

**Office of the  
State Archivist**

**DISPOSAL SCHEDULE FOR LIQUOR  
AND GAMING REGULATION  
(DEPARTMENT OF TREASURY AND  
FINANCE)**

Disposal Authorisation DA2543

**Version 1.0  
July 2024**

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## Authorisation

Under Section 20 (2) (b) of the *Archives Act 1983* (Tas), I authorise 'relevant authorities' (as defined in Section 3 of that Act) to manage the disposal of the records described in this schedule in accordance with the procedures specified.

**Ross Latham**  
**State Archivist**

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<b>Version</b>	<b>Date</b>	<b>Comments</b>
1.0	25/07/2024	Initial release

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## Document Development History

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Version	Date	Comments
1.0	25/07/2024	Initial release

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## Introduction

**Disposal Schedules are the State Archivist's ongoing permission to dispose of records.**

They identify:

- which records have a permanent retention and will be transferred to the Tasmanian Archives
- the minimum time that temporary records need to be kept before they can be destroyed.

### Authority

Tasmanian government organisations covered by the *Archives Act 1983* (Tas) can only dispose of records with the written permission of the State Archivist.

“Disposal of records” means destroying them, removing them from the creating organisation, or transferring them to the Tasmanian Archives.

### Records Covered

This disposal schedule refers to records of the Liquor and Gaming Regulation function, administered by the Department of Treasury and Finance. It supports regulatory bodies in minimizing harm related to liquor and gambling within the community. Additionally, it assists industry players in understanding and adhering to their obligations under the relevant regulatory frameworks. The branch also provides policy advice to the government on matters related to gaming, wagering, and liquor at both the state and national levels.

This schedule is used in conjunction with the *Disposal Schedule for Statutory Government Bodies* (DA2508) for records relating to the Tasmanian Liquor and Gaming Commission, which is the independent body responsible for the regulation of gaming in Tasmania, established under the *Gaming Control Act 1993* and as an appeal body in relation to the *Liquor Licensing Act 1990*.

Other applicable general disposal schedules include:

- Disposal Schedule for Common Administrative Functions (DA2157)
- Disposal Schedule for Short Term Value Records (DA2158)
- Disposal Schedule for Source Records (DA2159)
- Disposal Schedule for Statutory Governing Bodies (DA2508)
- other disposal schedules relevant to your organisation.

### Responsibility for review

You are responsible for monitoring legislative or regulatory changes which may affect disposal of records covered by this schedule. If this happens, please tell the Office of the State Archivist because we may need to review the disposal schedule.

### Unscheduled Records

Unscheduled records are records not covered in this or any other disposal schedule and include all pre-1960 records.

Please contact us to discuss procedures to manage these records.

### You Cannot Destroy Records, Even if the Retention Period has Passed, if:

- they are the subject of a **records retention notice** (“disposal freeze”) issued by the State Archivist or your organisation; or

- they may be required for an **investigation, inquiry or Royal Commission which** is in **progress** or expected; or
- they may be needed as **evidence** in a current or expected legal matter; or
- they are needed for applications in progress under the ***Personal Information Protection Act 2004 (Tas)*** or ***Right to Information Act 2009 (Tas)***; or
- there is a **native title claim** in progress.

If any of these apply, identify all relevant records and keep them until the matter and any following reviews, appeals or actions are complete. This may be longer than retention periods in this schedule.

### **Records Of First Nations People**

Keep records of First Nations' people if they document cultural connection to place and/or the impact of government policies on individuals, families and communities.

### **More Information**

- Outsourcing:  
You are responsible for recordkeeping, even if your organisation outsources a function.
- Retention periods are minimums:  
The retention periods in this schedule are minimum periods.
  - You can keep records longer where there is a business need for them.
  - Take a risk-based approach when deciding how long to keep records.
- Destruction of records:  
Destroy temporary records securely and appropriately to the format or medium. Record their destruction in your *Register of Records Destroyed*.
- Transfer of records:  
Transfer permanent records to the Tasmanian Archives, in line with procedures.
- Legal deposit:  
Follow [National edeposit](#) (NED) guidelines for lodging print, digital and audio-visual publications, including government publications, under legal deposit legislation.
- Legislation:  
This disposal schedule is issued under the *Archives Act 1983 (Tas)*.

Also, consider the legislation relevant to your own organisation to make sure you've met all recordkeeping requirements.

