

Records disposal schedule

Liquor, Racing and Gaming

Department of Industry, Tourism and Trade

Disposal Schedule No. 2023/002

December 2023

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Preamble

Introduction

The *Information Act 2002* states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so¹. Disposal of records is permitted through the use of records disposal schedules and enable regular, planned and authorised disposal of records controlled by an agency.

Records retention decisions are based on:

- the current and future business needs of the organisation
- compliance with legal and governance requirements of the organisation
- the current and future needs of internal and external stakeholders, including the wider community.

Records disposal schedules provide continuing authorisation for the legal disposal of records and are authorised by the records service, archives service and chief executive officer of the public sector organisation responsible for the schedule.

Records disposal schedules apply to records created and maintained in any format, including electronic records, records in business systems, and parts of records.

In the Northern Territory government there are two types of records disposal schedules:

- General records disposal schedules that apply to records common to most or all NT Government public sector organisations,
- Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

Functional records disposal schedules should be used in conjunction with general records disposal schedules.

Structure of a Records Disposal Schedule

Records disposal schedules set out minimum requirements for the creation, maintenance, retention or destruction actions to be taken in relation to existing or future records described in each class. Records disposal schedules specify:

- a) whether a class of record has temporary or permanent status;
- b) the retention period for a temporary class of record;
- c) authorised disposal actions for a class of record.²

Each class of records created by an agency is described using classifications based on business analysis.

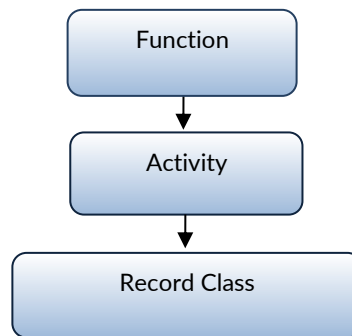
Disposal schedules are developed using the functional structure based on the classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

Within the schedule, functions are documented as the highest level terms and business activities under the functions, followed by record classes, as shown in diagram 1.

¹ S.145 Information Act 2002

² S.136A(3) Information Act 2002

Diagram 1



Function

The function or keyword is the highest level in the classification scheme in this disposal schedule. The function is indicated at the start of each section and a description (scope note) provided.

Activity

Activities are the processes or operations that make up the business function. This is the second level in the classification scheme in this disposal schedule. The description (scope note) provides details of the transactions that take place in relation to the activity, for example, REPORTING or POLICY.

Record class

A record class is a group of records that relate to the same activity, function or subject and require the same disposal action. The descriptions can relate to one record (such as a register) or a group of records documenting a particular set of business transactions.

Status and disposal action

The appraisal status of a record class is assigned as either permanent or temporary.

Permanent Records: Records appraised with permanent status have been identified as archives and must be transferred to the NT Archives Service for their preservation and eventual public access.

The retention period for permanent records is the maximum period before the records must be transferred to the Archives Service. Permanent records must be transferred no later than 30 years after creation in accordance with the *Information Act 2002*, unless exemption has been granted (see Archives Management Standards Transfer of Archives, and Exemption from Compulsory Transfer of Permanent Records to the NT Archives Service). An Application to Transfer Records form must be submitted to the Archives Service before records will be accepted for transfer.

Temporary records: The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal trigger such as 'date of action completed', 'date of audit' or 'date of birth'. Destruction should be done following consultation with relevant operational business employees responsible for the records.

Retention periods for temporary records in a records disposal schedule are minimum periods only and agencies may keep records for a longer period if considered necessary for business requirements.

Reasons for longer retention could include;

- administrative need or agency directives,

- legal requirements such as current or pending legal action,
- relevance to an investigation or inquiry which is in progress,
- is subject to an information access application,
- subject to a disposal freeze.

Records created prior to 1 July 1978 must not be disposed of without the authorisation of the Archives Service in accordance with Archives Management Standard Records Created Prior to 1978, unless specified in a schedule.

Sentence records with this records disposal schedule using the following five steps:

1. Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
2. Identify the disposal class.
3. From the disposal action in the class, identify the trigger event and a date when the record can be disposed of, alternately, identify that the record is to be retained permanently as archives.
4. If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
5. If the trigger event has not occurred (e.g. the record is still in active use), set a review date for the future.

About this Records Disposal Schedule

Purpose

The purpose of this records disposal schedule is to enable regular, planned and authorised disposal of records of Liquor, Racing and Gaming within the Department of Industry, Tourism and Trade.

