

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA241**

This authority covers records documenting the functions of coal industry workers compensation, occupational health, safety and rehabilitation, emergency response and rescue services and statistical reporting

Issued to Coal Services Pty Limited

This functional retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Records Authority of New South Wales in accordance with section 21(3) of the Act.



**State Records Authority of New South Wales**  
**Functional Retention and Disposal Authority**

**Authority no** FA241

**SR file no** 05/0610

**Scope**

This functional retention and disposal authority covers records documenting the functions of coal industry workers compensation, occupational health, safety and rehabilitation, emergency response and rescue services and statistical reporting from c.1920 onwards.

**Public office**

Coal Services Pty Limited

**Approval date**

David Roberts  
Director  
State Records Authority of New South Wales

14/08/2007  
Date

## About the Functional Retention and Disposal Authority

### Purpose of the authority

The purpose of this functional retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met.

The approval for disposal given by this authority is given under the provisions of the *State Records Act 1998* only and does not override any other obligations of an organisation to retain records.

### The retention and disposal of State records

The records retention and disposal practices outlined in this authority are approved under section 21 (2)(c) of the *State Records Act 1998* (NSW). Part 3 (Protection of State Records) of the Act provides that records are not to be disposed of without the consent of State Records with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Records does not disapprove. Advice on the State Records Act can be obtained from State Records.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. The State Records Authority ('State Records') reviews and approves organisations' retention and disposal authorities under the *State Records Act 1998*.

This authority is the product of an appraisal process conducted in accordance with State Records' *Standard on the appraisal and disposal of State records*. It is the duty of a public office, in submitting a draft functional retention and disposal authority for approval, to disclose to State Records any information which affects the retention of the records covered by the authority.

State Records' decisions take into account both the administrative requirements of the public office in discharging its functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Records' functions is to identify and preserve records as State archives. These are records which document the authority and functions of Government, its decision-making processes and the implementation and outcomes of those decisions, including the nature of their influence and effect on communities and individual lives. Criteria for the identification of State archives are listed in *Building the Archives: Policy on records appraisal and the*

*identification of State archives*. The Policy also explains the roles and responsibilities of State Records and of public offices in undertaking appraisal processes and disposal activities.

## **Implementing the authority**

This functional retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority should be implemented as part of the records management program of the organisation. Two primary objectives of this program are to ensure that records are kept for as long as they are of value to the organisation and its stakeholders and to enable the destruction or other disposal of records once they are no longer required for business or operational purposes.

The implementation process entails use of the authority to sentence records. Sentencing is the examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. Advice on sentencing can be obtained from State Records.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see also the *General Retention and Disposal Authority – Imaged records*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technologically dependent records is available for the periods prescribed.

## **Disposal action**

### ***Records required as State archives***

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these records should be transferred to State Records when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Records regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Records' control should be a routine and systematic part of a public office's records management program. If the records are more than 25 years old and are still in use for official purposes, then a 'still in use determination' should be made.

### ***Records approved for destruction***

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, and government directives. A public office *must not* dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, FOI requests) where the records may be required as evidence. Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Records recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office must not permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Records.

### **Custody**

The custody column in the functional retention and disposal authority is designed to assist public offices in identifying storage requirements or transfer arrangements for records identified as State archives (ie with a Disposal action of 'Required as State archives'). The directions in this column are recommendations only and are *not* mandatory. The type of information may include directions on how long records should be retained in the office and how long they should be kept in off-site, off-line or secondary storage prior to their transfer as State archives. A recommendation to retain records in the organisation for more than 25 years does not imply that a *still in use determination* (see Part 4, Section 28 of the State Records Act 1998) or that a distributed management agreement (see Part 4, Section 30 of the State Records Act 1998)

has been approved by State Records. Advice on arrangements for managing and transferring State archives can be obtained from State Records.

### **Administrative change**

This functional retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable functional retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Records for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Records to discuss use of any existing functional retention and disposal authority approved for use by a predecessor organisation.

### **Amendment and review of this authority**

State Records must approve any amendment to this authority. Public offices that use the authority should advise State Records of any proposed changes or amendments to the authority.

State Records recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Records may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements or procedures which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Records and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

### **Contact Information**

State Records  
PO Box 516 Kingswood NSW 2747  
Telephone: (02) 8247 8627  
Facsimile: (02) 8247 8626  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

**Functional Retention and Disposal Authority**  
**Coal industry workers compensation, occupational health, safety and rehabilitation, emergency response**  
**and rescue services and statistical reporting (Coal Services Pty Limited)**

Authority no: FA241

Dates of coverage: c.1920+

List of Functions and Activities covered

1.0.0	COAL INDUSTRY REPORTING	2.5.0	Meetings
1.1.0	Agreements	2.6.0	Orders
1.2.0	Data Acquisition	2.7.0	Planning
1.3.0	Data Collections	2.8.0	Remuneration
1.4.0	Data Products	2.9.0	Reporting
1.5.0	Enquiries	2.10.0	Restructuring
1.6.0	Planning	3.0.0	ENVIRONMENTAL MONITORING
1.7.0	Policy	3.1.0	Accreditation
1.8.0	Procedures	3.2.0	Acquisition
1.9.0	Reporting	3.3.0	Audit
2.0.0	CORPORATE GOVERNANCE	3.4.0	Disposal
2.1.0	Appointments	3.5.0	Maintenance
2.2.0	Fraud control	3.6.0	Policy
2.3.0	Governance instruments	3.7.0	Planning
2.4.0	Insurance	3.8.0	Procedures



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3.9.0	Regulation of Longwall Mining	5.5.0	Competitions
3.10.0	Reporting	5.6.0	Disposal
3.11.0	Sampling	5.7.0	Maintenance
3.12.0	Standards	5.8.0	Planning
4.0.0	INDUSTRY LIAISON	5.9.0	Policy
4.1.0	Addresses (Presentations)	5.10.0	Procedures
4.2.0	Marketing	5.11.0	Regulation of Training Schemes
4.3.0	Planning	5.12.0	Reporting
4.4.0	Policy	5.13.0	Resource development
4.5.0	Procedures	5.14.0	Training delivery
4.6.0	Reporting	6.0.0	INSURANCE SCHEME
5.0.0	INDUSTRY TRAINING	6.1.0	Accreditation
5.1.0	Accreditation	6.2.0	Audit
5.2.0	Acquisition	6.3.0	Claims management
5.3.0	Arrangements	6.4.0	Comparative systems

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5.4.0	Competency Standards	6.5.0	Employer education
6.6.0	Incidents	7.8.0	Property
6.7.0	Models	7.9.0	Reporting
6.8.0	Payments	8.0.0	MINES RESCUE AND RESPONSE
6.9.0	Planning	8.1.0	Acquisition
6.10.0	Policy	8.2.0	Audit
6.11.0	Procedures	8.3.0	Determinations
6.12.0	Reporting	8.4.0	Disposal
6.13.0	Underwriting	8.5.0	Emergencies
7.0.0	INVESTMENT MANAGEMENT	8.6.0	Inquiries
7.1.0	Cash	8.7.0	Levy collection
7.2.0	Equities	8.8.0	Maintenance
7.3.0	Fixed interest	8.9.0	Payments
7.4.0	Investment advice	8.10.0	Planning
7.5.0	Planning	8.11.0	Policy

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7.6.0	Policy	8.12.0	Procedures
7.7.0	Procedures	8.13.0	Recruitment (Brigadesmen)
9.0.0	OCCUPATIONAL HEALTH SERVICES	10.5.0	Disposal
9.1.0	Accreditation	10.6.0	Maintenance
9.2.0	Acquisition	10.7.0	Planning
9.3.0	Assessments	10.8.0	Policy
9.4.0	Audits	10.9.0	Procedures
9.5.0	Disposal	10.10.0	Reporting
9.6.0	Maintenance	11.0.0	RESEARCH FUNDING
9.7.0	Planning	11.1.0	Agreements
9.8.0	Policy	11.2.0	Applications
9.9.0	Procedures	11.3.0	Policy
9.10.0	Reporting	11.4.0	Planning
10.0.0	REHABILITATION	11.5.0	Procedures
10.1.0	Accreditation	11.6.0	Reporting

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<b>List of Functions and Activities covered</b>
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10.2.0	Acquisition	11.7.0	Research projects
10.3.0	Agreements	11.8.0	Trust management
10.4.0	Case management	12.0.0	TECHNICAL SERVICES
12.1.0	Accreditation	12.13.0	Reporting
12.2.0	Acquisition	12.14.0	Research projects
12.3.0	Agreements	12.15.0	Standards
12.4.0	Consultancy projects		
12.5.0	Customer service		
12.6.0	Disposal		
12.7.0	Equipment supply		
12.8.0	Gas analysis		
12.9.0	Maintenance		
12.10.0	Planning		
12.11.0	Policy		
12.12.0	Procedures		

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No	Function/Activity	Description	Disposal Action	Custody*
1.0.0	<b>COAL INDUSTRY REPORTING</b>	<p>The function of collecting, analysing and preparing statistical reports on the Australian and NSW coal industries. Statistical reports may be published in a standard format, or produced as unpublished, tailored reports for clients on a 'fee for service' basis.</p> <p>See <b>CORPORATE GOVERNANCE - Orders</b> for orders issued to the coal industry regarding the collection and submission of statistics to the agency</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: COMMITTEES</i> for management of internal, external or inter-agency committees, task forces, working groups or parties etc</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: STRATEGIC MANAGEMENT - Meetings</i> for routine general and section or unit meetings of employees</p>		
1.1.0	<b>Agreements</b>	The processes associated with the establishment, maintenance, review and negotiation of agreements.		
1.1.1		Agreements or contracts with government agencies, mining companies and coal users regarding the collection, analysis and publication of statistical information. Includes minutes of meetings relating to the agreement.	Retain minimum of 7 years after expiry of agreement, then destroy	
1.1.2		Agreements or contracts with clients regarding the production of tailored reports developed to meet the client's	Retain minimum of 7 years after expiry	

\* see *About the functional retention and disposal authority*

## Coal industry workers compensation, occupational health, safety and rehabilitation, emergency response and rescue services and statistical reporting

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No	Function/Activity	Description	Disposal Action	Custody*
		specifications.	of agreement, then destroy	
1.2.0	<b>Data Acquisition</b>	The activities involved in acquiring statistical information about the coal industry through surveys and returns.		
1.2.1		Routine correspondence with industry regarding the collection of statistical information and distribution lists used maintain regular contact.	Retain until reference ceases, then destroy	
1.2.2		Original statistical returns where raw data is extracted from the return to compile summaries or collections of statistical information. For example, a set of hardcopy returns or electronic worksheets where all the data has been entered into a database.	Retain minimum of 1 year after action completed, then destroy	
1.3.0	<b>Data Collections</b>	The activities associated with maintaining collections of statistical information about the coal industry extending back over a period of time.		
1.3.1		<p>Collections and summaries of statistical information from individual mines or mining districts, compiled from periodic returns, and used to produce statistical reports. Includes:</p> <ul style="list-style-type: none"> <li>- Quarterly Coal Mining Return (QCMR) Database(1986 - )</li> <li>- Accident Reporting System (ARS) (1986 - )</li> <li>- Quarterly statistic books recording statistical information from individual mines or mining districts (1948 to 1975)</li> <li>- Books containing annual summaries of statistics collected on a quarterly basis from individual mines or mining districts (1948 - 1987)</li> <li>- Registers containing statistical information on coal</li> </ul>	Required as State archives	Transfer custody of collections and summaries 10 years after collection. The existing hardcopy collection will be proposed for transfer to State Records immediately the disposal authority is issued.