## Disposal Schedule

Reference	Description	Status And Disposal Action
01.00	<p><b>Licensing and Permit Management</b></p> <p>The function of receiving and assessing applications for licences and permits under legislation governing the regulation of liquor, gaming and wagering. Includes the management of renewals. Responsibilities include:</p> <ul style="list-style-type: none"> <li>• processing applications for licensing of liquor premises and gaming venue operators, special employees, technicians and associates including background, probity, credit and other checks</li> <li>• decisions on whether an application is approved or not, and any restrictions or conditions imposed on the licence or permit</li> <li>• processing renewals, including a review of restrictions and conditions imposed, and appeals against a refusal to license, permit or approve, or against any restrictions or conditions</li> <li>• processing cancellation, suspension or exclusion of a person or entity from holding a licence or permit following a compliance enforcement action.</li> <li>• evaluation and approval of gaming licence rules, foreign games and approval of games offered within casinos.</li> <li>• management of gaming machine entitlements</li> <li>• requests for information on liquor and gaming licencing and permits including enquiries on gaming machines and information from other jurisdictions</li> <li>• maintenance of a roll of manufacturers, suppliers and testers of gaming products, and of facilities for conducting testing including code for Accredited Testing Facilities.</li> </ul> <p>Generally, though some cases may vary:</p> <ul style="list-style-type: none"> <li>• A <b>liquor licence</b> is issued to a person to be able to conduct an activity (such as the service or sale of alcohol) at a nominated premises in an ongoing capacity (i.e. the licence has no expiry date) subject to payment of fees and continuing to meet the conditions of the licence.</li> <li>• A <b>liquor permit</b> is issued to a person or an organisation to be able to conduct an activity for a specified period of time (i.e. the permit has an expiry date).</li> <li>• A <b>liquor approval</b> may adjust the conditions of a licence or permit to include or exclude an activity or requirement, be issued as a standalone approval; or must have approval of the Commissioner to employ a person under 16 years to sell or serve alcohol.</li> <li>• A <b>gaming licence</b> is issued to a person or organisation to be able to conduct an activity (such as the provision of gambling services). Types of licences include venue licence for licenced premises, Tasmanian Gaming Licence (TGL), such as internet gaming, sports betting, race wagering and major lotteries; Special Employee and Technicians licence.</li> </ul>	



Reference	Description	Status And Disposal Action
	<ul style="list-style-type: none"> <li>• A <b>gaming permit</b> is issued to a person or organisation for a type of event or activity to occur e.g. minor gaming such as selling raffle tickets or foreign games allowing tickets or lottery in Tasmania from another jurisdiction.</li> <li>• A <b>gaming approval</b> is issued for a product to be used or sold, (such as a particular type of gaming machine to be produced and sold), including an exemption to the standard requirements.</li> </ul> <p><b>See DA2508 Disposal Schedule for Statutory Governing Bodies</b> for meeting papers, appointments, membership records and decisions of the Tasmanian Liquor and Gaming Commission.</p>	
01.01	<p><b>Records of Continuing Value</b></p> <p>Records of significant value documenting the licensing and permit management function. Includes:</p> <ul style="list-style-type: none"> <li>• applications for licences and permits such as major licences that require Ministerial approval, including licences granted to public lotteries, wagering, betting, Keno and operators of statewide gaming services, e.g., monitoring operator</li> <li>• the issue, amendment, cancellation, suspension or surrender of major licences requiring Ministerial approval, including supporting documentation and reports that identify an issue, provide analysis or otherwise lead to a decision to issue, amend, cancel, suspend or surrender a licence.</li> </ul> <p><i>Note: Operational records that do not relate to the above are captured in class 01.02</i></p> <ul style="list-style-type: none"> <li>• licensing details of liquor premises that have historical or continuing research value, including building plans, summary of conditions or restrictions placed on the licence, commencement and expiry dates</li> <li>• reports and advice to the Minister or Parliament concerning changes to licensing requirements and criteria, the history of individual licensees or permit holders, or characteristics of a category/class of licence/permit</li> <li>• Ministerial directions regarding any of the above.</li> </ul>	<p>PERMANENT</p> <p>Retain as State archives</p>
01.02	<p><b>Long-term Records</b></p> <p>Records of long-term value documenting the licensing and permit management function, including:</p> <ul style="list-style-type: none"> <li>• detailed applications for licences and permits which lead to policy change or a major review of processes</li> <li>• operational records relating to licences approved by the Minister that do <u>not</u> relate to the issue, amendment,</li> </ul>	<p>TEMPORARY</p> <p>Destroy 65 years after action completed</p>

