

STATE RECORDS

of South Australia

Operational Records Disposal Schedule

Lotteries Commission of South Australia (Commission) (and predecessor agencies)

Effective Dates: 14 June 2022 to 14 June 2032

This operational records disposal schedule (RDS) authorises disposal of official records (including destruction and transfer of records to State Records custody) as a determination in accordance with section 23(2) of the *State Records Act 1997*.

RDS No	RDS 2022/02 v1
Disposal Schedule Type	Operational Records Disposal Schedule
Agency	Lotteries Commission of South Australia
Records Scope	Records documenting the functions of promoting and conducting lotteries
Records Coverage Dates	3 November 1966 – ongoing
Effective Dates	14 June 2022 to 14 June 2032
Status	Determined by Director State Records and approved by State Records Council on 14 June 2022
Associated RDS	<i>This RDS has superseded RDS 2008/09 v1</i>
Associated Document	Use the RDS in conjunction with its RDS Context Statement

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Introduction

Scope

This RDS applies to official records in all formats including (but not limited to) those that were born digital in databases, email systems, office applications, digital cameras and video as well as physical records on film, tape and other analogue media. Any common records of Government Agencies are covered under General Disposal Schedule for State Government Agencies (GDS 30 v2 (as amended)).

This RDS excludes:

- all pre-1901 records. These are permanent in accordance with a motion approved by the State Records Council on 19 February 2008
- records of permanent value already in State Records custody
- destruction of physical records badly damaged by fire, flood, mould, etc, and neglect of physical, digital records which makes them unreadable and inaccessible
- records to be transferred as part of a privatisation or sale to a non-government organisation
- records not adequately covered within the scope of this RDS

If records fall into any of the above exclusions please contact State Records for advice.

Objectives

The purpose of this RDS is to authorise the disposal of records in accordance with the *State Records Act 1997* including:

- records of enduring evidential or informational value that cannot be destroyed and must be preserved for future reference (identified as permanent - retain as state archives) in accordance with State Records appraisal criteria and
- authorising the destruction of records not of enduring evidential or information value (identified as temporary) after they have been retained a minimum period

Relationship to other disposal schedules

The General Disposal Schedule for State Government Agencies in South Australia (GDS 30 v2 (as amended)) should be used by State Government agencies for common records documenting activities such as HR, financial management, policy and procedures.

Hardcopy source records dating from 1 January 2005 that are converted to digital format (digitised) as part of business processes can be disposed of under General Disposal Schedule 21 (GDS 21) where the conditions outlined in GDS 21 are met.

State Records issue general disposal schedules from time to time to implement disposal freezes, restricting disposal of records which might otherwise be authorised for destruction. To see the latest schedules implementing disposal freezes check State Records website <https://archives.sa.gov.au/managing-information/archiving-transfer-and-disposal/disposal/general-disposal-schedules-gds>

Interpretation

This RDS establishes minimum periods before temporary value digital and physical records can be legally destroyed and identifies records of permanent value to be transferred to State Records' custody.

Status/Disposal action definitions

- **Permanent – retain as State archives**
The disposal action 'Retain as State archives' is used to identify those records of enduring evidential or informational value that cannot be destroyed and must be preserved for future reference. The permanent retention of these records as State archives has been identified in accordance with the State Records' appraisal criteria. These records are required to be transferred to State Records in accordance with State Records Transfer Standard (as amended).
- **Temporary – retain for [list specific period of time] then destroy.**
The disposal action 'temporary' is used to identify records not of enduring evidential or informational value. These records are not considered to have continuing value to the agency or the State but must be retained for a minimum period. They can be destroyed after reaching this minimum period, and once any other disposal considerations have been taken into account.

Retain a record of records destroyed under the RDS

Agencies must keep their own record of all records destroyed under this RDS, noting the relevant disposal schedule entry and the authorisation for destruction. Temporary records should only be destroyed with the approval of the CE or delegate in accordance with the *Destruction of Official Records Guideline* issued by State Records of South Australia.

Compliance with the Determination

Failure to comply with this determination, or any directions in it, falls under Section 17 of the *State Records Act 1997*.

For more information

Refer to State Records sentencing, transfer and destruction guidelines on our website at www.archives.sa.gov.au.