\* see *About the functional retention and disposal authority*

## Coal industry workers compensation, occupational health, safety and rehabilitation, emergency response and rescue services and statistical reporting

Authority no: FA241

Dates of coverage: c.1920+

No	Function/Activity	Description	Disposal Action	Custody*
		production in NSW and other states (c.1940 - 1950)		Transfer electronic collections of statistics to offline storage 2 years after collection.
1.4.0	<b>Data Products</b>	<p>The activities associated with manipulating data collections to produce published or unpublished statistical reports on the coal industry. Data products include tailored statistical reports produced for clients on a 'fee for service' basis as well as standard reports published on a regular basis.</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>PUBLICATION - Production</b> for records relating to the design, layout, typesetting, desktop publishing, printing, binding etc. of published and unpublished statistical reports</i></p>		
1.4.1		Master set of final, standard, statistical reports published on a regular basis. Includes series of publications relating to weekly statistics, quarterly statistics, exports, age, consumption, distribution, supply and demand, and earnings.	Required as State archives	Transfer custody to State Records 10 years after last action.
1.4.2		Master set of tailored statistical reports produced for clients on a fee for service basis. These reports are generally unpublished.	Retain minimum of 10 years after action completed, then destroy	
1.4.3		Records relating to drafting the contents of published and unpublished statistical reports.	Retain minimum of 1 year after action	

\* see *About the functional retention and disposal authority*

## Coal industry workers compensation, occupational health, safety and rehabilitation, emergency response and rescue services and statistical reporting

Authority no: FA241

Dates of coverage: c.1920+

No	Function/Activity	Description	Disposal Action	Custody*
			completed, then destroy	
1.5.0	<b>Enquiries</b>	The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.  <i>See General Retention and Disposal Authority - Administrative Records: <b>PUBLICATIONS - Enquiries</b> for records relating to routine enquiries about coal industry reports, such as requests for copies of publications</i>		
1.5.1		Records relating to enquiries about obtaining statistical publications or other routine information provided about coal industry reporting.	Retain minimum of 1 year after action completed, then destroy	
1.6.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
1.6.1		Final, approved versions of business plans or action plans relating to coal industry reporting activities.	Retain minimum of 5 years after plan superseded, then destroy	
1.6.2		Records relating to the development and review of business plans or action plans relating to coal industry reporting activities.	Retain minimum of 3 years after plan superseded, then destroy	
1.7.0	<b>Policy</b>	The activities associated with developing and establishing		

\* see *About the functional retention and disposal authority*



## Coal industry workers compensation, occupational health, safety and rehabilitation, emergency response and rescue services and statistical reporting

Authority no: FA241

Dates of coverage: c.1920+

No	Function/Activity	Description	Disposal Action	Custody*
		decisions, directions and precedents which act as a reference for future decision making.		
1.7.1		Records documenting the development, review and approval of policies on coal industry reporting. Includes background and research material, significant drafts, consultation with stakeholders and the final, approved policy.	Required as State archives	Transfer custody to State Records 10 years after last action.
1.8.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
1.8.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to coal industry reporting.	Required as State archives	Transfer custody to State Records 10 years after last action.
1.8.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to coal industry reporting.	Retain minimum of 5 years after action completed, then destroy	
1.9.0	<b>Reporting</b>	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.		
1.9.1		Final versions of formal internal reports and reports made to external organisations relating to the management of statistical information on the coal industry.	Required as State archives	Transfer custody to State Records 10 years after last action.

\* see *About the functional retention and disposal authority*

## Coal industry workers compensation, occupational health, safety and rehabilitation, emergency response and rescue services and statistical reporting

Authority no: FA241

Dates of coverage: c.1920+

No	Function/Activity	Description	Disposal Action	Custody*
1.9.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities.	Retain minimum of 7 years after action completed, then destroy	
1.9.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
2.0.0	<b>CORPORATE GOVERNANCE</b>	<p>The function of managing the agency at a strategic level by setting future direction, monitoring performance and financial arrangements, and controlling decision making in a way that is accountable, ethical and risk managed. Includes the business of the Board of Directors, Executive Management Group, and the Audit and Risk Management Committee (previously the Internal Audit Committee and the Investment Committee).</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>GOVERNING BODIES - Policy</b> for the records relating to policies concerning the management of Boards, such as the Director's Code of Conduct and protocols for Board meetings</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>GOVERNING BODIES - Procedures</b> for the records relating to the development and review of manuals, handbooks, directives etc. containing procedures relating to the management and administration of the Board</i></p>		

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Authority no: FA241

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No	Function/Activity	Description	Disposal Action	Custody*
		<p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Audit</b> for records of audits which examine core functions or measure organisational performance or compliance at a strategic level</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Evaluation</b> for records relating to the evaluation of potential and existing strategic programs, services and systems</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Legislation</b> for records relating to the development of legislation</i></p>		
2.1.0	<b>Appointments</b>	<p>The activity of appointing people to fill designated roles or carry out specific duties on behalf of the agency.</p> <p><i>See General Retention and Disposal Authority – Administrative records : <b>GOVERNING BODIES – Membership</b> for records relating to the appointment, resignation, retirement or termination of Members of the Board of Directors, Board Committees etc</i></p>		
2.1.1		Records documenting the appointment, resignation, retirement or termination of Managing Directors.	Required as State archives	Transfer custody to State Records 10 years after last action.

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No	Function/Activity	Description	Disposal Action	Custody*
2.1.2		Records documenting the appointment of inspectors for the purpose of carrying out inspections to support any aspect of the roles or functions of the organisation.	Retain minimum of 7 years after appointment expires, then destroy	
2.2.0	<b>Fraud control</b>	<p>The activities associated with investigating allegations of fraud.</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Audit</b> for audits relating to fraud control</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Planning</b> for fraud control plans</i></p> <p><i>See General Retention and Disposal Authority - Personnel Records: <b>PERSONNEL - Discipline</b> for records relating to disciplinary action against individual employees investigated for fraud</i></p>		
2.2.1		<p>Records of investigations into significant allegations of corruption or fraud as well as the implementation of recommendations made as a result of an investigation. This includes records of significant allegations which are never proved or are proven false. A significant allegation is one involving:</p> <ul style="list-style-type: none"> <li>- referral to ICAC</li> <li>- criminal charges being laid, if proven</li> </ul>	Retain for minimum of 25 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
		- dismissal of an employee/s, if proven.		
2.2.2		Records of investigations into minor allegations of corruption or fraud as well as the implementation of recommendations made as a result of an investigation. This includes records of minor allegations which are never proved or are proven false. A minor allegation is one involving a reprimand or caution.	Retain minimum of 7 years after action completed, then destroy	
2.3.0	<b>Governance instruments</b>	The activities associated with obtaining and maintaining significant documents forming the legal or official basis for the agency's operations.  <i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Compliance</b> for records relating to the registration of business names</i>		
2.3.1		Records relating to the formulation, amendment and maintenance of the agency's constitution.	Required as State archives	Transfer custody to State Records 10 years after last action.
2.3.2		Company register.	Required as State archives	Transfer custody to State Records 10 years after last action.
2.4.0	<b>Insurance</b>	The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or whilst engaged during		

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Authority no: FA241

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>employment.</p> <p>See <b>INSURANCE SCHEME</b> for management of insurance claims and policies relating to workers compensation for injured coal industry workers</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: <b>COMPENSATION - Insurance</b> and <b>COMPENSATION - Claims</b></i> for public liability insurance and claims</p>		
2.4.1		Insurance policies relating to organisational risk management, including Director's Liability, Medical Malpractice and Industrial Special Risks.	Retain minimum of 7 years after policy expires, then destroy	
2.4.2		Register or summaries of insurance policies held by the agency.	Retain minimum of 30 years after last entry, then destroy	
2.4.3		Insurance claims lodged by the agency.	Retain minimum of 7 years after action completed, then destroy	
2.4.4		Activity reports provided to and from insurers regarding premium rates and claims lodged.	Retain until reference ceases, then destroy	
2.5.0	<b>Meetings</b>	The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation		

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Dates of coverage: c.1920+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>as a whole. Includes arrangements, agenda, taking of minutes etc.</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>COMMITTEES</b> for records relating to meetings and the management of internal, external or inter-agency committees, task forces, working groups or parties etc</i></p> <p><i>See General Retention and Disposal Authority – Administrative records : <b>GOVERNING BODIES – Meetings</b> for records of Board and Board sub-committee meetings including master set of minutes, agenda, agenda papers, resolutions and reports</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>GOVERNING BODIES - Policy</b> for protocols for Board meetings</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>GOVERNMENT RELATIONS - Meetings</b> for meetings between Chief Executives and the Minister, Ministerial employees or senior executives of other government organisations</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Meetings</b> for routine general and section or unit meetings of employees</i></p>		
2.5.1		Records of Executive Management Group meetings including master set of minutes, agenda, agenda papers, resolutions	Required as State archives	Transfer custody to State Records 10

\* see *About the functional retention and disposal authority*

## Coal industry workers compensation, occupational health, safety and rehabilitation, emergency response and rescue services and statistical reporting

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Dates of coverage: c.1920+

No	Function/Activity	Description	Disposal Action	Custody*
		and reports.		years after last action.
2.6.0	<b>Orders</b>	<p>The activities related to making, varying, and revoking Orders issued by the Board to mining companies. Orders are formal, mandatory directions or instructions relating to any of the agency's functions that mining or related companies must comply with. Once approved by the Minister, orders are gazetted.</p> <p>Use the relevant function for records documenting a mining company's compliance with an Order issued by the Board, for example:</p> <p>See <b>COAL INDUSTRY REPORTING</b> for statistical reports submitted to the agency in compliance with Order 6</p> <p>See <b>INDUSTRY TRAINING</b> for audits of approved training schemes undertaken in compliance with Order 34</p> <p>See <b>ENVIRONMENTAL MONITORING</b> for applications submitted to the agency for new longwall mining operations in compliance with Order 40</p>		
2.6.1		<p>Records related to making, varying and revoking Orders by the Board. Includes:</p> <ul style="list-style-type: none"> <li>- Master set of Orders made, varied or revoked by the Board.</li> <li>- Master set of Board approval notices issued to mining companies relating to an Order. Approval may involve conditions imposed by the Board.</li> </ul>	Required as State archives	Transfer custody to State Records 10 years after order revoked or revised.

\* see *About the functional retention and disposal authority*



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Dates of coverage: c.1920+

No	Function/Activity	Description	Disposal Action	Custody*
		- The agency's response to appeals against Orders lodged with the Administrative Decisions Tribunal by a mining company.		
2.7.0	<b>Planning</b>	<p>The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.</p> <p><i>See General Retention and Disposal Authority: <b>STRATEGIC MANAGEMENT - Planning</b> for records of strategic, corporate or business plans for the whole agency</i></p> <p><i>See General Retention and Disposal Authority: <b>STRATEGIC MANAGEMENT - Planning</b> for high level plans and strategies providing ongoing administrative or operational support</i></p>		
2.7.1		Records related to preparing the agency's operating plan, including drafts submitted to the Minister, comments received from the Minister, amended drafts, and final version as adopted by the agency.	Required as State archives	Transfer custody to State Records 10 years after last action.
2.8.0	<b>Remuneration</b>	<p>The activities related to setting rates of pay and allowances for Board Members and Managing Directors.</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>GOVERNING BODIES - Membership</b> for the records relating to the determination and approval of payments for remuneration for individual Board members</i></p>		
2.8.1		Records documenting scales of remuneration and allowances	Retain minimum of	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		for Board Members as determined by the Minister.	7 years after superseded, then destroy	
2.9.0	<b>Reporting</b>	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.		
2.9.1		Final versions of formal internal reports and reports made to external agencies relating to corporate governance activities or processes.	Required as State archives	Transfer custody to State Records 10 years after last action.
2.9.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities to support corporate governance.	Retain minimum of 7 years after action completed, then destroy	
2.9.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
2.10.0	<b>Restructuring</b>	The activities involved in the reassessment of the activities, goals and structure of an organisation. Includes consideration of the number of staff, their position descriptions, equipment and other resources required to meet objectives.		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		<p><i>See General Retention and Disposal Authority - Administrative Records: <b>ESTABLISHMENT - Restructuring</b> for records relating to reviews and changes to the agency's structure</i></p>		
2.10.1		<p>Records relating to the corporatisation of the agency including high level discussions with the Minister, industry and shareholders, due diligence investigations, legal advice etc. Includes formal agreements between the parties involved.</p>	<p>Required as State archives</p>	<p>Transfer custody to State Records 10 years after last action.</p>
2.10.2		<p>Records of administrative arrangements for the transfer of responsibilities and ownership of assets to the newly corporatised agency.</p>	<p>Retain minimum of 10 years after action completed, then destroy</p>	
3.0.0	<p><b>ENVIRONMENTAL MONITORING</b></p>	<p>The function of monitoring and measuring exposure to environmental hazards such as dust, noise, vibrations and contaminants in order to improve occupational hygiene for coal industry workers.</p> <p><i>See General Retention and Disposal Authority for Administrative Records: <b>COMMITTEES</b> for management of internal, external or inter-agency committees, task forces, working groups or parties etc</i></p> <p><i>See General Retention and Disposal Authority for Administrative Records: <b>STRATEGIC MANAGEMENT - Meetings</b> for routine general and section or unit meetings of employees</i></p>		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
3.1.0	<b>Accreditation</b>	The activities associated with the agency applying for and maintaining status as an endorsed provider of services, facilities or qualified staff. Includes accreditation of the agency's laboratory facilities by the National Association for Testing Authorities (NATA) and Quality Management System accreditation.		
3.1.1		Certificates of Accreditation issued to the agency or to qualified agency staff by the authorising body. Examples include accreditation of the agency's laboratory facilities by the National Association for Testing Authorities (NATA) and Quality Management System accreditation.	Retain minimum of 10 years after accreditation expires or is renewed, then destroy	
3.1.2		Applications and renewals submitted by the agency to the authorising body. Includes payment of registration fees.	Retain minimum of 10 years after superseded, then destroy	
3.1.3		Records of compliance and performance reviews against the standards required by the authorising body. Reviews may be conducted by internal or external bodies. Includes records relating to action taken to address any shortcomings identified during the assessment.	Retain minimum of 10 years after action completed, then destroy	
3.2.0	<b>Acquisition</b>	The process of gaining ownership or use of property and other items required in the conduct of business through purchase or requisitions.		
3.2.1		Records documenting the acquisition of specialised equipment for monitoring environmental hazards. Includes the evaluation of equipment against industry standards prior	Retain minimum of 7 years after equipment or	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		to purchase.	vehicle disposed of, then destroy	
3.3.0	<b>Audit</b>	<p>The activities associated with officially checking quality assurance or 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 organisation in a specified period.</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Audit</b> for records of performance audits to assess the efficiency or effectiveness of services provided to clients, such as sampling of noise, dust, diesel particulates and hazardous substances</i></p>		
3.3.1		Records of audits conducted by the agency of client's systems, facilities, procedures etc on a consultancy or 'fee for service' basis. Examples include 'walk through' audits of a mining company's operations. Records include consultancy proposals, budgets, timelines, correspondence with the client, sample data, calculations and final report delivered to the client.	Retain minimum of 10 years after action completed, then destroy	
3.4.0	<b>Disposal</b>	The process of disposing of property no longer required by the organisation by sale, transfer, termination of lease, auction or destruction.		
3.4.1		Records documenting the disposal of specialised equipment for monitoring environmental hazards.	Retain minimum of 7 years after equipment disposed of, then destroy	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
3.5.0	<b>Maintenance</b>	The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of premises, equipment, vehicles etc.		
3.5.1		Copies of the manufacturer's specifications for specialised equipment and vehicles used to monitor exposure to environmental hazards such as dust, noise, vibrations and contaminants.	Retain until reference ceases, then destroy	
3.5.2		Records of tests carried out on specialised environmental monitoring equipment and vehicles at regular intervals in accordance with the manufacturer's specifications. Includes calibration of equipment and summary records such as annual test schedules.	Retain for life of equipment or vehicle, then destroy	
3.5.3		Records of repairs carried out on specialised environmental monitoring equipment and vehicles. Includes maintenance carried out by agency staff or by the manufacturer or authorised repair services. Includes summary records such as maintenance registers.	Retain for life of equipment or vehicle, then destroy	
3.6.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.		
3.6.1		Records documenting the development, review and approval of policies on environmental monitoring. Includes background and research material, significant drafts, consultation with stakeholders and the final, approved policy.	Required as State archives	Transfer custody to State Records 10 years after last action.