Reference	Description	Status And Disposal Action
	<p>cancellation, suspension or surrender of a Minister approved licence.  <i>Note: Records that require Ministerial approval for the issue, amendment, cancellation, etc., of a licence are captured in class 01.01</i></p> <ul style="list-style-type: none"> <li>operational management of gaming machine entitlements such as application forms and correspondence regarding limits etc.</li> <li>receipt and finalisation of applications to be listed on the Roll of Recognised Manufacturers, Suppliers and Testers of Gaming Equipment including maintenance of the roll as a public document</li> <li>business intelligence reports on an individual or organisation whose conduct or affiliations while holding a licence/permit require investigation.</li> </ul> <p><i>Note: Operational records include correspondence with the licence or permit holder; provision of advice; notification of changes to licensing or permit requirements or conditions; requests for confirmation, clarification or updates of affiliations. Records of compliance management operations are captured in section 2.00.</i></p>	
01.03	<p><b>Short-term Records</b></p> <p>Records of short-term value documenting operational records for the licensing and permit management function, except for licences requiring Ministerial approval.</p> <p><i>Note: See 01.02 for operational records of licences requiring Ministerial approval.</i></p> <p>Includes:</p> <ul style="list-style-type: none"> <li>liquor licensing records including applications, transfers, associates, club permits, all types of special permits, small producers permits, off/on/out of hours permits and alterations to a licenced premises.  <i>Note: Action completed in this instance refers to after the licences ceases to be current</i></li> <li>gaming licensing records including applications and renewals for special employees and technicians, venue licence applications including associates, minor gaming and foreign games permits, and Tasmanian Gaming Licences.  <i>Note: Action completed in this instance refers to after the licences ceases to be current</i></li> </ul>	<p>TEMPORARY</p> <p>Destroy 7 years after action completed</p>

Reference	Description	Status And Disposal Action
	<ul style="list-style-type: none"> <li>• evaluation and approval of gaming licence rules and approval of games offered within casinos or on gaming machines.</li> <li><i>Note: Action completed in this instance refers to after the approval or game is withdrawn</i></li> <li>• unsuccessful applications and any associated appeals/reviews of decisions arising</li> <li>• applications to surrender a licence or permit and applications withdrawn prior to a decision being made</li> <li>• requests for information relating to all liquor and gaming licencing and permits</li> <li>• enquiries relating to gaming machines as well as information from other jurisdictions</li> <li>• enquiries relating to or superseded versions of the Roll of Recognised Manufacturers, Suppliers and Testers of gaming machines.</li> </ul>	
<b>02.00</b>	<p><b>Compliance Management</b></p> <p>The function of managing compliance, including ensuring the requirements of relevant legislation, standards and other mandatory frameworks are met for licences and permits relating to liquor, gaming and wagering.</p> <p>Responsibilities include:</p> <ul style="list-style-type: none"> <li>• conditions and/or limitations of licences and permits are adhered to</li> <li>• licence or permit holders remain fit and proper persons to be licensed or hold a permit</li> <li>• appropriate compliance enforcement action is taken where required to reduce/remove the risk of future non-compliance by a licence or permit holder</li> <li>• complaints received are acted on as appropriate</li> <li>• ongoing compliance reviews as required under legislation to ensure the licence holder remains eligible (i.e. fit and proper, competent, and financially viable) and its operations remain compliant</li> <li>• compliance audits and proactive inspections including monitoring and investigating the operation of licensed and other premises where liquor is sold and gaming is provided</li> <li>• inspections resulting from a complaint, query or other issue in connection to a licence or permit</li> <li>• investigations, including powers to search and seize</li> <li>• compliance enforcement including disciplinary action</li> <li>• cancellation or restriction of a licence or permit</li> <li>• prosecutions</li> <li>• appeals against compliance management decisions, such a notices, orders or other disciplinary decisions made under legislation and conditions or</li> </ul>	