State Records Contact Details

Contact details

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No	Function/Activity	Description including Records Examples	Status	Disposal Action
1	STATE LOTTERIES	The function of promoting and conducting lotteries and gaming within the South Australian jurisdiction by the Lotteries Commission of South Australia (Commission), pursuant to the <i>State Lotteries Act 1966 (as amended)</i>.		
1.1	Agent network management	<i>The activities associated with the management of the lottery agent network and related operations by the Master Agent and previously by the Commission. Includes records documenting audits of lottery agent operations relating to compliance, accounting, system, and quality assurance. Also includes lotteries agent cases and related recordkeeping, including summaries of visits to lottery agent premises.</i>		
1.1.1	Agent network management	Records of audits of Lottery Agents conducted by the Commission, Master Agent or external auditors relating to lotteries are identified resulting in significant changes to Commission/Master Agent policy, procedures, systems, facilities and/or processes. For example, loopholes in practices that allowed fraudulent activity. Includes working papers, audit trail records and system reports, includes audit checklist, visiting summaries, working papers, letters to agent advising of results of audit, and acknowledgement of results. See also GDS 30 v2 (as amended): 13.3 (various) STRATEGIC MANAGEMENT – Audit.	PERMANENT	Retain as State archives

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No	Function/Activity	Description including Records Examples	Status	Disposal Action
1.1.2	Agent network management	<p>Summary records of audits of Lottery Agents conducted by the Commission, Master Agent, or external auditors relating to lotteries where no material issues have been detected. Includes audit checklist, visiting summaries, working papers, letters to agents advising results of audit, and acknowledgement of results.</p> <p>See item 1.1.3 for supplementary (facilitative) records relating to Lottery Agent audits.</p> <p>See also GDS 30 v2 (as amended): 13.3 STRATEGIC MANAGEMENT – Audit for other audits.</p>	TEMPORARY	Retain a minimum of 10 years after action completed, then destroy.
1.1.3	Agent network management	<p>Supplementary (facilitative) records relating to Items 1.1.1 and 1.1.2. Includes checklists, agent visiting summaries, working papers, correspondence to agents advising of results of audit, and acknowledgement of results.</p> <p>See item 1.1.2 for summary records of Lottery Agent audits</p>	TEMPORARY	Retain a minimum of 2 years after action completed, then destroy.
1.1.4	Agent network management	Register of Lottery Agents.	PERMANENT	Retain as State archives.
1.1.5	Agent network management	Records relating to the ongoing management of Lottery Agents case files. Includes application for licence, approval, transfer of agency, non-conformance.	TEMPORARY	Retain a minimum of 10 years after cessation or transfer of agency then destroy.

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No	Function/Activity	Description including Records Examples	Status	Disposal Action
1.1.6	Agent network management	Records relating to the routine management of Lottery Agents case files. Includes upgrades and alterations, data collection, copies of insurance, details of training undertaken, participation in reference (industry focus) groups and awards granted, etc.	TEMPORARY	Retain a minimum of 10 years after action completed, then destroy.
1.1.7	Agent network management	Records relating to daily reporting, annual surveys, broadcast communications. See also GDS 30 v2 (as amended) (various) 13.10.2 STRATEGIC MANAGEMENT – Evaluation & Review	TEMPORARY	Retain a minimum of 10 years after action completed, then destroy.
1.2	Contract management (Master Agent)	<i>The activity of undertaking and managing lottery operations conducted by the Master Agent, and previously by the Commission. Includes records pertaining to lottery and gaming transactions and related financial accounting, audit, and compliance matters. Also includes contract administration, reporting, multi-jurisdictional meetings, enquiries and reporting etc.</i>		
1.2.1	Contract management (Master Agent)	The activity of processing transactions relating to lottery and gaming monies. Includes records documenting daily sales and related balancing and reconciliation procedures. Also includes on-line prize validations and snapshots of daily sales reports, records relating to credits granted to lottery agents after terminal problems, terminal failure and claims for money. See item 1.2.2 for serious breaches and item 1.2.4 for supplementary (facilitative) records.	TEMPORARY	Retain a minimum of 8 years after action completed, then destroy.

No	Function/Activity	Description including Records Examples	Status	Disposal Action
		Use GDS 30 v2 (as amended) 6.9.1 FINANCIAL MANAGEMENT – Payments for ex gratia payments over \$1,000.		
1.2.2	Contract management (Master Agent)	<p>Records documenting serious breaches relating to lottery agent operations compliance requirements, conducted by the Master Agent, e.g., fraudulent activities.</p> <p>See also item 1.2.1 for processing transactions and item 1.2.4 for supplementary (facilitative) records</p> <p>See GDS 30 v2 (as amended) 13.6.3 STRATEGIC MANAGEMENT – Compliance</p>	TEMPORARY	Retain a minimum of 20 years after action completed, then destroy.
1.2.3	Contract management (Master Agent)	<p>Records documenting routine matters relating to lottery agent operations compliance requirements, conducted by the Master Agent. Includes routine correspondence relating to compliance that does not trigger further compliance activities and reporting.</p> <p>See also GDS 30 v2 (as amended): 13.6.3 STRATEGIC MANAGEMENT – Compliance</p>	TEMPORARY	Retain a minimum of 10 years after action completed, then destroy.
1.2.4	Contract management (Master Agent)	<p>Supplementary (facilitative) records relating to items 1.2.1-3. Includes mail sales, receipts and worksheets recording details of lottery (and mail) sales, daily payout summaries and hand-written record of payments.</p> <p>See also items 1.2.1-1.2.3 relating to lottery agent operations.</p>	TEMPORARY	Retain a minimum of 2 years after action completed, then destroy.

