

Australian Capital Territory

Territory Records (Records Disposal Schedule – WorkCover Records) Approval 2005 (No 1)

Notifiable instrument NI2005—399

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – WorkCover Records) Approval 2005 (No 1)

2. Approval

I approve the Records Disposal Schedule – WorkCover Records.

3. Commencement

This instrument commences on the day after notification.

David Wardle
Director of Territory Records
24 October 2005



Records Disposal Schedule WorkCover Records

INTRODUCTION.....	6
PURPOSE	6
SCOPE	6
AUTHORITY	6
STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF	
KEYWORD AAA	6
<i>Territory Version of Keyword AAA.....</i>	<i>7</i>
GUIDELINES FOR USE	8
<i>Coverage of authority</i>	<i>8</i>
<i>Layout of the schedule</i>	<i>8</i>
FORMAT OF RECORD	9
<i>Electronic records.....</i>	<i>9</i>
DESTRUCTION OF RECORDS	9
UPDATING THE RECORDS DISPOSAL SCHEDULE	9
ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE	9
RELATED LEGISLATION	10
DEFINITIONS	11
<i>Agency.....</i>	<i>11</i>
<i>Appraisal.....</i>	<i>11</i>
<i>Business Classification Scheme</i>	<i>11</i>
<i>Principal Officer</i>	<i>11</i>
<i>Records</i>	<i>11</i>
<i>Records of an Agency.....</i>	<i>11</i>
<i>Records Disposal Schedule.....</i>	<i>11</i>
<i>Records Management Program</i>	<i>11</i>
<i>Recordkeeping Systems</i>	<i>12</i>
<i>Scope Note</i>	<i>12</i>
<i>Sentencing.....</i>	<i>12</i>
<i>Territory Archives</i>	<i>12</i>
BUSINESS CLASSIFICATION SCHEME	13
<i>DANGEROUS SUBSTANCES REGULATION.....</i>	<i>14</i>
<i>GAS REGULATION.....</i>	<i>16</i>
<i>LABOUR REGULATION.....</i>	<i>18</i>
<i>LIQUID FUELS REGULATION.....</i>	<i>20</i>
<i>NOMINAL INSURER REGULATION</i>	<i>22</i>
<i>WORKERS COMPENSATION REGULATION.....</i>	<i>24</i>
<i>WORKPLACE SAFETY REGULATION.....</i>	<i>26</i>
RECORDS DISPOSAL SCHEDULE	28
<i>DANGEROUS SUBSTANCES REGULATION.....</i>	<i>29</i>
Agreements	29
Audit	29
Authorisation.....	30
Compliance	31
Enquiries	32
Investigation.....	33
Liaison.....	34
Litigation.....	34
Procedures.....	35
Reporting.....	35
Standards.....	36
<i>GAS REGULATION.....</i>	<i>37</i>

Agreements	37
Audit	37
Authorisation.....	38
Compliance	39
Enquiries	39
Investigation.....	40
Liaison.....	41
Litigation.....	41
Procedures.....	42
Reporting.....	42
Standards.....	43
<i>LABOUR REGULATION.....</i>	<i>44</i>
Audit	44
Authorisation.....	45
Compliance	45
Enquiries	46
Investigation.....	46
Liaison.....	47
Litigation.....	48
Planning	48
Procedures.....	48
Reporting.....	49
Standards.....	50
<i>LIQUID FUELS REGULATION.....</i>	<i>51</i>
Agreements	51
Audit	51
Authorisation.....	53
Compliance	54
Enquiries	55
Investigation.....	56
Liaison.....	57
Litigation.....	57
Procedures.....	58
Reporting.....	58
Standards.....	59
<i>NOMINAL INSURER REGULATION</i>	<i>60</i>
Agreements	60
Audit	61
Authorisation.....	62
Claims	63
Enquiries	64
Liaison.....	64
Litigation.....	65
Planning	65
Procedures.....	65
Reporting.....	66
Standards.....	66
<i>WORKERS COMPENSATION REGULATION.....</i>	<i>67</i>
Agreements	67
Audit	68
Authorisation.....	69

Compliance	69
Enquiries	70
Investigation.....	70
Liaison.....	72
Litigation.....	73
Planning	73
Procedures.....	74
Reporting.....	74
Standards.....	75
WORKPLACE SAFETY REGULATION.....	76
Agreements	76
Audit	77
Authorisation.....	78
Compliance	80
Enquiries	81
Health Promotion.....	81
Investigation.....	82
Liaison.....	83
Litigation.....	84
Procedures.....	84
Reporting.....	85
Standards.....	85
CLASSES FOR RETENTION AS TERRITORY ARCHIVES.....	86
DANGEROUS SUBSTANCES REGULATION.....	87
Agreements	87
Audit	87
Authorisation.....	88
Liaison.....	88
Litigation.....	88
Reporting.....	89
Standards.....	89
Audit	90
Liaison.....	90
Litigation.....	91
Reporting.....	91
Standards.....	91
LABOUR REGULATION.....	92
Audit	92
Liaison.....	92
Litigation.....	93
Reporting.....	93
Standards.....	93
LIQUID FUELS REGULATION.....	94
Audit	94
Liaison.....	94
Litigation.....	95
Reporting.....	95
Standards.....	95
NOMINAL INSURER REGULATION.....	96
Audit	96
Liaison.....	96

Records Disposal Schedule – Workcover Records September 2005

Litigation.....	97
Reporting.....	97
Standards.....	97
<i>WORKERS COMPENSATION REGULATION.....</i>	<i>98</i>
Agreements	98
Audit	98
Liaison.....	99
Litigation.....	99
Reporting.....	100
Standards.....	100
<i>WORKPLACE SAFETY REGULATION.....</i>	<i>101</i>
Audit	101
Authorisation.....	101
Health Promotion.....	101
Investigation.....	102
Liaison.....	102
Litigation.....	103
Reporting.....	103
Standards.....	103

INTRODUCTION

The *Records Disposal Schedule – Workcover Records* is the official authority for the disposal of records relating to occupational health and safety, workers compensation and the regulation of dangerous goods in the ACT.

It is one of a series of Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is to be used in conjunction with the *Territory Administrative Records Disposal Schedule (TARDiS)*.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of records relating to occupational health and safety, workers compensation and the regulation of dangerous goods created or maintained by ACT Government agencies.

SCOPE

This Records Disposal Schedule applies to all ACT Government agencies as defined in the *Territory Records Act 2002*.

It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management program that has been signed off by the Principal Officer of the agency. Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. An agency must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence.

The *Records Disposal Schedule – Workcover Records* has a hierarchical structure that reflects its arrangement according to functions and activities, rather than by subject, and its close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all tourism records regardless of titling

conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

Territory Version of Keyword AAA

The Territory Version of Keyword AAA is the general administrative thesaurus produced by the Territory Records Office. The structure and terms used in this Records Disposal Schedule are closely related to those used in the Territory Version of Keyword AAA, which is based on functional analysis of business activity. This methodology (ie. the analysis of business activity) produces a hierarchical model of an organisation's business activity. The hierarchical model also represents a classification scheme for the records that document functions, activities and transactions.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 - Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The Records Disposal Schedule – Workcover Records:
covers all Workcover records divided into the following functions:

- DANGEROUS SUBSTANCES REGULATION
- GAS REGULATION
- LABOUR REGULATION
- LIQUID FUELS REGULATION
- NOMINAL INSURER REGULATION
- WORKERS COMPENSATION REGULATION
- WORKPLACE SAFETY REGULATION
- is intended to be used in conjunction with TARDiS;
- specifies the minimum period records should be kept (retention periods);
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or ‘disposal classes’ relating to the functions are described. These are followed by a composite list of classes designated ‘Retain as Territory Archives’. The functions and activity disposal sets show the following details:

Function

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

Activity

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to this activity. Activities can relate to many functions with the scope notes covering all of these relationships (eg the activity ‘Policy’ is linked to all of the functions. However, each function and activity set represents a unique unit.

Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

Description of Records

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

Disposal Action

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards,
- registers,
- files,
- microfilm,
- microfiche,
- COM (computer output microfiche),
- electronic records, including various electronic media, and
- any other formats.

Electronic records

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or rerecording) does constitute disposal.

DESTRUCTION OF RECORDS

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

UPDATING THE RECORDS DISPOSAL SCHEDULE

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.

RELATED LEGISLATION

The following legislation is related to the record classes covered by this Records Disposal Schedule:

Annual Leave Act 1973

Dangerous Substances Act 2004

Freedom of Information Act 1989

Gas Safety Act 2000

Holidays Act 1958

Long Service Leave Act 1976

Machinery Act 1949

Occupational Health and Safety Act 1989

Parental Leave (Private Sector Employees) Act 1992

Privacy Act 1988

Road Transport Reform (Dangerous Goods) Act 1995 (Cwlth)

Scaffolding and Lifts Act 1912

Standard Time and Summer Time Act 1972

Territory Records Act 2002

Utilities Act 2000

Workers Compensation Act 1951

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be captured;
- how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document which complies with section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources which are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule which applies to the record and assigning a retention period consistent with that part.

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.



Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Enquiries

The activities associated with the handling of requests for information about the agency and its services by the general public, agency employees or another agency.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Standards

The process of implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency.

GAS REGULATION

The function of regulating and monitoring activities relating to the safety of natural gas and LP gas transmission, distribution and use.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

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Standards

The process of implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency.

LABOUR REGULATION

The function of monitoring and regulating relevant stakeholders to ensure that they observe their obligations as set out under labour regulations legislation. Includes the investigation of employee entitlements and direction to employers to pay funds for outstanding entitlements.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Enquiries

The activities associated with the handling of requests for information about the agency and its services by the general public, agency employees or another agency.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Standards

The process of implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency.

LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Enquiries

The activities associated with the handling of requests for information about the agency and its services by the general public, agency employees or another agency.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Standards

The process of implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency.

NOMINAL INSURER REGULATION

The function of recovering funds in order to make payments in accordance with court judgements where liable parties have failed to maintain a current workers compensation policy with an approved insurer.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death or denial of rights of a person, or damages to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Enquiries

The activities associated with the handling of requests for information about the agency and its services by the general public, agency employees or another agency.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Standards

The process of implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency.

WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Enquiries

The activities associated with the handling of requests for information about the agency and its services by the general public, agency employees or another agency.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Standards

The process of implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency.

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Enquiries

The activities associated with the handling of requests for information about the agency and its services by the general public, agency employees or another agency.

Health Promotion

The process of promotion by the agency of programs which encourage the establishment and maintenance of a healthy work environment.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Standards

The process of implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency.


RECORDS DISPOSAL SCHEDULE

DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.






Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.1.1 	Final versions of agreements made covering dangerous substances regulation and supporting documents. Includes negotiations, establishment, maintenance and review of agreements. Memoranda of Understanding and other agreements with external organisations allowing access to data records.	Retain as Territory Archives

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.










<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives
1.2.2 	Final audit reports or findings on audits of specific issues related to dangerous substances, conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives
1.2.3 	Records relating to operational audits of other organisations where practices failed to meet compliance requirements or complied with the required procedures, policies, etc. Includes compliance audits of employers or individuals, performed by the agency.	Destroy 7 years after last action.
1.2.4 	Records documenting the planning and conduct of internal and external audits. Includes: <ul style="list-style-type: none">• Liaison with the auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments.	Destroy 3 years after action completed
1.2.5 	Records relating to requests for audit related correspondence and reports.	Destroy 2 years after last action.

DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.

Authorisation

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.





<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.3.1 	Registers of dangerous substances. Also includes registers or database of dangerous substances packaging, containers, etc. approvals.	Retain as Territory Archives.
1.3.2 	All records relating to successful applications for demolition involving asbestos and/or asbestos removal work. Records could include application, approval, plans, reports, supporting documentation, etc.	Destroy 75 years after last action
1.3.3 	All records regarding the authorisation of dangerous substances. Including authorisations to recondition drums used to store dangerous substances. Records could include application, plans, diagrams, approval, renewals, correspondence, etc.	Destroy 20 years after authorisation is cancelled or suspended.
1.3.4 	Delegations of powers to agency staff to authorise administrative action relating to dangerous substances regulation.	Destroy 7 years after delegation expires
1.3.5 	Records relating to the accreditation of trainers, assessors or consultants. Records could include applications, copies of supporting evidence, notifications, correspondence, etc.	Destroy 7 years after accreditation is withdrawn or refused.
1.3.6 	Authorisations for administrative actions relating to dangerous substances regulation.	Destroy 3 years after authorisation superseded
1.3.7 	Registers, including electronic databases, maintaining details of accredited trainers, assessors or consultants.	Destroy when reference ceases.
1.3.8 	Notifications and approvals of proposed transportation of dangerous substances.	Destroy 1 year after last action.
1.3.9 	All records relating to unsuccessful applications for demolition and/or asbestos removal work.	Destroy 1 year after application lodged.

DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.4.1 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to dangerous substances regulation.	Destroy 7 years after last action.
1.4.2 	Records relating to penalties on organisations or individuals found to be negligent and case management files where employers, companies, industry, etc. are profiled, targeted and inspected in relation to an identified poor compliance performance area.	Destroy 7 years after last action.
1.4.3 	Systems or registers containing data regarding compliance notices, etc issued by the organisation's officers.	Destroy 7 years after last action.
1.4.4 	Records relating to exemptions from any of the provisions of the Regulations.	Destroy 1 year after exemption expires or after last action whichever is later.



DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.

Enquiries

The activities associated with handling requests for information about the agency and its services by the general public, agency employees or another agency.

[For Freedom of Information requests see the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.5.1 	Records relating to enquiries for detailed or significant information about dangerous substance regulation activities carried out by the agency. Including solicitors' requests for copies of factual reports. File could contain payment records for the request.	Destroy 7 years after last action.
1.5.2 	Records relating to enquiries requesting routine information and requests for general information, including surveys. Also, notification of change of address, names and telephone numbers of contract officers and other routine information given out by organisations or individuals.	Destroy 1 year after last action.







DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

[See also DANGEROUS SUBSTANCES REGULATION – Litigation for cases that result in legal action.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.6.1 	Investigation files where employees may have been in contact with hazardous materials eg asbestos, lead, electroplating etc.	Destroy 75 years after employees date of birth. or 7 years after last action whichever is the later.
1.6.2 	Investigation files where employees work in the pest control industry including where employees are in contact with chemicals, dust, fumes and/or solvents.	Destroy 20 years after last action.
1.6.3 	Registers or databases of complaints, including names of complainants and evaluation made by organisation.	Destroy 20 years after last action.
1.6.4 	All records regarding complaints about employers, or others responsible for dangerous products, including investigation files where employers in breach of regulations. Records could include company and trading details, witness statements, correspondence, complaints, investigation report, evidence, etc.	Destroy 7 years after last action.
1.6.5 	Fraud investigation files where the agency conducts an investigation into fraudulent, or suspected fraudulent, activities relating to dangerous substances regulation, the case establishes precedent and the matter does not proceed to prosecution. File could contain complaint form, investigation report, medical certificates, schedules of payment, brief of evidence, etc.	Destroy 7 years after last action.
1.6.6 	Copies of surveillance videos and tapes, photographs, etc. Produced during an investigation.	Destroy 2 years after last action.





DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.

Liaison





The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.7.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.
1.7.2 	Records documenting liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation	Destroy 3 years after last action. 
1.7.3 	Other copies of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Destroy 2 years after last action.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.



