

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA307**

This authority covers records documenting the function of administration of work health and safety, injury management, return to work and workers compensation laws, management of the workers compensation system, sports injury insurance and promotion of safe sport practices

Issued to WorkCover Authority of NSW and Sporting Injuries Committee

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** FA307

**SR file no** 06/0526

**Scope**

This functional retention and disposal authority covers records documenting the function of administration of work health and safety, injury management, return to work and workers compensation laws, management of the workers compensation system, sports injury insurance and promotion of safe sport practices from c.1901 onwards.

**Public office**

WorkCover Authority of NSW and Sporting Injuries Committee

**Approval date**

Alan Ventress  
Director  
State Records Authority of New South Wales

1/8/2011  
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.

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 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 – Imaged records*). 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.

### **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 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) 8247 8627  
Facsimile: (02) 8247 8626  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

**Functional Retention and Disposal Authority**  
**Administration of work health and safety, injury management, return to work and workers compensation laws, management of the workers compensation system, sports injury insurance and promotion of safe sport practices (WorkCover Authority of NSW and Sporting Injuries Committee)**

Authority number: FA307

Dates of coverage: c.1901+

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**Administration of work health and safety, injury management, return to work and workers compensation laws, management of the workers compensation system, sports injury insurance and promotion of safe sport practices**

Authority number: FA307

Dates of coverage: c.1901+

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**Functional Retention and Disposal Authority**  
**Administration of work health and safety, injury management, return to work and workers compensation laws, management of the workers compensation system, sports injury insurance and promotion of safe sport practices (WorkCover Authority of NSW and Sporting Injuries Committee)**

Authority number: FA307

Dates of coverage: c.1901+

No	Function/Activity	Description	Disposal Action	Custody*
1.0.0	<b>COMMUNITY RELATIONS</b>	<p>The function of establishing rapport with the community and raising and maintaining WorkCover's broad public profile. Includes marketing, advertising, media liaison, exhibitions, celebrations, ceremonies, speeches, official representation at functions and participation in community activities. Also includes relationships with professional organisations and industry, the management of customer services, handling reactions to those services, customer consultation and feedback.</p> <p>See [the relevant function] - <b>Advice</b> for workplace advisory visits to provide advice on health and safety, injury management or workers compensation.</p> <p>See [the relevant function] - <b>Training</b> for visits to deliver health and safety, injury management or compensation training to employers / employees.</p>		
1.1.0	<b>Awards, competitions, promotions</b>	<p>The activities associated with the arrangement and management of awards, competitions and promotions organised by WorkCover across the general community to promote illness and injury prevention (work health and safety), safe sport practices and workers compensation in the industry and the public.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS</b> for advertising and administration of functions.</p>		

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

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No	Function/Activity	Description	Disposal Action	Custody*
<i>COMMUNITY RELATIONS - Awards, competitions, promotions</i>				
		See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Media relations</b> for media releases relating to the awards etc. which include announcements of the winners.		
1.1.1		Records relating to administration of competitions, lotteries and prizes being presented to the public by WorkCover. For example, Safe Work Awards, NSW Sports Safety Awards, Premium Discount Awards. Records can include planning, terms and conditions of entry, entries, programs, site visit reports, probity and prosecution checks, reports etc.  <b>Note:</b> Awards in the form of an object are not State records and are not subject to the requirements of this authority.	Retain minimum of 5 years after action completed, then destroy	
1.1.2		Records relating to administrative arrangements for all awards, promotions and competitions. Records can include meeting organisation, venue bookings, catering, accommodation and transport arrangements, contact lists and related correspondence.	Retain until administrative or reference use ceases, then destroy	
1.1.3		Master set of records relating to the judging of entries for awards programs organised by WorkCover. Records can include criteria for judging, organisation of the judging panel, lists of winners and finalists.	Retain minimum of 10 years after action completed, then destroy	
1.1.4		Judges original copies and other copies of records not forming part of the master set relating to the judging of entries for awards programs organised by WorkCover.	Retain until awards have been finalised, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>COMMUNITY RELATIONS - Counselling</i>				
1.2.0	<b>Counselling</b>	<p>Activities associated with the provision of liaison and counselling services by WorkCover to the public by giving advice or guidance for families where there has been a fatality or serious injury.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Acquisition</b> for records relating to acquisition of counselling services.</p> <p>See General Retention and Disposal Authority <i>Personnel records</i> <b>PERSONNEL - Counselling</b> for records relating to counselling of WorkCover employees or their families.</p>		
1.2.1		Records relating to liaison with, and the provision of counselling services for, families where there has been a fatality or serious injury. Records include file notes of phone conversations with family members and correspondence to family members offering counselling visits, submissions regarding coverage or jurisdiction of counselling services.	Retain minimum of 7 years after action completed, then destroy	
1.3.0	<b>Grant funding</b>	<p>The administration of grants schemes to promote improved practice and performance in work health and safety, injury management, sports injury prevention and workers compensation through the funding of prevention, education and research initiatives. For example, Injury Prevention, Education and Research Grants (IPE&amp;R) Scheme.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> 1.0.5 for records of the Grant</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>COMMUNITY RELATIONS - Grant funding</i>				
		Funding Committee.  See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Agreements</b> for contracts relating to grants.		
1.3.1		Final reports and summary of findings of grant funded research/projects initiated through the grants scheme.	Required as State archives	Retain minimum of 5 years after action completed, then transfer  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
1.3.2		Records relating to the case management of a specific grant funded under WorkCover's grants scheme. Records include application, assessors' report, copy of contract, literature review, financial reports, general correspondence, progress report, etc.	Retain minimum of 7 years after action completed, then destroy	
1.3.3		Records relating to the administration of the grants scheme. Records include initial arrangements for notifying the grants scheme, organisation of meetings, arrangements affecting multiple grants.	Retain minimum of 5 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>COMMUNITY RELATIONS - Grant funding</i>				
1.3.4		Unsuccessful grant applications and supporting documentation.	Retain minimum of 3 years after action completed, then destroy	
1.4.0	<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 providing formal statements or findings of the results of the examination or investigation.  See <b>PUBLICATION - Drafting</b> for records relating to drafting of newsletters or journal articles.		
1.4.1		Final versions of WorkCover's newsletters reporting WorkCover's major activities, e.g. WorkCover News. Includes newsletters of the Sporting Injuries Committee and other WorkCover Committees.	Required as State archives	Retain minimum of 5 years after action completed, then transfer  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
1.4.2		Records relating to articles prepared by WorkCover personnel for publication in professional journals etc where the article is supported by WorkCover (i.e. not personal	Required as State archives	Retain minimum of 5 years after reference use

