



Records Authority

2014/00272698

**Australian Grape and  
Wine Authority**

Wine Industry Development  
Wine Industry Regulation

2014

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## INTRODUCTION

The Australian Grape and Wine Authority and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the core business areas of Wine Industry Development and Wine Industry Regulation. It represents a significant commitment on behalf of the Australian Grape and Wine Authority to understand, create and manage the records of their activities.

This Authority is based on the identification and analysis of the business of the Australian Grape and Wine Authority. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives of Australia.

The Authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This Authority gives Wine Australia permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

As changes in circumstances may affect future records management requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

## APPLICATION OF THIS AUTHORITY

1. This Authority supersedes Records Disposal Authority (RDA) 1259 issued to the Australian Wine and Brandy Corporation (1996). This superseded authority cannot be used after the date of issue of this Authority.
2. This Authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the Authority:
  - Where the minimum retention period has expired and the records are not needed for agency business they should be destroyed as authorised in this Authority;
  - Records that have not reached the minimum retention period must be kept until they do; and
  - Records that are identified as Retain as National Archives (RNA) are to be transferred to the National Archives of Australia for preservation.
3. This Authority should be used in conjunction with general records authorities such as:
  - the Administrative Functions Disposal Authority (AFDA) and/or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies; and
  - General Records Authority (31) for source (including original) records that have been copied, converted or migrated.
4. The Normal Administrative Practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this Authority but can be used as a tool to assist in identifying records for destruction together with an agency's Records Authority or Authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a Normal Administrative Practice policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop an agency NAP policy is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au).
5. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of Information Act 1982* or any other relevant Act must not be destroyed until the action has been completed.

6. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. Further information about disposal freezes and whether they affect the application of this Authority is available from the National Archives website at [www.naa.gov.au](http://www.naa.gov.au).
7. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this Authority can still be applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. Wine Australia will need to maintain continuing access to the information, including digital information, for the periods prescribed in this Records Authority or until the information is transferred into the custody of the National Archives.
8. In general, retention requirements indicate a minimum period for retention. Wine Australia may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where Wine Australia believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
9. Records coming within 'Retain as national archives' classes in this Authority have been determined to be part of the archival resources of the Commonwealth under Section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under Section 27 of the *Archives Act 1983*.
10. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need to meet this obligation to ensure that the records remain authentic and accessible over time. Under Section 31 of the *Archives Act 1983*, access arrangements are required for records that become available for public access including those records that remain in agency custody.
11. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives.
12. Advice on how to use this Authority is available from the Australian Grape and Wine Authority records manager. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.

## CONTACT INFORMATION

For assistance with this authority or for advice on other records management matters, please contact National Archives' Agency Service Centre.

Queen Victoria Terrace  
Parkes ACT 2600  
PO Box 7425  
Canberra Business Centre ACT 2610

Tel: (02) 6212 3610  
Fax: (02) 6212 3989  
Email: [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au)  
Website: [www.naa.gov.au](http://www.naa.gov.au)

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# AUTHORISATION

RECORDS AUTHORITY 2014/00272698

**Person to whom notice of authorisation is given:**

Mr Andreas Clark  
Acting Chief Executive  
Australian Grape and Wine Authority  
Industry House  
Cnr Hackney and Botanic Roads  
Adelaide, South Australia 5000

**Purpose:**

Authorises arrangements for the disposal of records in accordance with Section 24(2)(b) of the *Archives Act 1983*.

Determines records classed as 'Retain as national archives' in this Records Authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*.

**Application:**

All core business records relating to Wine Industry Development and Wine Industry Regulation.

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

**Authorised by**

David Fricker  
Director-General  
National Archives of Australia

**Date of issue:**

10 September 2014

## WINE INDUSTRY DEVELOPMENT

The core business of supporting the development of the Australian wine industry. Includes the fostering of existing, newly established or emerging industry markets, and the promotion of these markets to consumers. Also includes the promotion and protection of industry profiles and identities, and the maintenance of the industry's brand both nationally and internationally.

The **core tasks** associated with wine industry development include:

- developing, implementing and reviewing policies, schemes, frameworks, strategies and plans, including marketing plans;
- developing, implementing and reviewing programs, projects and campaigns to support wine industry development, including developing and commissioning campaign elements such as audio visual productions;
- developing and delivering information sessions, training and education programs relating to wine industry development initiatives and products;
- liaising, collaborating and entering into agreements and partnerships with industry, business and government agencies within Australia and overseas;
- providing stakeholder advice,
- developing and disseminating reports relating to wine industry development;
- organising and attending events and conferences to promote the Australian wine industry and liaising with media;
- undertaking wine industry development research activities through focus groups, surveys, and studies;
- developing logos, trademarks and associated branding for building corporate image and enhancing the Australian wine industry brand;
- establishing and supporting committees and working groups to support wine industry development; and
- establishing and conferring industry awards or honours.