Scope

Application of this records disposal schedule is mandatory for of Liquor, Racing and Gaming records of the Department of Industry, Tourism and Trade.

This records disposal schedule applies to Liquor, Racing and Gaming records in all formats.

Responsibility

The Chief Executive Officer of the Department of Industry, Tourism and Trade is responsible for the content and implementation of this records disposal schedule including the provision of advice and training, and for monitoring compliance.

Authority

This records disposal schedule is authorised in accordance with s 136B of the *Information Act 2002*.

Disposal Schedule No. 2023/002 was approved by the Senior Director of Library & Archives NT (the Archives Service), Director Digital Policy and Data Strategy (the Records Service), and the Chief Executive Officer of the Department of Industry, Tourism and Trade on 5 December 2023 and is effective immediately.

Re-sentencing records

All records sentenced under the following superseded records disposal are to be re-sentenced using this schedule.

- 2014/03 – Disposal Schedule – Bookmakers Licensing Regulation
- 2014/05 – Disposal Schedule – Kava Licensing Regulation
- 2014/12 - Disposal Schedule – Totalisator Licensing Regulation
- 2014/16 - Disposal Schedule – Gaming Machines Licensing Regulation
- 2014/17 - Disposal Schedule – Gaming Control Licensing Regulation
- 2014/18 - Disposal Schedule – Liquor Licensing Regulation
- 2014/19 - Disposal Schedule – NT Licensing Commission
- 2015/04 - Disposal Schedule – Greyhound Racing Regulation

Regulatory framework

The regulatory basis for this records disposal schedule is defined in:

- *Gaming Control Act 1993*
- *Gaming Control (Community Gaming) Regulations 2006*
- *Gaming Control (Gaming Machines) Regulations 1995*
- *Gaming Control (Internet Gaming) Regulations 1998*
- *Gaming Control (Licensing) Regulations 1995*
- *Gaming Control (Reviewable Decisions) Regulations 2014*

- *Gaming Control (Taxes and Levies) Regulations 2015*
- *Gaming Machine Act 1995*
- *Gaming Machine Regulations 1995*
- *Gaming Machine Rules 2001*
- *Greyhound Racing Rules 1981*
- *Kava Management Act 1998*
- *Kava Management Regulations 1998*
- *Liquor Act 2019*
- *Liquor Regulations 2019*
- *Liquor Amendment Bill 2023*
- *Liquor Commission Act 2018*
- *Racing and Betting Act 1983*
- *Racing and Betting Regulations 1984*
- *Totalisator Licensing and Regulation Act 2000*
- *Totalisator Licensing and Regulation (Arbitration) Regulations 2000*
- *Totalisator Licensing and Regulation Regulations 2000*
- *Totalizator Rules 1979*
- *Unlawful Betting Act 1989*
- *Information Act 2002*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489: Records Management

Related documents

This records disposal schedule is to be read in conjunction with:

- NT public sector organisations records and information management standards
- policies and procedures of the Department of Industry, Tourism and Trade
- current authorised disposal schedules for Department of Industry, Tourism and Trade
- current authorised general disposal schedules.

Normal administrative practice

Public sector organisations are permitted to dispose of some short term or ephemeral documents under the authority of the Disposal Schedule for Short Term Value Records. These include:

- duplicate (e.g. information or reference copy)
- obviously unimportant (e.g. telephone message slips)
- of short-term facilitative value (e.g. compliment slips)
- a combination of these.

The guiding principle is that organisations should be sure that destroying these records will not destroy evidence that might be needed.

Records that have been captured into a recordkeeping system should be destroyed using the Disposal Schedule for Short Term Value Records unless the class of records has been identified in a specific disposal schedule.

Acknowledgement

The Archives Service and the Records Service acknowledge that material produced by National Archives of Australia, State Records Authority of New South Wales, State Records of South Australia, Public Records Office of Victoria, Territory Records Office and Standards Australia was used in the development of this schedule.

This work is copyright. Apart from any use as permitted under the *Copyright Act 1968*, no part may be reproduced by any process without prior written permission of the Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, Archives Service. The terms in the classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998), and are produced under a licence agreement between the NT Archives Service and the State Records Authority of New South Wales.