<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.8.1 	Litigation matters where legal precedents are set.	Retain as Territory Archives
1.8.2 	Litigation matters that do not set legal precedents.	Destroy 7 years after action ceases 
1.8.3 	The management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	Destroy 3 years after action completed

DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.





Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.9.1 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting dangerous substances regulation.	Destroy when procedures are superseded
1.9.2 	Records documenting the development of agency procedures supporting dangerous substances regulation.	Destroy 1 year after production of procedures

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.
1.10.2 	All reports on the monitoring of organisations or individuals responsible for dangerous substances, including: <ul style="list-style-type: none">• Reports having an impact on business unit operations, but having minor impact on the organisation's policies or procedures.• Data analysis reports	Destroy 7 years after last action.
1.10.3 	Other routine and minor reports, including: <ul style="list-style-type: none">• Annual statistics relating to accidents, inspections, projects, etc.• Returns and related records	Destroy 2 years after last action.
1.10.4 	Other statistical reports and working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases

DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.


<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.11.1 	Master copies of standards, codes of practice and guidelines relating to dangerous substances regulation developed by the agency.	Retain as Territory Archives.
1.11.2 	Records documenting the implementation of industry standards and agency standards relating to dangerous substances regulation.	Destroy 7 years after action completed
1.11.3 	Working papers documenting the development of standards. Includes drafts and comments received and copies of standards.	Destroy when reference ceases

GAS REGULATION

The function of regulating and monitoring activities relating to the safety of natural gas and LP gas transmission, distribution and use.




Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.1.1 	Final versions of agreements made covering dangerous substances regulation and supporting documents. Includes negotiations, establishment, maintenance and review of agreements. Memoranda of Understanding and other agreements with external organisations allowing access to data records.	Destroy 7 years after expiry or other termination of agreement

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified. Includes final audit reports or findings on audits of specific issues of gas regulation conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives.
2.2.2 	Records relating to operational audits of other organisations where practices failed to meet compliance requirements or complied with the required procedures, policies, etc.	Destroy 7 years after last action.
2.2.3 	Records documenting the planning and conduct of internal and external audits. Includes: <ul style="list-style-type: none">• Liaison with the auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments. It also includes records relating to requests for audit related correspondence and reports and copies of audit reports.	Destroy 3 years after last action completed.

GAS REGULATION

The function of regulating and monitoring activities relating to the safety of natural gas and LP gas transmission, distribution and use.

Authorisation

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.






<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.3.1 	Records relating to authorisations to transmit, distribute or store gas. Records could include application, plans, diagrams, approval, renewals, correspondence, etc.	Destroy 20 years after last action
2.3.2 	Delegations of powers to agency staff to authorise administrative action relating to gas regulation. Also includes records relating to the accreditation of trainers, assessors or consultants. Records could include applications, copies of supporting evidence, notifications, correspondence, etc.	Destroy 7 years after delegation expires
2.3.3 	Authorisations for administrative actions relating to gas regulation. Registers, including electronic databases, maintaining details of accredited trainers, assessors or consultants.	Destroy 3 years after authorisation superseded

GAS REGULATION

The function of regulating and monitoring activities relating to the safety of natural gas and LP gas transmission, distribution and use.

Compliance



The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.4.1 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to gas regulation. Records relating to exemptions from any of the provisions of the Regulations.	Destroy 7 years after last action.
2.4.2 	Records relating to penalties on organisations or individuals found to be negligent.	Destroy 7 years after last action.
2.4.3 	Case management files where employers, companies, industry, etc. are profiled, targeted and inspected in relation to an identified poor compliance performance area.	Destroy 7 years after last action.
2.4.4  	Systems or registers containing data regarding compliance notices, etc issued by the organisation's officers.	Destroy 7 years after last action.

Enquiries

The activities associated with handling requests for information about the agency and its services by the general public, agency employees or another agency.

[For Freedom of Information requests see TARDiS - INFORMATION MANAGEMENT]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.5.1 	Records relating to enquiries for detailed or significant information about gas regulation activities carried out by the agency. Solicitors' requests for copies of factual reports. File could contain payment records for the request.	Destroy 7 years after last action.
2.5.2 	Records relating to enquiries requesting routine information and requests for general information, including surveys. Also, notification of change of address, names and telephone numbers of contract officers and other routine information given out by organisations or individuals.	Destroy 1 year after last action.




GAS REGULATION

The function of regulating and monitoring activities relating to the safety of natural gas and LP gas transmission, distribution and use.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

[See also GAS REGULATION – Litigation for cases that result in legal action.]






<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.6.1 	Registers or databases of complaints, including names of complainants and evaluation made by organisation.	Destroy 20 years after last action
2.6.2 	All records regarding complaints about gas regulation. Investigation files where organisations or individuals are in breach of regulations. File could contain company and trading details, witness statements, correspondence, complaints, investigation report, evidence, etc. Fraud investigation files where the agency conducts an investigation into fraudulent, or suspected fraudulent, activities relating to gas regulation, the case establishes precedent and the matter does not proceed to prosecution. File could contain complaint form, investigation report, medical certificates, schedules of payment, brief of evidence, etc.	Destroy 7 years after last action.
2.6.3 	Copies of surveillance videos and tapes, evidence tapes, photographs, etc. produced during an investigation.	Destroy 2 years after last action.

Liaison

[See also *COMMUNITY RELATIONS – Liaison in the TARDiS*]

Litigation

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
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2.8.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives
2.8.2 	Records documenting litigation matters that do not set legal precedents.	Destroy 7 years after action ceases 
2.8.3 	Records documenting the management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	Destroy 3 years after action completed 

GAS REGULATION

The function of regulating and monitoring activities relating to the safety of natural gas and LP gas transmission, distribution and use.

Procedures





Standard methods of operating laid down by an organisation according to formulated policy.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.9.1 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting gas regulation.	Destroy when procedures are superseded
2.9.2 	Records documenting the development of agency procedures supporting gas regulation.	Destroy 1 year after production of procedures
2.9.3 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases



Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.
2.10.2 	All reports on the monitoring of organisations or individuals involved in gas transmission, distribution or use. Reports having an impact on business unit operations, but having minor impact on the organisation's policies or procedures and data analysis reports.	Destroy 7 years after last action.
2.10.3 	Other routine and minor reports. Annual statistics relating to accidents, inspections, projects, etc. Returns and related records.	Destroy 2 years after last action.
2.10.4 	Other statistical reports. Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases

GAS REGULATION

The function of regulating and monitoring activities relating to the safety of natural gas and LP gas transmission, distribution and use.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.







<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.11.1 	Master copies of standards, codes of practice and guidelines relating to gas regulation developed by the agency.	Retain as Territory Archives.
2.11.2 	Records documenting the implementation of industry standards and agency standards relating to gas regulation.	Destroy 7 years after action completed
2.11.3 	Working papers documenting the development of standards. Includes drafts and comments received. Includes copies of standards.	Destroy when reference ceases

LABOUR REGULATION

The function of monitoring and regulating relevant stakeholders to ensure that they observe their obligations as set out under labour regulations legislation. Includes the investigation of employee entitlements and direction to employers to pay funds for outstanding entitlements.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.1.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives.
3.1.2 	Final audit reports or findings on audits of specific labour regulation issues, conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives
3.1.3 	Records relating to operational audits of other organisations where practices complied with the required procedures, policies, etc.	Destroy 7 years after last action.
3.1.4 	Records relating to operational audits of other organisations where practices failed to meet compliance requirements.	Destroy 7 years after last action.
3.1.5 	Records documenting the planning and conduct of internal and external audits. Includes: <ul style="list-style-type: none">• Liaison with the auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments.	Destroy 3 years after action completed
3.1.6 	Records relating to requests for audit related correspondence and reports. Includes copies of audit reports.	Destroy 2 years after last action.