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No	Function/Activity	Description	Disposal Action	Custody*
3.7.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
3.7.1		Final, approved versions of business plans or action plans relating to environmental monitoring activities.	Retain minimum of 5 years after plan superseded, then destroy	
3.7.2		Records relating to the development and review of business plans or action plans relating to environmental monitoring activities.	Retain minimum of 3 years after plan superseded, then destroy	
3.8.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
3.8.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to environmental monitoring.	Retain minimum of 75 years after superseded, then destroy	
3.8.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to environmental monitoring	Retain minimum of 5 years after action completed, then destroy	
3.9.0	<b>Regulation of Longwall Mining</b>	The activities involved in regulating the establishment of new longwall mining operations. Under Order 40, all mining companies must seek the agency's approval before extracting coal from longwall faces or blocks. To assess each application, the agency examines each mine's history		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>of environmental sampling results in order to identify any recent or long-running issues relating to environmental hazards.</p> <p>See <b>CORPORATE GOVERNANCE - Orders</b> for the master set of Orders issued by the Board and the master set of authorisations issued by the Board that relate to an Order</p>		
3.9.1		Records documenting longwall mining submissions by mining companies relating to an Order that requires Board approval. Includes recommendations made by the agency to the Board regarding whether or not to approve the submission.	Retain minimum of 90 years after last action, then destroy	
3.10.0	<b>Reporting</b>	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.		
3.10.1		Final versions of formal internal reports and reports made to external agencies relating to environmental monitoring activities. Includes reports made to the Standing Committee on Dust Research and Control Committee.	Required as State archives	Transfer custody to State Records 10 years after last action.
3.10.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities to support environmental monitoring.	Retain minimum of 7 years after action completed, then destroy	
3.10.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action	

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No	Function/Activity	Description	Disposal Action	Custody*
			completed, then destroy	
3.11.0	<b>Sampling</b>	The activities associated with regularly assessing the status of environmental conditions at mining locations. Includes taking samples to monitor levels of noise, dust, diesel particulates and hazardous substances.		
3.11.1		Pre 1983: Records relating to statutory and non-statutory sampling and surveys. Includes: <ul style="list-style-type: none"> <li>- indexes and registers</li> <li>- field books and field notes</li> <li>- official test results and lab certificates</li> <li>- calculations and analysis of results</li> <li>- final reports</li> </ul>	Retain minimum of 90 years after action completed, then destroy	
3.11.2		Post 1983: Summary records of the result of statutory and non-statutory sampling and surveys. Includes databases containing official test results relating to dust and diesel samples and noise surveys.	Retain minimum of 90 years after action completed, then destroy	
3.11.3		Post 1983: Records of statutory and non-statutory sampling and surveys where the official test results are held elsewhere in a summarised form. For example, the calculations used to arrive at test results.	Retain minimum of 10 years after action completed, then destroy	
3.11.4		Records relating to statutory and non-statutory sampling held by field offices where a copy has been submitted and retained centrally.	Retain until reference ceases, then destroy	
3.12.0	<b>Standards</b>	The process of implementing industry or organisational		

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No	Function/Activity	Description	Disposal Action	Custody*
		benchmarks for services and processes to enhance the quality and efficiency of the organisation.		
3.12.1		Master set of standards developed by the agency.	Required as State archives	Transfer custody to State Records 10 years after last action.
3.12.2		Records documenting the development of agency standards relating to environmental monitoring, including drafts.	Retain minimum of 10 years after action completed, then destroy	
3.12.3		Records of agency input into International, National or industry standards relating to environmental monitoring.	Required as State archives	Transfer custody to State Records 10 years after last action.
4.0.0	<b>INDUSTRY LIAISON</b>	<p>The function of establishing and maintaining professional relationships with industry organisations, customer bases and professional associations. Includes events, networking forums, conferences and marketing campaigns. Also includes obtaining expert industry advice through the Standing Committee on Dust Research and Control and promoting the results of research projects funded by the Coal Services Health and Safety Trust.</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>COMMITTEES (Advisory)</b> for records relating to appointments to, meetings and the management of the Standing Committee on Dust Research and Control</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p><i>See General Retention and Disposal Authority - Administrative Records: <b>COMMITTEES</b> for records relating to appointments to, meetings and the management of other internal, external or inter-agency committees, task forces, working groups or parties etc</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>COMMUNITY RELATIONS - Conferences</b> for records of conferences, seminars or networking forums arranged or attended by the agency</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>COMMUNITY RELATIONS - Enquiries</b> for routine enquiries about the agency or its services such as contact details, surveys, opening hours etc</i></p> <p><i>See General Retention and Disposal Authority for Administrative Records: <b>COMMUNITY RELATIONS - Visits</b> for hosting visits from individuals or organisations or visiting other organisations</i></p>		
4.1.0	<b>Addresses (Presentations)</b>	<p>The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>COMMUNITY RELATIONS - Addresses</b> for records relating to presentations by other staff representing the agency</i></p>		
4.1.1		Presentations made by:	Required as State	Transfer custody to State Records 10

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No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>- Members of the Board of Directors</li> <li>- CEO or Managing Director</li> <li>- General Managers</li> <li>- Members of the Coal Services Health and Safety Trust and the Standing Committee on Dust Research and Control</li> </ul>	archives	years after last action.
4.2.0	<b>Marketing</b>	<p>The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.</p> <p><i>See General Retention and Disposal Authority – Audio visual programs and recordings for audio-visual material such as film, video or multimedia productions</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>COMMUNITY RELATIONS - Marketing</b> for records relating to publicity for campaigns or agency events or to advertise the agency's services</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>COMMUNITY RELATIONS - Marketing</b> for records relating to publications designed to promote or publicise the agency's services, e.g. posters, brochures, leaflets and published histories, or general promotional or explanatory information about the agency and its services in pages on its website</i></p>		
4.2.1		Records relating to campaigns targeting coal industry workers, mining companies or other customer bases designed to raise awareness, educate or change behaviour. For example, Drug and Alcohol education and Mines Rescue	Required as State archives	Transfer custody to State Records 10 years after last action.

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No	Function/Activity	Description	Disposal Action	Custody*
		Brigadesmen recruitment. Records include: <ul style="list-style-type: none"> <li>- marketing plans</li> <li>- correspondence and records of meeting to discuss campaigns</li> <li>- final approved versions of publications such as information kits, posters, brochures and leaflets.</li> </ul>		
4.2.2		Background research and drafts of publications targeting coal industry workers, mining companies or other customer bases designed to raise awareness, educate or change behaviour. Includes collections of photographs used in campaign material or publications.	Retain until reference ceases, then destroy	
4.2.3		Records relating to market research such as surveys and focus groups targeting coal industry workers, mining companies or other customer bases.  For reports on the outcome of major market research surveys see INDUSTRY LIAISON - Reporting	Retain minimum of 10 years after action completed, then destroy	
4.2.4		Records relating to sponsorship by the agency of industry organisations or industry events, services or campaigns.	Retain minimum of 5 years after action completed, then destroy	
4.3.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
4.3.1		Final, approved versions of business plans or action plans relating to industry liaison activities.	Retain minimum of 5 years after plan	

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No	Function/Activity	Description	Disposal Action	Custody*
			superseded, then destroy	
4.3.2		Records relating to the development and review of business plans or action plans relating to industry liaison activities.	Retain minimum of 3 years after plan superseded, then destroy	
4.4.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.		
4.4.1		Final approved policies relating to industry liaison processes and activities.	Retain minimum of 5 years after superseded, then destroy	
4.4.2		Records relating to the development and review of policies on industry liaison.	Retain minimum of 3 years after superseded, then destroy	
4.5.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
4.5.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to industry liaison.	Retain minimum of 5 years after superseded, then destroy	
4.5.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to	Retain minimum of 3 years after	