Compliance checklist

<p>Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records.</p>	<input type="checkbox"/>	<p>Stop applying sentences from previous schedules that have been revoked or amended.</p>	<input type="checkbox"/>
<p>Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the Archives Service and Records Service.</p>	<input type="checkbox"/>	<p>Retain all records in good order and condition to be available for retrieval during the retention period.</p>	<input type="checkbox"/>
<p>Identify and sentence all records described in this schedule in all formats including electronic records and records in business systems, copies of records and parts of records.</p>	<input type="checkbox"/>	<p>Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic.</p>	<input type="checkbox"/>
<p>Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule.</p>	<input type="checkbox"/>	<p>Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems, copies of records and parts of records.</p>	<input type="checkbox"/>
<p>Apply this records disposal schedule to records in the organisation's records management systems, including systems for the management of paper records, electronic records, or records in any other format.</p>	<input type="checkbox"/>	<p>Transfer records of permanent value to the Archives Service for retention as archives not later than 30 years after creation.</p>	<input type="checkbox"/>
<p>Apply this records disposal schedule to records in the organisation's business systems, either directly or by linking the business system to a records management system.</p>	<input type="checkbox"/>	<p>Inactive records can be transferred to offsite service providers providing they have been sentenced.</p>	<input type="checkbox"/>
<p>Implement quality assurance mechanisms to periodically check that the disposal class originally assigned at the creation of the records is still applicable at the time of sentencing of the record.</p>	<input type="checkbox"/>	<p>Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction.</p>	<input type="checkbox"/>
<p>Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly.</p>	<input type="checkbox"/>	<p>Do not destroy records that are not described in an authorised records disposal schedule.</p>	<input type="checkbox"/>
<p>Identify records that require re-sentencing where a previous disposal schedule has been superseded.</p>	<input type="checkbox"/>	<p>Do not destroy any records created prior to 1 July 1978 without specific authorisation from the Archives Service.</p>	<input type="checkbox"/>

Disposal Schedule

1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.1 Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

Class No.	Description of Records	Examples	Status and Disposal Action
1.1.1	Records documenting the provision and receipt of formal advice in relation to liquor, racing and gaming function. Includes ministerials, briefing notes, instruments, minutes, business recommendations, gazette notices and related correspondence.	- Formal advice	Permanent Transfer to the Archives Service 30 years after action completed
1.1.2	Records documenting routine advice given to members of the public and industry on licensing processes and legislation requirements in relation to liquor, racing and gaming.	- General advice	Temporary Destroy 5 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming

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1.2 Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements and /or exchange of letters between parties, as well as informal agreements.

Class No.	Description of Records	Examples	Status and Disposal Action
1.2.1	Records documenting liquor accords, where a voluntary agreement is reached between licensees and other stakeholders on the management or conduct of local businesses that supply alcohol for the purpose of preventing or reducing alcohol related violence and anti-social behaviour in the local community. Includes business recommendations and written approvals from the Director of Liquor Licensing.	<ul style="list-style-type: none"> - Darwin inner city LLA - Darwin northern suburbs LLA - Darwin outer city LLA - Nhulunbuy LLA - Kakadu LLA - Katherine LLA - Alice Springs LLA 	Permanent Transfer to the Archives Service 30 years after action completed
1.2.2	Records documenting high level agreements, including memorandum of understanding (MOU) in relation to the liquor, racing and gaming functions. Includes minutes of meetings, reviews of agreements, correspondence with stakeholders, inspection reports, compliance plan register reports, maps, communication plans, safety plans and final reports to the Director.	<ul style="list-style-type: none"> - MOU with NTG Departments and Commonwealth Departments 	Permanent Transfer to the Archives Service 30 years after action completed

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1. Liquor, Racing and Gaming

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1.3 Appointments

The activities of appointing members to councils, advisory bodies, boards, working groups, consultants and committees. Includes nominations, resignations and pecuniary interests. Includes delegations.