Authorisation

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
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3.2.1	Authorisations for administrative actions relating to labour regulation. Includes:	Destroy 7 years after delegation expires
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Compliance The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
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3.3.1	Records documenting compliance with mandatory or optional standards or with statutory requirements relating to labour regulation.	Destroy 7 years after last action.
3.3.2	Records relating to penalties on organisations and individuals found to be negligent.	Destroy 7 years after last action.
3.3.3	Records relating to exemptions from any of the provisions of the Regulations.	Destroy 1 year after exemption expires or after last action whichever is later.




LABOUR REGULATION

The function of monitoring and regulating relevant stakeholders to ensure that they observe their obligations as set out under labour regulations legislation. Includes the investigation of employee entitlements and direction to employers to pay funds for outstanding entitlements.

Enquiries

The activities associated with handling requests for information about the agency and its services by the general public, agency employees or another agency.




[For Freedom of Information requests see the TARDiS – INFORMATION MANAGEMENT]

Entry No.	Description of Records	Disposal Action
3.4.1 	Records relating to enquiries for detailed or significant information about labour regulation.	Destroy 7 years after last action.
3.4.2 	Solicitors' requests for copies of factual reports. File could contain payment records for the request.	Destroy 7 years after last action.
3.4.3 	Records relating to enquiries about labour regulation requesting routine information and requests for general information, including surveys, notification of change of address, names and telephone numbers, and other routine information.	Destroy 1 year after last action.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

[See also LABOUR REGULATION – Litigation for cases that result in legal action]

Entry No.	Description of Records	Disposal Action
3.5.1 	Registers or databases of complaints, including names of complainants and evaluation made by organisation.	Destroy 20 years after last action
3.5.2 	All records regarding complaints about employers, etc.	Destroy 7 years after last action.
3.5.3 	Investigation files where employers in breach of regulations. File could contain company and trading details, witness statements, correspondence, copies of wage records, wage audit reports, complaints, investigation report, evidence, etc.	Destroy 7 years after last action.

LABOUR REGULATION

The function of monitoring and regulating relevant stakeholders to ensure that they observe their obligations as set out under labour regulations legislation. Includes the investigation of employee entitlements and direction to employers to pay funds for outstanding entitlements.

Investigation (continued)

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

[See also LABOUR REGULATION – Litigation for cases that result in legal action]

3.5.4 [Barcode]	Fraud investigation files where the agency conducts an investigation into fraudulent, or suspected fraudulent, activities relating to labour regulation and the matter does not proceed to prosecution or the case establishes the precedent. File could contain complaint form, investigation report, medical certificates, schedules of payment, brief of evidence, etc.	Destroy 7 years after last action.
3.5.5 [Barcode]	Copies of surveillance videos and tapes, evidence tapes, photographs, etc. produced during an investigation.	Destroy 2 years after last action.






Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.


[See also COMMUNITY RELATIONS – Liaison in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.6.1 [Barcode]	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.
3.6.2 [Barcode]	Records documenting liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation	Destroy 3 years after last action. [Barcode]
3.6.3 [Barcode]	Other copies of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Destroy 2 years after last action.



Litigation

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.7.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives
3.7.2 	Records documenting litigation matters that do not set legal precedents.	Destroy 7 years after action ceases 
3.7.3 	Records documenting the management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	Destroy 3 years after action completed 

[See also STRATEGIC MANAGEMENT – Planning in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.8.1 	Action and business plans relating to labour regulation. Includes: routine organisational matters	Destroy 3 years after last action.

Standard methods of operating laid down by an organisation according to formulated policy.






<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.9.1 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting labour regulation.	Destroy when procedures are superseded
3.9.2 	Records documenting the development of agency procedures supporting labour regulation. Includes copies of manuals, handbooks, directives etc	Destroy 1 year after production of procedures

LABOUR REGULATION

The function of monitoring and regulating relevant stakeholders to ensure that they observe their obligations as set out under labour regulations legislation. Includes the investigation of employee entitlements and direction to employers to pay funds for outstanding entitlements.

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.
3.10.2 	All reports on the monitoring of employers.	Destroy 7 years after last action.
3.10.3 	Reports having an impact on business unit operations, but having minor impact on the organisation's policies or procedures. Includes data analysis reports.	Destroy 5 years after last action.
3.10.4 	Other routine and minor reports. Annual statistics relating to accidents, inspections, projects, etc. Includes returns and related records and other statistical reports.	Destroy 2 years after last action.
3.10.5 	Working papers documenting the development of all reports. Includes drafts and comments received. Includes copies of standards.	Destroy when reference ceases

LABOUR REGULATION

The function of monitoring and regulating relevant stakeholders to ensure that they observe their obligations as set out under labour regulations legislation. Includes the investigation of employee entitlements and direction to employers to pay funds for outstanding entitlements.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.



<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.11.1 	Master copies of standards, codes of practice and guidelines relating to labour regulation developed by the agency.	Retain as Territory Archives.
3.11.2 	Records documenting the implementation of industry standards and agency standards to support the labour regulation function.	Destroy 7 years after action completed
3.11.3 	Working papers documenting the development of standards. Includes drafts and comments received. Includes copies of standards.	Destroy when reference ceases

LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.





Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

Entry No.	Description of Records	Disposal Action
4.1.1 	Final versions of agreements made covering liquid fuels regulation and supporting documents	Destroy 7 years after expiry or other termination of agreement
4.1.2 	Records documenting negotiations, establishment, maintenance and review of agreements. Memoranda of Understanding and other agreements with external organisations allowing access to data records.	Destroy 7 years after expiry or other termination of agreement

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.



Entry No.	Description of Records	Disposal Action
4.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives.
4.2.2 	Final audit reports or findings on audits of specific issues relating to liquid fuels conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives
4.2.3 	Records relating to operational audits of other organisations where practices complied or failed to meet compliance requirements with the required procedures, policies, etc.	Destroy 7 years after last action.
4.2.4 	Records relating to compliance audits of employers or individuals, performed by the agency.	Destroy 7 years after last action.

LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.

Audit (continued)

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.






<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.2.5 	Records documenting the planning and conduct of internal and external audits. Includes: <ul style="list-style-type: none">• Liaison with the auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments.	Destroy 3 years after action completed
4.2.6 	Records relating to requests from insurers for audit related correspondence and reports.	Destroy 2 years after last action.

LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.

Authorisation

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.






<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.3.1 	Records relating to authorisations to transmit, distribute or store liquid fuels. Records could include application, plans, diagrams, approval, renewals, correspondence, etc.	Destroy 20 years after last action
4.3.2 	Records relating to the accreditation of trainers, assessors or consultants. Records could include applications, copies of supporting evidence, notifications, correspondence, etc.	Destroy 7 years after accreditation is withdrawn or refused.
4.3.3 	Delegations of powers to agency staff to authorise administrative action relating to liquid fuels regulation.	Destroy 7 years after delegation expires
4.3.4 	Authorisations for administrative actions relating to liquid fuels regulation.	Destroy 3 years after authorisation superseded
4.3.5 	Registers, including electronic databases, maintaining details of accredited trainers, assessors or consultants.	Destroy when reference ceases.

LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.4.1 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to liquid fuels regulation.	Destroy 7 years after last action.
4.4.2 	Records relating to penalties on insurers found to be negligent.	Destroy 7 years after last action.
4.4.3 	Case management files where employers, companies, industry, etc. are profiled, targeted and inspected in relation to an identified poor compliance performance area.	Destroy 7 years after last action.
4.4.4 	Systems or registers containing data regarding compliance notices, etc issued by the organisation's officers.	Destroy 7 years after last action.
4.4.5 	Records relating to exemptions from any of the provisions of the Regulations.	Destroy 1 year after exemption expires or after last action whichever is later.




LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.

Enquiries

The activities associated with handling requests for information about the agency and its services by the general public, agency employees or another agency.

