

Small Business Development Retention and Disposal Schedule

Responsible public authority: Department of Tourism, Major Events, Small Business and the Commonwealth Games

Queensland Disposal Authority Number (QDAN)	722	Version	1
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Approved by A/State Archivist	Kit Kugatoff		
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Scope of retention and disposal schedule

This schedule applies to small business, including providing advice to small businesses by providing them with skills and assistance focusing on business management skills, business resilience, business initiatives, growth, and competitive development.

This schedule is to be used in conjunction with the [General Retention and Disposal Schedule for Administrative Records \(GRDS\)](#).

References to repealed legislation within this schedule may be taken to be a reference to current legislation if the context permits.

The Department of Tourism, Major Events, Small Business and the Commonwealth Games is the responsible agency for the *Small Business Development Retention and Disposal Schedule* at the time of approval of the schedule. However, in the event of an administrative change, or the transfer of a function from one public authority to another, this retention and disposal schedule will continue to apply to the records covered by the schedule. For further advice on the currency of approved retention and disposal schedules following administrative change, please contact Agency Services at Queensland State Archives on (07) 3131 7730 or rkqueries@archives.qld.gov.au.

Record Formats

This schedule applies to records created in all formats, unless otherwise specified in the class description. This includes, but is not limited to, records in business systems, maps, plans, photographs, motion picture and records created using web 2.0 media.

Authority

Authorisation for the disposal of public records is given under s.26 of the *Public Records Act 2002* (the Act).

Queensland State Archives

Department of Science, Information Technology and Innovation

No further authorisation is required from the State Archivist for records disposed of under this schedule. However, the disposal of all public records must be endorsed by the public authority's Chief Executive Officer, or authorised delegate, in accordance with *Information Standard 31: Retention and Disposal of Public Records*, and recorded in the public authority's disposal log.

Public records that are not covered by an approved retention and disposal schedule cannot be disposed of by a public authority.

Disposal of public records not covered by an approved retention and disposal schedule is a contravention of s.13 of the Act.

Revocation of previously issued disposal authorities

Any previously issued disposal authority which covers disposal classes described in this retention and disposal schedule is revoked. The Department of Tourism, Major Events, Small Business and the Commonwealth Games should take measures to withdraw revoked disposal authorities from circulation. This includes, but is not limited to:

- 98/0024

Public records sentenced under revoked retention and disposal schedules should be re-sentenced prior to disposal.

For further advice on the currency of approved retention and disposal schedules, please contact Agency Services at Queensland State Archives on (07) 3131 7730 or rkqueries@archives.qld.gov.au.

Retention of records

All of the retention periods in this schedule are the minimum period for which the sentenced records must be maintained. Public records cannot be disposed of prior to the expiration of the appropriate retention period. However, there is no requirement for public records to be destroyed at the expiration of a minimum retention period.

Public records must be retained for longer if:

- i. the public record is or may be needed in evidence in a judicial proceeding, including any reasonably possible judicial proceeding
- ii. the public records may be obtained by a party to litigation under the relevant Rules of Court, whether or not the State is a party to that litigation
- iii. the public record must be retained pursuant to the *Evidence Act 1977*
- iv. there is a current disposal freeze in relation to the public record, or
- v. there is any other law or policy requiring that the public record be retained.

This list is not exhaustive.

Public records which deal with the financial, legal or proprietary rights of the State of Queensland or a State related Body or Agency regarding another legal entity and any public record which relates to the financial, legal or proprietary rights of a party other than the State are potentially within the category of public records to which particular care should be given prior to disposal.

Records which are subject to a Right to Information application are to be retained for the period specified in section 8 – INFORMATION MANAGEMENT of the *General Retention and Disposal Schedule for Administrative Records* in addition to their required retention period according to an approved retention and disposal schedule. The two periods run concurrently, and may result in a longer required retention period overall. This is in order to cover all appeal and review processes. Even though the records subject to an application may be ready for disposal according to an approved retention and disposal

schedule at the time of the Right to Information application, the additional Right to Information retention requirements must still be applied. See section 8 – INFORMATION MANAGEMENT of the [General Retention and Disposal Schedule for Administrative Records](#) for records of Right to Information applications.

The disposal of public records should be documented in accordance with the requirements of *Information Standard 31: Retention and Disposal of Public Records*.

For further advice on the retention and disposal of public records under an approved retention and disposal schedule, please refer to the Queensland State Archives website or contact Agency Services at Queensland State Archives on (07) 3131 7730 or rkqueries@archives.qld.gov.au.

Records created before 1950

Records described in QDAN722 v.1 that were created before 1950 should be referred to Queensland State Archives for further appraisal before any disposal action is taken by the public authority. For further advice please refer to the Public Records Brief: [Pre-1950s public records](#) which is available from the Queensland State Archives' website.

