

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA373**

This authority covers records documenting the delivery of insurance and care services

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** FA373

**SR file no** 16/0257

**Scope** This functional retention and disposal authority covers records documenting the delivery of insurance and care services.

**Public office** Lifetime Care and Support Authority

**Approval date**

Geoff Hinchcliffe  
Director  
State Records Authority of New South Wales

26/04/2016  
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*. It is the duty of a public office, in submitting a draft 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 public offices in discharging their 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. See *Implementing a retention and disposal authority*.

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 – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology 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, formal applications for access) 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. See *Destruction of records: a practical guide*.

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.

### **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 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 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) 9673 1788  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

## Functional Retention and Disposal Authority Insurance and care services

Authority number: FA373

Dates of coverage: Open

<b>List of Functions and Activities covered</b>
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LIFETIME CARE & SUPPORT SCHEME ADMINISTRATION		1.0.0	7
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Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
1.0.0	<b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION</b>	<p>The function of managing lifetime care, treatment, rehabilitation and support schemes for people severely injured in motor vehicle accidents.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records of committees and similar working groups including participant reference groups and advisory groups or bodies.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS</b> for complaints and compliments about the organisation's policies, procedures, guidelines, services, or staff, including associated statistics and reports on complaints and enquiries.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>FINANCIAL MANAGEMENT</b> for invoices, receipts, reconciliations and financial transactions associated with the processing and payment of claims, as well as the establishment and review of financial agreements such as bulk billing agreements.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNING BODIES</b> for records relating to the establishment and management of governing bodies including boards, councils and advisory bodies.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Advice</b> for records relating to the provision of advice to the Minister with regard to the administration, efficiency and effectiveness of schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Agreements</b> for records relating to the establishment, management and review of agreements with states, territories or other federal government agencies in relation to the management and administration of schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INFORMATION MANAGEMENT - Agreements</b> for agreements with other agencies and organisations regarding sharing and access to information.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PROPERTY</b></p>	

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Case Management</i>			
		<b>MANAGEMENT</b> for records relating to the construction, purchase, lease, maintenance and management of housing owned and/or operated by the organisation for the purpose of providing accommodation for scheme participants.	
1.1.0	<b>Case Management</b>	<p>The activity associated with the handling and case management of applications for care and support.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Service Providers</b> for records relating to the appointment of attendant care providers, case managers, dispute assessors, building modifications occupational therapists, project managers or other service providers.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>FINANCIAL MANAGEMENT</b> for records relating to invoices, receipts, reconciliations and financial transactions associated with the processing and payment of claims.</p>	
1.1.1		<p>Records relating to the handling and management of participants accepted into lifetime care and support schemes. Includes:</p> <ul style="list-style-type: none"> <li>• records documenting the processing of applications.</li> <li>• records documenting the ongoing treatment, rehabilitation and care of participants</li> <li>• records documenting the handling of disputes concerning eligibility and/or care</li> <li>• records documenting key liaison and communications with participants, their families, coordinators and/or providers which is considered pertinent to the ongoing management and handling of a participant's case and which provides evidence of case management decisions, actions and outcomes.</li> </ul>	Retain minimum of 20 years after participant exits the scheme, then destroy
1.1.2		<p>Records relating to the handling and management of unsuccessful applications for participation in lifetime care and support schemes. Includes:</p> <ul style="list-style-type: none"> <li>• injury advice forms or notifications</li> </ul>	Retain minimum of 100 years after applicants date of birth or 7 years