[For Freedom of Information requests see the TARDiS – INFORMATION MANAGEMENT]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.5.1 	Records relating to enquiries for detailed or significant information about liquid fuels regulation activities carried out by the agency.	Destroy 7 years after last action.
4.5.2 	Solicitors' requests for copies of factual reports. File could contain payment records for the request.	Destroy 7 years after last action.
4.5.3 	Records relating to enquiries requesting routine information and requests for general information, including surveys. Also, notification of change of address, names and telephone numbers of contract officers and other routine information given out by organisations or individuals.	Destroy 1 year after last action.





LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

[See also LIQUID FUELS REGULATION – litigation for cases that result in legal action.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.6.1 	Registers or databases of complaints, including names of complainants and evaluation made by organisation.	Destroy 20 years after last action
4.6.2 	All records regarding complaints about liquid fuels regulation. Investigation files where organisations or individuals are in breach of regulations. File could contain company and trading details, witness statements, correspondence, complaints, investigation report, evidence, etc.	Destroy 7 years after last action.
4.6.3 	Fraud investigation files where the agency conducts an investigation into fraudulent, or suspected fraudulent, activities relating to liquid fuels regulation and the matter does not proceed to prosecution or the case establishes precedent. File could contain complaint form, investigation report, medical certificates, schedules of payment, brief of evidence, etc.	Destroy 7 years after last action.
4.6.4 	Copies of surveillance videos and tapes, evidence tapes, photographs, etc. produced during an investigation.	Destroy 2 years after last action.




LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.

Liaison




The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]

Entry No.	Description of Records	Disposal Action
4.7.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.
4.7.2 	Records documenting liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation	Destroy 3 years after last action.
4.7.3 	Other copies of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Destroy 2 years after last action.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.



Entry No.	Description of Records	Disposal Action
4.8.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives
4.8.2 	Records documenting litigation matters that do not set legal precedents.	Destroy 7 years after action ceases
4.8.3 	Records documenting the management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	Destroy 3 years after action completed

LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.







Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Entry No.	Description of Records	Disposal Action
4.9.1 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting liquid fuels regulation.	Destroy when procedures are superseded
4.9.2 	Records documenting the development of agency procedures supporting liquid fuels regulation.	Destroy 1 year after production of procedures

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.





Entry No.	Description of Records	Disposal Action
4.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.
4.10.2 	All reports on the monitoring of organisations or individuals relating to liquid fuels.	Destroy 7 years after last action.
4.10.3 	Reports having an impact on business unit operations, but having minor impact on the organisation's policies or procedures. Includes data analysis reports and other routine and minor reports.	Destroy 5 years after last action.
4.10.4 	Annual statistics relating to accidents, inspections, projects, etc. Includes returns and related records.	Destroy 1 year after last action.
4.10.5 	Other statistical reports.	Destroy when reference ceases
4.10.6 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases

LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.



<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.11.1 	Master copies of standards, codes of practice and guidelines relating to liquid fuels regulation developed by the agency.	Retain as Territory Archives.
4.11.2 	Records documenting the implementation of industry standards and agency standards relating to liquid fuels regulation.	Destroy 7 years after action completed
4.11.3 	Working papers documenting the development of standards. Includes drafts and comments received.	Destroy when reference ceases
4.11.4 	Copies of standards.	Destroy when reference ceases

NOMINAL INSURER REGULATION

The function of recovering funds in order to make payments in accordance with court judgements where liable parties have failed to maintain a current workers compensation policy with an approved insurer.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.






<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.1.1 	Final versions of agreements made covering nominal insurer regulation and supporting documents. Includes records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of agreement
5.1.2 	Signed deeds of release and deeds of indemnity and other similar agreements and supporting documents.	Destroy after indemnity ceases

NOMINAL INSURER REGULATION

The function of recovering funds in order to make payments in accordance with court judgements where liable parties have failed to maintain a current workers compensation policy with an approved insurer.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives.
5.2.2 	Final audit reports or findings on audits of specific nominal insurer regulation issues, conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives
5.2.3 	Records relating to operational audits of other organisations where practices failed to meet compliance agreements or complied with the required procedures, policies, etc.	Destroy 7 years after last action.
5.2.4 	Records documenting the planning and conduct of internal and external audits. Includes: <ul style="list-style-type: none">• Liaison with the auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments.	Destroy 3 years after action completed
5.2.5 	Records relating to requests for audit related correspondence and reports.	Destroy 2 years after last action.

NOMINAL INSURER REGULATION

The function of recovering funds in order to make payments in accordance with court judgements where liable parties have failed to maintain a current workers compensation policy with an approved insurer.

Authorisation

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.









<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.3.1 	Delegations of powers to agency staff to authorise administrative action relating to the nominal insurer regulation function.	Destroy 7 years after delegation expires
5.3.2 	All records concerned with authorisations to waive payments.	Destroy 7 years after last action.
5.3.3 	Authorisations for administrative actions relating to the nominal insurer regulation function.	Destroy 3 years after authorisation superseded

NOMINAL INSURER REGULATION

The function of recovering funds in order to make payments in accordance with court judgements where liable parties have failed to maintain a current workers compensation policy with an approved insurer.

Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.4.1 	Registers of agreements of compensation for lump sum payouts for permanent disabilities or pain and suffering.	Destroy 100 years after claimant's date of birth or 7 years after last action, whichever is the later.
5.4.2 	All records relating to authorisation of payouts to injured workers who have moved overseas. All compensation claim details maintained on electronic systems.	Destroy 100 years after claimant's date of birth
5.4.3 	All records regarding compensation claims for workers whose employers were not insured. Records could include claim, correspondence, proof of employment, pay slips, medical certificates, factual interviews, evidence of injury, circumstances of injury, court documents, payment details, etc. All records related to the administration of a workers compensation claim where the claimant is either deceased or incapable of managing their finances.	Destroy 100 years after claimant's date of birth
5.4.4 	All records regarding agreements of compensation payments, relating to lump sum payouts for permanent disabilities or pain and suffering. Includes supporting documentation.	Destroy 75 years after agreement registered.
5.4.5 	Details of common law claims maintained on system.	Destroy 30 years after last action
5.4.6 	Claims for compensation from insurers who are no longer licensed. Includes forms and supporting documentation.	Destroy 30 years after last action
5.4.7 	All records regarding common law claims. Records could include claim, authorisation for settlement, statistics, etc. Including general information and correspondence regarding claims for uninsured workers.	Destroy 30 years after last action.
5.4.8 	Records relating to calculation and distribution of levies to Insurers.	Destroy 7 years after last action.



NOMINAL INSURER REGULATION

The function of recovering funds in order to make payments in accordance with court judgements where liable parties have failed to maintain a current workers compensation policy with an approved insurer.

Enquiries

The activities associated with handling requests for information about the agency and its services by the general public, agency employees or another agency.




[For Freedom of Information requests see the TARDiS – INFORMATION MANAGEMENT]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.5.1 	Records relating to enquiries for detailed or significant information about nominal insurer regulation. Including solicitors' requests for copies of factual reports. File could contain payment records for the request.	Destroy 7 years after last action.
5.5.2 	Records relating to enquiries about nominal insurer regulation requesting routine information and requests for general information, including surveys, notification of change of address, names and telephone numbers, and other routine information.	Destroy 1 year after last action.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.6.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.
5.6.2 	Records documenting liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation	Destroy 3 years after last action.
5.6.3 	Other copies of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Destroy 2 years after last action.

NOMINAL INSURER REGULATION

The function of recovering funds in order to make payments in accordance with court judgements where liable parties have failed to maintain a current workers compensation policy with an approved insurer.

Litigation



The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.7.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives
5.7.2 	Records documenting litigation matters that do not set legal precedents.	Destroy 7 years after action ceases
5.7.3 	Records documenting the management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	Destroy 3 years after action completed

Planning



The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

[See also STRATEGIC MANAGEMENT – Planning in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.8.1 	Action and business plans relating to the nominal insurer regulation.	Destroy 3 years after last action.
5.8.2 	Routine organisational matters relating to the nominal insurer regulation.	Destroy 3 years after last action.