Transfer of public records to Queensland State Archives

Records covered by a class with the disposal action of 'Retain permanently' should be transferred to Queensland State Archives with the approval of the State Archivist. Records covered by a class with the disposal action of 'Retain permanently by the Department of Tourism, Major Events, Small Business and the Commonwealth Games are not eligible for transfer to Queensland State Archives unless re-appraised and assigned a disposal action of 'Retain permanently'.

Agencies are required to submit a transfer proposal containing details of the records under consideration for transfer. Queensland State Archives will assess the transfer proposal before formal approval to transfer is issued. Please refer to the Guideline on [Transferring Public Records to Queensland State Archives](#) available from the Queensland State Archives' website. The State Archivist reserves the right to revise any previous decisions made with regard to the appraisal and transfer of records. Contact Agency Services at Queensland State Archives on (07) 3131 7730 or rkqueries@archives.qld.gov.au for further details.

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1. SMALL BUSINESS COORDINATION

The function of providing advice to small businesses and providing companies with the skills required to effectively manage their business through initiatives focusing on business resilience.

The activities include:

- *providing assistance in establishing growth and competitive development processes, giving recommendations for practical solutions to identified issues and impediments to business growth as well as the delivery of programs to enable businesses to respond to, and recover from, environmental and economic crises*
- *the development and delivery of programs to support the up-skilling of business capability and assist in the adoption of new technologies and business applications*
- *increasing the viability of small businesses by ongoing improvements to integrated business online services and business capacity and skills development programs*
- *encouraging and facilitating the establishment, growth and development of small businesses by investment attraction and strategic industry related policy, competition and structural adjustments, and development of new business opportunities*
- *cooperative projects to support changes; developing strategies to help enterprises adjust to changing commercial conditions.*

Reference	Description of records	Status	Disposal action
1.1	<p>ADVICE</p> <p><i>The activities associated with preparing and communicating advice, providing information and guidance to the public as individual and business clients and industry members about matters within the scope of functional responsibility.</i></p> <p><i>See the General Retention and Disposal Schedule for Administrative Records (GRDS) for advice records relating to financial management matters, legislation formulated by other public authorities, general administrative matters and Crown law and legal advice.</i></p>		
1.1.1	<p>Small business industry</p> <p>Records relating to the provision of small business related advice.</p> <p>Includes, but is not limited to, advice on:</p> <ul style="list-style-type: none"> • small business management • business improvement programs • business issue resolution 	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • growth impediments • small business industry programs. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • advice correspondence • research notes, advice notices, fact sheets • copies of policies, standards and procedures. 		
1.2	<p>AGREEMENTS</p> <p><i>The activities associated with establishing, maintaining, reviewing and negotiating agreements. Includes agreements as foundational and facilitative documents for collaborative arrangements, outputs, products and services. Includes memoranda of understanding, informal agreements, signed documents and legal contracts.</i></p> <p><i>See the General Retention and Disposal Schedule for Administrative Records (GRDS) for records relating to the negotiation, establishment, maintenance and review of agreements relating to financial management and agreements about the performance of public authority functions between the public authority and other government entities.</i></p> <p><i>See Partnerships for records relating to agreements for Joint Ventures.</i></p>		
1.2.1	<p>Agreements – proceeded with</p> <p>Records relating to small business related agreements between the department and other entities that proceed including, but not limited to:</p> <ul style="list-style-type: none"> • small business management • business improvement programs • small business industry programs • regional service provision to businesses through partnerships (e.g. DSDIP). <p>Includes records relating to the establishment, negotiation, maintenance, review and variation of agreements.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • unsealed contracts • variations • memorandum of understanding. 	Temporary	Retain for 7 years after agreement terminated or expired.