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Case Management</i>			
		<ul style="list-style-type: none"> <li>• applications and all supporting documentation</li> <li>• outcome decision letters and certificates</li> <li>• liaison and communications with applicants throughout the process.</li> </ul>	after last action, whichever is longer, then destroy
1.1.3		<p>Records relating to routine liaison and communications with participants, their families, coordinators and/or providers which is not considered pertinent to the ongoing or long term management and handling of a participant's case and which does not provide evidence of key case management decisions, actions and outcomes, such as:</p> <ul style="list-style-type: none"> <li>• handling of routine enquiries</li> <li>• requests for information</li> <li>• receipt acknowledgements</li> <li>• requests/prompts to follow up on matters/issues.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.1.4		<p>Records documenting routine internal arrangements associated with coordinating and management case management activities, such as arrangements for:</p> <ul style="list-style-type: none"> <li>• interpreters</li> <li>• clinical examinations</li> <li>• site visits and travel</li> <li>• room and facility bookings</li> <li>• panel meetings, including determining availability, meeting schedules and lists of dispute assessors from which panels are drawn.</li> </ul>	Retain minimum of 2 years after action completed, then destroy
1.1.5		Routine operational and statistical reports relating to cases, such as status and progress reports, statistics on applications processed, active cases, and similar reports generated for internal information and/or management update.	Retain minimum of 2 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Education &amp; Training</i>			
1.2.0	<b>Education &amp; Training</b>	<p>The activity associated with managing the planning, preparation and delivery of education and training for external stakeholders.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Funding programs, Financial Support &amp; Assistance</b> for records relating to the provision of funding to support the development and implementation of training programs and initiatives by external parties.</p> <p>See General Retention and Disposal Authority <i>Administrative records CONTRACTING-OUT</i> for records relating to the engagement of external providers to provider training on a contractual basis.</p>	
1.2.1		<p>Final versions of materials used to support the development and delivery of training, such as final versions of:</p> <ul style="list-style-type: none"> <li>• training plans and strategies</li> <li>• session outlines/plans</li> <li>• presentations</li> <li>• training and participant workbooks and handouts.</li> </ul> <p><b>Note:</b> For final versions of training materials where updates are only minor in nature (e.g. updated graphics, fonts, references, minor content amendments not reflective of changes in requirements or approaches), see entry 1.2.2.</p>	Retain minimum of 7 years after action completed, then destroy
1.2.2		<p>Records relating to the development of materials used to support the development and delivery of training as well as routine arrangements for training delivering, such as:</p> <ul style="list-style-type: none"> <li>• drafts released for review</li> <li>• results of review comments and feedback</li> <li>• minutes and notes of meetings</li> <li>• registrations, attendance confirmations, lists and cancellation notices</li> </ul>	Retain minimum of 2 years after action completed, then destroy

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<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Education &amp; Training</i>			
		<ul style="list-style-type: none"> <li>• completed evaluation forms.</li> </ul> <p>Also includes final versions of training and support materials where updates are minor in nature (e.g. updated graphics, fonts, references, minor content amendments not reflective of changes in requirements or approaches).</p>	
1.2.3		<p>Routine support records facilitating the delivery of training such as</p> <ul style="list-style-type: none"> <li>• training notices, schedules and calendars</li> <li>• venue, facility and catering arrangements</li> <li>• presenter bookings and arrangements.</li> </ul>	Retain until administrative or reference use ceases, then destroy
1.3.0	<b>Fund Management</b>	<p>The activity associated with managing scheme funds, including determining levy rates, analysing and reporting on financial performance and managing fund investments.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>CONTRACTING-OUT</b> for records relating to the contracting-out of services by external actuaries, fund managers, financial advisers or consultants.</p>	
1.3.1		<p>Reports relating to the performance, viability and sufficiency of scheme funds. Includes reports of actuarial assessments and reviews of funds to calculate costs and identify future financial risks.</p>	Required as State archives
1.3.2		<p>Records relating to the management of scheme funds and investment activities, includes:</p> <ul style="list-style-type: none"> <li>• reports and returns for monies recovered or received into and paid out of the fund</li> <li>• records relating to the investment of funds and associated investment portfolios, including investment strategies, options, reports and statements.</li> <li>• reports and results of fund performance</li> <li>• meetings and liaison with appointed actuaries, fund managers and financial</li> </ul>	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Funding Programs, Financial Support &amp; Assistance</i>			
		<p>advisers</p> <ul style="list-style-type: none"> <li>• calculations, estimates, forecasts, decisions for levy rates</li> <li>• levy returns received from licensed insurers</li> </ul>	
1.4.0	<b>Funding Programs, Financial Support &amp; Assistance</b>	<p>The activity associated with providing financial support and assistance through funding or grants to external bodies and/or individuals for the development and/or implementation of programs, projects, research or other activities which aim to improve service delivery and outcomes for people with severe injuries.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Research</b> for records relating to final reports, studies and findings of research carried out, commissioned or funded by the organisation.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Scheme Strategy, Performance Monitoring &amp; Review</b> for strategies and plans which establish the organisation's funding program agenda, priorities and actions.</p>	
1.4.1		Final reports, papers, briefings or summaries of the outcomes of programs or findings from research funded by the organisation.	Required as State archives
1.4.2		<p>Records relating to successful applications and/or proposals for the provision of grants and funds for programs, projects, research or other activities. Includes:</p> <ul style="list-style-type: none"> <li>• applications and proposals</li> <li>• business cases</li> <li>• major draft and final funding agreements</li> <li>• consultations and liaison with recipients</li> <li>• interim progress reports and financial statements</li> <li>• final project reports including acquittal reports.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.4.3		Records relating to the unsuccessful applications and/or proposals for the provision	Retain minimum of