Class No.	Description of Records	Examples	Status and Disposal Action
1.3.1	Records documenting statutory appointments and delegations of any powers and functions to persons by the Minister, under the relevant acts in relation to the liquor, racing and gaming functions. Includes written instruments, business recommendations, nominations, advertisements, ministerial and related correspondence.	<ul style="list-style-type: none"> - Statutory delegations by Minister to CEO - Assessors - Authorised Officers - Directors - Executive Officers - Liquidators - Statutory Managers 	Permanent Transfer to the Archives Service 30 years after delegation expires
1.3.2	Records documenting appointments of inspectors by the Director of Licensing under the relevant acts in relation to the liquor, racing and gaming functions.	<ul style="list-style-type: none"> - Inspectors 	Temporary Destroy 7 years after appointment ends
1.3.3	Records documenting delegations of authority to all other agency staff. Includes business recommendations and related correspondence.	<ul style="list-style-type: none"> - Delegations – other staff 	Temporary Destroy 7 years after delegation expires

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1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.4 Approvals

The activity of seeking and granting permission to undertake a requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.4.1	<p>Records documenting approval of games in casinos by the Minister, in accordance with the <i>Gaming Control Act 1993</i> and relevant regulations.</p> <p>Includes rules and procedures approved by the Director, business recommendations, ministerial and related correspondence.</p>	<ul style="list-style-type: none"> - Approved casino games 	<p>Permanent</p> <p>Transfer to the Archives Service 30 years after action completed</p>
1.4.2	<p>Records documenting statutory declarations under various acts in relation to the liquor, racing, and gaming functions, such as setting of fees, kava licence areas, interim alcohol protected areas, general restricted areas for liquor licensing, special restricted areas for liquor licensing, and restricted premises for liquor licensing.</p> <p>Includes gazette notices, ministerial, business recommendations, written consents, maps, technical reports, written opinions, and related correspondence.</p> <p>May include variations, revocations, and exemptions.</p>	<ul style="list-style-type: none"> - Setting of fees - Kava licence areas - Interim alcohol protected areas - Special restricted areas 	<p>Permanent</p> <p>Transfer to the Archives Service 30 years after action completed</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.4 Approvals

The activity of seeking and granting permission to undertake a requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.4.3	Records documenting statutory determinations under various acts in relation to the liquor, racing and gaming functions, such as the establishment of a Patron Identification System under the <i>Liquor Act 2019</i> , games in nature of lottery and unlawful games under the <i>Gaming Control Act 1993</i> , maximum number of wholesale and retail licences that can be approved under the <i>Kava Management Act 1998</i> , and determination of events, sports and activities under the <i>Totalisator Licensing and Regulation Act 2000</i> . Includes ministerial, business recommendations, gazette notices and related correspondence.	<ul style="list-style-type: none"> - Determinations - Patron identification system - Nature of lottery and unlawful games - Number of kava wholesale & retail licences - Events, sports and other activities 	Permanent Transfer to the Archives Service 30 years after action completed
1.4.4	Records documenting approval by the Director of persons to be a recognised manufacturer or supplier of gaming machines under the <i>Gaming Machine Act 1995</i> and relevant regulations. Includes terms and conditions, business recommendations and investigation reports. May include applications that have been refused.	<ul style="list-style-type: none"> - Manufacture and suppliers of gaming machines 	Temporary Destroy 10 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.4 Approvals

The activity of seeking and granting permission to undertake a requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.4.5	<p>Records documenting the approval for the purchasing and selling of gaming equipment by the Director under the <i>Gaming Machine Act 1995</i>, including evaluation reports of gaming equipment and games by the Director.</p> <p>Includes business recommendations, receipts of prescribed fees, supporting information, evaluation reports, referrals for evaluation, notifications to persons, receipts of debts due, approval of evaluators, terms and conditions and related correspondence.</p> <p>May include applications that have been withdrawn.</p>	- Purchasing and selling of gaming equipment	Temporary Destroy 10 years after action completed
1.4.6	Records documenting the approval of a financial institution by the Director to be a finance provider under the <i>Gaming Machine Act 1995</i> .	- Approval of financial institutions	Temporary Destroy 7 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.4 Approvals