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No	Function/Activity	Description	Disposal Action	Custody*
		industry liaison.	superseded, then destroy	
4.6.0	<b>Reporting</b>	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.		
4.6.1		Final versions of formal internal reports and reports made to external agencies relating to industry liaison activities.	Required as State archives	Transfer custody to State Records 10 years after last action.
4.6.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities to support industry liaison.	Retain minimum of 7 years after action completed, then destroy	
4.6.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
5.0.0	<b>INDUSTRY TRAINING</b>	The function of developing and delivering training in emergency preparedness and response, technical services, health, safety and rehabilitation to coal industry workers. Training may also be provided for workers outside of the coal industry on a fee for service basis.		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>See <b>MINES RESCUE AND RESPONSE - Determinations</b> for determinations issued to mining companies regarding the nature and number of miners required to be released for mines rescue training</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: COMMITTEES</i> for management of internal, external or inter-agency committees, task forces, working groups or parties etc</p>		
5.1.0	<b>Accreditation</b>	The activities associated with the agency applying for and maintaining status as an endorsed provider of services, facilities or qualified staff.		
5.1.1		Certificates of Accreditation issued to the agency or to qualified agency staff by the authorising body. Examples include accreditation as a Registered Training Organisation and WorkCover accredited trainers.	Retain minimum of 15 years after accreditation expires or is renewed, then destroy	
5.1.2		Applications and renewals submitted by the agency to the authorising body. Includes payment of registration fees.	Retain minimum of 15 years after superseded, then destroy	
5.1.3		Records of compliance and performance reviews against the standards required by the authorising body. Reviews may be conducted by internal or external bodies. Includes records relating to action taken to address any shortcomings identified during the assessment.	Retain minimum of 15 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
5.2.0	<b>Acquisition</b>	The process of gaining ownership or use of property and other items required in the conduct of business through purchase or requisitions.		
5.2.1		Records relating to the acquisition or licensed use of training and assessment materials.	Retain minimum of 7 years after date of purchase of expiry of licence, then destroy	
5.2.2		Records documenting the acquisition of specialised equipment for training purposes, simulations and competitions. Includes the evaluation of equipment against industry standards prior to purchase.	Retain minimum of 7 years after equipment or vehicle disposed of, then destroy	
5.3.0	<b>Arrangements</b>	The activities involved in arranging for the delivery of training. Includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space.  See <b>INDUSTRY TRAINING - Training Delivery</b> for enrolment and attendance records		
5.3.1		Records documenting administrative arrangements for providing training such as travel, venue bookings, catering etc	Retain minimum of 1 year after action completed, then destroy	
5.4.0	<b>Competency standards</b>	The activities associated with the development of industry competency standards by the agency in cooperation with		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		other standard setting bodies.		
5.4.1		Records documenting significant or substantial contributions by the agency to the development of industry competency standards.	Retain minimum of 10 years after action completed, then destroy	
5.4.2		Records documenting routine or minor contributions by the agency to the development of industry competency standards.	Retain minimum of 2 years after action completed, then destroy	
5.4.3		Competency standards.	Retain minimum of 3 years after superseded, then destroy	
5.5.0	<b>Competitions</b>	The activities related to organising, attending, hosting or adjudicating competitions designed to simulate emergencies in order to assess the readiness of Brigadesmen and rescue procedures.  See <b>INDUSTRY TRAINING - Training Delivery</b> for an individual's attendance and assessment records		
5.5.1		Records documenting the coordination of emergency response competitions, trials and simulations by the agency for training purposes. Includes arrangements for venues, equipment, competition design, judges and awards.	Retain minimum of 5 years after action completed, then destroy	
5.6.0	<b>Disposal</b>	The process of disposing of property no longer required by the organisation by sale, transfer, termination of lease,		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		auction or destruction.		
5.6.1		Records documenting the disposal of specialised equipment for training purposes, simulations and competitions.	Retain minimum of 7 years after equipment disposed of, then destroy	
5.7.0	<b>Maintenance</b>	The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of premises, equipment, vehicles etc.		
5.7.1		Records documenting tests and repairs to specialised equipment used for training purposes, simulations and competitions.	Retain for life of equipment or vehicle, then destroy	
5.8.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
5.8.1		Final, approved versions of business plans or action plans relating to industry training activities.	Retain minimum of 5 years after plan superseded, then destroy	
5.8.2		Records relating to the development and review of business plans or action plans relating to industry training activities.	Retain minimum of 3 years after plan superseded, then destroy	
5.9.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a		

\* see *About the functional retention and disposal authority*

## Coal industry workers compensation, occupational health, safety and rehabilitation, emergency response and rescue services and statistical reporting

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Dates of coverage: c.1920+

No	Function/Activity	Description	Disposal Action	Custody*
		reference for future decision making.		
5.9.1		Records documenting the development, review and approval of policies on mines rescue and response training for Mines Rescue Brigadesmen. Includes background and research material, significant drafts, consultation with stakeholders and the final, approved policy.	Retain minimum of 75 years after superseded, then destroy	
5.9.2		Final approved policies relating to training provided to industry clients other than mines rescue and response training for Mines Rescue Brigadesmen.	Retain minimum of 7 years after superseded, then destroy	
5.9.3		Records relating to the development and review of policies relating to training provided to industry clients other than mines rescue and response training for Mines Rescue Brigadesmen.	Retain minimum of 5 years after superseded, then destroy	
5.10.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
5.10.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to mines rescue and response training for Mines Rescue Brigadesmen.	Retain minimum of 75 years after superseded, then destroy	
5.10.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to mines rescue and response training for Mines Rescue Brigadesmen.	Retain minimum of 7 years after action completed, then destroy	
5.10.3		Final approved procedures relating to training provided to	Retain minimum of	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		industry clients other than mines rescue and response training for Mines Rescue Brigadesmen.	7 years after superseded, then destroy	
5.10.4		Records relating to the development and review of procedures relating to training provided to industry clients other than mines rescue and response training for Mines Rescue Brigadesmen.	Retain minimum of 5 years after superseded, then destroy	
5.11.0	<b>Regulation of Training Schemes</b>	<p>The activities involved in approving and auditing occupational training schemes established by individual mining companies. Under Order 30 issued by the Board, all mining companies are required to submit proposed training schemes for approval. Once approved, the agency audits implementation of the scheme to ensure industry compliance.</p> <p>See <b>GOVERNANCE - Orders</b> for master set of Orders relating to industry training</p>		
5.11.1		Records of proposed training schemes submitted by mining companies to the agency for approval under Order 34. Includes recommendations made by the agency to the Board regarding whether or not to approve a proposed scheme.	Retain minimum of 75 years after approval or rejection, then destroy	
5.11.2		Records documenting the criteria developed by the agency for assessing the adequacy of proposed training schemes that are submitted by mining companies for approval under Order 34.	Retain minimum of 7 years after superseded, then destroy	
5.11.3		Audit reports, checklists and working papers documenting	Retain minimum of	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		compliance by mining companies with their approved training scheme.	75 years after audit completed, then destroy	
5.11.4		Register of audits containing information such as the name of mining companies, date audited, areas of non-compliance identified in previous audit etc.	Retain minimum of 75 years after last action, then destroy	
5.12.0	<b>Reporting</b>	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.		
5.12.1		Final versions of formal internal reports and reports made to external agencies relating to industry training activities.	Required as State archives	Transfer custody to State Records 10 years after last action.
5.12.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities to support industry liaison.	Retain minimum of 7 years after action completed, then destroy	
5.12.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
5.13.0	<b>Resource Development</b>	The activities related to developing training courses, programs and materials.		

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No	Function/Activity	Description	Disposal Action	Custody*
5.13.1		Master set of training course materials including presenter's slides and manuals, participants' workbooks and other training tools.	Retain minimum of 75 years after superseded, then destroy	
5.13.2		Representative sets of training course materials eg manuals, presentation materials, participants workbooks, reflective of mines rescue or brigadesmen training over time	Required as State archives	
5.13.3		Records documenting the development of training course materials such as drafts circulated for comment or materials trialled during pilot sessions.	Retain minimum of 1 year after action completed, then destroy	
5.13.4		Course evaluation records.	Retain minimum of 1 year after action completed, then destroy	
5.14.0	<b>Training Delivery</b>	<p>The activities associated with managing enrolments and attendance, assessing the ability of participants and documenting the level and currency of skills attained through training.</p> <p>See <b>MINES RESCUE AND RESPONSE - Determinations</b> for determinations issued to mining companies regarding the nature and number of miners required to be released for mines rescue training</p>		
5.14.1		Summary records of mines rescue and emergency response training undertaken by Mines Rescue Brigadesmen which provide evidence of attendance, enrolment status,	Retain minimum of 80 years from date of birth, then	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		courses/modules completed, assessment results and qualifications or statements of attainment issued. Includes training databases, registers and job cards.	destroy	
5.14.2		Summary records of mines rescue and emergency response training undertaken by contractors employed by mining companies or non coal industry workers which provide evidence of attendance, enrolment status, courses/modules completed, assessment results and qualifications or statements of attainment issued. Includes training databases and registers.	Retain minimum of 30 years after course completed, then destroy	
5.14.3		<p>Records relating to mines rescue and emergency response training undertaken by Mines Rescue Brigadesmen where an adequate summary record is <b>not</b> available/maintained. Records include:</p> <ul style="list-style-type: none"> <li>- enrolment forms</li> <li>- attendance sheets</li> <li>- exam papers and assessment tasks</li> <li>- certificates or statements of attainment</li> </ul> <p><b>NOTE:</b> An adequate summary record provides complete and reliable evidence of attendance, enrolment status, courses/modules completed, assessment results and qualifications or statements of attainment issued. It can be used to confirm a Brigadesman's status as an active or inactive member based on the currency of their skills and training.</p>	Retain minimum of 80 years from date of birth, then destroy	
5.14.4		Records relating to mines rescue and emergency response training undertaken by contractors employed by mining	Retain minimum of 30 years after	

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>companies or non coal industry workers where an adequate summary record is <b>not</b> available/maintained. Records include:</p> <ul style="list-style-type: none"> <li>- enrolment forms</li> <li>- attendance sheets</li> <li>- the results of exams and assessment tasks</li> <li>- certificates or statements of attainment</li> </ul> <p><b>NOTE:</b> An adequate summary record provides complete and reliable evidence of attendance, enrolment status, courses/modules completed, assessment results and qualifications or statements of attainment issued. It can be used to re-issue qualifications or statements of attainment on request.</p>	<p>course completed, then destroy</p>	
5.14.5		<p>Records relating to mines rescue and emergency response training undertaken by Mines Rescue Brigadesmen, contractors employed by mining companies or non coal industry workers where an adequate summary record is available/maintained. Records include:</p> <ul style="list-style-type: none"> <li>- enrolment forms</li> <li>- attendance sheets</li> <li>- exam papers and assessment tasks</li> <li>- certificates or statements of attainment</li> </ul> <p><b>NOTE:</b> An adequate summary record provides complete and reliable evidence of attendance, enrolment status, courses/modules completed, assessment results and qualifications or statements of attainment issued. It can be used to confirm a Brigadesman's status as an active or</p>	<p>Retain minimum of 7 years after last action, then destroy</p>	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		inactive member based on the currency of their skills and training. It can also be used to re-issue qualifications or statements of attainment on request.		
5.14.6		<p>WorkCover accredited training delivered by the agency, including Occupational Health and Safety Consultation, Return to Work Coordinator and Occupational First Aid training. Records include:</p> <ul style="list-style-type: none"> <li>- summary records, such as training databases</li> <li>- enrolment forms</li> <li>- attendance sheets</li> <li>- course feedback forms</li> <li>- exam papers and assessment tasks</li> <li>- certificates or statements of attainment</li> </ul>	Retain minimum of 7 years after course completed, then destroy	
5.14.7		<p>Records relating to the delivery of training by the agency under a partnership agreement with a Registered Training Organisation. Records include:</p> <ul style="list-style-type: none"> <li>- summary records, such as training databases</li> <li>- enrolment forms</li> <li>- attendance sheets</li> <li>- exam papers and assessment tasks</li> <li>- certificates or statements of attainment</li> </ul>	Retain minimum of 7 years after course completed, then destroy	
5.14.8		<p>Records relating to the delivery of training that does not involve a partnership with a Registered Training Organisation, WorkCover accreditation or any other form of accreditation by an external body. Includes:</p>	Retain minimum of 7 years after course completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>- summary records, such as training databases</li> <li>- enrolment forms</li> <li>- attendance sheets</li> <li>- exam papers and assessment tasks</li> <li>- certificates and statements of attainment</li> </ul>		
5.14.9		Course evaluation records such as questionnaires completed by course participants.	Retain minimum of 7 years after course completed, then destroy	
5.14.10		Requests for replacement copies of assessment results, statements of attendance or attainment etc	Retain until reference ceases, then destroy	
6.0.0	<b>INSURANCE SCHEME</b>	<p>The function of establishing and reviewing workers compensation insurance scheme policies, as well as processing compensation claims made by injured coal industry workers.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>- collecting premium contributions from policyholders</li> <li>- setting premium rates</li> <li>- developing claims management procedures</li> <li>- assessment and payment of claims</li> <li>- resolving disputes and litigation</li> <li>- developing scheme models</li> </ul> <p>See <i>General Retention and Disposal Authority - Administrative Records</i>: <b>COMMITTEES</b> for management of internal, external or inter-agency committees, task forces,</p>		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		working groups or parties etc  <i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Meetings</b> for routine general and section or unit meetings of employees</i>		
6.1.0	<b>Accreditation</b>	The activities associated with the agency applying for and maintaining status as an endorsed provider of services, facilities or qualified staff. Includes accreditation as an organisation with quality management systems.		
6.1.1		Certificates of Accreditation issued to the agency or to qualified agency staff by the authorising body. For example, ISO 9000 series accreditation for quality management systems.	Retain minimum of 10 years after accreditation expires or is renewed, then destroy	
6.1.2		Applications and renewals submitted by the agency to the authorising body. Includes payment of registration fees.	Retain minimum of 10 years after superseded, then destroy	
6.1.3		Records of compliance and performance reviews against the standards required by the authorising body. Reviews may be conducted by internal or external bodies. Includes records relating to action taken to address any shortcomings identified during the assessment. For example, compliance with ISO 9000 series for quality management systems.	Retain minimum of 10 years after action completed, then destroy	
6.2.0	<b>Audit</b>	The activities associated with officially checking financial,		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>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 organisation in a specified period.</p> <p>See <b>INSURANCE SCHEME - Accreditation</b> for performance and compliance reviews carried out by an accrediting body</p>		
6.2.1		<p>Records relating to audits undertaken as part of the agency's audit and compliance program for operating the insurance scheme, such as audits of claims management processes, compliance checks of wage declarations submitted by mining companies etc. Records include audit plans, minutes of meetings, notes of interviews with staff, data analysis records, draft and final reports, and action taken to implement the audit recommendations.</p>	<p>Retain minimum of 6 years after action completed, then destroy</p>	
6.3.0	<b>Claims management</b>	<p>The activities associated with receiving, assessing and finalising compensation claims made by workers due to injury or disease. Includes investigations and surveillance of claimants, liaison with medical and rehabilitation service providers, dispute resolution and litigation, and payments made to injured workers, health practitioners, investigators and solicitors.</p>		
6.3.1		<p>Summary information and data relating to claimants and registered claims. This includes:</p> <ul style="list-style-type: none"> <li>- Card indexes to claimants (1922 to 1991)</li> </ul>	<p>Required as State archives</p>	<p>Card indexes - Transfer when reference ceases. Summary data re individual claimants</p>