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No	Function/Activity	Description	Disposal Action
<i>Programs, Financial Support &amp; Assistance</i>			
		of grants and funds for programs, projects, research or other activities. Includes: <ul style="list-style-type: none"> <li>• applications and proposals</li> <li>• business cases</li> <li>• liaison with applicants.</li> </ul>	2 years after action completed, then destroy
1.4.4		Records relating to the development of funding or financial assistance program reports, papers, briefings or summaries.	Retain minimum of 2 years after action completed, then destroy
1.5.0	<b>Information &amp; Communication</b>	<p>The activity associated with managing external broadcast communications for the purposes of keeping stakeholders updated and informed of matters and activities relevant to the scheme.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Case Management</b> for records relating to information and advice provided to individual participants as part of managing their specific case.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Service Providers</b> for records relating to information and advice provided to individual service providers as part of the ongoing management of service provider appointments.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Media relations</b> for records relating to media releases.</p>	
1.5.1		Final versions of reports, advice, newsletters or other updates provided to stakeholders which notify and inform of changes to scheme legislation, regulations or requirements and/or which provide a summary of scheme performance, outcomes, events or other activities. Includes scheme updates on reforms and enhancements and newsletters prepared and disseminated for external stakeholders.	Required as State archives

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<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Information &amp; Communication</i>			
1.5.2		Information, advice and updates provided to stakeholders which do not provide notification of changes to scheme legislation, regulations or requirements and/or which do not provide a summary of scheme performance, outcomes, events of other activities. Includes scheme information sheets, brochures, flyers, frequently asked questions and routine explanatory information, advice and updates posted to websites etc.	Retain minimum of 7 years after action completed, then destroy
1.5.3		Records relating to the development of reports, advice, newsletters or updates provided to stakeholders, including drafts distributed for internal review and approval.	Retain minimum of 2 years after action completed, then destroy
1.6.0	<b>Policies, Procedures &amp; Guidelines</b>	<p>The activity associated with the development and review of policies, procedures and guidelines.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records relating to the review and development of legislation administered by the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PUBLICATION - Production</b> for records relating to the development of forms.</p>	
1.6.1		<p>Records documenting the development and review of statutory policies, procedures and guidelines issued in accordance with legislative requirements. Includes:</p> <ul style="list-style-type: none"> <li>• major drafts released for stakeholder consultation</li> <li>• summaries of consultation and feedback</li> <li>• minutes, agenda and reports from meetings and working groups</li> <li>• supporting research findings and technical reports</li> <li>• final versions.</li> </ul>	Required as State archives
1.6.2		Final versions of all other policies, procedures and guidelines which are not issued	Retain minimum of

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<i>Procedures &amp; Guidelines</i>			
		as statutory documents in accordance with legislative requirements. Includes associated checklists for procedures and guidelines, and final versions of forms developed for use by insurers, health or legal professionals, or injured persons.	7 years after superseded, then destroy
1.6.3		<p>Records documenting the development of policies, procedures and guidelines which are not issued as statutory documents in accordance with legislative requirements. Includes:</p> <ul style="list-style-type: none"> <li>• drafts released for stakeholder consultation</li> <li>• summaries of consultation feedback</li> <li>• minutes and agenda of meetings</li> <li>• supporting research findings.</li> </ul>	Retain minimum of 2 years after action completed, then destroy
1.7.0	<b>Programs &amp; Initiatives</b>	<p>The activity associated with establishing and implementing programs and initiatives to improve or advance the delivery of care and treatment services to people affected by injury or illness or to minimise or better prevent the occurrence of injury or harm.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Education &amp; Training</b> for records relating to the development and delivery of training programs relating to injury prevention and management.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Funding Programs, Financial Support &amp; Assistance</b> for records relating to the provision of grants or funds for the ongoing implementation and administration of programs and initiatives by external parties once in place, including business cases to extend funding.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Funding Programs, Financial Support &amp; Assistance</b> for records relating to the awarding of grants or provision of funding for the development and implementation of programs and initiatives by external organisations and individuals.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Strategy,</b></p>	