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No	Function/Activity	Description including Records Examples	Status	Disposal Action
1.2.5	Contract management (Master Agent)	<p>Minutes relating to multi-jurisdictional (including Bloc) committees, proceedings, and meetings, maintained by the Master Agent, and previously the Commission.</p> <p>See also/use GDS 30 v2 (as amended) 2 BOARDS and COMMITTEE MANAGEMENT – various for all other records including establishment, appointment of members terms of reference, reports, agendas, and action items etc.</p>	PERMANENT	<p>Retain as State archives.</p> <p>Re governance, delegations, procedures</p>
1.2.6	Contract management (Master Agent)	<p>Reports submitted by Master Agent relating to lotteries operations and related transactions comprising period:</p> <ul style="list-style-type: none"> • Reconciliation of Master Agent accounts (monthly) • Checking of master agent responsibilities against the transaction documents (monthly, quarterly, and annual) • Verification of financial information to confirm actual income and expenditure. <p>Includes reports on individual lottery games (draws), total receipts, prize money paid (by division and total) and notifications to other agencies and media.</p> <p>Also includes reports relating to:</p> <ul style="list-style-type: none"> • problem gambling • lottery agent training • outcomes from focus group activities. 	TEMPORARY	Retain a minimum of 10 years after action completed, then destroy.

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No	Function/Activity	Description including Records Examples	Status	Disposal Action
		<p>See also GDS 30 v2 (as amended): 2.7 (various) BOARD & COMMITTEE MANAGEMENT – Reporting, for reporting by governing or advisory bodies and their committees and sub-committees.</p> <p>See also GDS 30 v2 (as amended) 6.6 (various) FINANCIAL MANAGEMENT – Financial Statements, for reporting relating to financial statements.</p> <p>See GDS 30 v2 (as amended): 13.22 (various) STRATEGIC MANAGEMENT – Reporting, for other reporting.</p>		
1.2.7	Contract management (Master Agent)	Records documenting the receipt and disbursement of Lotteries Fund transactions.	TEMPORARY	Retain a minimum of 8 years after action completed, then destroy.
1.2.8	Contract management (Master Agent)	<p>Records documenting the resolution of complaints made against the Master Agent by lotteries and gaming players and members of the public.</p> <p>See also GDS 30 v2 (as amended) 11.2.2 LEGAL SERVICES – Litigation.</p>	TEMPORARY	Retain a minimum of 8 years after action completed, then destroy.
1.3	Lottery club membership	<i>The activity associated with the processing and managing of The Lott Members Club (formerly Easiplay Membership) applications by the Master Agent and formerly the Commission.</i>		
1.3.1	Lottery club membership	<p>Membership records and related documentation. Includes in hard copy of electronic formats:</p> <ul style="list-style-type: none"> • Applications for new/renewal of membership • Updating of member details • Requests for cancellation of membership 	TEMPORARY	Retain a minimum of 8 years after inactivity or cessation of membership then destroy.

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No	Function/Activity	Description including Records Examples	Status	Disposal Action
		<ul style="list-style-type: none"> Notification relating to deceased members Re-issue or replacement of damaged, lost, stolen membership cards. 		
1.4	Games development (Rules)	<i>The activity of developing and amending Rules relating to games and lotteries administered under the State Lotteries Act 1966 (as amended).</i>		
1.4.1	Games development (Rules)	Master copy of Rules relating to games and lotteries. Includes signed and sealed Rule changes.	PERMANENT	Retain as State archives.
1.4.2	Games development (Rules)	Supplementary (facilitative) records relating to games and lotteries Rules. Includes briefings, working papers, research material and associated data, consultation records and comments.	TEMPORARY	Retain a minimum of 5 years after action completed, then destroy.
1.5	Operations Management (Casino)	<i>The activities associated with the oversight of Casino Operations (1989-1999).</i>		
1.5.1	Operations Management (Casino)	Records relating to the oversight of Adelaide Casino including establishment, licensing, running, and monitoring of the Casino operations.	PERMANENT	Retain as State archives.
1.5.2	Operations Management (Casino)	Supplementary (facilitative) records relating to the Adelaide Casino. Includes briefings, working papers, research material and associated data, consultation records and comments.	TEMPORARY	Retain a minimum of 5 years after action completed, then destroy.