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.





<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.9.1 	Master set of agency manuals, handbooks and directives etc detailing procedures supporting the nominal insurer function.	Destroy when procedures are superseded
5.9.2 	Records documenting the development of agency procedures supporting the nominal insurer function.	Destroy 1 year after production of procedures

NOMINAL INSURER REGULATION

The function of recovering funds in order to make payments in accordance with court judgements where liable parties have failed to maintain a current workers compensation policy with an approved insurer.




Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.
5.10.2 	All reports on the monitoring of organisations or individuals, including: <ul style="list-style-type: none">• Reports having an impact on business unit operations, but having minor impact on the organisation's policies or procedures.• Data analysis reports	Destroy 7 years after last action.
5.10.3 	Other routine and minor reports, including: <ul style="list-style-type: none">• Annual statistics relating to accidents, inspections, projects, etc.	Destroy 2 years after last action.
5.10.4 	Returns and related records Other statistical reports, including working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.






<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.11.1 	Master copies of standards, codes of practice and guidelines relating to the nominal insurer function developed by the agency.	Retain as Territory Archives.
5.11.2 	Records documenting the implementation of industry standards and agency standards to support the nominal insurer function.	Destroy 7 years after action completed
5.11.3 	Working papers documenting the development of standards. Includes drafts and comments received and copies of standards	Destroy when reference ceases

WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.






<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.1.1 	Memorandum of Understanding with the AFP and other relevant organisations for the provision of confidential information for fraud related to workers compensations on individual cases.	Retain as Territory Archives
6.1.2 	Final versions of agreements made relating to workers compensation function and supporting documents and records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of agreement.
6.1.3 	Agreements between the agency and external organisations for data matching	Destroy 7 years after agreement expires.
6.1.4 	Memoranda of Understanding and other agreements with external organisations allowing access to data records.	Destroy 7 years after termination of agreement.
6.1.5 	Signed deeds of release and deeds of indemnity and other similar agreements and supporting documents.	Destroy 1 year after indemnity ceases

WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.



<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives.
6.2.2 	Final audit reports or findings on audits of specific workers compensation regulation issues, conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives
6.2.3 	Records relating to operational audits of other organisations where practices failed to meet compliance requirements or complied with the required procedures, policies, etc.	Destroy 7 years after last action
6.2.4 	Records documenting the planning and conduct of internal and external audits. Includes: <ul style="list-style-type: none">• Liaison with the auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments.	Destroy 3 years after action completed
6.2.5 	Records relating to requests from insurers for audit related correspondence and reports. Copies of audit reports.	Destroy 2 years after last action.

WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.




Authorisation

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.3.1 	Delegations of power to agency staff to authorise administrative action relating to workers compensation insurance	Destroy 7 years after delegation expires
6.3.2 	Authorisations for administrative actions relating to workers compensation insurance	Destroy 7 years after delegation expires

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.4.1 	Records documenting compliance with mandatory or optional standards or with statutory requirements relating to workers compensation regulation.	Destroy 7 years after last action
6.4.2 	Records relating to penalties on insurers, organisations or individuals found to be negligent.	Destroy 7 years after last action.
6.4.3 	Records relating to exemptions from any of the provisions of the Regulations.	Destroy 1 year after exemption expires or last action whichever is later.



WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.

Enquiries

The activities associated with handling requests for information about the agency and its services by the general public, agency employees or another agency.




[For Freedom of Information requests see the TARDiS – INFORMATION MANAGEMENT]

Entry No.	Description of Records	Disposal Action
6.5.1 	Records relating to enquiries for detailed or significant information about the workers compensation regulation. Including solicitors' requests for copies of factual reports. File could contain payment records for the request.	Destroy 7 years after last action
6.5.2 	Records relating to enquiries requesting routine information and requests for general information, including surveys. Also, notification of change of address, names and telephone numbers of contract officers and other routine information given out by organisations or individuals.	Destroy 1 year after last action.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

[See also WORKERS COMPENSATION REGULATION – Litigation for cases that result in legal action.]

Entry No.	Description of Records	Disposal Action
6.6.1 	Registers or databases of complaints, including names of complainants and evaluation made by organisation.	Destroy 20 years after last action
6.6.2 	All records regarding complaints about insurers, premiums, claims, uninsured employers, etc.	Destroy 7 years after last action
6.6.3 	Investigation files where employers are under-insured or uninsured for workers compensation. File could contain company and trading details, witness statements, correspondence, copies of wage records, wage audit reports, complaints, investigation report, evidence, etc.	Destroy 7 years after last action



WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.

Investigation (Continued)

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

[See also WORKERS COMPENSATION REGULATION – Litigation for cases that result in legal action.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.6.4 	Fraud investigation files where the agency conducts an investigation into fraudulent, or suspected fraudulent, activities relating to workers compensation, the case establishes precedent and the matter does not proceed to prosecution. File could contain complaint, investigation report, medical certificates, schedules of payment, brief of evidence, etc.	Destroy 7 years after last action
6.6.5 	Copies of surveillance videos and tapes, evidence tapes, photographs, etc. produced during an investigation.	Destroy 2 years after last action.




WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.7.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives
6.7.2 	Records documenting liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation	Destroy 3 years after last action
6.7.3 	Other copies of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Destroy 2 years after last action

WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.

Litigation



The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.8.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives
6.8.2 	Records documenting litigation matters that do not set legal precedents.	Destroy 7 years after last action.
6.8.3 	Records documenting the management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	Destroy 3 years after action completed

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

[See also STRATEGIC MANAGEMENT – Planning in the TARDiS]



<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.9.1 	Action and business plans relating to workers compensation or insurers.	Destroy 3 years after last action.
6.9.2 	Routine organisational matters relating to the planning process.	Destroy 3 years after last action.

WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.







Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.10.1 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the workers compensation regulation function.	Destroy when procedures are superseded
6.10.2 	Records documenting the development of agency procedures supporting the workers compensation regulation function.	Destroy 1 year after production of procedures

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.11.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.
6.11.2 	Audit reports by consulting actuaries relating to financial aspects of Workers Compensation. Details include recommendations on premiums and benefit changes.	Retain as Territory Archives.
6.11.3 	All reports on the monitoring of insurers, including reports having an impact on business unit operations, but having minor impact on the organisation's policies or procedures.	Destroy 7 years after last action.
6.11.4 	Data analysis reports.	Destroy 7years after last action.
6.11.5 	Other routine and minor reports, including: <ul style="list-style-type: none"> Annual statistics relating to accidents, inspections, projects, etc. Returns and related records.	Destroy 2 years after last action.
6.11.6 	Other statistical reports and working papers documenting the development of all reports. Includes drafts and comments received. <ul style="list-style-type: none"> Copies of reports. 	Destroy when reference ceases

WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.



<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.12.1 	Master copies of standards, codes of practice and guidelines developed by the agency.	Retain as Territory Archives.
6.12.2 	Records documenting the implementation of industry standards and agency standards to support the workers compensation regulation function.	Destroy 7 years after action completed
6.12.3 	Working papers documenting the development of standards. Includes drafts and comments received. Copies of standards	Destroy when reference ceases

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.






<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.1.1 	Final versions of agreements made covering workplace safety regulation and supporting documents, including records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of agreement
7.1.2 	Memoranda of Understanding and other agreements with external organisations allowing access to data records.	Destroy 7 years after expiry or other termination of agreement.

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.