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No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>- Volumes of dust, disease, heart, chest and fatalities claims registers (1948 to 2002)</li> <li>- summary data held in databases (1992 onwards) including:                             <ul style="list-style-type: none"> <li>- claimant name</li> <li>- claimant ID</li> <li>- contact details</li> <li>- case closure date</li> <li>- date of injury</li> <li>- date of death</li> <li>- date of birth</li> <li>- dependents</li> <li>- duty status</li> <li>- employers name, address and ABN</li> <li>- experience in work category</li> <li>- evidence of injury and recovery</li> <li>- fatality</li> <li>- gender</li> <li>- insurer</li> <li>- list of court proceedings, appeal and outcomes</li> <li>- medical rehabilitation information and plans</li> <li>- proof of employment</li> <li>- payment summary</li> <li>- qualifications/training</li> <li>- return to work date</li> <li>- summary of medical and rehabilitation services provided</li> <li>- total cost of claim.</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>- Transfer custody to State Records 75 years after date of birth.</li> <li>Volumes/Registers - Transfer custody to State Records 10 years after collection.</li> </ul>

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No	Function/Activity	Description	Disposal Action	Custody*
6.3.2		<p>Finalised claims that set a precedent resulting in changes to the agency's policies and procedures or leading to changes in legislation affecting the insurance scheme.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>- Incident report</li> <li>- Claim form</li> <li>- Medical reports</li> <li>- Injury management plans</li> <li>- Return to Work Plans</li> <li>- Vocational assessments</li> <li>- Investigation and surveillance reports</li> <li>- Correspondence with solicitors</li> <li>- Statement of Claim for legal matters</li> <li>- Payments made to injured worker</li> <li>- Payments made to health practitioners, investigators and solicitors</li> </ul>	Required as State archives	Transfer custody to State Records 10 years after claim finalised.
6.3.3		<p>Compensation claim case records that do not set a precedent or lead to changes in legislation affecting the insurance scheme. Records include:</p> <ul style="list-style-type: none"> <li>- injury notifications</li> <li>- claim forms</li> <li>- medical reports and certificates</li> <li>- advice regarding liability</li> <li>- injury management plans</li> <li>- referral to rehabilitation providers</li> <li>- return to work plans, treatment plans</li> <li>- vocational assessments/retraining plans</li> <li>- records of investigations and surveillance</li> </ul>	Retain minimum of 90 years after date of birth, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>- correspondence with the plaintiff's and defendant's solicitor</li> <li>- statement of claim</li> <li>- outcome of conciliation processes</li> <li>- compensation payments</li> <li>- redemption agreements</li> <li>- payment of medical, chemist and travelling expenses</li> <li>- payment of legal and investigation accounts.</li> </ul>		
6.4.0	<b>Comparative systems</b>	The activities associated with comparing agency processes with other organisations in order to develop industry best practice.		
6.4.1		Records related to benchmarking exercises or other activities comparing different insurance scheme frameworks, models, procedures etc to improve the operation of the scheme.	Retain minimum of 10 years after action completed, then destroy	
6.5.0	<b>Employer education</b>	The activities associated with providing information to employers about the workers compensation insurance scheme in order to improve claims management practices.		
6.5.1		Records relating to formal schemes designed to improve employers' awareness and compliance with claims management practices.	Retain minimum of 5 years after action completed, then destroy	
6.6.0	<b>Incidents</b>	The activities associated with reporting an accident or event involving injuries to coal industry worker that may eventually lead to a compensation claim being lodged.		
6.6.1		Incident reports received from policy holders.	Retain minimum of 30 years after	

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No	Function/Activity	Description	Disposal Action	Custody*
			incident notification received, then destroy	
6.7.0	<b>Models</b>	The processes involved in designing, testing and evaluating sample model profiles of systems.		
6.7.1		Records documenting the design, testing and adoption of financial and insurance scheme models. Includes the development of models for self-insurance where policy holders manage their own claims in order to reduce premium rates. Records include:  <ul style="list-style-type: none"> <li>- literature searches, specifications and project management documentation</li> <li>- tests or pilot programs performed to verify or corroborate results predicted by financial and insurance scheme modelling systems</li> <li>- the final, approved financial or insurance scheme model</li> </ul>	Retain minimum of 10 years after model superseded, then destroy	
6.8.0	<b>Payments</b>	The activities involved in the preparation and payment of money.  See <b>INSURANCE SCHEME - Underwriting</b> for premium collections		
6.8.1		Records documenting the payment of compensation claims or compensation awards to injured coal industry workers.	Retain minimum of 7 years after action completed, then destroy	
6.8.2		Records documenting the payment of invoices for services	Retain minimum of	

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No	Function/Activity	Description	Disposal Action	Custody*
		provided by health practitioners, investigators, solicitors etc. involved in managing and finalising compensation claims.	7 years after action completed, then destroy	
6.9.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
6.9.1		Final, approved versions of business plans or action plans relating to administration of the insurance scheme.	Retain minimum of 5 years after plan superseded, then destroy	
6.9.2		Records relating to the development and review of business plans or action plans relating to administration of the insurance scheme.	Retain minimum of 3 years after plan superseded, then destroy	
6.10.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.  See <b>INSURANCE SCHEME - Underwriting</b> for workers compensation insurance policies issued to policy holders, ie. mining companies		
6.10.1		Records documenting the development, review and approval of policies on the management of the insurance scheme by the agency. Includes background and research material, significant drafts, consultation with stakeholders and the final, approved policy.	Required as State archives	

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No	Function/Activity	Description	Disposal Action	Custody*
6.11.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
6.11.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to the management of the insurance scheme by the agency.	Retain minimum of 75 years after superseded, then destroy	
6.11.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to the management of the insurance scheme by the agency.	Retain minimum of 5 years after action completed, then destroy	
6.12.0	<b>Reporting</b>	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.		
6.12.1		Final versions of formal internal reports and reports made to external organisations relating to insurance scheme functions.	Required as State archives	Transfer custody to State Records 10 years after last action.
6.12.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities.	Retain minimum of 7 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
6.12.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
6.13.0	<b>Underwriting</b>	The activities associated with managing financial liability for injured workers in accordance with insurance policies issued by the agency. Includes issuing policies, calculating and collecting premiums from policy holders.		
6.13.1		Insurance policy holder records containing all communication with policy holders, such as:  - proposal letters - policies - premium calculations - wage declarations submitted by policy holders - renewal notices - policy amendments and cancellations	Retain minimum of 70 years after the last year of coverage, or 30 years after settlement of last claim, whichever is the longer, then destroy	
6.13.2		Insurance policy holder summary records such a policy register or database showing:  - dates of policy commencement and cessation - employers name and location - type of coverage - history of premium rates	Retain minimum of 70 years after the last year of coverage, or 30 years after settlement of last claim, whichever is the longer, then destroy	
6.13.3		Records documenting payment of premiums by policy	Retain minimum of 7 years after	

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No	Function/Activity	Description	Disposal Action	Custody*
		holders.	payment finalised, then destroy	
6.13.4		Records relating to setting scheme premium rates through actuarial assessments that identify and categorise risk in order to ensure funds are available for future claims.	Retain minimum of 10 years after last action, then destroy	
6.13.5		Records relating to actuarial evaluations of outstanding claims liabilities.	Retain minimum of 10 years after last action, then destroy	
7.0.0	<b>INVESTMENT MANAGEMENT</b>	<p>The function of developing investment strategies and monitoring and reporting on investment performance, including the agency's property portfolio, by internal and external fund managers.</p> <p>See <b>CORPORATE GOVERNANCE - Insurance</b> for insurance policies and claims relating to investment properties</p> <p>See <i>General Retention and Disposal Authority for Administrative Records: COMMITTEES</i> for records of the Audit and Risk Management Committee (previously the Investment Committee) and for the management of other internal, external or inter-agency committees, task forces, working groups or parties etc</p> <p>See <i>General Retention and Disposal Authority for Administrative Records: STRATEGIC MANAGEMENT - Audit</i> for records of performance audits to assess the effectiveness of the agency's investment strategies</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
7.1.0	<b>Cash</b>	The activities associated with acquiring, managing and disposing of cash assets.		
7.1.1		Cash investment records relating to: - authorisations to proceed with an investment - investment management agreements with financial service providers - reports provided by fund and investment managers to the agency on cash assets	Retain minimum of 10 years after asset disposed of, then destroy	
7.2.0	<b>Equities</b>	The activities associated with acquiring, managing and disposing of Australian and International equities.		
7.2.1		Records documenting the investment and management of Australian and International equities including: - authorisations to proceed with an investment - investment management agreements with financial service providers - reports provided by fund and investment managers to the agency on cash assets	Retain minimum of 10 years after asset disposed of, then destroy	
7.3.0	<b>Fixed interest</b>	The activities associated with acquiring, managing and disposing of fixed interest accounts.		
7.3.1		Records documenting investment and management of fixed interest accounts including: - authorisations to proceed with an investment - investment management agreements with financial service providers - reports provided by fund and investment managers to the agency on cash assets	Retain minimum of 10 years after asset disposed of, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
7.4.0	<b>Investment Advice</b>	The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.		
7.4.1		Records relating to advice received on overall investment strategies from organisations providing financial management services to the agency.	Retain minimum of 10 years after action completed, then destroy	
7.5.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
7.5.1		Final, approved versions of business plans or action plans relating to investment management activities.	Retain minimum of 5 years after plan superseded, then destroy	
7.5.2		Records relating to the development and review of business plans or action plans relating to investment management activities.	Retain minimum of 3 years after plan superseded, then destroy	
7.6.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.		
7.6.1		Final approved policies relating to the management of the agency's investments.	Retain minimum of 5 years after superseded, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
7.6.2		Records relating to the development and review of policies relating to the management of the agency's investments.	Retain minimum of 3 years after superseded, then destroy	
7.7.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
7.7.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to the management of the agency's investments.	Retain minimum of 5 years after superseded, then destroy	
7.7.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to the management of the agency's investments.	Retain minimum of 3 years after superseded, then destroy	
7.8.0	<b>Property</b>	The activities associated with acquiring and disposing of property through sale, transfer or auction.		
7.8.1		Title deeds to investment properties owned by the agency.	Retain until premises are disposed of, then transfer to new owner	
7.8.2		Records relating to the purchase of investment properties.	Retain minimum of 7 years after action completed, then destroy	