The performance of the core business is supported by **general activities** such as:

- developing and implementing internal operational policies and procedures;
- administering approved arrangements and agreements;
- delegating powers and authorising actions;
- managing committees, working groups and meetings;
- planning, conducting and facilitating audits;
- administrative arrangements supporting information sessions and education programs;
- preparing and presenting speeches and presentations; and
- responding to enquiries regarding the core business.

### Cross References to other areas of this Records Authority

*For rules and schemes for the regulation of market participants, use WINE INDUSTRY REGULATION.*

### Cross references to AFDA Express Records Authority

*For media releases and interviews, use COMMUNITY RELATIONS.*

*For agency submissions, use GOVERNMENT RELATIONS.*

*For legal advice, including management of formal appeals relating to agency decisions, use LEGAL SERVICES.*

*For the production and distribution of agency publications, including published strategies, plans and reports, use PUBLICATION.*

## WINE INDUSTRY DEVELOPMENT

*For tendering and contracting arrangements, and the acquisition of goods and services, use PROCUREMENT.*

*Cross references to other records authorities*

*For managing the activities of advisory bodies established to advise on strategies, plans, and associated core business activities, use ADVISORY BODIES.*

*For administration of the agency's Board meetings, use GOVERNING BODIES.*

Class no	Description of records	Disposal action
61546	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• developing, implementing and reviewing high-level policies, schemes, strategies, plans and frameworks , including national and international marketing plans. Includes final version, major drafts and summaries of consultations and supporting research;</li> <li>• developing and implementing major marketing campaigns promoting wine industry development programs and initiatives such as <i>Savour Australia</i>. Includes: <ul style="list-style-type: none"> <li>○ final version of marketing and educational material, including final version masters of audio visual productions in highest technical format;</li> <li>○ final designs (artwork);</li> <li>○ scripts and style guides;</li> <li>○ final version of market research analysis and reports; and</li> <li>○ case studies used for marketing and dissemination purposes;</li> </ul> </li> <li>• developing, implementing and reviewing major programs and projects, including education programs such as <i>A+ Australian Wine</i>, supporting wine industry development, where the programs and projects are of national or international significance, innovative, or will have a substantial social, economic, political or environmental impact. Includes projects undertaken as joint ventures, summaries of research findings and final project outcomes;</li> <li>• high-level liaison with industry, business, Australian and international government agencies relating to wine industry development issues: of a controversial nature, or which are of major significance to the agency and its stakeholders, or which result in formal agreements or partnerships;</li> <li>• high-level agreements, Memoranda of Understanding (MOUs) and contracts with national and international stakeholders supporting Australian wine industry development. Includes bilateral agreements, cooperative arrangements and other formal agreements;</li> <li>• receipt and provision of high-level strategic advice, including ministerial, and policy advice;</li> <li>• final versions of industry logo and trademark designs, including co-branding. Includes registration of industry trademarks;</li> <li>• high-level reports relating to wine industry development where the issue is controversial, or has significant legal, social, economic and/or international implications. Includes audit reports of nationally significant agency marketing campaigns and schemes, and outcomes of research undertaken or commissioned by the agency. Includes final version, major drafts and summaries of supporting research;</li> </ul>	Retain as national archives

## WINE INDUSTRY DEVELOPMENT

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>• high-level internal and external committees, working groups and other bodies supporting wine industry development, where the agency provides Secretariat support, is the Australian Government's main representative, or plays a leading or prominent role;</li> <li>• establishment and conferring of industry awards or sponsorship to eligible recipients. [<i>For operational aspects of administering awards and sponsorship use class 61548</i>];</li> <li>• final version of speeches and presentations made by the Minister or senior agency staff relating to wine industry development, including conference presentations; and</li> <li>• master version of agency publications.</li> </ul>	
61547	Agreements, Memoranda of Understanding (MOUs) and contracts relating to wine industry development activities, other than those covered in class 61546.	Destroy 21 years after action completed or termination of agreement
61548	Records documenting: <ul style="list-style-type: none"> <li>• nomination and appointment of representatives to wine industry development committees and working groups;</li> <li>• administrative arrangements for committee or working group meetings, information sessions, forums and education seminars, awards, sponsorship and agency attendance at events, including invitations, registrations, venue bookings, travel and catering arrangements; and</li> <li>• receiving and responding to routine enquiries regarding the core business.</li> </ul>	Destroy 3 years after action completed
61549	Records documenting: <ul style="list-style-type: none"> <li>• routine operational administrative tasks supporting the core business, such as records related to events and media hosting programs, media plans and liability release forms; and</li> <li>• wine industry development activities, other than those covered in classes 61546-61548.</li> </ul>	Destroy 10 years after action completed

## WINE INDUSTRY REGULATION

The core business of regulating the Australian wine industry, including determining the boundaries of the various regions and localities in Australia in which wine is produced, to give identifying names to those regions and localities, and to determine the varieties of grapes that may be used in the manufacture of wine in Australia. Also includes the regulation of the sale, export and import of wine for the purpose of enabling Australia to fulfil its obligations under prescribed wine-trading agreements and other legal requirements.