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No	Function/Activity	Description	Disposal Action	Custody*
<i>EQUIPMENT &amp; STORES</i>				
		<p>submissions) and relates to activities or initiatives of WorkCover e.g. report on long term health promotion or intervention projects. Includes approvals, submissions to publish.</p> <p><b>Note:</b> personal submissions are not State records.</p>		ceases, then transfer
3.0.0	<b>EQUIPMENT &amp; STORES</b>	<p>The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by WorkCover. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, home ware items, kitchen/cleaning items, medical supplies and stationery.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Compliance</b> for records relating to WorkCover's compliance with mandatory or optional standards or with statutory requirements in order to gain accreditation. For example, compliance with National Association of Testing Authorities standards.</p>		
3.1.0	<b>Equipment</b>	<p>Processes associated with the acquisition, evaluation, installation, maintenance, disposal, etc., of items of equipment.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>EQUIPMENT &amp; STORES</b> for records relating to the acquisition, disposal, evaluation, installation, insurance,</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>EQUIPMENT &amp; STORES - Equipment</i>				
		maintenance, etc of non unique items of equipment.		
3.1.1		Records relating to patented or innovative unique items of equipment or plant designed/commissioned or developed by WorkCover. This includes records relating to the acquisition, construction, disposal, evaluation, installation, maintenance or procedures for use of the equipment or plant.	Required as State archives	
3.1.2		Records relating to unique items of equipment or plant or items of equipment or plant used for unique purposes designed/commissioned or developed by WorkCover that are not patented or innovative. This includes records relating to the acquisition, construction, disposal, evaluation, installation, maintenance or procedures for use of the equipment or plant.	Retain minimum of 7 years after disposal of equipment, then destroy or transfer to new owner as required.	
4.0.0	<b>FINANCIAL MANAGEMENT</b>	The function of managing WorkCover's financial resources. Includes establishing, operating and maintaining accounting system controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants and managing funds in the form of allocations from the Consolidated Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.		
4.1.0	<b>Debt recovery</b>	The activities associated with the recovery or waiver of debts.  See <b>LEGAL SERVICES - Prosecutions</b> for records		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>FINANCIAL MANAGEMENT - Debt recovery</i>				
		concerned with litigation to recover debts from an insurer that has failed.		
4.1.1		Records relating to the overdue interest on premiums. Records include authorisations to waive overdue interest.	Retain minimum of 7 years after action completed, then destroy	
4.1.2		Records relating to the collection of fines or outstanding money (debts) from uninsured, under-insured employers and prosecutions. Records could include company search, letter of demand, payment arrangements, correspondence with debt recovery agency, bankruptcy documentation, waiver application, court outcome report, summons, judgements, court transcripts, memo of recommendation to write off debt, etc.	Retain minimum of 7 years after action completed, then destroy	
4.1.3		Data relating to outstanding money owed by an uninsured or under-insured employer, outstanding fines following prosecution, etc. maintained on accounting system such as AIMS (Accounting Information Management System).	Retain minimum of 20 years after action completed, then destroy	
4.2.0	<b>Fund management</b>	<p>The function of monitoring and reporting of the financial performance of the NSW Workers Compensation and Sporting Injuries Schemes and delivering regulatory and financial services to ensure compliance with relevant legislation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>FINANCIAL MANAGEMENT - Allocation</b> for</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>FINANCIAL MANAGEMENT - Fund management</i>				
		<p>records relating to the allocation of funds from Treasury for compensation schemes e.g. Sporting Injuries Schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNING BODIES - Meetings</b> for records relating to the Workers Compensation Insurance Fund (WCIF) Investment Board.</p>		
4.2.1		<p>Records relating to the establishment or closure of a fund to manage a specific insurance issue that cannot be expected to be covered by normal workers compensation premium funds, e.g. Brucellosis Fund, Broken Hill Compensation Fund, Insurer Guarantee Fund, Bush Fire Fighters Fund, Emergency Rescue Services Fund or Sporting Injuries. Records include documents or research establishing the need for the fund or closure of fund, submissions to Minister advising need for fund or closure of fund, notices advising of the fund establishment/closure, reports detailing future arrangements.</p>	Required as State archives	Retain minimum of 10 years after action completed, then transfer
4.2.2		<p>Records relating to the management of Affiliated Funds or Sporting Injuries funds, e.g. Brucellosis Fund, Broken Hill Compensation Fund, Insurer Guarantee Fund, Bush Fire Fighters Fund, Emergency Rescue Services Fund or Sporting Injuries. Records can include procedures, reports, financial statements, taxation records, ledgers, cash books, remittances, correspondence etc</p>	Retain minimum of 7 years after end of financial year in which record was created, then destroy	
4.2.3		<p>Records relating to the estimation and monitoring of fund liabilities for insurers who are no longer licensed. Records</p>	Retain minimum of 10 years after	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>FINANCIAL MANAGEMENT - Investment funds</i>				
		include forms to estimate claims for compensation from insurers who are no longer licensed, also known as Forms B.	action completed, then destroy	
4.3.0	<b>Investment funds</b>	The function of coordinating and managing the investment activities of workers compensation insurance funds. For example Workers Compensation Insurance Fund and Sporting Injuries Funds, funds of licensed insurers.		
4.3.1		Quarterly funds performance reports which measure total return of investment on each individual insurer against bench mark criteria.	Retain minimum of 7 years after date of report, then destroy	
4.3.2		Daily reports from administration service provider.	Retain until administrative or reference use ceases, then destroy	
4.3.3		Monthly performance, asset allocation and attribution reports from administration service provider.	Retain minimum of 3 years after action completed, then destroy	
4.3.4		Monthly reports on changes in net assets.	Retain minimum of 7 years after date of report, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>FINANCIAL MANAGEMENT - Investment funds</i>				
4.3.5		Correspondence from insurers, agents, service providers regarding investment funds.	Retain minimum of 7 years after action completed, then destroy	
4.3.6		Investment strategy plans documenting how funds will be invested.	Retain minimum of 7 years after action completed, then destroy	
4.4.0	<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 providing formal statements or findings of the results of the examination or investigation.		
4.4.1		Audit reports by consulting actuaries relating to financial aspects of the Workers Compensation Scheme and Sporting Injuries Schemes. Details include recommendations on premiums and benefit changes.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
5.0.0	<b>GOVERNMENT RELATIONS</b>	The function of administering the formal relationship between WorkCover and other government agencies. Includes WorkCover's relationship with Ministers and Members of Parliament and the political processes of Government; liaison with bodies carrying out investigations and participation in formal inquiries and investigations such as Royal Commissions, inquiries by Parliamentary Committees and the Ombudsman; and relationships with		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>GOVERNMENT RELATIONS - Liaison</i>				
		other Local, State, Commonwealth or overseas governments.		
5.1.0	<b>Liaison</b>	<p>The activities associated with discussions, collaboration, information sharing and general regular contact with other government agencies, bodies or representatives.</p> <p>See [the relevant function] - <b>Agreements</b> for specific agreements with related agencies including harmonisation or jurisdiction for cross border issues.</p> <p>See [the relevant function] - <b>Policy</b> for specific policy decisions regarding harmonisation or jurisdiction for cross border issues.</p> <p>See [the relevant function] - <b>Procedures</b> for any changes to administrative procedures as a result of harmonisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for meetings regarding harmonisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS</b> for records relating to joint ventures with other investigative agencies for the purposes of raising or maintaining the profile of WorkCover or a particular service or program.</p>		
5.1.1		Records relating to harmonisation projects on work health and safety and workers compensation schemes across	Required as State	Retain minimum of 10 years after

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No	Function/Activity	Description	Disposal Action	Custody*
<i>GOVERNMENT RELATIONS - Liaison</i>				
		States (harmonisation). Records include consultation and negotiation with relevant agencies and stakeholders, recommendations of changes to WorkCover policies, standards and legislation.	archives	action completed, then transfer
5.1.2		Working papers and administrative records of harmonisation projects. Records include meetings relating to administrative matters, meeting notifications, catering arrangements, accommodation and transport arrangements.	Retain minimum of 5 years after action completed, then destroy	
6.0.0	<b>HEALTH &amp; SAFETY MANAGEMENT</b>	<p>The function of monitoring and regulating activities and premises in NSW to promote the prevention of injuries and diseases and the development of healthy and safe workplaces and safe sports practices.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to committees that deal with health and safety management for NSW. NB this does not relate to internal health and safety committees for WorkCover staff.</p>		
6.1.0	<b>Advice</b>	<p>The activities associated with offering opinions by or to WorkCover as to an action or judgement. Also includes the process of advising.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Enquiries</b> for requests for information about services provided by WorkCover on health and safety issues for example, request for application forms.</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Advice</i>				
		<p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Advice</b> for records relating to legal advice from qualified legal advisors. For example, Crown Solicitor's Office.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Litigation</b> for professional witness statements provided by WorkCover as part of a non WorkCover case.</p>		
6.1.1		Records of precedent cases dealing with technical advice to clients on interpretation of the Acts or Regulations. Records include background research, liaison with other industry experts, recommendations, correspondence issued to an industry, safety alerts etc.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
6.1.2		Records dealing with technical advice or assistance to clients on interpretation of the Acts or Regulations which is not precedent setting or other technical expertise provided to clients. Records include request from client, background research, liaison with other industry experts, response to client. For example, methods of compliance with a specific item of legislation. Includes advice provided on a consultancy basis.	Retain minimum of 15 years after action completed, then destroy	
6.1.3		Records dealing with routine work health and safety advice or assistance to clients where the advice or information already exists in published reports or guides, e.g. a safety alert or publication. Includes advisory visits to employers or	Retain minimum of 7 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Advice</i>				
		industry groups and advice provided on a consultancy basis.		
6.1.4		Routine responses to requests for comment on Environmental Impact Statements (EIS), standards, etc.	Retain minimum of 3 years after action completed, then destroy	
6.2.0	<b>Agreements</b>	The processes associated with the establishment, negotiation, maintenance and review of agreements.		
6.2.1		Memoranda of Understanding and other agreements with external organisations. For example, emergency services to access dangerous goods storage database in case of fire or agreement with Corrective Services specifying activities to be undertaken to issue certificates to inmates.	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy	
6.2.2		Agreements with NSW Police Service on a case-by-case basis for private information regarding the issue of a licence or authorisation. For example issue of Powderman Certificate, authorising assessors, etc.	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Appeals</i>				
6.3.0	<b>Appeals</b>	Activities involved in handling appeals against decisions of the organisation.  See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Litigation</b> for records relating to appeals of decisions by WorkCover made to a court or tribunal.		
6.3.1		Records relating to appeals made to WorkCover for a decision, or appeals to WorkCover against its actions or decisions. For example, appeals against prohibition or improvement notices.	Retain minimum of 5 years after action completed, then destroy	
6.4.0	<b>Audit</b>	Official checks of the activities of other organisations to ensure compliance with statutory or other requirements.  See <b>HEALTH &amp; SAFETY MANAGEMENT - Compliance</b> for records relating to breaches, intervention projects and other compliance activities.		
6.4.1		Final audit reports or findings on audits of specific health and safety issues (e.g. violence management), conducted across one or more of industry sectors and resulting in substantial changes to policy and procedures.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
6.4.2		Records relating to work health and safety operational or compliance audits of other organisations' processes that are legislated by WorkCover including Self Insurers; or audits of individuals including Accredited Assessors where serious	Required as State archives	Retain minimum of 15 years after action completed, then transfer

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Audit</i>				
		failures to meet compliance requirements were identified. For example, James Hardie.		
6.4.3		<p>Records relating to work health and safety operational or compliance audits of other organisations including Self Insurers; or audits of individuals including Accredited Assessors where there were no serious deficiencies identified: Records include:</p> <ul style="list-style-type: none"> <li>- records of audit planning or liaison with organisation/ individual</li> <li>- minutes or notes of meetings</li> <li>- notes taken at interviews</li> <li>- correspondence</li> <li>- draft versions of reports containing significant changes/alterations or formally circulated for comment</li> <li>- final, approved versions of reports</li> <li>- records of remedial action. Includes audits of organisations conducted on a consultancy basis.</li> </ul> <p>Final reports of audits on specific health and safety issues should be sentenced separately.</p>	Retain minimum of 7 years after action completed, then destroy	
6.5.0	<b>Authorisation</b>	The process of seeking and granting permission to		