The activity of seeking and granting permission to undertake a requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.4.7	<p>Records documenting types of lotteries approved by the Minister under the <i>Gaming Control Act 1993</i>, such as lotteries by or for approved associations, trade lotteries, foreign lotteries, major and minor lotteries and mail order lotteries.</p> <p>Includes agreements, ministerial, business recommendations, terms and conditions, updates, amendments, receipts of prescribed payments, and related correspondence.</p>	<ul style="list-style-type: none"> - Major and Minor Trade lotteries - Foreign lotteries - Mail order lotteries - Major and Minor Lotteries 	<p>Temporary Destroy 7 years after action completed</p>
1.4.8	<p>Records documenting applications for registrations of racing clubs under the <i>Racing and Betting Act 1983</i>, such as the Darwin Turf Club and Alice Springs Turf Club.</p> <p>Includes applications, terms and conditions, copies of constitutions, receipts of prescribed fees, copies of annual reports, notifications to the Commission of allotment of dates, postponement and programmes of meetings, copies of certificates of approval and related correspondence.</p> <p>May include applications that have been refused, written notifications to the Commissioner where a change in office-bearers occurs, cancellations of approvals for meeting dates, requests to vary proposed programmes and conditions of a race, notifications to the Commission of postponement or abandonment of meetings.</p>	<ul style="list-style-type: none"> - Darwin Greyhound Racing Association - Darwin Turf Club - Alice Springs Turf Club - Adelaide River Show Society Racing Club - Katherine Turf Club - Tennant Creek Racing Club Inc 	<p>Temporary Destroy 7 years after the registration has expired, surrendered or cancelled</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.4 Approvals

The activity of seeking and granting permission to undertake a requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.4.9	<p>Records documenting the registration of greyhounds for the purpose of greyhound racing under the <i>Racing and Betting Act 1983</i>, including the naming of greyhounds and the use of assumed names by the Commission.</p> <p>Includes registration applications, returned registration certificates, ownership details, change of ownership forms, training notifications, lease applications, notification of amendment to the lease, notification of cancellations of lease, notifications of nominations for claiming race, veterinary certificates, notifications of death, export or import clearance, sale or disposal of a greyhound, and related correspondence.</p> <p>May include written objections against a decision of a steward, committee of a club, an official of a club or an officer of the Commission, notice of decisions, hearing transcripts, court orders and receipts of payments. May also include applications for the registration of persons to be a syndicate, an owner, attendant, private or public trainer by the Chief Steward. Includes renewal applications and applications that have been refused.</p>	<ul style="list-style-type: none"> - Registration of greyhounds - Syndicates - Owner - Attendant - Trainer 	<p>Temporary</p> <p>Destroy 7 years after registration has expired, surrendered or cancelled</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.4 Approvals

The activity of seeking and granting permission to undertake a requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.4.10	<p>Records documenting breeding activities of greyhounds for the purpose of greyhound racing, including applications for Sires and Studmasters to be registered.</p> <p>Includes sire registration, sire summary reports, notification of service, notification of whelping, naming applications, litter registrations.</p> <p>May include written consent by the Commission to utilise artificial insemination, veterinarian certificates and test results where the Commission has suspended the registration of the Sire.</p>	<ul style="list-style-type: none"> - Sires - Studmasters 	<p>Temporary</p> <p>Destroy 7 years after registration has expired, surrendered or cancelled</p>
1.4.11	<p>Records documenting the registration of trial tracks for the purpose of greyhound racing, including renewal applications.</p> <p>Includes registration applications, copies of insurance policies, confirmation of leasing arrangements and related correspondence.</p>	<ul style="list-style-type: none"> - Greyhound trial tracks 	<p>Temporary</p> <p>Destroy 7 years after action completed</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.4 Approvals

The activity of seeking and granting permission to undertake a requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.4.12	Records documenting authorisation given by the Director to persons for the purposes of medical, forensic, or scientific research into kava in accordance with the <i>Kava Management Act 1998</i> . Includes written notices to the Director, supporting documentation, written authorisation and related correspondence.	- Kava research	Temporary Destroy 7 years after approval expires
1.4.13	Records documenting approval to use NT sports information under the <i>Racing and Betting Act 1983</i> and relevant regulations. Includes terms and conditions, decision notices and related correspondence. May include applications that have been refused, variations, cancellations, and applications for a review of decision, including written notices of decisions.	- Approval of NT sports information	Temporary Destroy 7 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.5 Control

The activity of creating, maintaining and evaluating control mechanisms, eg business classification scheme, compliance registers etc.

