value to the department upon which future research is built. • cover risks associated with challenges made to patents, commercialisation and other significant research outcomes, including transparency and repeatability of research trials and experiments. • document the history of the department's significant work <p>Permanent retention criteria:</p> <p>Meets the following characteristic of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 5 - Substantial Contribution to Community Memory <p>Comparison with other schedules:</p> <p><i>General retention and disposal schedule</i> disposal authorisation 1046 Research – significant. Permanent.</p> <p><i>Queensland Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN 623.</i></p> <ul style="list-style-type: none"> • <i>Reference 2.10.1</i> - records of original research to support the development of significant environmental management programs within NRW Forest Products, such as the adoption of a modified or an alternative Environmental Management System - retain permanently.

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> • <i>Reference 3.7.1</i> - records of original research to support the development of significant fire management programs within NRW Forest Products, e.g., Reports into cessation or extension of prescribed burning - retain permanently. • <i>Reference 5.8.1</i> - records of original research, including method trials, to support the development of significant native forest management programs within NRW Forest Products - retain permanently. <p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN 633</i></p> <ul style="list-style-type: none"> • <i>Reference 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. • <i>Reference 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. • <i>Reference 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. <p><i>Queensland Department of Environment and Resource Management Retention and Disposal Schedule/Authority QDAN 653 Reference 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>
1.22.2	<p>Other ~ 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><i>~ Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action – Retain for 10 years after action completed.</p>	<p>Background/business process: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 10 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement. • need to be retained to support the decisions of the business. <p>Comparison with other schedules: <i>General retention and disposal schedule</i> disposal authorisation 1047 Research - Other. 5 years after business action completed.</p> <p><i>Queensland Department of Natural Resources and Water (Forest Products) Retention and Disposal Schedule/Authority QDAN 623 Reference 4.6.1</i> - research to support the development of significant forest product marketing programs within NRW Forest Products - retain for 10 years after last action.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<p><i>Forestry Plantations Queensland Retention and Disposal Schedule/Authority QDAN 633 Reference 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> <p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 1.11.3</i> Records of Analytical Services research projects for documenting levels of sensitivity, methods of testing/analysis for prohibited substances, etc. Retain for 10 years after last action. • <i>Reference 2.10.3</i> Research Records relating to the research of legislative or policy issues, e.g., tenure arrangements for key racing venues, betting exchanges, etc. Include working party/steering committee minutes and agendas, consultation documents, legal advice, briefing notes, ministerial correspondence. Retain for 10 years after last action.

1.23 Stakeholder Engagement

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.23.1	<p>Significant *</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><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p>	<p>Background/business process:</p> <p>Stakeholder engagement records can be a subset of other records 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"> • 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 processes as per context of material issues), review engagement (links to performance management process). <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide long term reference value.