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<i>HEALTH &amp; SAFETY MANAGEMENT - Authorisation</i>				
		<p>undertake a requested action. Includes approval of standard equipment designs or manufacturing specifications and accrediting, approving, licensing or authorising individuals or companies to undertake activities on behalf of WorkCover/under auspices of WorkCover.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Advice</b> Technical Information for records relating to specific approval to demolish a certain building e.g. demolition of a large building using explosives.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Agreements</b> for memoranda of understanding relating to criminal records checks.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Licensing</b> for records relating to issue of a licence to perform demolition work, licences to transport explosives, to issue certificate, licence or registration to an individual item, premises, organisation or person.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Training</b> for records relating to approval of external training courses.</p>		
6.5.1		Records relating to the accreditation, approval, licensing or authorisation of individuals or companies to undertake activities on behalf of WorkCover/under auspices of WorkCover. Includes application, payment, supporting documentation, notice of approval, copy of certificate, correspondence, conditions, interstate transfer details. For	Retain minimum of 7 years after accreditation, approval, licence or authorisation expires or is	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Authorisation</i>				
		example but not restricted to: - Accredited Assessors - Authorised Boiler Inspectors - Accredited Dangerous Goods Consultants - Accredited OHS Trainers.	withdrawn, or after action completed, then destroy	
6.5.2		Registers, including electronic databases, maintaining details of accredited persons. For example, Accredited Assessors, Accredited Dangerous Goods Consultants, Accredited Trainers etc.	Retain minimum of 15 years after action completed, then destroy	
6.5.3		Records relating to the cancellation of accreditation, approval, licence or authorisation as a result of the holder breaching the regulations or conditions of the authorisation. Does not apply to normal cancellation or withdrawal of authorisation nor to cancellation of licences or registrations issued by the authorised person.	Retain minimum of 15 years after action completed, then destroy	
6.5.4		Records relating to criminal records checks of accredited persons, for example accredited assessors and OHS Trainers as part of the accreditation process. Includes encrypted electronic records, further investigation and determination of criminal records.	Retain in accordance with memorandum of understanding (MOU) under which information is provided, then	

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*HEALTH & SAFETY MANAGEMENT - Authorisation*

			destroy	
6.5.5		Records relating to authorisations to recondition drums or containers used to store hazardous substances/dangerous goods. Records could include application, plans, diagrams, approval, renewals, correspondence, etc.	Retain minimum of 30 years after action completed, then destroy	
6.5.6		Records relating to the declaration of an explosive as an authorised explosive. Records could include application, evidence of explosive's classification, test results, report, etc.	Retain minimum of 30 years after action completed, then destroy	
6.5.7		Notifications and approvals of importation of explosives or adhoc transportation of explosives.	Retain minimum of 1 year after action completed, then destroy	
6.5.8		Registers for notification of import of explosives.	Retain until administrative or reference use ceases, then destroy	
6.5.9		Records relating to the design approval of dangerous goods packaging, containers, etc.	Retain minimum of 30 years after action completed, then destroy	
6.5.10		Records relating to the approval or authorisation of construction or use of a pipeline for the transportation of	Retain minimum of 30 years after	

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<i>HEALTH &amp; SAFETY MANAGEMENT - Authorisation</i>				
		dangerous goods.	action completed, then destroy	
6.5.11		Registers or database of dangerous goods packaging, containers, etc. approvals, includes registers of authorised explosives.	Required as State archives	Retain minimum of 5 years after action completed, then transfer
6.5.12		Approval of permanent transport routes for dangerous goods including explosives and use of tunnels.	Retain minimum of 7 years after authorisation expires, is withdrawn or refused, then destroy	
6.5.13		Records relating to approved applications for registration of design, where item is identified as heritage listed, historic or significant. For example, 3801 steam train, round glass lift at Sydney Casino, passenger lift on Sydney Harbour Bridge etc.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
6.5.14		Records relating to approved applications for registration of design, including supporting documentation such as compliance statement, verification statement and representational drawing of design. File could also include detailed drawing of design, design calculations, fatigue analysis, operating instructions, diagrams of control systems, details of maintenance requirements, statement of limitations of use. For example designs for plant, pressure	Retain minimum of 30 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Authorisation</i>				
		vessels, lifts, window cleaning devices etc.		
6.5.15		Records relating to the approval of the installation of spray-painting booths. Records could include design specifications, plan of proposed booth, installation conditions, inspector's report, correspondence, etc.	Retain minimum of 3 years after action completed, then destroy	
6.5.16		Records relating to applications or requests for authorisation for where the application or request is refused or discontinued.	Retain minimum of 7 years after action completed, then destroy	
6.6.0	<b>Compliance</b>	The activities associated with monitoring and enforcing compliance with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements which WorkCover sets. Includes compliance with legislation and with national and international standards.		
6.6.1		Records relating to serious breaches or failures of employers or employees to meet compliance requirements. Records include notices, correspondence with the entity, investigations, and reports recommending further action.	Retain minimum of 7 years after action completed, then destroy	
6.6.2		Records relating to minor breaches or failures of employers or employees to meet compliance requirements. Records include notices, correspondence with the entity, investigations, and reports recommending further action.	Retain minimum of 3 years after action completed, then destroy	
6.6.3		Records relating to notification of intention to set up a crane	Retain minimum of 1 year after action	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Compliance</i>				
		or hoist.	completed, then destroy	
6.6.4		Records relating to exemptions from any of the provisions of work health and safety legislation where the exemption is issued for a specific period. Includes permits and authorisations providing an exemption for employees to work in specific industries. For example, permit for under age employee in a factory or for an authorised female employee in lead industry.	Retain minimum of 7 years after exemption expires, then destroy	
6.6.5		Records relating to exemptions from any of the provisions of work health and safety legislation where the exemption is issued permanently, e.g. for design of a specific building or item of plant.	Retain minimum of 30 years after action completed, then destroy	
6.6.6		Case management files on intervention programs where employers, companies, industry, etc. are profiled, targeted and inspected in relation to an identified poor compliance performance area. Records include initial investigation, inspection reports, notices issues, recommendations for further action.	Retain minimum of 7 years after action completed, then destroy	
6.6.7		Records relating to operational support functions and administration of intervention programs. Records include meeting notifications, arrangements, routine reports, and related correspondence.	Retain minimum of 3 years after action completed, then destroy	
6.6.8		Notices or letters issued in regard to breaches of Acts or Regulations. Includes Prohibition and Improvement Notice	Retain minimum of 7 years after action	

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<i>HEALTH &amp; SAFETY MANAGEMENT - Compliance</i>				
		<p>books retained by inspectors, Improvement Notices, Penalty Notices (Infringement Notices), Prohibition Notices, Notice under Section 31 to produce licence for dangerous goods stored on premises etc.</p> <p><b>Note:</b> Duplicate copies of notices (including carbon copies) can be destroyed in accordance with the normal administrative practice (NAP) provisions of the State Records Act 1998 when no longer required for reference purposes.</p>	completed, then destroy	
6.6.9		Systems or registers containing data regarding notices. For example, compliance or infringement notices issued by WorkCover officers, such as Prohibition and Improvement Notice System (PINS) or Penalty Notification System.	Retain minimum of 7 years after action completed, then destroy	
6.6.10		Records relating to Notifications of Proposed Work relating to notification of intention for demolition.	Retain minimum of 1 year after action completed, then destroy	
6.6.11		Records relating to Notifications of Proposed Work for high risk activities. For example, intention to remove bonded asbestos.	Retain minimum of 75 years after action completed, then destroy	
6.6.12		Records relating to notifications of proposed work that involves the use of a notifiable or prohibited substance. For example, records relating to the notification and purchase of carcinogenic substances, Notifications of Proposed Work that	Retain minimum of 30 years after action completed,	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Enquiries</i>				
		involves the use of lead.	then destroy	
6.7.0	<b>Enquiries</b>	<p>The activities associated with the handling of requests for information about WorkCover and its services by the general public or another organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INFORMATION MANAGEMENT - Cases</b> for records relating to requests for or decisions regarding access to or alteration of information under relevant legislation. For example, Freedom of Information (FOI), Government Information Public Access (GIPA), privacy or records legislation or legislation specific to WorkCover, including requests for copies of inspectors' reports.</p>		
6.7.1		<p>Records relating to enquiries for detailed or significant information about the health and safety activities carried out by WorkCover.</p> <p><b>Note:</b> Records relating to provision of advice to clients should be sentenced under Health &amp; Safety Management - Advice.</p>	Retain minimum of 5 years after action completed, then destroy	
6.7.2		Records relating to enquiries requesting routine information and requests for general information, including routine surveys about activities completed by WorkCover or for WorkCover. Also, notification of change of address, names and telephone numbers of contact officers and other routine information given out by organisations or individuals.	Retain minimum of 1 year after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Health promotion</i>				
		Includes any publications listing WorkCover offices.		
6.8.0	<b>Health promotion</b>	<p>The process of promotion by WorkCover of programs which encourage the establishment and maintenance of a healthy working environment in NSW workplaces and safe sports practices.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Reporting</b> for the final report or summary of findings of industry wide or major health promotion projects including awards programs.</p>		
6.8.1		Final versions of safety alert circulars promulgated to industry warning of a potential safety risk.	Required as State archives	<p>Retain minimum of 5 years after action completed, then transfer.</p> <p><b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes</p>
6.8.2		Records relating to programs designed for the education of workers, employers and sports people to reduce the occurrence of incidents, injury and illness. For example, Small Business Assistance Strategy. Records include establishment and implementation of the project / program, invitations to participants, rating reviews, management of awards programs, advice about the closure of the project /	Retain minimum of 10 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Health promotion</i>				
		program.		
6.8.3		Records relating to operational or administrative support functions of projects and programs. Records include meeting notifications, arrangements, routine reports, related correspondence etc.	Retain minimum of 3 years after action completed, then destroy	
6.9.0	<b>Industry liaison</b>	<p>The activities associated with discussions, collaboration, information sharing and general regular contact with industry groups or stakeholders.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records of meetings with Industry Groups.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Enquiries</b> for records relating to general enquiries from industry groups regarding routine information about WorkCover and its services.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Liaison</b> for records relating to names and contact details of industry groups or their representatives kept for the purposes of referral etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records documenting the outcomes of consultation with industry regarding changes to legislation.</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Industry liaison</i>				
6.9.1		<p>Records of consultation with industry groups or stakeholders regarding proposed changes to or issues concerning potential impact on work health and safety policy or industry practices standards, regulation, including safety summits.</p> <p><b>Note:</b> Normal Administrative Practice: Duplicates should be used for staff copies of records relating to meetings with industry groups.</p>	Required as State archives	Retain minimum of 10 years after action completed, then transfer
6.9.2		Routine liaison between WorkCover and industry groups and other stakeholders (including joint ventures) regarding work health and safety and sports safety initiatives. Records include maintenance of contact lists, advice regarding holidays, circulars advising of upcoming events.	Retain minimum of 5 years after action completed, then destroy	
6.10.0	<b>Inspections</b>	<p>The official examinations of sites, facilities, equipment and items, to ensure compliance with statutory and other requirements.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Audit</b> for inspection records that are part of a work health and safety operational or compliance audit.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Investigations</b> for inspection records that are part of an investigation or for issues warranting further investigation or where there is monitoring of high or medium risk illness.</p>		
6.10.1		Records relating to general inspections, such as inspection	Retain minimum of	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Inspections</i>				
		reports, where no major risk or issue is raised and an investigation is not warranted.	5 years after action completed, then destroy	
6.10.2		Inspectors' note books which contain notes taken during inspections and investigations.	Retain minimum of 15 years after action completed, then destroy	
6.10.3		Site files maintained for companies or premises where regular inspections are conducted to monitor conditions and compliance. For example, large building projects.	Retain minimum of 7 years after action completed, then destroy	
6.11.0	<b>Investigations</b>	<p>Investigations of sites, facilities, organisations or persons etc. as a result of a complaint, incident, accident or injury.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Inspections - Inspectors note books</b> for notebooks used by inspectors during investigations.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Inspections - Site files</b> for records of company investigation files where there is a low risk of illness. For example, lighting or where risk is immediately apparent such as allergen, mould, legionnaires, pollution, ergonomic or where investigations find that there is no significant risk.</p> <p>See <b>LEGAL SERVICES - Prosecutions</b> for records relating</p>		