Class No.	Description of Records	Examples	Status and Disposal Action
1.5.1	<p>Registers pursuant to the relevant acts in relation to liquor, racing and gaming functions. Includes:</p> <ul style="list-style-type: none"> - Register of Liquor licences ie wholesalers, suppliers, enforcement matters - Register of recognised manufacturers and suppliers of gaming machines under the <i>Gaming Machine Act 1995</i> - Register of licences for gaming machine managers and repairers - Register of recognised suppliers of restricted components maintained under the <i>Gaming Machine Act 1995</i> - Register of licensees and authorised persons pursuant to the <i>Gaming Control Act 1993</i> - Register of Casino Operatives licence under the <i>Gaming Control (licensing) Regulations 1995</i> - Exhibit Register managed by the Licensing Commission - Liquor Decisions by the Director - Register of persons suspended, disqualified or warned by the Racing Commission in relation to Greyhound racing - Register of approved associations and lotteries, ie Mail order lotteries, Lotteries by agreement, Foreign lotteries, minor and major trade and lotteries - Register of Betting Exchange Operators - Register of Corporate (Sports) Bookmaker Licences - Register of Internet Gaming Licences <p>Includes licence/permit number, name of applicants, terms and conditions, requests for inspections, extracts from the Register and approved amendments.</p>	- Registers	Permanent Transfer to the Archives Service 30 years after action completed

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1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.6 Fund Management

The activity of managing funding bodies. Includes receiving and disbursing monies and considering applications for funding.

Class No.	Description of Records	Examples	Status and Disposal Action
1.6.1	<p>Records documenting the establishment and management of the Community Benefit Fund pursuant to the <i>Gaming Control Act 1993</i>.</p> <p>Includes ministerial, written instruments, determinations, ministerial appointments of members of the fund, financial transaction statements, ministerial, joint report on operations of the Fund.</p> <p>May include terminations of appointments by the Minister, applications for a review of Registrar's determinations and court orders.</p>	<ul style="list-style-type: none"> - Establishment and Management of Community Benefit Fund 	<p>Permanent</p> <p>Transfer to the Archives Service 30 years after action completed</p>

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1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.7 Grant Funding

The activity of managing the application for, acquittal and receipt of grants.

Class No.	Description of Records	Examples	Status and Disposal Action
1.7.1	Records documenting the assessment of grant applications for grant money from the Community Benefit Fund for community projects and services of benefit to communities throughout the Territory in accordance with the <i>Gaming Control Act 1993</i> . Includes business recommendations, grant applications, ministerial, assessment documents and related correspondence.	- Assessment of grant applications from the Community Benefit Fund	Temporary Destroy 10 years after action completed
1.7.2	Records documenting approved grant applications for monies granted from the Community Benefit Fund pursuant to the <i>Gaming Control Act 1993</i> . Includes applications, written notices, remittance advices, acquittals, financial statements, and performance reports.	- Grant applications under the Community Benefit Fund	Temporary Destroy 10 years after grant acquitted
1.7.3	Records documenting unsuccessful grant applications in relation to the liquor, racing and gaming function. Includes applications, written notices and related correspondence.	- Unsuccessful grant applications	Temporary Destroy 3 years after action completed

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1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.8 Inquiries

The activity of liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by persons or bodies who have been empowered to inquire and report on a subject, such as Royal Commissions, Parliamentary and Ombudsman's inquiries, disciplinary and application inquiries. Includes the agency's participation in the inquiry by providing evidence in the form of records, submissions or staff.

Class No.	Description of Records	Examples	Status and Disposal Action
1.8.1	Records documenting statutory inquiries in relation to the liquor, racing and gaming functions, including inquiries ordered by the Minister under <i>Gaming Machine Act 1995</i> . Includes ministerial, inquiry reports, business recommendations, consultation notes and related correspondence.	- Gaming machine inquiries	Permanent Transfer to the Archives Service 30 years after action completed
	Use the Records Disposal Schedule Administrative Functions of the Northern Territory Government – GOVERNMENT RELATIONS – INQUIRIES for records documenting the organisations contribution and involvement in inquiries by bodies such as Royal Commissions, Parliamentary Committees, and the Ombudsman.		

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1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.9 Investigations

The acts and processes involved in ascertaining facts by investigation.