Reference	Description	Status And Disposal Action
	restrictions imposed on an existing licence or permit resulting from compliance enforcement action.	
02.01	<p><b>Records of Continuing Value</b></p> <p>Records of continuing value documenting the function of managing compliance related to liquor, gaming and wagering. Includes:</p> <ul style="list-style-type: none"> <li>• development and review of criteria for determining when compliance enforcement action/s are to be taken, what action to apply, and when to escalate a matter</li> <li>• development and review of criteria for determining the application of disciplinary action up to and including the suspension or cancellation of a licence or permit, or the exclusion of a person from holding a licence or permit</li> <li>• compliance management activities that lead to policy change, the development and issues of guidelines or standards, or otherwise change the assessment of compliance within the liquor and gaming industries</li> <li>• compliance enforcement action or prosecutions which lead to a change in legislation, policy or processes</li> <li>• final reports and recommendations from major licence holder review projects e.g. reviews of the casino operator</li> <li>• compliance processes which lead to the amendment, suspension, surrender or cancellation of a casino, keno, operator's, monitoring operator's, Tasmanian gaming licence or a foreign games permit.</li> </ul>	<p>PERMANENT</p> <p>Retain as State archives</p>
02.02	<p><b>Long-term Records</b></p> <p>Records of long-term value documenting the function of managing compliance relating to liquor, gaming and wagering. Includes:</p> <ul style="list-style-type: none"> <li>• detailed records on the review of major licence holders that are approved by the Minister, such as casino operators, including monitoring reports, auditing system controls, eligibility, associates, and compliance with regulations.</li> </ul> <p><i>Note: final reports and recommendations are captured in class 02.01</i></p> <ul style="list-style-type: none"> <li>• compliance processes which find a venue or major licence holder (the holder of Minister-approved licence e.g. Monitoring Operator) guilty of a breach, but which do not lead to the amendment, suspension, surrender or cancellation of the licence</li> </ul>	<p>TEMPORARY</p> <p>Destroy 65 years after action completed</p>

Reference	Description	Status And Disposal Action
	<ul style="list-style-type: none"> <li>• compliance enforcement action (inspections, investigations and other disciplinary action) which leads to a licence, or permit being suspended or cancelled</li> <li>• submissions provided to the Department of Public Prosecution and Coroner's Office including investigations, reports, surveillance footage, affidavits, scope, timelines and case outline</li> <li>• exclusion of a person from holding a licence or permit, and/or prosecution including appeals or reviews of decisions</li> <li>• audits that lead to prosecution for fraudulent dealings.</li> </ul>	
<b>02.03</b>	<p><b>Short-term Records</b></p> <p>Records of short-term value documenting the function of managing compliance relating to liquor, gaming and wagering. Includes:</p> <ul style="list-style-type: none"> <li>• audit documentation, analysis and recommendations where no compliance action results</li> <li>• audit reports prepared for provision to the licence or permit holder (irrespective of whether the audit leads to compliance enforcement action or not)</li> <li>• proactive compliance inspections which assess whether a licence or permit holder is compliant with newly introduced/changed requirements and provides recommendations or instructions for improvement, including routine venue inspections which do not detect a breach</li> <li>• compliance enforcement action (inspections, investigations and other disciplinary action) where the result is to undertake no further action, issue a reprimand or warning, etc.</li> <li>• observation and monitoring of casino operations at the venue of a major licence holder to ensure compliance with licence terms and conditions. Includes Casino daily monitoring reports and reports on bank statements, table count, cash desk and uncollected credits</li> <li>• observation and monitoring reports on network gaming keno and electronic gaming machines including daily reports and surveillance logs</li> <li>• self-exclusion notices to support the management of gambling behaviour of individuals. Includes breaches of self-exclusion and venue exclusion notices and revoking self-exclusion.</li> </ul>	<p>TEMPORARY</p> <p>Destroy 7 years after action completed</p>

Reference	Description	Status And Disposal Action
03.00	<p><b>Regulation Management</b></p> <p>The function of managing the agency's regulatory responsibilities in relation to liquor, gaming and wagering.</p> <p>Responsibilities include:</p> <ul style="list-style-type: none"> <li>• development and issue of directions and guidelines for industry regulations, expectations and other aspects of being the holder of a licence or permit including establishment of precedents in liquor, gaming and wagering case law judgements</li> <li>• development and issue of standards for gaming equipment, control and monitoring systems, technical and advertising standards and licence rules to meet regulatory requirements</li> <li>• submissions made to national inquiries or Royal Commissions into the gambling industry, harm minimisation or casino operators</li> <li>• application and approval of gaming equipment including gaming machines and their storage, repair, possession and disposal</li> <li>• collections, reconciliation and payment of gaming revenue/tax, including on behalf of other jurisdictions (outside the state of Tasmania) where the agency holds a contract or agreement to provide these services</li> <li>• regulatory audits, including those undertake to develop new standards or guidelines</li> <li>• development and issue of codes of practice e.g. for responsible gambling.</li> <li>• projects that pilot, implement or evaluate regulatory policy, such as review of wagering levy, future gaming markets, and mandatory codes of practice</li> <li>• appointment of inspectors and other authorised officers</li> <li>• review and response to issues raised with the Commission</li> <li>• publication of a list of Registered Training Organisations (RTOs) who have registered with the agency as providers of industry training e.g. Responsible Service of Alcohol Course, Responsible Conduct of Gambling Course; and whose courses are recognised by the agency as being compliant with the requirements of the legislation</li> <li>• implementation of recommendations arising from external audits and reviews, including the Auditor-General</li> <li>• administration of the community support fund which includes contributions from the community support levy</li> <li>• regulation of patron behaviour e.g. the issue of exclusion orders and other actions where patron behaviour is not conforming to the regulations.</li> <li>• monitoring patrons who have elected to self-exclude from a venue(s).</li> </ul> <p><b>See DA2508 Disposal Schedule for Statutory Governing Bodies</b> for records of the Tasmanian Liquor and Gaming Commission (TLGC).</p>	