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Dates of coverage: c.1901+

No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Investigations</i>				
		to a prosecution as a result of an investigation.		
6.11.1		Records relating to investigations where there has been a fatality. Records could include accident notification form, details of accident, witness information, statements, inspector's report, photographs, testing results, coroner's report, etc. Includes records from joint investigations with other investigative agencies or investigations of fatalities that are not under section and where WorkCover inspectors assist in investigations of deaths e.g. Police investigations.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
6.11.2		Summary details of workplace accidents and injuries and their outcomes. This includes registers or databases which record accident details as reported on accident notification forms, fatal accident registers, information on fatalities, including those not covered by workers compensation (e.g., self-employed people, person killed riding an amusement device, etc.), case management systems summary reports of accident/injury investigations and their outcomes.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
6.11.3		Records relating to investigations where there has been a serious accident, incident or major health risk. For example, Newcastle earthquake, Granville train disaster, Hunter Street building facade collapse, wool warehouse fire, Boral Gas explosion, Thredbo Landslide etc. Includes records from joint investigations with other investigative agencies.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
6.11.4		Records relating to full investigations where there has been a breach in legislation and prosecution results. Records could include notification form, details of accident and	Retain minimum of 15 years after action completed,	

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<i>HEALTH &amp; SAFETY MANAGEMENT - Investigations</i>				
		injuries, witness information, statements, inspector's report, photographs, specialist reports, testing results, subpoenas and information on legal action taken, etc. Includes records from joint investigations with other investigative agencies. May also be known as Category B accidents or Category 1, 2 or 3 complaint.	then destroy	
6.11.5		Records relating to accident, incident or complaint notifications where no further action is taken (also referred to as NFA) or investigations into accidents or complaints that do not result in a prosecution. Includes records from joint investigations with other investigative agencies. Also includes accident notifications forwarded to WorkCover but not applicable to any sections of the Acts managed by WorkCover, also referred to as NUS (not under section). Includes Single Notification Accuracy and Priority (SNAP) reports that are annotated with decisions regarding non investigation. Business units may refer to these as a Category C accident or a stats & file complaint.	Retain minimum of 7 years after action completed, then destroy	
6.11.6		Statistical data on accident notifications. For example, statistical copies of accident notification forms that have been entered into a register; or data supplied by insurance claims database that is assessed for investigation.  <b>Note:</b> Accident Notifications no further action should be used when the data has been annotated on decisions regarding non-investigations for example on a Single Notification Accuracy and Priority (SNAP) report.	Retain minimum of 1 year after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Investigations</i>				
6.11.7		Health and safety practices illness risk investigation files for companies where employees are exposed to a long term high risk of illness for example: asbestos, mercury, lead, electroplating, foundries, abrasive blasting, silicosis, carcinogens.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
6.11.8		Health and safety practices illness risk investigation files for companies relating to screening of employees exposed to hazardous substances or to patients visits to a WorkCover doctor for consultation. Records include x-rays, medical certificates, health and fitness assessments etc.	Retain minimum of 30 years after action completed, then destroy	
6.11.9		Health and safety practices illness risk investigation files for companies where employees are exposed to a medium term risk of illness, e.g. noise, chemicals, dust, fumes and/or solvents, confined space, pest control industry.	Retain minimum of 30 years after action completed, then destroy	
6.11.10		Registers or databases of complaints, including names of complainants and evaluation made by WorkCover.	Retain minimum of 30 years after action completed, then destroy	
6.11.11		Ancillary/supplementary, records, papers, background notes and reference materials that are used to prepare or complete an investigation report where the investigation has been finalised. Includes drafts, working papers and evidence unable to be returned to clients.	Retain until investigation and legal process is finalised, then destroy	
6.12.0	<b>Licensing</b>	The activity of regulating the marketplace via granting or		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Licensing</i>				
		<p>denying of certificate, licence, permit or registration to persons, companies, items or places to allow them to undertake an activity.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Advice</b> for records relating to advice provided to clients on licensing requirements.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Authorisation</b> for records relating to authorisation of a person to conduct OHS Induction training.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Compliance - Exemptions</b> for records relating to issue of exemptions from licensing requirements.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Investigations - Accident or complaints notifications - further action</b> for lift, personal hoist, escalator or moving walk files where there has been a major incident.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Training</b> for records relating to the approval of an OHS training course.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INFORMATION MANAGEMENT - Control</b> for index cards that have been fully superseded by a new system.</p>		
6.12.1		Records relating to approved applications for the registration of items or sites that are heritage listed, historic or of other	Required as State archives	Retain minimum of 15 years after

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No	Function/Activity	Description	Disposal Action	Custody*
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*HEALTH & SAFETY MANAGEMENT - Licensing*

		significance. Usually relating to items of plant such as amusement devices, boilers, lifts. For example, Big Dipper and Merry-Go-Round at Luna Park, 3801 steam locomotive.		action completed, then transfer
6.12.2		<p>Records relating to successful applications for a licence, permit or registration for an organisation, person, place or item where a specific separate entry is not provided. Includes conversions, replacements and updates to details e.g. change of name. For example but not restricted to:</p> <ul style="list-style-type: none"> <li>- Amusement Device (non heritage listed, historic or significant)</li> <li>- Certificate of Competency</li> <li>- Construction Induction Card</li> <li>- Dangerous Goods - Explosives/Security Sensitive Dangerous Substances - licence to carry/transport, import or export, handle, use</li> <li>- Dangerous Goods on premises - Notification</li> <li>- Demolition (not including asbestos removal / demolition)</li> <li>- Diving Certificate</li> <li>- Factory Registration - Clothing Industry</li> <li>- Fireworks - General Display Permit / Pyrotechnician</li> </ul>	Retain minimum of 7 years after licence, permit or registration expires, lapses or is withdrawn, or after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Licensing</i>				
		Licence & wholesale licence  - Fireworks - one day / single use permits to use display fireworks  - High Risk Work licences  - items of plant e.g. crane, lift, escalator, moving walk, boiler, pressure vessel (non heritage listed, historic or significant).  <b>Note:</b> this entry does not cover summary records or registers		
6.12.3		Records relating to successful applications for a licence, permit or registration for an organisation, person, place or item relating to major hazards, security risks or high or medium health risks. Records include applications and supporting documentation (such as detailed plans, statements of experience, references) and investigations conducted to issue licence etc. Includes, for example, but not restricted to, applications for:  - Asbestos Removal / Demolition  - Dangerous Goods Licence to keep (discontinued)  - Explosives manufacture / storage  - Fumigation	Retain minimum of 30 years after licence, permit or registration expires, lapses or is withdrawn, or after action completed, whichever is the longer, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Licensing</i>				
		<ul style="list-style-type: none"> <li>- Major Hazards</li> <li>- Pest Control Operator / Trainee</li> <li>- Storage of Security Sensitive Dangerous Substances.</li> </ul> <p><b>Note:</b> this entry does not cover summary records or registers</p>		
6.12.4		<p>Records relating to applications where the licence, permit or registration is not issued. Use for all unsuccessful or withdrawn licence, permit or registration applications.</p> <p><b>Note:</b> this entry does not cover revoked licences etc, summary records or registers.</p>	Retain minimum of 7 years after action completed, then destroy	
6.12.5		<p>Examination papers and assessment instruments required by inspectors or assessors for examining purposes and to record results. For example, Notice of Satisfactory Assessment books and Assessment Summary books used by accredited assessors for national certificates of competency.</p>	Retain minimum of 5 years after action completed, then destroy	
6.12.6		<p>Registers, including electronic databases, detailing the application, issue and renewal of licences, permits and authorisations. Use for all licensing, permit or registration registers if specific register is not listed.</p>	Retain minimum of 75 years after action completed, then destroy	
6.12.7		<p>Applications for renewal of an existing licence, registration or permit where no significant changes to the details have</p>	Retain minimum of 7 years after action	