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Programs &amp; Initiatives</i>			
		<p><b>Performance Monitoring &amp; Review</b> for records relating to the high-level management and monitoring of programs and projects across the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PROPERTY MANAGEMENT</b> for records relating to the purchase or lease of land or buildings, the construction of housing, centres or other accommodation for scheme participants, and the leasing-out of land or buildings to support specific programs and initiatives.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>TENDERING</b> for records relating to formal tendering processes associated with the development and implementation of programs and initiatives.</p>	
1.7.1		<p>Records relating to the establishment, development and/or management of programs, projects, initiatives to meet or better the care and support needs of people affected by injury or illness or to minimise or prevent the occurrence/incidence of injury or harm. Includes:</p> <ul style="list-style-type: none"> <li>• major draft and final versions of proposals, business cases, plans, models, etc.</li> <li>• results and summaries of consultations and meetings with stakeholders</li> <li>• progress, program and post implementation review and/or evaluation reports.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.7.2		Routine administrative and operational records supporting the establishment, development and implementation of programs and initiatives, including arrangements for meetings and consultations, routine reports and updates.	Retain minimum of 2 years after action completed, then destroy
1.8.0	<b>Research</b>	<p>The activity associated with carrying out, commissioning or funding research into a specific subject area of interest.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Funding programs, Financial Support &amp; Assistance</b> for records relating to research</p>	

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Research</i>			
		reports funded by the organisation, research grant and/or funding applications and proposals, liaison with funding recipients, progress and acquittal reports etc.  See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Scheme Strategy, Performance Monitoring &amp; Review</b> for strategies and plans which establish the organisation's research agenda, priorities and actions.	
1.8.1		Final reports, papers, etc., documenting the findings of research projects or studies carried out, commissioned or funded by the organisation.	Required as State archives
1.8.2		Records relating to the conduct of research projects or studies carried out or commissioned by the organisation. Includes: <ul style="list-style-type: none"> <li>• survey templates and completed surveys</li> <li>• statistical models</li> <li>• data sets used to support research</li> <li>• drafts reports distributed for review</li> <li>• results and summaries of stakeholder comments and feedback.</li> </ul> Also includes discontinued research.	Retain minimum of 7 years after action completed, then destroy
1.9.0	<b>Service Providers</b>	The activity associated with appointment and ongoing management of approved or registered service providers in the scheme.  See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Case Management</b> for advice, meetings and liaison with service providers in relation to the management of an individual participant's treatment, rehabilitation and care.  See General Retention and Disposal Authority <i>Administrative records</i> <b>CONTRACTING-OUT</b> for records relating to the ongoing management of contractors and consultants or other service providers not appointed as approved or registered providers in the scheme.  See General Retention and Disposal Authority <i>Administrative records</i> <b>TENDERING</b>	

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Service Providers</i>			
		for records relating to tendering processes for all other service providers not appointed as approved or registered providers in the scheme.	
1.9.1		<p>Records relating to the issue and evaluation of requests or tenders for the appointment of approved or registered providers in the scheme. Includes:</p> <ul style="list-style-type: none"> <li>• advertisements and public notices</li> <li>• requests for applications or tenders</li> <li>• minutes and notes of meetings</li> <li>• evaluation reports and recommendations.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.9.2		<p>Records relating to the successful appointment and ongoing management of service providers as approved or registered providers in the scheme. Includes:</p> <ul style="list-style-type: none"> <li>• successful applications and tenders submitted</li> <li>• provider profiles and insurance details</li> <li>• signed terms of approval or formal contracts and agreements</li> <li>• notifications and advice given or received, including requests to update provider profiles</li> <li>• records of mentorships, including results of file audits and competency assessments</li> <li>• records of ongoing compliance and performance monitoring</li> <li>• minutes and notes of meetings and ongoing liaison with providers.</li> </ul> <p>Includes entries for service providers maintained in public registers.</p>	Retain minimum of 7 years after approval or registration expires or ceases, then destroy
1.9.3		Records documenting unsuccessful applications or tenders from service providers seeking appointment as an approved or registered provider in the scheme.	Retain minimum of 2 years after action completed, then destroy

## Insurance and care services

Authority number: FA373

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Scheme Establishment</i>			
1.10.0	<b>Scheme Establishment</b>	<p>The activity associated with establishing and implementing schemes</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Policies, Procedures &amp; Guidelines</b> for records relating to the development and review of policies, procedures and guidelines which provide the framework for scheme operations and activities.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Strategy, Performance Monitoring &amp; Review</b> for records associated with ongoing planning, monitoring and reviewing of the performance and operations of schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to formal committees and working parties set up to establish, implement and review schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS</b> for records relating to the provision of advice and reports to the Minister as to the administration, efficiency and effectiveness of schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Submissions</b> for records relating to submissions to Cabinet or other government agencies regarding proposals to establish, implement and review schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Advice</b> for records relating to the provision of legal advice regarding the interpretation of legislation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records relating to the development, implementation and review of legislation and regulations.</p>	
1.10.1		<p>Records documenting the operational establishment and implementation of schemes, including:</p> <ul style="list-style-type: none"> <li>• background research and reviews carried out to determine and establish</li> </ul>	Retain minimum of 15 years after action completed,