Reference	Description of records	Status	Disposal action
1.2.2	<p>Agreements - not proceeded with</p> <p>Records relating to small business related agreements between the department and other entities that do not proceed.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • draft contracts and negotiation papers • draft memorandum of understanding • proposals and withdrawn offers. 	Temporary	Retain for 2 years after decision not to proceed.
1.3	<p>BUSINESS IMPROVEMENT ASSISTANCE</p> <p><i>The activities associated with providing assistance and resources to businesses for business development and improvement initiatives.</i></p> <p><i>See the <u>General Retention and Disposal Schedule for Administrative Records (GRDS)</u> for records relating to financial assistance for businesses.</i></p>		
1.3.1	<p>Specialised information products and services</p> <p>Records relating to the provision of specialised information products, services and initiatives to identified small businesses and small business industry players to better manage and use the department's small business resources to develop and grow. Excludes financial assistance.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • information notices, fact sheets and publications • training courses schedules and delivery notes • consultation records. <p><i>See <u>Training</u> for records relating to training opportunities to help small business resources develop and grow.</i></p>	Temporary	Retain for 7 years after action completed.
1.4	<p>SMALL BUSINESS DEVELOPMENT</p> <p><i>The activities associated with encouraging development initiatives, often across various industries. Includes strategic planning and investment attraction to assist particular industries and the growth of the Queensland economy as a whole. Includes receiving, assessing, commenting and/or approving (or otherwise) development applications of proposed development projects.</i></p>		
1.4.1	Small business development - Significant *	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	<p>Records relating to planning and implementing significant business development initiatives designed to support the small business industry and assist its growth including, but not limited to small business related initiatives and opportunities.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • environmental impact studies • feasibility studies • site investigation reports • stakeholder consultation. <p>*Refer to Appendix: Definition of Significant Versus Other See Planning for records relating to significant Small Business planning initiatives.</p>		
1.4.2	<p>Small business development - Other ~</p> <p>Records relating to planning and implementing other business development initiatives designed to support the small business industry and assist its growth not covered by reference number 1.4.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • environmental impact studies • feasibility studies • site investigation reports • stakeholder consultation. <p>~ Refer to Appendix: Definition of Significant Versus Other See Planning for records relating to other Small Business planning initiatives.</p>	Temporary	Retain for 7 years after action completed.
1.5	<p>PARTNERSHIPS</p> <p><i>The activities associated with managing joint collaborations for agreed outcomes in areas of joint interest or responsibility, where there are agreed responsibilities, agreements, joint contribution of funds and/or time Includes operations between departments, either within the organisation or with other organisations, or with the government. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations.</i></p>		
1.5.1	<p>Joint ventures - Significant *</p> <p>Records relating to managing significant joint operations by the department with other</p>	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	<p>organisations (both private sector and government) through contracts, joint contribution of funds, time, co-research or collaboration, where the partnership provides a significant contribution to small business management outcomes.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • partnership agreements • performance reports • funding proposals. <p>*Refer to Appendix: Definition of Significant Versus Other <i>See <u>Stakeholder Engagement</u> for records relating to significant consultation and engagement activities.</i></p>		
1.5.2	<p>Joint Ventures - Other ~</p> <p>Records relating to managing other joint operations by the department with other organisations (private sector and government) not covered by reference number 1.5.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • partnership agreements • performance reports • funding proposals. <p>~ Refer to Appendix: Definition of Significant Versus Other <i>See <u>Stakeholder Engagement</u> for records relating to other consultation and engagement activities.</i></p>	Temporary	Retain for 7 years after partnership expires.
1.6	<p>PLANNING</p> <p><i>The activities associated with making decisions about future directions, actions and goals to be achieved, and organising activities to reach desired goals. Involves the creation and maintenance of planning documents i.e. plans. Includes formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs</i></p>		
1.6.1	<p>Small Business industry planning - Significant *</p> <p>Records relating to planning significant small business 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>	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • small business management • business improvement programs • small business industry programs. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • plans and strategies • planning reports • implementation programs and schedules. <p>*Refer to Appendix: Definition of Significant Versus Other <i>See <u>Small Business Development</u> for records relating to significant Small Business development initiatives.</i></p>		
1.6.2	<p><i>Small Business industry planning - Other ~</i></p> <p>Records relating to planning small business development initiatives, programs, strategies, priorities, activities for improved community outcomes that are not covered by reference number 1.6.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • plans and strategies • planning reports • implementation programs and schedules. <p>~ Refer to Appendix: Definition of Significant Versus Other <i>See <u>Small Business Development</u> for records relating to other Small Business development initiatives.</i></p>	Temporary	Retain for 7 years after action completed.
1.7	<p>REGISTRATION</p> <p><i>The activities associated with the registration of small businesses.</i></p>		
1.7.1	<p><i>Small business registers</i></p> <p>Records relating to registering small business information and maintaining national business information systems, including applications, renewals, transfers, releases, changes, surrenders, cancellations and terminations. Includes establishing and maintaining registers.</p>	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	Records may include, but are not limited to: <ul style="list-style-type: none"> • register entries • register applications and releases. 		
1.8	<p>RESEARCH</p> <p><i>The activities associated with investigating or enquiring into a subject or area of interest and working creatively in a systematic way to increase and use knowledge to devise new applications, establish or confirm facts, reaffirm results of previous work, expand past work done in the field, solve new or existing problems, support theorems, develop new theories, test the validity of instruments, procedures, or experiments. Includes research and development (R&D), research of better research methods and systems, scientific, humanities, artistic, economic, social, business, practitioner research, etc, supporting development of projects, standards, guidelines etc, and the business activities of the organisation.</i></p>		
1.8.1	<p><i>Small business industry research - Significant *</i></p> <p>Records relating to researching and enquiring into significant small business related research areas to discover facts, theories and principles that support improved community and small business industry outcomes and business activities.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • research reports and publications • original data • findings and observations. <p>* Refer to Appendix: Definition of Significant Versus Other.</p>	Permanent	Retain permanently.
1.8.2	<p><i>Small business industry research - Other ~</i></p> <p>Records relating to researching and enquiring into research areas relating to small business industry outcomes and business activities not covered by reference number 1.8.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • research reports and publications • original data • findings and observations. <p>~ Refer to Appendix: Definition of Significant Versus Other.</p>	Temporary	Retain for 7 years after action completed.
1.9	<p>STAKEHOLDER ENGAGEMENT</p>		