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<i>HEALTH &amp; SAFETY MANAGEMENT - Licensing</i>				
		been made. Use for all renewal applications.	completed, then destroy	
6.12.8		Records relating to cancellation of a certificate, licence or registration etc that has been revoked as a result of the holder breaching the regulations or conditions of the licence. Includes any investigation records.	Retain minimum of 15 years after action completed, then destroy	
6.12.9		Cards containing summary information of licences, registrations, permits etc. For example, Certificates of Competency cards containing name of applicant, address, date of birth, type of certificate and date certificate issued.	Retain minimum of 7 years after action completed, then destroy	
6.12.10		Registers of permits to use display fireworks.	Retain minimum of 7 years after action completed, then destroy	
6.12.11		Records relating to Firework Display Notifications made by Permit holders. Records include notification of display, supporting material and related correspondence. Note: Applications - successful should be used for applications for permits to display fireworks.	Retain minimum of 7 years after action completed, then destroy	
6.12.12		Records relating to a specific item of equipment (lift, personal hoist, escalator or moving walk) that is not heritage listed or in a heritage listed building. Records include application to erect equipment, plans and designs, correspondence, engineering calculations, accident notifications, information relating to material alterations,	Retain minimum of 7 year after notification building or equipment dismantled, then	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Licensing</i>				
		change of ownership, inspector's reports, test results, approvals, permits, completion letter.	destroy	
6.12.13		Summary cards used to allocate unique identification numbers to lifts etc, arranged alphabetically by location.	Retain until administrative or reference use ceases, then destroy	
6.12.14		Records relating to notification of facilities that were not legally required to notify and records relating to advice from facilities that they are not required to notify.	Retain minimum of 10 years after action completed, then destroy	
6.13.0	<b>Meetings</b>	<p>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 as a whole. Includes arrangements, agenda, taking of minutes etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for committee meetings.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Meetings</b> for records relating to routine general and section or unit meetings of employees and administrative arrangements for meetings.</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Meetings</i>				
6.13.1		Records of meetings relating to operational matters and issues concerning general operational support functions. Records include agenda and minutes, advice and briefing papers.	Retain minimum of 5 years after action completed, then destroy	
6.14.0	<b>Planning</b>	The development of plans and strategies for the delivery of services, programs etc.  See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Planning</b> for records relating to the development and review of WorkCover's strategic, corporate or business plans.		
6.14.1		Records relating to planning of health and safety activities. For example, inspection projects, intervention projects, compliance projects. Includes the process of formulating ways in which objectives can be achieved and determinations of services, needs and solutions to those needs. Records include project plans, work schedules, resourcing decisions.	Retain minimum of 7 years after action completed, then destroy	
6.14.2		Records relating to routine operational support functions relating to the planning process. Records include resource arrangements, requests for copies of plans, schedules for planning process.	Retain minimum of 3 years after action completed, then destroy	
6.15.0	<b>Policy</b>	The development of policy to direct or guide decision-making or the conduct of activities.		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Policy</i>				
6.15.1		Records relating to the establishment and development of policy or code of practice for the prevention of injuries and diseases and the development of safe workplaces. Includes proposals, research papers, results of consultations, supporting reports and final documents.	Required as State archives	Retain minimum of 10 years after action completed, then transfer.  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
6.15.2		Ancillary records supporting the development of WorkCover policy or code of conduct for health and safety management. Includes working papers and drafts.	Retain minimum of 3 years after action completed, then destroy	
6.16.0	<b>Procedures</b>	The development of procedures, manuals or directives concerning the conduct of activities or processes.  See <b>HEALTH &amp; SAFETY MANAGEMENT - Policy</b> for establishment and development of policy or code of practice for the prevention of injuries and diseases and the development of safe workplaces.  See <b>HEALTH &amp; SAFETY MANAGEMENT - Standards</b> for guidelines issued by WorkCover to external parties.		
6.16.1		Procedures relating to the conduct of regulatory activities	Required as State	Retain minimum of

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Procedures</i>				
		and associated operational processes e.g. procedures for inspectors relating to authority, powers or requirements for the conduct of investigations, enforcement processes, prosecutions, handling or dealing with clients, information and project management etc. Includes records relating to the development and review of procedures and final approved versions of manuals, handbooks and directives.	archives	5 years after reference use ceases, then transfer
6.16.2		Procedures relating to administrative processes supporting the conduct of operations and activities e.g. procedures on how to enter license details into a database, work computer software, how to report, etc. Includes records relating to the development and review of procedures and final approved versions of manuals, handbooks and directives.	Retain minimum of 5 years after superseded, then destroy	
6.17.0	<b>Reporting</b>	<p>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.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Advice - Standards or EIS</b> for records of a response or comment on environmental impact statements, standards, etc.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Audit</b> for records relating to audit reports.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Investigations</b> for inspectors' reports regarding investigations or for reports</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Reporting</i>				
		of medical examinations.		
6.17.1		Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for WorkCover or industry as a whole.	Required as State archives	Retain minimum of 10 years after action completed, then transfer.  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
6.17.2		Reports having an impact on business unit operations, but having minor impact on WorkCover's policies or procedures.	Retain minimum of 5 years after action completed, then destroy	
6.17.3		Routine or periodic reports or returns and related records including statistical reports and ad hoc reports generated from databases. For example, team statistics relating to accidents, inspections, investigations, projects, etc.	Retain minimum of 3 years after action completed, then destroy	
6.18.0	<b>Research</b>	The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc., and the business activities of WorkCover in general.		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Research</i>				
		<p>See <b>COMMUNITY RELATIONS - Grant funding</b> for final report or summary of findings of research projects initiated through the grants scheme or other research scheme e.g. WorkCover NSW Research Centre of Excellence (WRCE).</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Agreements</b> for records relating to the establishment, negotiation, maintenance and review of agreements with other government organisations for research. For example, WorkCover NSW and the University of Newcastle establishment of the WorkCover NSW Research Centre of Excellence (WRCE).</p>		
6.18.1		<p>Final version of each edition of published industry, hazard and injury profiles.</p> <p><b>Note:</b> Normal Administrative Practice should be used for staff copies and working papers related to development of industry, hazard and injury profiles.</p>	Required as State archives	<p>Retain minimum of 5 years after action completed, then transfer</p> <p><b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes.</p>
6.18.2		Final reports or summary of findings of major research projects managed or carried out by WorkCover i.e. projects that are approved by the Chief Executive Officer or the	Required as State archives	Retain minimum of 5 years after action completed, then

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<i>HEALTH &amp; SAFETY MANAGEMENT - Research</i>				
		Executive. Records could include profile, report, summary of findings, final report, etc.		transfer  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
6.18.3		Working papers and administrative records of major research projects managed or carried out by WorkCover. Records include background notes and reference materials.	Retain minimum of 5 years after action completed, then destroy	
6.18.4		Final reports or summary of findings of other projects managed by or carried out WorkCover. Records could include profile, report, summary of findings, final report, etc.	Retain minimum of 10 years after action completed, then destroy	
6.18.5		Working papers and administrative records of projects managed or carried out by WorkCover, other than major projects. Records include background notes and reference materials.	Retain minimum of 3 years after action completed, then destroy	
6.18.6		Research working papers relating to exposure to specific chemicals, hazardous substances, etc including reference papers from other agencies or organisations, for example universities. Records include initial investigation, copies of supporting documentation, related correspondence, reports	Retain minimum of 30 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Standards</i>				
		and findings, recommendations.  <b>Note:</b> Research - Major projects should be used for final reports or summary of findings of research projects into health risks that are managed or carried out by WorkCover.		
6.19.0	<b>Standards</b>	The development of industry standards, codes of practice etc.		
6.19.1		Final versions of standards, codes of practice and industry guidelines developed by WorkCover, including any submissions authorising implementation or release.	Required as State archives	Retain minimum of 5 years after action completed, then transfer  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
6.19.2		Records relating to the development and promulgation of standards, industry guidelines and codes of practice on health and safety issues, including copies of draft standards.	Retain minimum of 3 years after action completed, then destroy	
6.20.0	<b>Testing</b>	The testing of equipment to ensure compliance with standards. Also includes testing inhalable particulates in controlled laboratory conditions as set out by relevant		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>HEALTH &amp; SAFETY MANAGEMENT - Testing</i>				
		<p>Australian and International standards.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Investigations</b> for test reports etc produced as part of an investigation.</p>		
6.20.1		<p>Records relating to the testing and assessment of electrical equipment (including explosion protected electrical equipment) and the subsequent issue of certificates of Conformity. Also includes records relating to the testing and assessment of equipment to ensure compliance to approved standards e.g. personal protective equipment and electrical and mechanical equipment for NSW coal mining applications. Records could include application forms, laboratory records, test results, reports, photographs, diagrams, correspondence, etc.</p>	<p>Retain minimum of 30 years after action completed, then destroy</p>	
6.20.2		<p>Records relating to the assessment and testing of electrical, electronic, mechanical and protective equipment where approval or certification is refused. Records could include application forms, laboratory records, reports, correspondence, etc.</p>	<p>Retain minimum of 7 years after action completed, then destroy</p>	
6.20.3		<p>Records relating to original laboratory test data on workers assessment samples such as blood and/or urine where specific worker has been identified. Including test observations and calculations, information specified in the test method, contractual documents, etc.</p>	<p>Retain minimum of 75 years after action completed, then destroy</p>	
6.20.4		<p>Records relating to original laboratory test data on workplace assessment samples such as dust, liquid, solid</p>	<p>Retain minimum of 30 years after</p>	