\* see *About the functional retention and disposal authority*



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No	Function/Activity	Description	Disposal Action	Custody*
7.8.3		Records relating to capital works and construction of investment properties.	Retain minimum of 7 years after disposal/transfer of building or 7 years after action completed, whichever is longer, then destroy	
7.8.4		Records relating to the disposal of premises through sale or transfer.	Retain minimum of 7 years after action completed, then destroy	
7.8.5		Routine installation, maintenance and repair records, excluding maintenance/servicing contracts.	Retain minimum of 2 years after action completed, then destroy	
7.8.6		Records relating to the leasing-out of premises belonging to the agency.	Retain minimum of 7 years after expiry of lease, then destroy	
7.8.7		Routine correspondence relating to the management of premises, including minor complaints and suggestions.	Retain minimum of 2 years after action completed, then destroy	
7.8.8		Records relating to the hiring and use of contractors and suppliers for property management and maintenance	Retain minimum of 7 years after action completed or 7	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		services. Includes day to day correspondence.	years after the expiry of the contract, whichever is longer, then destroy	
7.9.0	<b>Reporting</b>	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.		
7.9.1		Final versions of formal internal reports and reports made to external agencies relating to investment management activities.	Required as State archives	Transfer custody to State Records 10 years after last action.
7.9.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities to support investment management.	Retain minimum of 7 years after action completed, then destroy	
7.9.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
8.0.0	<b>MINES RESCUE AND RESPONSE</b>	The function of providing an emergency response service for coal industry workers involved in accidents or incidents. Includes recruiting Mines Rescue Brigadesmen, collecting contributions levied on mine owners for rescue and response services, testing and maintaining Mines Rescue Station		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>equipment and vehicles, and auditing mining company systems and equipment on a 'fee for service' basis.</p> <p>See <b>INDUSTRY TRAINING</b> for preparedness and response training, trials, simulations and competitions conducted or assessed by the agency's staff</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: COMMITTEES</i> for management of internal, external or inter-agency committees, task forces, working groups or parties etc</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: STRATEGIC MANAGEMENT - Meetings</i> for routine general and section or unit meetings of employees</p>		
8.1.0	<b>Acquisition</b>	The process of gaining ownership or use of property and other items required in the conduct of business through purchase or requisitions.		
8.1.1		Records documenting the acquisition of specialised rescue and response equipment, such as breathing appliances. Includes the evaluation of equipment against industry standards prior to purchase.	Retain minimum of 7 years after equipment or vehicle disposed of, then destroy	
8.2.0	<b>Audit</b>	The activities associated with officially checking 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 organisation in a specified period.		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		<p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Audit</b> for records of performance audits to assess the efficiency or effectiveness of services provided to clients, such as emergency response processes, maintenance of equipment, recruitment of Brigadesmen etc</i></p>		
8.2.1		<p>Records of audits conducted by the agency of client's systems, facilities and procedures relating to emergency preparedness. For example, audits of a mining company's emergency systems and self-escape systems. These audits are conducted on a 'fee for service' basis. Records include audit plans, minutes of meetings, notes of interviews with staff, data analysis records, draft and final reports, and action taken to implement the audit recommendations.</p>	<p>Retain minimum of 7 years after action completed, then destroy</p>	
8.3.0	<b>Determinations</b>	<p>The activities associated with issuing determinations or responding to appeals against determinations issued by the agency to mining companies. Determinations are notices specifying the number and nature of resources that each mining company must make available for rescue and response training and emergencies.</p>		
8.3.1		<p>Records relating to determinations issued to mining companies by the agency specifying the number and nature of resources that must be made available for rescue and response training and emergencies. Includes records of appeals against determinations.</p>	<p>Retain minimum of 10 years after action completed or appeal finalised, then destroy</p>	
8.4.0	<b>Disposal</b>	<p>The process of disposing of property no longer required by the organisation by sale, transfer, termination of lease,</p>		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		auction or destruction.		
8.4.1		Records documenting the disposal of specialised equipment for mines rescue and response purposes.	Retain minimum of 7 years after equipment disposed of, then destroy	
8.5.0	<b>Emergencies</b>	<p>The activities associated with responding to an emergency such as a fire, flood, explosion or accident, that has the potential to injure coal industry workers.</p> <p>See <b>MINES RESCUE AND RESPONSE - Inquiries</b> for investigations carried out by the Chief Inspector or Coroner after each emergency callout</p>		
8.5.1		Copies of Safety Alerts issued by the Department of Primary Industries.	Retain until reference ceases, then destroy	
8.5.2		<p>Records documenting the coordination of a response to an emergency call out by Mines Rescue Brigadesmen.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>- duty cards</li> <li>- communication logs</li> <li>- records documenting the formation of teams, allocation of tasks, routes and gear</li> <li>- risk assessments</li> </ul>	Retain minimum of 10 years after post-incident inquiry completed, then destroy.	
8.5.3		Records summarising and evaluating the response to an emergency call out by Mines Rescue Brigadesmen, such as the Captain's or Manager's official report.	Required as State archives	Transfer custody to State Records 10 years after last

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No	Function/Activity	Description	Disposal Action	Custody*
				action.
8.6.0	<b>Inquiries</b>	The activities associated with liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by persons or bodies who have been empowered to inquire and report on a subject, such as Royal Commissions, Parliamentary and Ombudsman' inquiries. Includes the organisation's participation in the inquiry by providing evidence in the form of records, submissions or staff.		
8.6.1		Records documenting the agency's participation in inquiries relating to emergency call outs. Includes liaison with the Coroner or with the Chief Inspector.	Required as State archives	Transfer custody to State Records 10 years after last action.
8.7.0	<b>Levy Collection</b>	The activities associated with collection of levies owed by each mining company for provision of mines rescue services by the agency.		
8.7.1		Records documenting the calculation of contributions levied on each mining company. Records include notices / invoices served on mining companies specifying the levy amount to be paid and correspondence with mining companies where they request a review of the levy amount.	Retain minimum of 10 years after action completed, then destroy	
8.8.0	<b>Maintenance</b>	The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of premises, equipment, vehicles etc.		
8.8.1		Copies of the manufacturer's specifications for specialised equipment and vehicles used by Mines Rescue Stations.	Retain until reference use	

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No	Function/Activity	Description	Disposal Action	Custody*
			ceases, then destroy	
8.8.2		Records of tests and repairs carried out on Mines Rescue Station equipment and vehicles, including periodic testing in accordance with the manufacturer's specifications and maintenance by Mines Rescue staff or by the manufacturer or authorised repair services. Includes summary records such as annual test schedules and maintenance registers.	Retain for life of equipment or vehicle, then destroy	
8.8.3		Records of tests and repairs carried out equipment owned by mining or other companies by Mines Rescue Station staff on a fee for service basis, such as hydrostatic testing of cylinders.	Retain minimum of 7 years after action completed, then destroy	
8.9.0	<b>Payments</b>	The activities involved in the preparation and payment of money.		
8.9.1		Records of payments made to Mines Rescue Brigadesmen while engaged in mines rescue work, including participation in training and competitions.	Retain minimum of 7 years after action completed, then destroy	
8.10.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
8.10.1		Final, approved versions of business plans or action plans relating to mine rescue and response activities.	Retain minimum of 5 years after plan superseded, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
8.10.2		Records relating to the development and review of business plans or action plans relating to mine rescue and response activities.	Retain minimum of 3 years after plan superseded, then destroy	
8.11.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.		
8.11.1		Records documenting the development, review and approval of policies on mines rescue and response services provided by the agency. Includes background and research material, significant drafts, consultation with stakeholders and the final, approved policy.	Required as State archives	Transfer custody to State Records 10 years after superseded
8.12.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
8.12.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to mines rescue and response.	Required as State archives	Transfer custody to State Records 10 years after superseded
8.12.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to mines rescue and response.	Retain minimum of 7 years after action completed, then destroy	
8.13.0	<b>Recruitment of Brigadesmen</b>	The activities related to appointing volunteer coal industry workers as Mines Rescue Brigadesmen in order to provide a service for responding to emergencies.		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p><i>See General Retention and Disposal Authority – Administrative records : <b>LEGAL SERVICES - Litigation</b> for arbitrated disputes or appeals to the Administrative Appeals Tribunal over resources devoted by mining companies to rescue and response training and emergencies</i></p>		
8.13.1		<p>Records of recruitment drives promoting the Mines Rescue Brigade and encouraging coal industry workers to join. Includes liaison with mining companies regarding arrangements for visits by agency staff on intake days.</p>	<p>Retain minimum of 2 years after action completed, then destroy</p>	
8.13.2		<p>Register of people appointed or terminated as Mines Rescue Brigadesmen.</p>	<p>Records to be retained and disposed of in accordance with the relevant category of record under <b>INDUSTRY TRAINING - Training Delivery</b></p>	
8.13.3		<p>Copies of medical certificates and functional assessments demonstrating that a volunteer is fit to serve as a Mines Rescue Brigadesman. Volunteers are required to undergo medical assessments prior to being appointed as Brigadesmen and at regular intervals to keep their appointment current.</p> <p><b>Note:</b> These records are local copies retained at Mines Rescue Stations as evidence that a Brigadesman can be called on active duty. The originals are held on medical assessment files, see <b>OCCUPATIONAL HEALTH SERVICES</b></p>	<p>Retain minimum of 3 years after previous assessment, then destroy</p>	

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No	Function/Activity	Description	Disposal Action	Custody*
		<b>– Assessments.</b>		
8.13.4		Records documenting the agency's refusal to appoint, or termination of appointment as a Mine Rescue Brigadesmen, sent to employees and mine owners. Includes a statement of reasons.	Retain minimum of 5 years after action completed, then destroy	
8.14.0	<b>Reporting</b>	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.		
8.14.1		Final versions of formal internal reports and reports made to external organisations relating to mine rescue and response operations.	Required as State archives	Transfer custody to State Records 10 years after last action.
8.14.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities.	Retain minimum of 7 years after action completed, then destroy	
8.14.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
9.0.0	<b>OCCUPATIONAL HEALTH SERVICES</b>	The function of providing occupational health services such as pre-employment medical assessments, periodic health surveillance assessments, functional capacity evaluations, drug and alcohol screening and flu vaccinations. These		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>services are provided to workers from mining and non-mining industries. Includes medical assessments for Mines Rescue Brigadesmen prior to their appointment.</p> <p>See <b>REHABILITATION</b> for case management of injured coal industry workers</p> <p>See <b>INDUSTRY TRAINING</b> for delivery of health education such as first aid courses and occupational health &amp; safety courses</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: COMMITTEES</i> for management of internal, external or inter-agency committees, task forces, working groups or parties etc</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: STRATEGIC MANAGEMENT - Meetings</i> for routine general and section or unit meetings of employees</p>		
9.1.0	<b>Accreditation</b>	<p>The activities associated with the agency applying for and maintaining status as an endorsed provider of services, facilities or qualified staff.</p> <p>See <b>INDUSTRY TRAINING</b> for records relating to the accreditation of staff as trainers.</p>		
9.1.1		<p>Certificates of Accreditation issued to the agency or to qualified agency staff by the authorising body. Includes accreditation of qualified First Aiders, WorkCover accreditation as Return to Work Coordinators, and</p>	<p>Retain minimum of 10 years after accreditation expires or is</p>	

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No	Function/Activity	Description	Disposal Action	Custody*
		International Standard Organisation (ISO) accreditation for quality management systems.	renewed, then destroy	
9.1.2		Applications and renewals submitted by the agency to the authorising body. Includes payment of registration fees.	Retain minimum of 10 years after superseded, then destroy	
9.1.3		Records of compliance and performance reviews against the standards required by the authorising body. Reviews may be conducted by internal or external bodies. Includes records relating to action taken to address any shortcomings identified during the assessment.	Retain minimum of 10 years after action completed, then destroy	
9.2.0	<b>Acquisition</b>	The process of gaining ownership or use of property and other items required in the conduct of business through purchase or requisitions.		
9.2.1		Records documenting the acquisition of specialised medical equipment. Includes the evaluation of equipment against industry standards prior to purchase.	Retain minimum of 7 years after equipment or vehicle disposed of, then destroy	
9.3.0	<b>Assessments</b>	The activities associated with evaluating the health and occupational fitness of coal industry workers. Includes pre-employment assessments, periodic assessments, functional assessments, and assessment of Mines Rescue Brigadesmen prior to appointment. Also includes the medical assessment of workers from industries other than the coal industry on a 'fee for service' basis.		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p><b>Note:</b> records relating to health assessments of coal industry workers (including medical case files, x-rays and associated summary records) are not covered by this authority. They are to be retained by the agency pending further appraisal by State Records.</p>		
9.3.1		<p>Medical case files documenting assessments of workers from industries other than the coal industry where workers are exposed to hazardous substances in their daily workplace environment. These assessments are provided on a 'fee for service' basis.</p>	<p>Retain minimum of 90 years after date of birth, then destroy</p>	
9.3.2		<p>X-rays, scans and other imaging products produced during the assessment of workers from industries other than the coal industry where workers are exposed to hazardous substances in their daily workplace environment. These assessments are provided on a 'fee for service' basis.</p>	<p>Retain minimum of 90 years after date of birth, then destroy</p>	
9.3.3		<p>Medical case files documenting assessments of workers from industries other than the coal industry where workers are <b>not</b> exposed to hazardous substances in their daily workplace environment. These assessments are provided on a 'fee for service' basis.</p>	<p>Retain minimum of 15 years after last attendance or official contact, or client reaches 25 years of age, whichever is longer, then destroy</p>	
9.3.4		<p>X-rays, scans and other imaging products produced during the assessment of workers from industries other than the coal industry where workers are <b>not</b> exposed to hazardous substances in their daily workplace environment. . These</p>	<p>Retain minimum of 15 years after last attendance or official contact, or client reaches 25</p>	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		assessments are provided on a 'fee for service' basis.	years of age, whichever is longer, then destroy	
9.4.0	<b>Audit</b>	<p>The activities associated with officially checking 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 organisation in a specified period.</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Audit</b> for records of performance audits to assess the efficiency or effectiveness of occupational health services provided to clients</i></p>		
9.4.1		Records of audits conducted by the agency of client's systems, facilities, procedures etc on a consultancy or 'fee for service' basis. For example, audits of first aid facilities at mine sites. Records include audit plans, minutes of meetings, notes of interviews with staff, data analysis records, draft and final reports, and action taken to implement the audit recommendations.	Retain minimum of 7 years after action completed, then destroy	
9.5.0	<b>Disposal</b>	The process of disposing of property no longer required by the organisation by sale, transfer, termination of lease, auction or destruction.		
9.5.1		Records documenting the disposal of specialised medical equipment.	Retain minimum of 7 years after equipment disposed of, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
9.6.0	<b>Maintenance</b>	The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of premises, equipment, vehicles etc.		
9.6.1		Copies of the manufacturer's specifications for specialised medical equipment.	Retain until reference ceases, then destroy	
9.6.2		Records of tests and repairs carried out on specialised medical equipment and vehicles, including periodic testing in accordance with the manufacturer's specifications, or by the manufacturer or authorised repair services. Includes summary records such as annual test schedules and maintenance registers. Includes calibration of equipment and summary records such as annual test schedules and maintenance registers.	Retain for life of equipment or vehicle, then destroy	
9.7.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
9.7.1		Final, approved versions of business plans or action plans relating to occupational health activities.	Retain minimum of 5 years after plan superseded, then destroy	
9.7.2		Records relating to the development and review of business plans or action plans relating to occupational health activities.	Retain minimum of 3 years after plan superseded, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
9.8.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.		
9.8.1		Records documenting the development, review and approval of policies on occupational health services. Includes background and research material, significant drafts, consultation with stakeholders and the final, approved policy.	Retain minimum of 75 years after superseded, then destroy	
9.9.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
9.9.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to occupational health services.	Retain minimum of 75 years after superseded, then destroy	
9.9.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to occupational health services.	Retain minimum of 7 years after action completed, then destroy	
9.10.0	<b>Reporting</b>	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.		