Entry No.	Description of Records	Disposal Action
7.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives.
7.2.2 	Final audit reports or findings on audits of specific workplace safety issues, conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives
7.2.3 	Records relating to operational audits of other organisations where practices failed to meet compliance requirements or complied with the required procedures, policies, etc.	Destroy 7 years after last action.
7.2.4 	Records documenting the planning and conduct of internal and external audits. Includes: <ul style="list-style-type: none">• Liaison with the auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments.	Destroy 3 years after action completed
7.2.5 	Records relating to requests from insurers for audit related correspondence and reports.	Destroy 2 years after last action.

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Authorisation

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.









Entry No.	Description of Records	Disposal Action
7.3.1 	Registers or database of dangerous goods packaging, containers, etc. approvals.	Retain as Territory Archives.
7.3.2 	Registers of authorised explosives.	Retain as Territory Archives.
7.3.3 	All records relating to approved applications for registration of plant design, where plant is identified as heritage listed, historic or significant.	Retain as Territory Archives.
7.3.4 	All records relating to successful applications for demolition involving asbestos and/or asbestos removal work. Records could include application, approval, plans, reports, supporting documentation, etc.	Destroy 75 years after last action,
7.3.5 	All records relating to approved applications for registration of plant design, including supporting documentation such as compliance statement, verification statement and representational drawing of plant design. Records could also include detailed drawing of plant design, design calculations, fatigue analysis, operating instructions, diagrams of control systems, details of maintenance requirements, statement of limitations of use.	Destroy 50 years after last action or 7 years after destruction of plant whichever is longer
7.3.6 	All records related to the approval of window cleaning devices. Records could include design of building, design of equipment, correspondence, test results, inspection reports, certificate, application letter, modifications notices, complaints and accident notices.	Destroy 20 years after last action
7.3.7 	All records regarding the authorisation of explosives.	Destroy 20 years after authorisation is cancelled or suspended

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Authorisation (continued)

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.



Entry No.	Description of Records	Disposal Action
7.3.8 	Records related to authorisation to recondition drums used to store hazardous substances/dangerous goods. Records could include application, plans, diagrams, approval, renewals, correspondence, etc.	Destroy 20 years after last action,
7.3.9 	Records relating to the design approval of dangerous goods packaging, containers, etc.	Destroy 10 years after last action
7.3.10 	Delegations of powers to agency staff to authorise administrative action relating to workplace safety regulation.	Destroy 7 years after delegation expires
7.3.11 	Records relating to the accreditation of trainers, assessors or consultants. Records could include applications, copies of supporting evidence, notifications, correspondence, etc.	Destroy 7 years after accreditation is withdrawn or refused.
7.3.12 	All records relating to applications for registration of plant design where application is refused.	Destroy 5 years after last action.
7.3.13  *	All records related to the approval of the installation of spray-painting booths. Records could include design specifications, plan of proposed booth, installation conditions, inspector's report, correspondence, etc.	Destroy 3 years after last action.
7.3.14 	Authorisations for administrative actions relating to workplace safety regulation.	Destroy 3 years after authorisation superseded
7.3.15 	All records relating to notification of intention to set up a crane or hoist.	Destroy 1 year after last action
7.3.16 	Notifications and approvals of proposed transportation of explosives.	Destroy 1 year after last action.
7.3.17 	All records relating to successful applications for demolition. Records could include application, approval, plans, reports, supporting documentation, etc. Does not include demolitions involving asbestos.	Destroy 1 year after last action.

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.






Authorisation (Continued)

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.

Entry No.	Description of Records	Disposal Action
7.3.18 	All records relating to unsuccessful applications for demolition and/or asbestos removal work.	Destroy 1 year after application lodged.
7.3.19 	Registers, including electronic databases, maintaining details of accredited trainers, assessors or consultants.	Destroy when reference ceases.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Entry No.	Description of Records	Disposal Action
7.4.1 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the workers compensation function.	Destroy 7 years after last action.
7.4.2 	Records relating to penalties on organisations or individuals found to be negligent.	Destroy 7 years after last action.
7.4.3 	Case management files where employers, companies, industry, etc. are profiled, targeted and inspected in relation to an identified poor compliance performance area.	Destroy 7 years after last action.
7.4.4 	Systems or registers containing data regarding compliance notices, etc issued by the organisation's officers.	Destroy 7 years after last action.
7.4.5 	Records relating to exemptions from any of the provisions of the Regulations.	Destroy 1 year after exemption expires or after last action whichever is later.



WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Enquiries

The activities associated with handling requests for information about the agency and its services by the general public, agency employees or another agency.



[For Freedom of Information requests see the TARDiS – INFORMATION MANAGEMENT]

Entry No.	Description of Records	Disposal Action
7.5.1 	Records relating to enquiries for detailed or significant information about workplace safety activities carried out by the agency. Including solicitors' requests for copies of factual reports. File could contain payment records for the request.	Destroy 7 years after last action.
7.5.2 	Records relating to enquiries requesting routine information and requests for general information, including surveys. Also, notification of change of address, names and telephone numbers of contract officers and other routine information given out by organisations or individuals.	Destroy 1 year after last action.

Health Promotion

The process of promotion by the agency of programs which encourage the establishment and maintenance of a healthy work environment.

[See also PUBLICATION in the TARDiS]






Entry No.	Description of Records	Disposal Action
7.6.1 	Master copies of circulars, etc promulgated to industry warning of a potential safety risk.	Retain as Territory Archives.
7.6.2 	All records relating to programs designed for the education of workers and employers to reduce the occurrence of incidents, injury and illness.	Destroy 10 years after last action,

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Investigation

Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.


Entry No.	Description of Records	Disposal Action
7.7.1 	Accident notification registers or databases which record accident details as reported on accident notification forms.	Retain as Territory Archives.
7.7.2 	Investigations resulting in a fatality, a serious accident, or major health risk, but no breach in legislation. (Records could include accident notification form, details of accident, witness information, statements, inspector's report, photographs, testing results, coroner's report, etc.)	Retain as Territory Archives.
7.7.3 	Fatalities notification registers or database. Includes information on fatalities, including those not covered by workers compensation, e.g. self-employed people, person killed riding an amusement device, etc.	Retain as Territory Archives.
7.7.4 	Investigation files where employees: <ul style="list-style-type: none">• may have been in contact with hazardous materials eg asbestos, lead, electroplating etc;• are in contact with abrasive blasting;• working in foundries;• are subject to excessive noise;• work in the pest control industry;• are in contact with chemicals, dust, fumes and/or solvents; are working in confined space.	Destroy 75 years after employee's date of birth. or 7 years after last action whichever is the later.
7.7.5 	All records related to investigations where there has been a possible breach in legislation and prosecution could result. And records relating to complaints about breaches to the Occupational Health & Safety Legislation, where no further action is taken. (Records could include notification form, details of accident and injuries, witness information, statements, Inspector's report, photographs, specialist reports, testing results, subpoenas and information on legal action taken, etc.)	Destroy 7 years after last action.

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Investigation (continued)




Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.7.6 	Statistical, non-statistical and copies of accident notification forms where details are entered onto register or database.	Destroy 1 year after last action

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]




<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.8.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.
7.8.2 	Records documenting liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation	Destroy 3 years after last action.
7.8.3 	Other copies of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Destroy 2 years after last action.

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.



Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.9.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives
7.9.2 	Records documenting litigation matters that do not set legal precedents.	Destroy 7 years after action ceases
7.9.3 	Records documenting the management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	Destroy 3 years after action completed

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.10.1. 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting workplace safety regulation.	Destroy when procedures are superseded
7.10.2 	Records documenting the development of agency procedures supporting workplace safety regulation.	Destroy 1 year after production of procedures

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Entry No.	Description of Records	Disposal Action
7.11.1 [Barcode]	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.
7.11.2 [Barcode]	All reports on the monitoring of employers, or others responsible for workplace safety, including: <ul style="list-style-type: none">▪ reports having an impact on business unit operations, but having minor impact on the organisation's policies or procedures;▪ data analysis reports	Destroy 7 years after last action.
7.11.3 [Barcode]	Other routine and minor reports, including: <ul style="list-style-type: none">• Annual statistics relating to accidents, inspections, projects, etc• Returns and related records	Destroy 2 years after last action.
7.11.4 [Barcode]	Other statistical reports, including copies of reports and working papers documenting the development of all reports. (Includes drafts and comments received.)	Destroy when reference ceases

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.