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>Disposal action – Permanent. Transfer to QSA after business action completed.</p>	<ul style="list-style-type: none"> document the history of the department’s significant work. <p>Permanent retention criteria: Meets the following characteristics</p> <ul style="list-style-type: none"> 5 - Substantial Contribution to Community Memory <p>Comparison with other schedules: <i>General retention and disposal schedule</i> disposal authorisation 1039 Projects – significant. Permanent. <i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 Reference 3.3.1</i> - liaison activity that leads to the establishment of business sustainable programs and sets a precedent or raises systemic issues – retain permanently.</p>
1.23.2	<p>Other ~ Records relating to conducting consultative and engagement processes with external stakeholders not covered by reference number 1.23.1. Excludes inter-agency collaboration processes and projects including compliance related cooperation coordination in enforcement, monitoring and surveillance, investigations and prosecutions. See 1.23.3. ~ Refer to Appendix: Definition of Significant Versus Other.</p> <p>Disposal action – Retain for 7 years after action completed.</p>	<p>Background/business process: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> are required for future business enhancement and improvement. support the decisions of the business. ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>General retention and disposal schedule</i> disposal authorisation 1025 Stakeholder engagement. 7 years after business action completed. <i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 Reference 3.3.2</i> - all other liaison activity - client files etc. - destroy 7 years after the activity and client cease.</p> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620 Reference 1.8.1</i> Records relating to arrangements for memberships in the Association of Official Racing Chemists, the Australian Veterinary Association, National Integrity Equine Welfare Advisory Group (NIEWAG), etc. Includes membership applications, related documentation and correspondence. Retain for 5 years after last action.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.23.3	<p>Inter-Agency Collaboration</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.</p> <p>Includes on-the-ground field work directions and communications.</p> <p>Includes sharing schedules and work effort.</p> <p>Excludes inter-agency information sharing on regulatory frameworks e.g. legislation, policy, standards, etc. See <u>GRDS</u>.</p> <p>Excludes inter-agency agreements on collaboration processes and projects. See 1.2.</p> <p>Disposal action – Retain for 7 years after action completed.</p>	<p>Background/business process: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement • support the decisions of the business • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>General retention and disposal schedule</i> disposal authorisation 1025 Stakeholder engagement. 7 years after business action completed. <i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 Reference 3.3.2</i> - all other liaison activity - client files etc. - destroy 7 years after the activity and client cease.</p>

1.24 Stewarding

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.24.1	<p>Stewarding Activities</p> <p>Records relating to running of races, and race day and non-race day activities by stewards and other authorised officers.</p> <p>Includes:</p> <ul style="list-style-type: none"> • overseeing race day activities across all codes of racing. • monitoring lawful conduct in racing, betting and animal welfare practices. • supporting stewards in managing contentious, litigious and administrative issues. • providing legal liaison for stewards. <p>Excludes formal investigation and enforcement processes not relating to race day activities and participants, such as investigating stewards themselves. See 1.15 and 1.20</p> <p>Excludes testing processes for human and animal racing</p>	<p>Background/business process:</p> <p>Stewards are appointed by the Department (under 1.5 Appointments) and oversee the running of race day and other race related activities. The minute detail of managing these activities (e.g grading, handicapping, calendars etc.) is only relevant for a short period of time during which important information is copied/included in other processes such as investigations (1.18), testing (1.28), appeals (GRDS), and inquiries (GRDS). The Department has no ongoing use for the details of races superseded by the following year's races, with important details kept by subsequent business processes (under alternate records classes).</p> <p>Regulatory requirements: <i>Racing Integrity Act s. 10</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 1 year as they:</p> <ul style="list-style-type: none"> • have short term value in supporting the decisions of the business. <p>Comparison with other schedules:</p> <p>Tasmanian Disposal Schedule for the Administration of Racing DA 2165</p> <ul style="list-style-type: none"> • <i>Reference 06.04.04</i> Records relating to race day activities of harness race meetings. These may include: • Drivers attending sheet • Stall directory • Form guides Destroy 2 years after end of racing season. • <i>Reference 06.03.04</i> Records relating to race day activities of greyhound race meetings. These may include: • Scratching forms • Scratching Report • Reweigh schedule • List of first starters • Official time sheets • Form guide • Stewards checklist/scratching distribution lists • Schedule of greyhounds barred • Schedule of uncleared greyhounds • Schedule of ear brands • Schedule of trainers Destroy 2 years after end of racing season. • <i>Reference 06.04.05</i> Records supplemental to race day activities of harness race meetings. These may include: • Barrier statistics • List of race headings Destroy when reference ceases. • <i>Reference 06.03.03 & 06.04.03</i> Master copy of race meeting fields. Destroy when reference ceases. <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620</i></p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>participants e.g. drug testing. See 1.25</p> <p>Excludes appointment of Stewards. See 1.5.1</p> <p>Excludes appeals of race day decisions made by stewards. See 1.24.2</p> <p>Excludes appeals. See <u>GRDS</u>.</p> <p>Disposal action –</p> <p>Retain 1 year after action completed.</p>	<ul style="list-style-type: none"> • <i>Reference 3.6.8 Racing calendars</i> Records relating to racing calendars that document dates and places for race meetings, information about race length and eligibility to enter, in accordance with s.38 of the <i>Racing Act 2002</i>. Retain for 1 year after superseded. • <i>Reference 3.4.1 Handicapping – Horses</i> Records relating to the handicapping of thoroughbred and standard bred horses to determine an animal's eligibility or status to participate in a particular harness race. Retain for 1 year after last action. • <i>Reference 3.4.2 Race day activities</i> Records relating to race day activities of thoroughbred races and harness race meetings. Records may include, but are not limited to: · scratching forms · scratching reports · drivers attending sheet · stall directory · form guides. Retain for 1 year after last action. • <i>Reference 3.4.3 Grading – greyhounds</i> Records relating to the grading of greyhounds to determine an animal's eligibility or status to participate in a particular greyhound race. Records may include, but are not limited to: · nomination sheets · list of unsuccessful nominations · grading worksheets · grading checklists. Retain for 1 year after last action. • <i>Reference 3.4.4 Greyhound race day activities</i> Records relating to race day activities of greyhound race meetings. Records may include, but are not limited to: · scratching forms · scratching reports · official time sheets · form guide · steward's checklist. Retain for 1 year after last action.
1.24.2	<p>Stewards Inquiries</p> <p>Records relating to determining appeals for stewarding activities. Includes:</p> <ul style="list-style-type: none"> • inquiries conducted by racing stewards (in accordance with the control body's rules of racing) • appeals of race day decisions (i.e. decisions made by stewards on race days) • appeals to review certain steward decisions (i.e. to 	<p>Background/business process:</p> <p>See above. Decision of stewards are reviewable and subject to appeal.</p> <p>Regulatory requirements:</p> <p><i>Racing Integrity Act s. 10</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement. • support the decisions of the business. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules:</p> <p><i>Tasmanian Disposal Schedule for the Administration of Racing DA 2165</i></p> <ul style="list-style-type: none"> • <i>Reference 05.01.03</i> Records documenting Inquiries conducted by the stewards where the matter is under appeal. These may include: · Audio-tape recording of inquiry · Transcript of inquiry · Race