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<i>HEALTH &amp; SAFETY MANAGEMENT - Testing</i>				
		and/or air. Includes test observations and calculations, information specified in the test method, contractual documents, etc. and group testing of workers where individual workers are not identified.	action completed, then destroy	
6.20.5		Data relating to registering incoming samples for testing, tracking samples and issue reports of analysis. For example, Laboratory Information Management System (LIMS).	Retain minimum of 30 years after action completed, then destroy	
6.21.0	<b>Training</b>	<p>The activities associated with all aspects of training (external/internal) available to staff. Also for training provided by WorkCover for external persons including development and organisation of training courses relating to health and safety management.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Authorisation</b> for records relating to authorisation of a person to conduct or deliver training courses.</p> <p>See <b>HEALTH &amp; SAFETY MANAGEMENT - Licensing</b> for records relating to issuance of licence, permit or registration to a person who has completed an authorised training course.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STAFF DEVELOPMENT - Training</b> for records relating to training for WorkCover staff.</p>		

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<i>HEALTH &amp; SAFETY MANAGEMENT - Training</i>				
6.21.1		Records relating to the assessment, approval and review of the content of externally developed health and safety training courses. Records could include submissions, course documentation, approval, updates, correspondence, copies of qualifications, copy of training packages, etc.	Retain minimum of 7 years after action completed, then destroy	
6.21.2		Records relating to the development of courses, training packages and programs of study for external clients.	Retain minimum of 10 years after action completed, then destroy	
6.21.3		Records of enrolment and attendance of external clients at training sessions.	Retain minimum of 7 years after action completed, then destroy	
6.21.4		Records relating to operational support functions for training matters and administrative arrangements for conducting training courses. Records include venue bookings, records of equipment hire, catering and travel arrangements, applications and confirmation of attendance for training sessions that did not proceed.	Retain until administrative or reference use ceases, then destroy	
7.0.0	<b>INFORMATION MANAGEMENT</b>	The function of managing WorkCover's information resources.		
7.1.0	<b>Cases</b>	The activities associated with maintaining individual case files where there a need to keep a number of activities together on one file, for legislative or operational reasons.		

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

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Dates of coverage: c.1901+

No	Function/Activity	Description	Disposal Action	Custody*
<i>INFORMATION MANAGEMENT - Cases</i>				
		Case files relate to particular incidents, persons, organisations or clients.		
7.1.1		<p>Case management or workflow management systems that cover multiple functions. For example, Workplace Services Management System (WSMS), PREMIS (premiums case management system).</p> <p><b>Note:</b> Systems that are used for a specific function e.g. claims or licensing should be scheduled using that specific Function/Activity.</p>	Retain minimum of 20 years after the records to which they relate are destroyed or finally disposed of, then destroy	
7.2.0	<b>Data management</b>	<p>The activities associated with maintaining and using the data that is held in a system, either automated or manual.</p> <p>See <b>WORKERS COMPENSATION MANAGEMENT - Standards</b> for records relating to setting standards and data quality for quality control of data being submitted to WorkCover.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>TECHNOLOGY &amp; TELECOMMUNICATIONS</b> for records relating to the acquisition, development, maintenance and testing of systems to store data.</p>		
7.2.1		Records relating to receipt and management of data from employers, insurers and agents for data interface to a centralised system. For example, submissions of data on claims and policies from an insurer for corporate data	Retain minimum of 3 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INFORMATION MANAGEMENT - Distribution</i>				
		repository (CDR), Incident Notification Form.		
7.3.0	<b>Distribution</b>	The activities associated with disseminating items, correspondence, or publications through sales, deliveries or other customer services.  See [the relevant function - activity] for specific item of correspondence including certificate, licence, notification etc which was undelivered, for example licence renewals.		
7.3.1		Records relating to undelivered correspondence from bulk mail outs e.g. return to sender letters including blank applications forms, newsletters and publications etc.	Retain until administrative or reference use ceases, then destroy	
7.4.0	<b>Enquiries</b>	The activities associated with the handling of requests for information about WorkCover and its services by the general public or another organisation.  See General Retention and Disposal Authority <i>Administrative records</i> <b>INFORMATION MANAGEMENT - Cases</b> for records relating to requests for or decisions regarding access to or alteration of information under relevant legislation. For example, Freedom of Information (FOI), Government Information Public Access (GIPA), privacy or records legislation or legislation specific to WorkCover.		
7.4.1		Extended enquiry requiring a query of the database. Could	Retain minimum of 7 years after action	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INFORMATION MANAGEMENT - Enquiries</i>				
		include payment records.  <b>Note:</b> Records relating to provision of advice to clients should be sentenced under [the relevant function] - Advice.	completed, then destroy	
7.4.2		Basic enquiries for statistical information where information is readily available, i.e. in publications.	Retain minimum of 3 years after action completed, then destroy	
7.5.0	<b>Research</b>	The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc., and the business activities of WorkCover in general.  See <b>HEALTH &amp; SAFETY MANAGEMENT - Research</b> for records relating to development of industry profiles.		
7.5.1		Records relating to analysis of data analysis including reports and data mining.	Retain minimum of 5 years after action completed, then destroy	
7.5.2		Literature reviews compiled to assist with projects or research.	Retain until administrative or reference use ceases, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT</i>				
8.0.0	<b>INJURY MANAGEMENT</b>	<p>The function of monitoring and regulating the management / return to work of injured NSW workers to ensure efficient and effective rehabilitation of persons injured at work by regulating service providers and promoting the appropriate standards. Includes matters related to return to work programs.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to committees that deal with injury management for NSW. NB this does not relate to internal injury management committees for WorkCover staff.</p>		
8.1.0	<b>Advice</b>	<p>The activities associated with offering opinions by or to WorkCover as to an action or judgement. Also includes the process of advising.</p> <p>See <b>INJURY MANAGEMENT - Enquiries</b> for requests for information about services provided by WorkCover on injury management issues. For example, request for application forms.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Advice</b> for records relating to legal advice from qualified legal advisors. For example, Crown Solicitor's Office.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Litigation</b> for professional witness statements provided by WorkCover as part of a non</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Advice</i>				
		WorkCover case.		
8.1.1		Records of precedent cases dealing with technical advice to clients on interpretation of the Acts or Regulations.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
8.1.2		Records dealing with technical advice or assistance to clients on interpretation of the Acts or Regulations which is not precedent setting or other technical expertise provided to clients. Records include request from client, background research, liaison with other industry experts, response to client. For example, methods of compliance with a specific item of legislation.	Retain minimum of 15 years after action completed, then destroy	
8.1.3		Records relating to routine injury management advice or assistance to clients where the advice or information already exists in published reports or guides. For example, requirements on standard return to work program, advisory visits to employers or industry groups.	Retain minimum of 7 years after action completed, then destroy	
8.1.4		Response or comment on standards, etc.	Retain minimum of 3 years after action completed, then destroy	
8.2.0	<b>Agreements</b>	The processes associated with the establishment, negotiation, maintenance and review of agreements.		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Agreements</i>				
8.2.1		Memoranda of Understanding and other agreements with external organisations.	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy	
8.3.0	<b>Appeals</b>	The activities involved in the process of appeals against decisions by application to a higher authority.  See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Litigation</b> for records relating to appeals of decisions by WorkCover made to a court or tribunal.		
8.3.1		Records relating to appeals made to WorkCover for a decision or appeals to WorkCover against its actions or decisions.	Retain minimum of 5 years after action completed, then destroy	
8.4.0	<b>Audit</b>	The activities associated with officially checking fiscal, quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Audit</i>				
8.4.1		Final audit reports or findings on audits of specific injury management issues, conducted across one or more industry sectors and resulting in substantial changes to policy and procedures.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
8.4.2		Records relating to injury management operational or compliance audits of other organisations' processes that are legislated by WorkCover, including rehabilitation providers, self insurers etc; or audits of individuals including where serious failures to meet compliance requirements were identified. Includes audits of specific injury management issues, conducted across one or more industry sectors and resulting in substantial changes to policy and procedures.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
8.4.3		Records relating to compliance audits of other organisations including rehabilitation providers, self insurers etc; or audits of individuals including where there were no serious deficiencies identified: Records include:  - records of audit planning or liaison with organisation/ individual  - minutes or notes of meetings  - notes taken at interviews  - correspondence  - draft versions of reports containing significant	Retain minimum of 7 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Authorisation</i>				
		changes/alterations or formally circulated for comment - final, approved versions of reports - records of remedial action.		
8.5.0	<b>Authorisation</b>	The process of seeking and granting permission to undertake requested action. Includes accrediting or authorising individuals or companies to undertake activities on behalf of WorkCover/under auspices of WorkCover.  See <b>WORKERS COMPENSATION MANAGEMENT - Audit</b> for records relating to ongoing monitoring of authorised service provider etc.		
8.5.1		Records relating to the accreditation of an individual or organisation to undertake injury management activities. For example, approved medical specialists who make legal decisions on claim status or percentage loss of functions, Injury Management Consultants and Return to Work Coordinators, Rehabilitation Providers, including occupational therapists, physiotherapists, remedial massage therapists, etc. Records could include application and supporting documentation, initial approval etc.	Retain minimum of 7 years after authorisation expires, is withdrawn or refused, then destroy	
8.5.2		Registers, including databases, of service providers.	Retain until administrative or reference use ceases, then	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Authorisation</i>				
			destroy	
8.5.3		Records relating to the cancellation of accreditation, approval, licence or authorisation as a result of the holder breaching the regulations or conditions of the authorisation. Does not apply to normal cancellation or withdrawal of authorisation nor to cancellation of licences or registrations issued by the authorised person.	Retain minimum of 15 years after action completed, then destroy	
8.6.0	<b>Compliance</b>	The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements which WorkCover sets. Includes compliance with legislation and with national and international standards.		
8.6.1		Records relating to serious breaches or failures of service providers, employers etc to meet compliance requirements, e.g. breaches reported to the Executive, Board or Minister. Records include notices, correspondence with the entity, investigations, reports recommending further action.	Retain minimum of 7 years after action completed, then destroy	
8.6.2		Records relating to minor breaches or failures of service providers, employers etc to meet compliance requirements, e.g. breaches that are NOT reported to the Executive, Board or Minister. Records include notices, correspondence with the entity, investigations, reports recommending further action.	Retain minimum of 3 years after action completed, then destroy	
8.6.3		Records relating to exemptions from any provisions of the	Retain minimum of 7 years after	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Compliance</i>				
		Acts, Regulations or standards.	exemption expires, then destroy	
8.6.4		Records relating to peer review system for service providers e.g. physiotherapists. Includes reviewing performance, complaints (e.g. of over-servicing), procedures, etc. Records include nomination of review panel, referrals, meeting notes, related correspondence.	Retain minimum of 7 years after action completed, then destroy	
8.7.0	<b>Enquiries</b>	<p>The activities associated with the handling of requests for information about WorkCover and its services by the general public or another organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INFORMATION MANAGEMENT - Cases</b> for records relating to requests for or decisions regarding access to or alteration of information under relevant legislation. For example, Freedom of Information (FOI), Government Information Public Access (GIPA), privacy or records legislation or legislation specific to WorkCover.</p>		
8.7.1		<p>Records relating to enquiries for detailed or significant information about the injury management activities carried out by WorkCover.</p> <p><b>Note:</b> Records relating to provision of advice to clients should be sentenced under Injury Management - Advice.</p>	Retain minimum of 5 years after action completed, then destroy	
8.7.2		Records relating to enquiries requesting routine information and requests for general information, including routine	Retain minimum of 1 year after action	