Entry No.	Description of Records	Disposal Action
7.12.1 [Barcode]	Master copies of standards, codes of practice and guidelines relating to workplace safety developed by the agency.	Retain as Territory Archives.
7.12.2 [Barcode]	Records documenting the implementation of industry standards and agency standards relating to workplace safety.	Destroy 7 years after action completed
7.12.3 [Barcode]	Working papers documenting the development of standards. Includes drafts and comments received	Destroy when reference ceases

CLASSES FOR RETENTION AS TERRITORY ARCHIVES


Classes for retention as Territory Archives

DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.



Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.1.1 	Final versions of agreements made covering dangerous substances regulation and supporting documents. Includes negotiations, establishment, maintenance and review of agreements. Memoranda of Understanding and other agreements with external organisations allowing access to data records.	Retain as Territory Archives

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives
1.2.2 	Final audit reports or findings on audits of specific issues related to dangerous substances, conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives


Classes for retention as Territory Archives

DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.

Authorisation


The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.3.1 	Registers of dangerous substances. Also includes registers or database of dangerous substances packaging, containers, etc. approvals.	Retain as Territory Archives.

Liaison


The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.7.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.8.1 	Litigation matters where legal precedents are set.	Retain as Territory Archives


Classes for retention as Territory Archives

DANGEROUS SUBSTANCES REGULATION

The function of regulating and monitoring activities, premises and plant associated with the handling of dangerous substances to promote an acceptable standard of safety.


Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.11.1 	Master copies of standards, codes of practice and guidelines relating to dangerous substances regulation developed by the agency.	Retain as Territory Archives.


Classes for retention as Territory Archives

GAS REGULATION

The function of regulating and monitoring activities relating to the safety of natural gas and LP gas transmission, distribution and use.

Audit


The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified. Includes final audit reports or findings on audits of specific issues of gas regulation conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.7.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.


Classes for retention as Territory Archives

GAS REGULATION

The function of regulating and monitoring activities relating to the safety of natural gas and LP gas transmission, distribution and use.


Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.8.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives


Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2.11.1 	Master copies of standards, codes of practice and guidelines relating to gas regulation developed by the agency.	Retain as Territory Archives.



Classes for retention as Territory Archives

LABOUR REGULATION

The function of monitoring and regulating relevant stakeholders to ensure that they observe their obligations as set out under labour regulations legislation. Includes the investigation of employee entitlements and direction to employers to pay funds for outstanding entitlements.

Audit


The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.1.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives.
3.1.2 	Final audit reports or findings on audits of specific labour regulation issues, conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.6.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.


Classes for retention as Territory Archives

LABOUR REGULATION

The function of monitoring and regulating relevant stakeholders to ensure that they observe their obligations as set out under labour regulations legislation. Includes the investigation of employee entitlements and direction to employers to pay funds for outstanding entitlements.


Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.7.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives


Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
3.11.1 	Master copies of standards, codes of practice and guidelines relating to labour regulation developed by the agency.	Retain as Territory Archives.



Classes for retention as Territory Archives

LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.

Audit


The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives.
4.2.2 	Final audit reports or findings on audits of specific issues relating to liquid fuels conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.7.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.


Classes for retention as Territory Archives

LIQUID FUELS REGULATION

The function of regulating and monitoring activities associated with the preparation and conduct of regulatory activities in the event of a liquid fuels emergency.


Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.8.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives


Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
4.11.1 	Master copies of standards, codes of practice and guidelines relating to liquid fuels regulation developed by the agency.	Retain as Territory Archives.


Classes for retention as Territory Archives

NOMINAL INSURER REGULATION

The function of recovering funds in order to make payments in accordance with court judgements where liable parties have failed to maintain a current workers compensation policy with an approved insurer.


Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.7.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives


Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.10.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
5.11.1 	Master copies of standards, codes of practice and guidelines relating to the nominal insurer function developed by the agency.	Retain as Territory Archives.


Classes for retention as Territory Archives

WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.



Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.1.1 	Memorandum of Understanding with the AFP and other relevant organisations for the provision of confidential information for fraud related to workers compensations on individual cases.	Retain as Territory Archives

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives.
6.2.2 	Final audit reports or findings on audits of specific workers compensation regulation issues, conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives

Classes for retention as Territory Archives


WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.

Liaison


The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.7.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.8.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives



Classes for retention as Territory Archives

WORKERS COMPENSATION REGULATION

The function of monitoring and regulating the ACT private sector workers compensation insurance scheme to ensure compliance by relevant stakeholders. Includes conducting investigations into non-compliance and directing stakeholders to meet their obligations. Also includes approving insurers, self-insurers and rehabilitation providers.


Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.11.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.
6.11.2 	Audit reports by consulting actuaries relating to financial aspects of Workers Compensation. Details include recommendations on premiums and benefit changes.	Retain as Territory Archives.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
6.12.1 	Master copies of standards, codes of practice and guidelines developed by the agency.	Retain as Territory Archives.



Classes for retention as Territory Archives

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.




Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.2.1 	Records relating to operational audits where serious failures to meet compliance requirements were identified.	Retain as Territory Archives.
7.2.2 	Final audit reports or findings on audits of specific workplace safety issues, conducted across a number of organisations and resulting in substantial changes to policy and procedures.	Retain as Territory Archives


Authorisation

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.3.1 	Registers or database of dangerous goods packaging, containers, etc. approvals.	Retain as Territory Archives.
7.3.2 	Registers of authorised explosives.	Retain as Territory Archives.
7.3.3 	All records relating to approved applications for registration of plant design, where plant is identified as heritage listed, historic or significant.	Retain as Territory Archives.

Health Promotion

The process of promotion by the agency of programs which encourage the establishment and maintenance of a healthy work environment. *[See also PUBLICATION in the TARDIS]*

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.6.1 	Master copies of circulars, etc promulgated to industry warning of a potential safety risk.	Retain as Territory Archives.




Classes for retention as Territory Archives

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.

Investigation


Where a formal investigation commences in relation to a breach following an accident, incident, complaint, observation, or claim to entitlement. Contains all evidence collected, such as documents, photographs, statements, notes, etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.7.1 	Accident notification registers or databases which record accident details as reported on accident notification forms.	Retain as Territory Archives.
7.7.2 	Investigations resulting in a fatality, a serious accident, or major health risk, but no breach in legislation. (Records could include accident notification form, details of accident, witness information, statements, inspector's report, photographs, testing results, coroner's report, etc.)	Retain as Territory Archives.
7.7.3 	Fatalities notification registers or database. Includes information on fatalities, including those not covered by workers compensation, e.g. self-employed people, person killed riding an amusement device, etc.	Retain as Territory Archives.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

[See also COMMUNITY RELATIONS – Liaison in the TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.8.1 	Master set of minutes, agenda and related papers of formal bodies established for the purpose of liaison between the agency and professional associations, professionals in related fields, other private sector organisations and community groups.	Retain as Territory Archives.


Classes for retention as Territory Archives

WORKPLACE SAFETY REGULATION

The function of regulating and monitoring activities and premises to promote and improve standards of occupational health, safety and welfare.


Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, eg subpoenas and discovery orders.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.9.1 	Records documenting litigation matters where legal precedents are set.	Retain as Territory Archives


Reporting

The processes associated with 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 agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.11.1 	Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for the agency as a whole.	Retain as Territory Archives.

Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the agency.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
7.12.1 	Master copies of standards, codes of practice and guidelines relating to workplace safety developed by the agency.	Retain as Territory Archives.