Class No.	Description of Records	Examples	Status and Disposal Action
1.9.1	Records documenting major investigations into serious allegations of persons suspected of being dishonest, corrupt, fraudulent, or improper, such as money laundering in casinos, foreign influence in casinos, links to organised crime and serious animal welfare issues, in relation to the liquor, racing and gaming functions under the relevant acts, including cases that set a legal precedent or have generated public wide interest. Includes written complaints, compliance activity, file notes, witness statements, video footage, photographs, statutory declarations, investigation reports, show cause notices, supporting documentation, bank statements, and copies of legal advice. May also include correspondence with AUSTRAC and the Australian Federal Police.	- Major Investigations	Permanent Transfer to the Archives Service 30 years after action completed
1.9.2	Records documenting minor investigations into persons suspected of being dishonest, corrupt, fraudulent, or improper, in relation to the liquor, racing and gaming functions under the relevant acts, where the case has not generated public wide interest or set a precedent. Includes written complaints, compliance activity, file notes, witness statements, video footage, photographs, statutory declarations, investigation reports, show cause notices, supporting documentation, bank statements, copies of legal advice, enforceable undertaking agreements, and related correspondence.	- Minor Investigations	Temporary Destroy 10 years after investigation concludes
	Use Legal Services – Litigation for records documenting legal action involving a licensee.	- Litigation cases	

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1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.10 Licensing, Registrations and Permits

The activity of assessing and granting of permits, registrations or licences required by or from the agency to undertake requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.10.1	<p>Records documenting applications for liquor licences and permits under the <i>Liquor Act 2019 and Kava Management Act 1998</i>. Includes liquor licences, special event licences, major event licences, interstate retailer's licences, kava retail licences and kava wholesale licences.</p> <p>Includes terms and conditions, gazette notices, receipts of prescribed fees, applications for a new liquor licence, signed affidavits, detailed drawings, copies of lease agreements, police history checks, copy of smoking management plan, copy of food business registration, declaration of associates, draft public notice of application, inquiries by the Director, correspondence by the Commissioner of Police, notifications of changes to the licensee circumstances, copies of identification, financial statements, business plans, business name extracts, written notices of compliance, statutory declarations, written directions under the Act, returns, copies of liquor accords, receipts for the community benefit levy, inspection reports, copies of published newspaper notifications, community impact analysis reports, and related correspondence.</p> <p>May include applications that have been refused, varied, renewed, cancelled, surrendered, transferred, or suspended, applications for review of decision, applications for appeals, notices of decisions, court proceedings and transcripts, written objections, audit reports, requests for duplicate licences where a licence has been lost, defaced or destroyed.</p>	<ul style="list-style-type: none"> - Liquor licences - Major event licences - Interstate retailers' licences - Kava retail licences - Kava wholesale licences - Special event licences 	<p>Temporary</p> <p>Destroy 7 years after licence expires, is cancelled, withdrawn, or surrendered</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.10 Licensing, Registrations and Permits

The activity of assessing and granting of permits, registrations or licences required by or from the agency to undertake requested action.

Class No.	Description of Records	Examples	Status and Disposal Action
1.10.2	<p>Records documenting applications for racing and gaming licences and permits under the <i>Gaming Control Act 1993</i>, <i>Gaming Machine Act 1995</i>, <i>Totalisator Licensing and Regulation Act 2000</i>, and the <i>Racing and Betting Act 1983</i>, such as gaming machine licences, casino licences, casino operatives, machine mangers and repairers, mail order lotteries, foreign lotteries, minor and major trade and lotteries, approved associations, approved permits to provide ticket dispensing machines, registered bookmakers, racing venues, sport bookmakers' licences, betting exchange licences, and totalizator licences.</p> <p>Includes terms and conditions, gazette notices, receipts of prescribed fees, inquiries by the Director, correspondence by the Commissioner of Police, notifications of changes to the licensee circumstances, copies of identification, financial statements, business plans, business name extracts, written notices of compliance, statutory declarations, returns, receipts for the community benefit levy, inspection reports, copies of published newspaper notifications, community impact analysis reports, determinations by the Director to decrease the number of gaming machines, applications to modify or relocate a gaming machine, reconciliation reports and related correspondence.</p> <p>May include applications that have been refused, varied, renewed, cancelled, surrendered, transferred, or suspended, applications for review or appeals, notices of decisions, court proceedings and transcripts, written objections, appointments of auditors, audit reports, requests for duplicate licences where a licence has been lost, defaced or destroyed.</p>	<ul style="list-style-type: none"> - Gaming Machine Licences - Casino Licences - Casino Operative - Machine Manager and Repairer - Mail order lotteries - Foreign lotteries - Minor and Major Trade and Lotteries - Ticket dispensing machines - Registered bookmakers - Racing venues - Sport bookmakers' licences - Betting exchange licence 	<p>Temporary</p> <p>Destroy 7 years after licence expires, is cancelled, withdrawn, or surrendered</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Liquor, Racing and Gaming			
<p>The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.</p>			
1.11 Meetings			
<p>The activity of appointing members to statutory positions, including to councils, advisory bodies, boards, working groups, consultants and committees. Includes nominations, resignations, pecuniary interests, management of meetings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or agency. Includes arrangements, agenda, taking of minutes, etc.</p>			
Class No.	Description of Records	Examples	Status and Disposal Action
1.11.1	<p>Records documenting the establishment and management of various statutory boards and committees in relation to the liquor, racing and gaming functions, such as the Racing Appeals Tribunal.</p> <p>Includes appointment of members, declarations of conflict of interest, terms and conditions, gazette notices and instruments, ministerial, business recommendations, agendas, minutes, discussion papers, policies, and related correspondence.</p> <p>May include resignations, dismissals, nominations, advertising, remuneration of sitting fees and travel documentation.</p>	<ul style="list-style-type: none"> - Racing Commission - Racing Appeals Tribunal 	<p>Permanent</p> <p>Transfer to the Archives Service 30 years after action completed</p>
	<p>Use the Records Disposal Schedule Administrative Functions of the Northern Territory Government – Committees for records documenting high level committees where Licensing NT is the NT Government’s main representative, such as inter-governmental committees.</p>		