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Scheme Strategy, Performance Monitoring &amp; Review</i>			
		<p>operational approaches, practices and systems required to implement and administer schemes</p> <ul style="list-style-type: none"> <li>• service delivery models and injury costings</li> <li>• liaison and minutes of meetings and consultations with professionals and industry stakeholders</li> <li>• implementation progress reports.</li> </ul>	then destroy
1.11.0	<b>Scheme Strategy, Performance Monitoring &amp; Review</b>	<p>The activity associated with planning, monitoring and reviewing the performance and operations of schemes.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Policies, Procedures &amp; Guidelines</b> for records relating to the development and review of scheme policies, procedures and guidelines for the purposes of improving and enhancing scheme performance.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to formal committees and working parties set up to monitor and review the scheme.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Advice</b> for records relating to the provision of advice and reports to the Minister as to the administration, efficiency and effectiveness of the scheme.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Submissions</b> for records relating to proposals for projects or programs to reform a scheme.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records relating to the review and development of legislation and regulations, including proposed reforms to improve and enhance the scheme and associated consultation with stakeholders.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Planning</b> for records relating to the development of business</p>	

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Scheme Strategy, Performance Monitoring &amp; Review</i>			
		plans applying to the organisation as a whole as well as business plans for individual business units/sections of the organisation.	
1.11.1		<p>Records documenting the development of strategies, plans and reports which determine the future direction of a scheme, provide a high-level summary of the health, viability, efficiency, effectiveness or performance of a scheme, or which address or respond to specific issues which result in (or have the potential to result in) significant changes to scheme policies, procedures, guidelines or programs. Includes:</p> <ul style="list-style-type: none"> <li>• terms of reference</li> <li>• issues papers</li> <li>• major drafts distributed for review</li> <li>• summaries of stakeholder consultations</li> <li>• reports and findings from supporting research</li> <li>• final versions.</li> </ul>	Required as State archives
1.11.2		Plans, reports and commentary relating to general performance or operations of schemes.	Retain minimum of 7 years after action completed, then destroy
1.11.3		<p>Records relating to the administration, tracking, monitoring and management of programs and projects to ensure they are on time, on budget and in accordance with business requirements and processes. Includes program and project:</p> <ul style="list-style-type: none"> <li>• scoping documents</li> <li>• approvals</li> <li>• plans or charters</li> <li>• schedules</li> </ul>	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Scheme Strategy, Performance Monitoring &amp; Review</i>			
		<ul style="list-style-type: none"> <li>• budget monitoring and management records</li> <li>• progress reports and status updates</li> <li>• minutes and notes of operational meetings</li> <li>• change requests</li> <li>• close out and evaluation reports.</li> </ul> <p>Includes proposals and concepts for programs and projects which are not proceeded with.</p>	
1.11.4		Routine statistics and reports generated for internal information and update only, such as weekly, monthly or quarterly statistical updates.	Retain minimum of 2 years after action completed, then destroy
1.12.0	<b>Stakeholder Liaison</b>	<p>The activity associated with liaising with associations, industry bodies, community and representative groups, service providers and professionals in related fields. Includes sharing informal advice and discussions, including in the form of forums and meetings with stakeholder groups.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Case Management</b> for liaison and communications with participants, their families, coordinators and/or providers in relation to the management and handling of a participant's case.</p> <p>See <b>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Information &amp; Communication</b> for records relating to broadcast information and communications with all stakeholders.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to committees and similar advisory groups established to facilitate or for the purposes of stakeholder consultation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records documenting the outcomes of</p>	

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No	Function/Activity	Description	Disposal Action
<i>LIFETIME CARE &amp; SUPPORT SCHEME ADMINISTRATION - Stakeholder Liaison</i>			
		<p>consultation on development, implementation or review of legislation and regulations impacting on schemes.</p> <p>See <b>relevant activity</b> for consultation with industry on specific issues. For example, see Policies, Procedures &amp; Guidelines for consultation with industry bodies and associations as part of reviewing and developing policies, procedures and guidelines; Programs &amp; Initiatives for records relating to liaison with stakeholders in relation to the establishment of specific programs and initiatives; and Funding Programs, Financial Assistance &amp; Support for liaison with funding applicants and recipients in relation to a proposed or funded program.</p>	
1.12.1		Records relating to liaison with stakeholder groups and individuals for the purposes of routine information sharing concerning scheme initiatives, projects or programs and/or the operation and performance of schemes. Includes regular forums and meetings with stakeholder groups.	Retain minimum of 5 years after action completed, then destroy