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>suspend a person's licence or impose a penalty)</p> <ul style="list-style-type: none"> written submissions to, and transcripts of, inquiry. <p>Disposal action – Retain 7 years after appeal decision determined.</p>	<p>patrol film of incident • Documents tabled as evidence (exhibits) at inquiry and subsequent appeal hearing • Documents tabled as evidence (exhibits) at inquiry but not at appeal hearing. Destroy 7 years after Board decision.</p> <ul style="list-style-type: none"> <i>Reference 03.03.02</i> Records documenting stewards' inquiries into the conduct/actions of racing animals, licensed participants and other person's attendant upon a racecourse, for matters not under appeal. These may include: • Documents submitted as evidence (exhibits) • Transcript of inquiry Destroy 5 years after action completed. <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620</i></p> <ul style="list-style-type: none"> <i>Reference 3.7.3 Stewards' Inquiries</i> Records relating to inquiries conducted by racing Stewards, in accordance with the control body's rules of racing. Retain for 7 years after last action. <i>Reference 3.1.1 Applications</i> Records relating to applications lodged with the control body's appeals committee to review decisions by Stewards to suspend a person's licence or impose a penalty, in accordance with s.95 of the <i>Racing Act 2002</i>. Includes information notices of the committee's decision provided to the applicant, Steward, control body, etc. Retain for 7 years after conclusion of appeals process.