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1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.12 Policy

The activity of developing and establishing decisions, directions and precedents that act as a reference for future decision making or as the basis from which an agency's operating procedures are determined.

Class No.	Description of Records	Examples	Status and Disposal Action
1.12.1	Records documenting core functional policies and codes of practice in relation to the liquor, racing and gaming function, such as the Code of Practice for Responsible Gambling, the Code of Practice for Responsible Service of Online Gambling, the Code of Practice for the Responsible Advertising and Promotion of Liquor, Community Impact Assessment Guidelines issued by the Minister under the <i>Liquor Act 2019</i> , master set of procedures and guidelines issued by the Minister under the <i>Kava Management Act 1998</i> , the Greyhound Animal Welfare Policy and Greyhound Racing heat policy. Includes ministerial, gazette notices, business recommendations, consultation notes, formal draft versions, background research and related correspondence.	<ul style="list-style-type: none"> - Codes of Practice - Codes of Practice for Responsible Gambling - Code of Practice for Responsible Service of Online Gambling - Code of Practice for the Responsible Advertising and Promotion of Liquor - Community Impact Assessment Guidelines - Kava Procedures and Guidelines - Greyhound Animal Welfare Policy - Greyhound Racing Heat Policy 	Permanent Transfer to the Archives Service 30 years after action completed
	Use Records Disposal Schedule for Administrative Functions of the Northern Territory Government – STRATEGIC MANAGEMENT – LEGISLATION – for records documenting formal reviews and amendments to legislation relating to the liquor, racing and gaming functions.		

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1. Liquor, Racing and Gaming

The function of managing liquor, racing, and gaming licences and registrations, in accordance with the relevant acts and regulations. Includes the establishment and management of statutory boards, investigations into compliance matters, maintaining statutory registers, setting policy, statutory reporting and management of the Community Benefit Fund, including grant funding.

1.13 Reporting

The activity of initiating or providing a formal response to a situation or request, either internal, external, or as a requirement of corporate policies, and to provide formal statements or findings of the results of the examination or investigation. Includes briefing, business, discussion papers, proposals, reports, reviews and returns.

Class No.	Description of Records	Examples	Status and Disposal Action
1.13.1	Records documenting major reports in relation to the liquor, racing and gaming function, including annual reports, economic data and statistic reports. Includes ministerial, business recommendations, formal draft versions and consultation notes.	<ul style="list-style-type: none"> - Annual reports - Business statistics - Wholesale alcohol supply data - Alcohol consumption data 	Permanent Transfer to the Archives Service 30 years after action completed
1.13.2	Records documenting research reports received from organisations that have received funding through the Community Benefit Fund for the purposes of gambling research.	<ul style="list-style-type: none"> - Gambling Research Reports 	Permanent Transfer to the Archives Service 30 years after action completed
1.13.3	Records documenting Inter-departmental and external reports in relation to the liquor, racing and gaming functions. Includes inter-jurisdictional reports, key performance reports, strategic and business plans, achievements, budgets, estimates, initiatives, outputs and quarterly updates.	<ul style="list-style-type: none"> - Interdepartmental reports - External reports - Performance reports 	Temporary Destroy 5 years after action completed

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