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No	Function/Activity	Description	Disposal Action	Custody*
9.10.1		Final versions of formal internal reports and reports made to external organisations relating to occupational health services.	Required as State archives	Transfer custody to State Records 10 years after last action.
9.10.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities.	Retain minimum of 7 years after action completed, then destroy	
9.10.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
10.0.0	<b>REHABILITATION</b>	<p>The function of managing the health of injured or ill workers to assist them to achieve the best possible outcome. Includes medical treatment, physiotherapy and counselling as well as managed schemes for returning rehabilitated workers to the workforce. (Rehabilitation services are provided to workers from mining and non-mining industries.)</p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>COMMITTEES</b> for the management of internal, external or inter-agency committees, task forces, working groups or parties etc</i></p> <p><i>See General Retention and Disposal Authority for Administrative Records: <b>STRATEGIC MANAGEMENT - Audit</b> for records of performance audits to assess the efficiency or effectiveness of rehabilitation services provided</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>to clients</p> <p>See <i>General Retention and Disposal Authority - Administrative Records</i>: <b>STRATEGIC MANAGEMENT - Meetings</b> for routine general and section or unit meetings of employees</p>		
10.1.0	<b>Accreditation</b>	<p>The activities associated with the agency applying for and maintaining status as an endorsed provider of services, facilities or qualified staff. Includes Workcover accreditation of agency rehabilitation and health care providers.</p> <p>See <b>INDUSTRY TRAINING</b> for records relating to the accreditation of staff as trainers.</p>		
10.1.1		<p>Certificates of Accreditation issued to the agency or to qualified agency staff by the authorising body. Examples include Workcover accreditation of agency rehabilitation and health care providers.</p>	<p>Retain minimum of 10 years after accreditation expires or is renewed, then destroy</p>	
10.1.2		<p>Applications and renewals submitted by the agency to the authorising body. Includes payment of registration fees.</p>	<p>Retain minimum of 10 years after superseded, then destroy</p>	
10.1.3		<p>Records of compliance and performance reviews against the standards required by the authorising body. Reviews may be conducted by internal or external bodies. Includes records relating to action taken to address any shortcomings identified during the assessment.</p>	<p>Retain minimum of 10 years after action completed, then destroy</p>	

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
10.2.0	<b>Acquisition</b>	The process of gaining ownership or use of property and other items required in the conduct of business through purchase or requisitions.		
10.2.1		Records documenting the acquisition of specialised equipment for rehabilitation purposes. Includes the evaluation of equipment against industry standards prior to purchase.	Retain minimum of 7 years after equipment or vehicle disposed of, then destroy	
10.3.0	<b>Agreements</b>	The processes associated with the establishment, maintenance, review and negotiation of agreements.		
10.3.1		Records relating to the establishment, maintenance, review and negotiation of agreements with providers and clients regarding the nature and level of service required, fee structures etc. For example, a service level agreement with Coal Mines Insurance or other insurer for the provision of rehabilitation services to workers covered by their policies.	Retain minimum of 7 years after expiry of agreement, then destroy	
10.4.0	<b>Case Management</b>	The activities involved in managing the treatment of an injured or ill worker on a case basis. Includes documenting medical treatment, physiotherapy and counselling sessions. Also includes developing individual return to work programs for injured workers and monitoring their progress.		
10.4.1		Summary records, such as the Case Manager database, containing:  - personal details of injured or ill workers from coal mining or non-mining industries - summary of the injury/condition	Retain minimum of 90 years after date of birth, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>- treatment dates</li> <li>- practitioner's case notes</li> <li>- correspondence between parties</li> <li>- accounts information</li> </ul>		
10.4.2		<p>Rehabilitation case files documenting treatment and return to work programs for injured or ill coal industry workers: Including:</p> <ul style="list-style-type: none"> <li>- case closure report</li> <li>- summary of personal details, injury or condition</li> <li>- injured worker's consent form</li> <li>- referral</li> <li>- practitioner's case notes</li> <li>- x-rays, scans and other imaging products</li> <li>- medical reports</li> <li>- return to work program</li> <li>- correspondence with the worker, employer and insurer</li> </ul>	Retain minimum of 90 years after date of birth, then destroy	
10.4.3		<p>Rehabilitation case files documenting treatment and return to work programs for injured workers from industries other than the coal industry, but where workers are exposed to hazardous substances in their daily working environment. Including:</p> <ul style="list-style-type: none"> <li>- case closure report</li> <li>- summary of personal details, injury or condition</li> <li>- injured worker's consent form</li> <li>- referral</li> <li>- practitioner's case notes</li> <li>- x-rays, scans and other imaging products</li> <li>- medical reports</li> </ul>	Retain minimum of 90 years after date of birth, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>- return to work program</li> <li>- correspondence with the worker, employer and insurer</li> </ul>		
10.4.4		<p>Rehabilitation case files documenting assessments of workers from industries other than the coal industry, but where workers are <b>not</b> exposed to hazardous substances in their daily working environment. Including:</p> <ul style="list-style-type: none"> <li>- case closure report</li> <li>- summary of personal details, injury or condition</li> <li>- injured worker's consent form</li> <li>- referral</li> <li>- practitioner's case notes</li> <li>- x-rays, scans and other imaging products</li> <li>- medical reports</li> <li>- return to work program</li> <li>- correspondence with the worker, employer and insurer</li> </ul>	Retain minimum of 15 years after last attendance or official contact, or client reaches 25 years of age, whichever is longer, then destroy	
10.5.0	<b>Disposal</b>	The process of disposing of property no longer required by the organisation by sale, transfer, termination of lease, auction or destruction.		
10.5.1		Records documenting the disposal of specialised equipment used for rehabilitation purposes.	Retain minimum of 7 years after equipment disposed of, then destroy	
10.6.0	<b>Maintenance</b>	The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of premises, equipment, vehicles etc.		
10.6.1		Copies of the manufacturer's specifications for specialised	Retain until	

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No	Function/Activity	Description	Disposal Action	Custody*
		equipment used for rehabilitation purposes.	reference use ceases, then destroy	
10.6.2		Records of tests carried out on specialised equipment used for rehabilitation purposes, such as calibration tests performed at regular intervals in accordance with the manufacturer's specifications. Includes summary records such as annual test schedules.	Retain for life of equipment or vehicle, then destroy	
10.6.3		Records of repairs carried out on specialised equipment used for rehabilitation purposes. Includes maintenance carried out by agency staff or by the manufacturer or authorised repair services. Includes summary records such as maintenance registers.	Retain for life of equipment or vehicle, then destroy	
10.7.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
10.7.1		Final, approved versions of business plans or action plans relating to rehabilitation services.	Retain minimum of 5 years after plan superseded, then destroy	
10.7.2		Records relating to the development and review of business plans or action plans relating to rehabilitation services.	Retain minimum of 3 years after plan superseded, then destroy	
10.8.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a		

\* see *About the functional retention and disposal authority*

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No	Function/Activity	Description	Disposal Action	Custody*
		reference for future decision making.		
10.8.1		Records documenting the development, review and approval of policies on rehabilitation services. Includes background and research material, significant drafts, consultation with stakeholders and the final, approved policy.	Retain minimum of 75 years after superseded, then destroy	
10.9.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
10.9.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to rehabilitation services.	Retain minimum of 75 years after superseded, then destroy	
10.9.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating rehabilitation services.	Retain minimum of 7 years after action completed, then destroy	
10.10.0	<b>Reporting</b>	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.		
10.10.1		Final versions of formal internal reports and reports made to external organisations relating to rehabilitation services.	Required as State archives	Transfer custody to State Records 10 years after last action.

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No	Function/Activity	Description	Disposal Action	Custody*
10.10.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities.	Retain minimum of 7 years after action completed, then destroy	
10.10.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
11.0.0	<b>RESEARCH FUNDING</b>	<p>The function of providing grant funding for research projects and industry initiatives. Includes:</p> <ul style="list-style-type: none"> <li>- management of former &amp; current health and safety trusts</li> <li>- determining research priorities</li> <li>- evaluating applications</li> <li>- project management</li> <li>- delivery of final reports and research outcomes</li> </ul> <p>See <b>INDUSTRY LIAISON</b> for promoting the results of research projects to industry through seminars, conferences and other outreach events</p> <p>See <i>General Retention and Disposal Authority - Administrative Records</i>: <b>COMMITTEES</b> for the management of internal, external or inter-agency committees, task forces, working groups or parties etc</p> <p>See <i>General Retention and Disposal Authority - Administrative Records</i>: <b>GOVERNING BODIES</b> for records relating to the appointment of members to and meetings of</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>the Trust</p> <p><i>See General Retention and Disposal Authority for Administrative Records: <b>STRATEGIC MANAGEMENT - Audit</b> for records of performance audits to assess the efficiency or effectiveness of rehabilitation services provided to clients</i></p> <p><i>See General Retention and Disposal Authority - Administrative Records: <b>STRATEGIC MANAGEMENT - Meetings</b> for routine general and section or unit meetings of employees</i></p>		
11.1.0	<b>Agreements</b>	The processes associated with the establishment, maintenance, review and negotiation of agreements.		
11.1.1		Agreements and contracts with grant funding recipients.	Retain minimum of 7 years after expiry of agreement, then destroy	
11.1.2		Agreements and contracts with service providers regarding the nature and level of service required, fee structures etc. Includes agreements for secretariat, administrative or project management services.	Retain minimum of 7 years after expiry of agreement, then destroy	
11.2.0	<b>Applications</b>	<p>The process of assessing applications submitted by organisations or individuals for grants or funding provided by the agency.</p> <p>See <b>RESEARCH FUNDING - Research Projects</b> for successful applications</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
11.2.1		Unsuccessful or withdrawn applications.	Retain minimum of 2 years after application declined, then destroy	
11.3.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.		
11.3.1		Final approved policies relating to funding research and managing research projects.	Retain minimum of 5 years after superseded, then destroy	
11.3.2		Records relating to the development and review of policies for funding research and managing research projects.	Retain minimum of 3 years after superseded, then destroy	
11.4.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
11.4.1		Final, approved versions of strategic plans for the Health and Safety Trust.	Required as State archives	Transfer custody to State Records 10 years after last action.
11.4.2		Records relating to the development and review of strategic plans for the Health and Safety Trust.	Retain minimum of 7 years after plan superseded, then	