1.25 Testing and Identification

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.25.1	<p>Significant *</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 etc.) <i>e.g. by QRIC Racing Science Centre (and subsequent named bodies).</i></p> <p>Includes processing, transporting and storing laboratory and pathology tests, and sample specimens, where test results are significant.</p> <p>Excludes client case files for commissioned testing and analysis service jobs. See 1.25.5.</p> <p><i>* Refer to Appendix: Definition of Significant Versus Other.</i></p> <p>Disposal action –</p>	<p>Background/business process:</p> <p>Testing and identification records are created in scientific and technical processes.</p> <p>Illustrative process:</p> <ul style="list-style-type: none"> • Take samples; package, receipt and test samples; record test results; register significant test results; dispose samples (at appropriate point). <p>Regulatory requirements:</p> <p><i>Racing Integrity Act 2016 s. 10</i></p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide long term reference value to the department especially those that provide a significant result e.g. first of its kind. • document the history of the department's significant work. <p>Permanent retention criteria:</p> <p>Meets the following characteristic of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 5 - Substantial Contribution to Community Memory. • 6 - Environmental Management and Change. <p>Comparison with other schedules:</p> <p><i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 Reference 4.4.2.1</i> - Major 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>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	Permanent. Transfer to QSA after business action completed.	
1.25.2	<p>Other ~ 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.) (e.g. by QRIC Racing Science Centre and subsequent named bodies) where testing is not covered by reference number 1.25.1. Includes:</p> <ul style="list-style-type: none"> • analytical data, associated findings and reports • certificates of analysis • analytical data from testing machines. <p>Excludes client case files for commissioned testing and</p>	<p>Background/business process: See above.</p> <p>Regulatory requirements: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 10 years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business. • 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. • reduce risks associated with incorrect sampling or testing by providing evidence of repeatable processes. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>State Records New South Wales Food Safety Management Retention and Disposal Schedule/Authority FA284 Reference 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. <i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 Reference 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. <i>Tasmanian Disposal Schedule for the Administration of Racing DA 2165 Reference 03.02.01</i> Records documenting swabbing activities undertaken by stewards. These may include: • Sample identification note • Formal notification of laboratory results • Internal notification of laboratory results • Swab notification form - blue copy Destroy 7 years after cessation of licence or animal is deceased or last action completed, whichever is the later.</p> <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620</i></p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
	<p>analysis service jobs. See 1.25.6.</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>~ Refer to Appendix: Definition of Significant Versus Other.</p> <p>Disposal action –</p> <p>Retain for 10 years after action completed.</p>	<p><i>Reference 3.7.2 Racing Integrity Control – Testing</i> Records relating to testing of licensed animals to monitor compliance with the control body’s rules of racing, where the Racing Science Centre or another accredited facility performs analytical services. Records may include, but are not limited to: · documentation/forms relating to the use of sampling equipment supplied by the accredited facility, such as a Sampling Equipment Order Form · documentation/forms for the taking of samples and their delivery/receipt at the accredited facility · copies of results of the analysis · accredited veterinary surgeon’s certificate. Retain for 7 years after last action.</p>
1.25.3	<p>Positive Samples</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"> • indexes to positive samples stored in freezers and storage • certificates of analysis • analytical data from testing machines • race day samples. <p>Disposal action –</p> <p>Retain for 10 years after action completed.</p>	<p>Background/business process:</p> <p>See above.</p> <p>Regulatory requirements:</p> <p>See above.</p> <p>Business requirements:</p> <p>Queensland Racing Integrity Commission requires these records to be retained for 10 years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business with 10 years nominated by the business as the minimum period of time required. • 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. • reduce risks associated with incorrect sampling or testing by providing evidence of repeatable processes. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Note: indexes are required to be kept for same period as the samples indexed.</p> <p>Earlier disposal authorisations for similar records:</p> <p><i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620</i></p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> • <i>Reference 1.3.2</i> Positive Samples Records relating to the analysis of samples that have yielded a positive result or have been flagged as suspicious. Include analytical data, associated findings and reports and certificates of analysis. Retain for 5 years after last action. • <i>Reference 1.3.6</i> Index to positive samples stored in freezers. Retain until administrative use ceases. • <i>Reference 1.3.7</i> Index to positive samples stored in non-freezer storage. Retain until administrative use ceases. • <i>Reference 1.12.1</i> Positive Samples Records relating to race day samples that have tested positive, in accordance with s.147 of the <i>Racing Act 2002</i>. Retain for 5 years after last action.
1.25.4	<p>Negative Samples Records relating to analysis of samples that have yielded negative results. Includes negative sample analysis data, findings and reports. Includes:</p> <ul style="list-style-type: none"> • certificates of analysis • analytical data from testing machines • race day samples. <p>Disposal action – Retain for 7 years after action completed.</p>	<p>Background/business process: See above.</p> <p>Regulatory requirements: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business. • 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. • reduce risks associated with incorrect sampling or testing by providing evidence of repeatable processes. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitation of Actions Act 1974</i>. <p>Earlier disposal authorisations for similar records: <i>Queensland Office of Racing Retention and Disposal Schedule/Authority QDAN 620</i></p> <ul style="list-style-type: none"> • <i>Reference 1.3.2</i> Negative Samples Records relating to the analysis of samples that have yielded negative results. Includes analytical data and associated findings. Retain for 3 years after last action. • <i>Reference 1.12.2</i> Negative Samples Records relating to race day samples that have tested negative, in accordance with s.147 of the <i>Racing Act 2002</i>. Records may include, but are not limited to: - documentation/ forms for the collection of samples and their delivery/receipt at the