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No	Function/Activity	Description	Disposal Action	Custody*
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*INJURY MANAGEMENT - Industry liaison*

		surveys about activities completed for WorkCover or by WorkCover. Also, notification of change of address, names and telephone numbers of contact officers and other routine information given out by organisations or individuals. Includes any publications listing WorkCover offices or routine information.	completed, then destroy	
8.8.0	<b>Industry liaison</b>	<p>The activities associated with maintaining regular general contact between WorkCover and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, and collaborating on projects that are not joint ventures.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records of meetings with Industry Groups.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Enquiries</b> for records relating to general enquiries from industry groups regarding routine information about WorkCover and its services.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Liaison</b> for records relating to names and contact details of industry groups or their representatives kept for the purposes of referral etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Industry liaison</i>				
		records documenting the outcomes of consultation with industry regarding changes to legislation.		
8.8.1		<p>Records of consultation with industry groups or stakeholders regarding proposed changes to, or issues concerning potential impact on, injury management policy or industry practices standards, regulation, including safety summits.</p> <p><b>Note:</b> Normal Administrative Practice: Duplicates should be used for staff copies of records relating to meetings with industry groups.</p>	Required as State archives	Retain minimum of 10 years after action completed, then transfer
8.8.2		Routine liaison between WorkCover and other industry groups including rehabilitation providers, physiotherapists, and professional associations. Records include maintenance of contact lists, advice regarding holidays, circulars advising of upcoming events.	Retain minimum of 5 years after action completed, then destroy	
8.9.0	<b>Investigations</b>	Investigations of sites, facilities, organisations or persons etc. as a result of a complaint, incident, accident or injury.		
8.9.1		Records relating to investigations into possible breaches of legislation. Records could include notification form, details of incident, witness information, statements, Inspector's report, photographs, specialist reports, testing results, subpoenas and information on legal action taken, etc. For example, investigation into over servicing and professional misconduct.	Retain minimum of 7 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Investigations</i>				
8.9.2		Registers or databases of complaints, including names of complainants and evaluation made by WorkCover.	Retain minimum of 30 years after action completed, then destroy	
8.9.3		Ancillary/supplementary, records, papers, background notes and reference materials that are used to prepare or complete an investigation report where the investigation has been finalised. Includes drafts, working papers and evidence unable to be returned to clients.	Retain until investigation and legal process is finalised, or ceases to be of administrative or reference use, whichever is the longer, then destroy	
8.10.0	<b>Meetings</b>	<p>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 as a whole. Includes arrangements, agenda, taking of minutes etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for committee meetings.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Meetings</b> for records relating to routine general and section or unit meetings of employees and administrative arrangements for meetings.</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Meetings</i>				
8.10.1		Records of meetings relating to operational matters and issues concerning general operational support functions. Records include agenda and minutes, advice and briefing papers.	Retain minimum of 5 years after action completed, then destroy	
8.11.0	<b>Planning</b>	The development of plans and strategies for the delivery of services, programs etc.  See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Planning</b> for records relating to the development and review of WorkCover's strategic, corporate or business plans.		
8.11.1		Records relating to planning of injury management activities. Includes the process of formulating ways in which objectives can be achieved and determination of services, needs and solutions to those needs. Records include project plans, work schedules, resourcing decisions.	Retain minimum of 7 years after action completed, then destroy	
8.11.2		Routine organisational matters and operational support functions relating to the planning process. Records include meeting arrangements, requests for copies of plans, schedules for planning process.	Retain minimum of 3 years after action completed, then destroy	
8.12.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which WorkCover's operating procedures are determined.		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Policy</i>				
8.12.1		Records relating to the establishment and development of policy in relation to the management of injured workers by service providers. Includes policy proposals, research papers, results of consultations, supporting reports and final documents.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
8.12.2		Ancillary records supporting the development of WorkCover policy. Includes working papers and drafts.	Retain minimum of 3 years after action completed, then destroy	
8.13.0	<b>Procedures</b>	Standard methods of operating laid down by an organisation according to formulated policy.  See <b>INJURY MANAGEMENT - Policy</b> for establishment and development of policy in relation to the management of injured workers by service providers.  See <b>INJURY MANAGEMENT - Standards</b> for guidelines issued by WorkCover to external parties.		
8.13.1		Procedures relating to the conduct of regulatory activities and associated operational processes e.g. procedures for inspectors relating to authority, powers or requirements for the conduct of investigations, enforcement processes, prosecutions, handling or dealing with clients, information and project management etc. Includes records relating to the development and review of procedures and final approved versions of manuals, handbooks and directives.	Required as State archives	Retain minimum of 5 years after reference use ceases, then transfer

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Procedures</i>				
8.13.2		Procedures relating to administrative processes supporting the conduct of operations and activities e.g. procedures on how to enter license details into a database, work computer software, how to report, etc. Includes records relating to the development and review of procedures and final approved versions of manuals, handbooks and directives.	Retain minimum of 5 years after superseded, 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.  See <b>INJURY MANAGEMENT - Audit</b> for audit reports on rehabilitation providers.		
8.14.1		Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for WorkCover or industry as a whole.	Required as State archives	Retain minimum of 10 years after action completed, then transfer  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
8.14.2		Reports having an impact on business unit operations, but	Retain minimum of	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Reporting</i>				
		having minor impact on WorkCover's policies or procedures.	5 years after action completed, then destroy	
8.14.3		Routine or periodic reports or returns and related records including statistical reports and ad hoc reports generated from databases. For example, rehabilitation provider case closure reports or monthly statistic reports for rehabilitation providers.	Retain minimum of 3 years after action completed, then destroy	
8.14.4		Reports and statistics regarding rehabilitation performance.	Retain minimum of 5 years after action completed, then destroy	
8.15.0	<b>Research</b>	The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc., and the business activities of WorkCover in general.  See <b>COMMUNITY RELATIONS - Grant funding</b> for final report or summary of findings of research projects initiated through the grants scheme.		
8.15.1		Final reports or summary of findings of major research projects managed or carried out by WorkCover i.e. projects that are approved by the Chief Executive Officer or the Executive. Records could include profile, report, summary of	Required as State archives	Retain minimum of 5 years after action completed, then transfer.

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<i>INJURY MANAGEMENT - Research</i>				
		findings, final report, etc.		<b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes.
8.15.2		Working papers and administrative records of major research projects managed or carried out by WorkCover. Records include background notes and reference materials.	Retain minimum of 5 years after action completed, then destroy	
8.15.3		Final reports or summary of findings of other projects managed by or carried out WorkCover. Records could include profile, report, summary of findings, final report, etc.	Retain minimum of 10 years after action completed, then destroy	
8.15.4		Working papers and administrative records of projects managed or carried out by WorkCover, other than major projects. Records include background notes and reference materials.	Retain minimum of 3 years after action completed, then destroy	
8.16.0	<b>Standards</b>	The development of industry standards, codes of practice etc.		
8.16.1		Final versions of injury management guidelines, standards etc. For example, fee orders for medical practitioners.	Required as State archives	Retain minimum of 5 years after action completed, then transfer