<p><b>03.01</b></p>	<p><b>Records of Continuing Value</b></p> <p>Records of continuing value documenting the regulation management function relating to liquor, gaming and wagering. Includes:</p> <ul style="list-style-type: none"> <li>• formulation of policy and reforms to licensing, gaming and wagering regulation</li> <li>• development and review of licence and permit requirements, including establishment of rules and criteria used to determine conditions, limits or suitability of an applicant</li> <li>• approved directions, codes and guidelines for industry and the community including codes of practice, variations and exemption approvals, standards and rules</li> <li>• advice to the Treasurer, Tasmanian Liquor and Gaming Commission (TLGC) or government agencies which clarifies meaning, interprets obligations or limitations, including legal opinions</li> <li>• records of the implementation of audit recommendations from external audits or the Auditor-General</li> <li>• final published versions of publications, data, research, newsletters and fact sheets etc, such as gambling and liquor industry data, industry trends, and impact studies on gambling in Tasmania</li> <li>• approval by the Treasurer of the distribution of funds to agencies from the Community Support Fund (CSF), including an annual published summary by agency, of approved funding requests</li> <li>• final reports including the pilot, implementation or evaluation of regulatory policy, including case law judgements.</li> </ul>	<p>PERMANENT</p> <p>Retain as State archives</p>
<p><b>03.02</b></p>	<p><b>Short-term Records</b></p> <p>Short-term records documenting the regulation management function relating to liquor, gaming and wagering. Includes:</p> <ul style="list-style-type: none"> <li>• agreements including memorandums of understanding, formal arrangements such as data sharing or use of external systems for credit checks and digital verification. <i>Note: Action completed in this instance refers to after the agreement has expired or is withdrawn</i></li> <li>• internal and external meeting papers including agendas and submission which do not make policy changes or the department does not have an administrative role</li> <li>• application and approval of gaming equipment and software including electronic gaming machine storage, repair, possession, surrender and disposal.</li> </ul>	<p>TEMPORARY</p> <p>Destroy 7 years after action completed</p>

	<p><i>Note: Action completed in this instance refers to after the game or approval for the game is withdrawn</i></p> <ul style="list-style-type: none"> <li>• assessment and appointment of inspectors and authorised officers under relevant legislation, including supporting documentation provided by staff as part of the appointment/authorisation process</li> <li>• operational records of projects which pilot, implement and evaluate regulatory policy such as the use of facial recognition technology in gaming machines and venues</li> <li>• responses to issues raised with the Liquor and Gaming Commission</li> <li>• registration of approved Registered Training Organisations who provide industry training courses that meet TLGC requirements for compliance</li> <li>• implementation of recommendations arising from internal audits and reviews</li> <li>• liaison with professional associations, industry and community groups, and other regulatory bodies. Includes exchanges of information, collaboration on projects, and membership of community groups and/or professional associations</li> <li>• research including contributions to the Australian Gambling Statistics</li> <li>• receipt of information about projects funded by the Community Support Fund including monitoring of agency expenditure and reporting.</li> </ul> <p><i>Note: Action Completed in this instance is after final expenditure of the grant</i></p> <ul style="list-style-type: none"> <li>• regulation of patron behaviour including monitoring and enforcing exclusion</li> <li>• contributions to revised estimates report relating to liquor, gaming and wagering</li> <li>• source data not necessary to substantiate advice including data used in the development and review of directions and guidelines.</li> </ul>	
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