Disposal Authorisation	Record class and retention period	Justifying the retention period
		Racing Science Centre · report on analysis · certificate of analysis · checklists · related correspondence. Retain for 1 year after last action.
1.25.5	<p>Test Results Collated Into Research and Test Reports</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>Disposal action – Retain until reference ceases.</p>	<p>Background/business process: See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained until reference ceases as they have no ongoing value to the business area as the results are included in other documentation.</p> <p>Comparison with other schedules: <i>Public Record Office Victoria Environment Protection Authority Retention and Disposal Schedule/Authority PROS 02-03 Reference 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 work books, field work books, surveillance - destroy after test results have been incorporated into a report.</p>

Disposal Authorisation	Record class and retention period	Justifying the retention period
1.25.6	<p><i>Client Case Files for Commissioned Testing, Analysis and Calibrations</i></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. Excludes positive sample analysis data and findings. See 1.25.3. Excludes negative sample analysis data and findings. See 1.25.4. Includes but not limited to:</p> <ul style="list-style-type: none"> • contaminant analysis • animal drug testing • animal disease testing • equipment calibration services. <p>Disposal action – Retain 10 years after business action completed.</p>	<p>Background/Business Process; See above.</p> <p>Business requirements: Queensland Racing Integrity Commission requires these records to be retained for 10 years as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement. • support the decisions of the business with 10 years nominated by the business as the minimum period of time required. • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the Limitation of Actions Act 1974. <p>Comparison with other schedules: <i>Queensland Department of Environment and Resource Management Schedule/Authority QDAN 653</i></p> <ul style="list-style-type: none"> • <i>Reference 6.13.1</i> Records relating to contracting services provided by the department for valuation, surveying, cartography and calibration services. Temporary Retain for 7 years after last action. • <i>Reference 7.12.1</i> Records relating to contracting services provided by the department to clients for analysis, tests and advice. Retain for 7 years after last action. <p>Comments: Retention is consistent with class 1.25.1 as records are required to provide links to previous learnings, historical information requests, and retrospective testing and debates.</p>

2. LEGACY RECORDS

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.

2.1			
LICENSED ANIMAL TESTING AND ANALYSIS FACILITY REGISTRATION			
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>Applications</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 1st July 2016.</p> <p>Previously QDAN 620 v2 Reference 2.8.1.</p>	< 2016	Temporary. Retain for 7 years after legislation repeal date (1 st July 2016)
2.1.2	<p>Disciplinary Action</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 1st July 2016.</p>	< 2016	Temporary Retain for 7 years after legislation repeal date (1 st 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