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No	Function/Activity	Description	Disposal Action	Custody*
			destroy	
11.4.3		Final, approved versions of business plans or action plans targeting specific issues relating to funding research and managing research projects.	Retain minimum of 5 years after plan superseded, then destroy	
11.4.4		Records relating to the development and review of business plans or action plans targeting specific issues relating to funding research and managing research projects.	Retain minimum of 3 years after plan superseded, then destroy	
11.4.5		Records documenting the assessment of future research priorities, program objectives and benchmarking exercises relating to the provision of funding.	Retain minimum of 10 years after action completed, then destroy	
11.5.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
11.5.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to the management of research and research funding.	Retain minimum of 5 years after superseded, then destroy	
11.5.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to research and research funding.	Retain minimum of 3 years after superseded, then destroy	
11.6.0	<b>Reporting</b>	The processes associated with initiating or providing a formal response to a situation or request (either internal,		

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No	Function/Activity	Description	Disposal Action	Custody*
		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.		
11.6.1		Final versions of formal internal reports and reports made to external agencies relating to research funding programs and activities.	Required as State archives	Transfer custody to State Records 10 years after last action.
11.6.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities to support management of the Trust.	Retain minimum of 7 years after action completed, then destroy	
11.6.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then destroy	
11.7.0	<b>Research projects</b>	The activities involved in managing research projects funded by the Trust. Includes monitoring progress against agreed milestones and timelines.		
11.7.1		Final research reports, project deliverables and supporting data.	Required as State archives	Transfer custody to State Records 10 years after last action.
11.7.2		Records documenting the management of research funded by the Trust and monitoring progress against an agreed plan	Retain minimum of 7 years after	

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No	Function/Activity	Description	Disposal Action	Custody*
		for delivering research results. Project management records include: - correspondence and meetings with researchers - budgets and timelines - payment summaries - progress reports	project completed, then destroy	
11.8.0	<b>Trust Management</b>	The activities associated with managing the business and operations of the Health and Safety Trust established to fund and promote research into issues impacting on the health and welfare of coal industry workers.  <i>See General Retention and Disposal Authority – Administrative records : <b>GOVERNING BODIES</b> for records relating to the meetings of the Trust, the appointment, resignation, retirement or termination of Trustees and for records relating to arrangements for the payment of remuneration and allowances (including travelling and subsistence allowances) to Trustees</i>		
11.8.1		Records relating to the formulation, amendment and maintenance of the Trust's constitution.	Required as State archives	Transfer custody to State Records 10 years after last action.
12.0.0	<b>TECHNICAL SERVICES</b>	The function of providing expert technical services relating to testing and analysing gas samples as well as supplying, installing and maintaining specialised gas detection equipment. Technical services are provided to mining and non-mining industries in Australia and overseas.		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>See <b>INDUSTRY TRAINING</b> for the delivery of gas detection and gas analysis related training</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: COMMITTEES</i> for the management of internal, external or inter-agency committees, task forces, working groups or parties etc</p> <p>See <i>General Retention and Disposal Authority - Administrative Records: STRATEGIC MANAGEMENT - Meetings</i> for routine general and section or unit meetings of employees</p>		
12.1.0	<b>Accreditation</b>	<p>The activities associated with the agency applying for and maintaining status as an endorsed provider of services, facilities or qualified staff. Includes include accreditation of the agency's laboratory facilities by the National Association for Testing Authorities (NATA), accreditation of electrical engineering services by the Department of Primary Industries and Quality Management Systems (ISO 9000 series) accreditation.</p> <p>See <b>INDUSTRY TRAINING</b> for records relating to the accreditation of staff as trainers</p>		
12.1.1		<p>Certificates of Accreditation issued to the agency or to qualified agency staff by the authorising body. Examples include accreditation of the agency's laboratory facilities by the National Association for Testing Authorities (NATA), accreditation of electrical engineering services by the Department of Primary Industries and Quality Management Systems (ISO 9000 series) accreditation.</p>	<p>Retain minimum of 10 years after accreditation expires or is renewed, then destroy</p>	

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No	Function/Activity	Description	Disposal Action	Custody*
12.1.2		Applications and renewals submitted by the agency to the authorising body. Includes payment of registration fees.	Retain minimum of 10 years after superseded, then destroy	
12.1.3		Records of compliance and performance reviews against the standards required by the authorising body. Reviews may be conducted by internal or external bodies. Includes records relating to action taken to address any shortcomings identified during the assessment.	Retain minimum of 10 years after action completed, then destroy	
12.2.0	<b>Acquisition</b>	The process of gaining ownership or use of property and other items required in the conduct of business through purchase or requisitions.  See <b>TECHNICAL SERVICES - Equipment Supply</b> for purchasing stocks of equipment for sale or hire to commercial customers		
12.2.1		Records documenting the acquisition of specialised equipment for gas analysis, gas detection and related purposes for use by the agency in its workshops or laboratories. Includes the evaluation of equipment against industry standards prior to purchase.	Retain minimum of 7 years after equipment or vehicle disposed of, then destroy	
12.3.0	<b>Agreements</b>	The processes associated with the establishment, maintenance, review and negotiation of agreements.		
12.3.1		Agreements with customers or suppliers regarding the nature and level of service required, fee structures etc. Examples include contracts to provide gas analysis services or maintenance of gas detection equipment on an ongoing	Retain minimum of 7 years after expiry of agreement, then	

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No	Function/Activity	Description	Disposal Action	Custody*
		basis.	destroy	
12.4.0	<b>Consultancy Projects</b>	<p>The activities associated with the agency providing expert advice, specialised gas detection equipment and customised gas analysis services to clients on a project or consultancy basis. This may involve preparing formal tender submissions or less formal proposals or quotations. Projects or consultancies can include:</p> <ul style="list-style-type: none"> <li>- conducting audits and making recommendations</li> <li>- analysing gas samples and interpreting the results</li> <li>- supplying, installing and maintaining gas detection equipment.</li> </ul>		
12.4.1		Records of bids, quotes or proposals for consultancy projects which are unsuccessful or do not proceed.	Retain minimum of 5 years after action completed, then destroy	
12.4.2		<p>Records of successful proposals for consultancy projects such as:</p> <ul style="list-style-type: none"> <li>- correspondence and meetings with clients</li> <li>- budgets and timelines</li> <li>- payment summaries</li> <li>- progress reports</li> <li>- final reports on project outcomes</li> </ul>	Retain minimum of 10 years after action completed, then destroy	
12.5.0	<b>Customer Service</b>	The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency.		
12.5.1		Records documenting the evaluation of existing services and	Retain minimum of	

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No	Function/Activity	Description	Disposal Action	Custody*
		the development of new services.	10 years after action completed, then destroy	
12.5.2		Records documenting the agency's handling and response to complaints.	Retain minimum of 6 years after action completed, then destroy	
12.6.0	<b>Disposal</b>	The process of disposing of property no longer required by the organisation by sale, transfer, termination of lease, auction or destruction.		
12.6.1		Records documenting the disposal of specialised equipment for gas analysis, gas detection and related purposes owned and used by the agency in its workshops and laboratories.	Retain minimum of 7 years after equipment disposed of, then destroy	
12.7.0	<b>Equipment supply</b>	The activities associated with supplying and installing gas detection equipment to commercial customers through sale or hire. Also includes purchasing equipment stock from the manufacturer and monitoring stock levels.  See <b>TECHNICAL SERVICES - Acquisition</b> for purchasing specialised laboratory or workshop equipment for the agency's own use		
12.7.1		Records relating to purchasing stocks of equipment for hire or sale to customers.	Retain minimum of 3 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
12.7.2		Records of stock levels and stocktakes of equipment that is for hire or sale to customers.	Retain minimum of 3 years after action completed, then destroy	
12.7.3		<p>Records relating to the sale, hiring out, installation and commissioning of specialised gas detection and analysis equipment on a commercial basis. Includes:</p> <ul style="list-style-type: none"> <li>- data in 'Point of Sale' systems</li> <li>- purchase orders and invoices</li> <li>- packing slips</li> <li>- hire contracts</li> <li>- records of calibrations</li> <li>- copies of National Association for Testing Authorities (NATA) certificates issued.</li> </ul>	Retain minimum of 7 years after action completed, then destroy	
12.8.0	<b>Gas analysis</b>	The process of providing gas analysis services to mining companies and other industries on a commercial basis. Gas analysis involves taking samples and interpreting the results. Services may be provided as part of routine monitoring activities or targeted testing during an emergency at a client's site.		
12.8.1		<p>Records relating to the analysis of gas samples. Includes:</p> <ul style="list-style-type: none"> <li>- data in job tracking systems</li> <li>- purchase orders and invoices</li> <li>- packing slips</li> <li>- preliminary and final reports</li> <li>- copies of National Association for Testing Authorities</li> </ul>	Retain minimum of 7 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
		(NATA) certificates issued.		
12.9.0	<b>Maintenance</b>	The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of premises, equipment, vehicles etc.		
12.9.1		Records relating to the calibration and repair of specialised gas detection and analysis equipment owned by customers. This is a service provided on a commercial basis. Includes: <ul style="list-style-type: none"> <li>- data in job tracking systems</li> <li>- purchase orders and invoices</li> <li>- packing slips</li> <li>- details of calibrations and repair work</li> <li>- copies of National Association for Testing Authorities (NATA) certificates issued.</li> </ul>	Retain minimum of 7 years after action completed, then destroy	
12.9.2		Records of tests carried out specialised gas detection and analysis equipment owned and used by the agency in its workshops and laboratories. Tests are performed at regular intervals in accordance with the manufacturer's specifications. Includes calibration of equipment and summary records such as annual test schedules.	Retain for life of equipment or vehicle, then destroy	
12.9.3		Records of repairs carried out on specialised gas detection and analysis equipment owned and used by the agency in its workshops and laboratories. Includes summary records such as maintenance registers.	Retain for life of equipment or vehicle, then destroy	
12.9.4		Records relating to the servicing and repair of specialised vehicles used to provide technical services, such as Mobile Laboratories.	Retain until vehicle disposed of, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
12.9.5		Copies of the manufacturer's specifications for specialised gas detection and analysis equipment.	Retain until reference ceases, then destroy	
12.10.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.		
12.10.1		Final, approved versions of business or action plans relating to technical services.	Retain minimum of 5 years after plan superseded, then destroy	
12.10.2		Records relating to the development and review of the agency's technical service plans.	Retain minimum of 3 years after plan superseded, then destroy	
12.11.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.		
12.11.1		Final approved policies relating to technical services.	Retain minimum of 5 years after superseded, then destroy	
12.11.2		Records relating to the development and review of policies for providing technical services.	Retain minimum of 3 years after superseded, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
12.12.0	<b>Procedures</b>	Standard methods of operating laid down by the agency according to formulated policy.		
12.12.1		Final, approved versions of manuals, handbooks and directives etc detailing procedures relating to technical services.	Retain minimum of 5 years after superseded, then destroy	
12.12.2		Records relating to the development and review of manuals, handbooks and directives etc detailing procedures relating to technical services.	Retain minimum of 3 years after superseded, then destroy	
12.13.0	<b>Reporting</b>	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.		
12.13.1		Final versions of formal internal reports and reports made to external organisations relating to technical services operations.	Required as State archives	Transfer custody to State Records 10 years after last action.
12.13.2		Final versions of periodic internal reports on general administrative matters used to monitor and document reoccurring activities.	Retain minimum of 7 years after action completed, then destroy	
12.13.3		Working papers documenting the development of all reports. Includes drafts and comments received.	Retain minimum of 2 years after action completed, then	

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No	Function/Activity	Description	Disposal Action	Custody*
			destroy	
12.14.0	<b>Research projects</b>	Activity of managing research projects funded by the agency. Includes monitoring progress against agreed milestones and timelines.		
12.14.1		Final research reports and supporting data.	Required as State archives	Transfer custody to State Records 10 years after last action.
12.14.2		Records documenting the management of research projects and monitoring progress against an agreed plan for delivering research results. Project management records include:  <ul style="list-style-type: none"> <li>- correspondence and meetings with researchers</li> <li>- budgets and timelines</li> <li>- payment summaries</li> <li>- progress reports</li> </ul>	Retain minimum of 7 years after project completed, then destroy	
12.15.0	<b>Standards</b>	The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.		
12.15.1		Master set of standards developed by the agency.	Required as State archives	Transfer custody to State Records 10 years after last action.
12.15.2		Records documenting the development of agency standards relating to gas detection and gas analysis, including drafts.	Retain minimum of 10 years after	Transfer custody to State Records 10

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No	Function/Activity	Description	Disposal Action	Custody*
			action completed, then destroy	years after last action.
12.15.3		Records of agency input into International, National or industry standards relating to gas detection and gas analysis.	Required as State archives	

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