The **core tasks** associated with wine industry regulation include:

- developing, implementing and reviewing policies, schemes, frameworks, strategies and plans;
- developing, implementing and reviewing codes, standards, rules, guidelines, criteria and schemes to regulate wine industry participants;
- monitoring and investigating industry compliance with codes, standards, rules, guidelines, criteria and schemes, including receiving and assessing complaints about non-compliance;
- issuing licences, permits, and certification including overseas export permits for wine industry participants;
- providing stakeholder advice and guidance for industry participants;
- planning, conducting and facilitating audits and inspections of wine industry participants;
- managing the process of appeals;
- developing and delivering information sessions and education programs relating to wine industry regulation;
- liaising, collaborating and entering into agreements and partnerships with industry, business and government agencies within Australia and overseas relating to wine industry regulation;
- establishing and supporting committees and working groups to support wine industry regulation;
- developing and disseminating reports relating to wine industry regulation; and
- maintaining registers supporting wine industry regulation.

The performance of the core business is supported by **general activities** such as:

- developing and implementing internal operational policies and procedures;
- administering approved arrangements and agreements;
- delegating powers and authorising actions;
- managing committees, working groups and meetings;
- managing and participating in conferences;
- administrative arrangements supporting information sessions and education programs;
- preparing and presenting speeches and presentations; and
- responding to enquiries regarding the core business.

## WINE INDUSTRY REGULATION

Class no	Description of records	Disposal action
61550	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• developing, implementing and reviewing high-level policies, schemes, strategies, plans and frameworks for wine industry regulation. Includes final version, major drafts and summaries of consultations and supporting research;</li> <li>• developing and reviewing codes, standards, rules, guidelines and criteria for wine industry regulation, such as the <i>Label Integrity Program</i> and <i>Wine Australia Compliance Guide</i>. Includes final version, major drafts and summaries of consultations and supporting research;</li> <li>• investigation and compliance activities relating to cases of industry non-compliance with wine industry regulation codes, standards or regulatory requirements, resulting in the enforcement of penalties which are controversial or set a precedent, attract parliamentary or significant public interest or which result in major changes to policy, procedures or legislation. Includes final version of related audit reports. <i>[For all other investigation and compliance activities, use class 61553];</i></li> <li>• high-level liaison with industry, business, Australian and international government agencies relating to wine industry regulation issues: of a controversial nature, which are of major significance to the agency and its stakeholders, or which result in formal agreements or partnerships;</li> <li>• high-level agreements, Memoranda of Understanding (MOUs) and contracts with national and international stakeholders supporting wine industry regulation activities. Includes bilateral agreements, cooperative arrangements and other formal agreements;</li> <li>• receipt and provision of high-level strategic advice, including ministerial, and policy advice;</li> <li>• high-level reports relating to wine industry regulation where the issue is controversial, or has significant legal, social, economic and/or international implications. Includes audit reports of nationally significant regulatory programs and schemes. Includes final version, major drafts and summaries of supporting research;</li> <li>• high-level internal and external committees, working groups and other bodies supporting wine industry regulation, where the agency provides Secretariat support, is the Australian Government's main representative, or plays a prominent role, for example the <i>Geographical Indications Committee</i>;</li> <li>• final version of speeches and presentations made by the Minister or senior agency staff relating to wine industry regulation activities, including conference presentations; and</li> <li>• significant registers and summary information relating to wine industry regulation activities, for example the <i>Australian Register of Protected Geographical Indications</i>.</li> </ul>	Retain as national archives
61551	Agreements, Memoranda of Understanding (MOUs) and contracts relating to wine industry regulation activities, other than those covered in class 61550.	Destroy 21 years after action completed or termination of agreement

## WINE INDUSTRY REGULATION

<b>Class no</b>	<b>Description of records</b>	<b>Disposal action</b>
61552	Records documenting: <ul style="list-style-type: none"><li>• administrative arrangements for committee or working group meetings, information sessions, forums and education seminars, and agency attendance at events, including invitations, registrations, venue bookings, travel and catering arrangements; and</li><li>• nomination and appointment of representatives to wine industry regulation committees and working groups.</li></ul>	Destroy 3 years after action completed
61553	Records documenting: <ul style="list-style-type: none"><li>• routine operational administrative tasks supporting the core business including:<ul style="list-style-type: none"><li>○ determining fees and charges for export permits, licenses, product registrations and import certificates;</li><li>○ issuing export permits and licences, products registrations, and import certificates. Excludes summary information covered by class 61550; and</li></ul></li><li>• wine industry regulation activities, other than those covered in classes 61550-61552.</li></ul>	Destroy 10 years after action completed