Reference	Description of records	Status	Disposal action
	<p><i>The activities associated with conducting ongoing community engagement and consultative processes with stakeholders with an active, two way relationship and information flow, potentially crossing a wide range of issues and activities. Stakeholders can include countries, corporations, governments, associations, officials or persons. Includes correspondence and submissions from stakeholders about departmental legislation, policies, programs, projects, processes, procedures, etc.</i></p>		
1.9.1	<p>Consultation and engagement - 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 small business initiatives.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • reports • submissions • correspondence. <p>*Refer to Appendix: Definition of Significant Versus Other See <u>Partnerships</u> for records relating to significant joint ventures.</p>	Permanent	Retain permanently.
1.9.2	<p>Consultation and engagement - Other ~</p> <p>Records relating to conducting consultative and engagement processes with external stakeholders not covered by reference number 1.9.1.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • reports • submissions • correspondence. <p>~ Refer to Appendix: Definition of Significant Versus Other See <u>Partnerships</u> for records relating to significant joint ventures.</p>	Temporary	Retain for 7 years after action completed.
1.10	<p>TRAINING</p> <p><i>The activities associated with developing training curricular for formal and non-formal qualifications related to small business management.</i></p>		
1.10.1	<p>Master curricular for formal qualifications (National Framework)</p> <p>Records relating to master curricular for training qualifications in small business</p>	Temporary	Retain for 25 years after action completed.

Reference	Description of records	Status	Disposal action
	<p>management and development for national training frameworks and to develop small business related skills and knowledge in staff and clients (internally and externally), including training in inspections, investigations and prosecutions in small business related legislation.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • master curricular. <p><i>See <u>Master Curricular development material</u> for records relating to the development and reviewing of curriculums.</i></p>		
1.10.2	<p>Master curricular not linked to formal qualifications</p> <p>Records relating to master curricular for training courses not formally linked to national training frameworks in small business management and development and to develop small business related skills and knowledge in staff and clients (internally and externally), including training in inspections, investigations and prosecutions under small business related legislation.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • master curricular. <p><i>See <u>Master Curricular development material</u> for records relating to the development and reviewing of curriculums.</i></p>	Temporary	Retain for 7 years after curricular superseded.
1.10.3	<p>Master curricular development material</p> <p>Records relating to developing and reviewing master curricular for training qualifications in small business management and development and to develop small business industry and compliance skills and knowledge in staff and clients (internally and externally), including training in inspections, investigations and prosecutions under small business related legislation.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • curricular workings • training programs • training proposals and reports. 	Temporary	Retain for 7 years after action completed.

Reference	Description of records	Status	Disposal action
1.10.4	<p><i>Training course guides, presentations, assessment and supporting materials</i></p> <p>Records relating to developing, delivering and assessing of training courses for training qualifications in small business management and development and to develop small business industry and compliance skills and knowledge in staff and clients (internally and externally), including training in inspections, investigations and prosecutions training under small business related legislation.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • training course outlines and content • training course brochures and invitations • training schedules and presentations. <p><i>See <u>Master Curricular development material</u> for records relating to the development and reviewing of curriculums.</i></p>	Temporary	Retain for 7 years after training course superseded.
1.10.5	<p><i>Skills development support programs, materials and resources</i></p> <p>Records relating to developing, delivering and assessing skills development support programs in small business management and development training such as coaching, mentoring, job shadowing and other programs, strategies, learning experiences.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • mentoring program outlines • participant registrations • training needs analyses, job profiles and skill assessments. <p><i>See <u>Business Improvement Assistance</u> for records relating to assistance and resources to businesses for business development and improvement initiatives.</i></p>	Temporary	Retain for 7 years after action completed.

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