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Standards</i>				
				<b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
8.16.2		The formulation and implementation of guidelines or standards on injury management for employees, employers or allied health providers. For example, fee orders for medical practitioners.	Retain minimum of 3 years after action completed, then destroy	
8.17.0	<b>Training</b>	The activities associated with all aspects of training (external/internal) available to staff. Also for training provided by WorkCover for external persons including developing and organising of training courses relating to Injury Management.		
8.17.1		Records relating to the assessment, approval and review of externally developed training courses. Records could include submissions, course documentation, approval, updates, correspondence, copies of qualifications, copy of training packages, etc.	Retain minimum of 7 years after action completed, then destroy	
8.17.2		Records relating to the development of courses, training packages and programs of study for external clients.	Retain minimum of 10 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Training</i>				
8.17.3		Records of enrolment and attendance of external clients at training sessions.	Retain minimum of 7 years after action completed, then destroy	
8.17.4		Records relating to operational support functions for training matters and administrative arrangements for conducting training courses. Records include venue bookings, records of equipment hire, catering and travel arrangements, applications and confirmation of attendance for training sessions that did not proceed.	Retain until administrative or reference use ceases, then destroy	
8.18.0	<b>Vocational rehabilitation</b>	The activity of managing WorkCover funded programs that provide assistance in retraining injured workers to provide employment in suitable work.		
8.18.1		Case file for each applicant for vocational rehabilitation programs such as retraining programs, provision of aids and equipment, modified work programs, work trials, JobCover Placement Program, etc. File could contain submission or application, approval, claims for payment, payment details, reports, etc.	Retain minimum of 7 years after action completed, then destroy	
8.18.2		Records relating to the development of vocational rehabilitation programs for workers and employers to assist in injury management. Records include program proposals, business case, funding arrangements, progress reports, management of awards programs.	Retain minimum of 10 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>INJURY MANAGEMENT - Vocational rehabilitation</i>				
8.18.3		Records relating to operational or administrative support functions of projects and programs. Records include meeting notifications, arrangements, routine reports, related correspondence etc.	Retain minimum of 3 years after action completed, then destroy	
9.0.0	<b>LEGAL SERVICES</b>	The function of providing legal services to or by WorkCover.  See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Advice</b> for records relating to legal advice from qualified legal advisors regarding health and safety, injury management and/or workers compensation management activities.		
9.1.0	<b>Infringements</b>	The activities associated with handling breaches of rules.		
9.1.1		Records relating to Court Elect cases, where employer elects to take the case to court, rather than pay an infringement.	Retain minimum of 7 years after action completed, then destroy	
9.2.0	<b>Legal aid</b>	The function of providing legal assistance, advice and representation services to clients.		
9.2.1		Records relating to applications for legal aid or assistance (such as interpreter services). Records could include application, correspondence, medical certificates, etc.	Retain minimum of 7 years after action completed, then destroy	
9.3.0	<b>Prosecutions</b>	The activity of prosecuting employers and employees under		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>LEGAL SERVICES - Prosecutions</i>				
		<p>relevant criminal law legislation relating to Work Health and Safety, Injury Management or Workers Compensation legislation or managing lawsuits or legal proceedings between WorkCover and other parties in a court or other tribunal. Includes cases settled by mediation, alternative dispute resolution etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>Legal services - Litigation</b> for records involved in managing lawsuits or legal proceedings including civil law cases or legal proceedings between WorkCover and other parties in a court or other tribunal. Includes cases settled by mediation, alternative dispute resolution etc.</p>		
9.3.1		Prosecution records for criminal law cases that established a precedent. Files could contain statement of facts, summons and information, copies of witness statements, copies of photographs, file status sheet, court outcome, summary of finding or judgement, briefing notes, ministerial submissions, payments record, general correspondence, etc.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
9.3.2		Prosecution records for criminal law cases, that have not established precedent. Files could contain statement of facts, summons and information, copies of witness statements, copies of photographs, file status sheet, court outcome, summary of finding or judgement, briefing notes, ministerial submissions, payments record, general correspondence, etc.	Retain minimum of 15 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>LEGAL SERVICES - Prosecutions</i>				
9.3.3		Records relating to legal action to recover debts from an insurer that has failed. For example, due to bankruptcy or insolvency.	Retain minimum of 15 years after action completed, then destroy	
10.0.0	<b>PUBLICATION</b>	The function of having works, irrespective of format, issued for sale or general distribution internally or to the public.		
10.1.0	<b>Agency publications</b>	<p>Works, irrespective of format, issued for sale or general distribution internally or to the public.</p> <p>See also under the relevant function/activity for published reports, standards, codes of practice, safety alerts, newsletters, etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Marketing</b> promotional publications about the organisation, its services or particular events.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Reporting</b> for annual reports or substantial ad hoc reports on the organisation's core functional responsibilities or performance.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PUBLICATION - Production</b> the development and review of forms and for records relating to the preparation</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>PUBLICATION - Agency publications</i>				
		<p>of materials for publication, including printing, loading to web sites, etc.</p> <p><i>See General Retention and Disposal Authority - Audio visual programs and recordings</i> for audio visual programs or recordings produced by the organisation e.g. health and safety advertisements.</p> <p><i>See Normal Administrative Practice: Drafts</i> for remaining draft copies of publications.</p> <p><i>See Normal Administrative Practice: Duplicates</i> for duplicate copies of each publication.</p>		
10.1.1		<p>Final version of published information resources or guidelines which have ongoing evidentiary value regarding the conduct of the organisation's responsibilities or the provision of advice and guidance to the public (including employees, employers and industry groups) concerning compliance with workplace health and safety, injury management and workers compensation legislation or health and safety issues. May include publications in any format and may include select promotional material produced as part of education or awareness raising campaigns e.g. posters produced as part of campaigns targeting specific health issues.</p>	Required as State archives	
10.1.2		<p>Records relating to the drafting and production of published information resources or guidelines of ongoing evidentiary value. Records could include background research, records</p>	Retain minimum of 10 years after action completed,	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>PUBLICATION - Agency publications</i>				
		<p>of consultation with relevant stakeholders, drafts containing significant changes or circulated for comment.</p> <p><b>Note:</b> Action completed will generally be once the publication or resource has been updated, superseded or is otherwise no longer current.</p>	then destroy	
10.1.3		<p>Records relating to the drafting and production of published information resources or guidelines of limited ongoing evidentiary value e.g. where the publication is comprised of information drawn from other more substantial published resources, or information that is routinely updated, such as lists of allied health practitioners, brochures, etc. Includes final versions, substantial drafts, etc.</p> <p><b>Note:</b> Action completed will generally be once the publication or resource has been updated, superseded or is otherwise no longer current.</p>	Retain minimum of 5 years after action completed, then destroy	
11.0.0	<b>STAFF DEVELOPMENT</b>	<p>The function of encouraging staff to develop their skills and abilities (through activities, programs and events) to maximise their potential and increase their productivity. Includes identifying and implementing all aspects of training needs and programs (internal and external) available to employees.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STAFF DEVELOPMENT - Training</b> for training for non-accredited courses.</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>STAFF DEVELOPMENT - Training</i>				
11.1.0	<b>Training</b>	The activities associated with all aspects of training (external/internal) available to staff.		
11.1.1		Records relating to the accreditation of WorkCover to deliver externally accredited courses. For example, accreditation by Vocational Education and Training Accreditation Board (VETAB). Includes documentation related to inspections and audits for compliance for operation as a Registered Training Organisation (RTO).	Retain minimum of 5 years after accreditation or registration expires and records have been audited, then destroy	
11.1.2		Master records of student assessments for VETAB accredited courses for WorkCover personnel. Records could include competencies achieved, examination results, qualification issued.	Retain minimum of 30 years after action completed, then destroy	
11.1.3		Records relating to the provision of WorkCover-specific competency based training that results in a qualification the WorkCover employee is required to possess in order to perform their duties. For example, WorkCover inspector training. Records include presentations, manuals, speaker notes, reference material, master of handouts. Also all assessment material used to assess inspectors. Records could include guidelines, evidence guides, assessment tools etc.	Retain minimum of 5 years after action completed, then destroy	
12.0.0	<b>WORKERS COMPENSATION MANAGEMENT</b>	The functions of monitoring and regulating events, workplaces and insurers to ensure financial viability and efficient operation of the workers compensation and sporting		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Advice</i>				
		<p>injury insurance arrangements and ensure the efficient, effective and equitable compensation of persons injured at work and sporting events. Includes the licensing of insurers, promoting the appropriate standards of compensation, and protecting funds held in trust. To be used for compensation management of any affiliated fund or other fund managed by on behalf of WorkCover. For example, Sporting Injuries Fund, Bush Fire Fighters Compensation Fund, Emergency &amp; Rescue Workers' Compensation Fund, Uninsured Liability and Indemnity Scheme.</p> <p>See <b>FINANCIAL MANAGEMENT</b> for records relating to management of financial resources in relation to Workers Compensation including debt recovery, fund management and investment funds.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to committees that deal with workers compensation management for NSW. NB this does not relate to internal compensation committees for WorkCover staff.</p>		
12.1.0	<b>Advice</b>	<p>The activities associated with offering opinions by or to WorkCover as to an action or judgement. Also includes the process of advising.</p> <p>See <b>WORKERS COMPENSATION MANAGEMENT - Enquiries</b> for requests for information about services provided by WorkCover on workers compensation management issues. For example, request for application</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Advice</i>				
		<p>forms.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Advice</b> for records relating to legal advice from qualified legal advisors. For example, Crown Solicitor's Office.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Litigation</b> for professional witness statements provided by WorkCover as part of a non WorkCover case.</p>		
12.1.1		Records of precedent cases dealing with technical advice to clients on interpretation of Acts or Regulations.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
12.1.2		Records dealing with technical advice or assistance to clients on interpretation of the Acts or Regulations which is not precedent setting or other technical expertise provided to clients. Records include request from client, background research, liaison with other industry experts, response to client. For example, methods of compliance with a specific item of legislation.	Retain minimum of 15 years after action completed, then destroy	
12.1.3		Records relating to routine sporting or workers compensation management advice or assistance to clients where the advice or information already exists in published reports or guides. For example, requirements for workers compensation or advisory visits to employers or industry	Retain minimum of 7 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Advice</i>				
		groups.		
12.1.4		Response or comment on standards, etc.	Retain minimum of 3 years after action completed, then destroy	
12.2.0	<b>Agreements</b>	The processes associated with the establishment, negotiation, maintenance and review of agreements.  See <b>WORKERS COMPENSATION MANAGEMENT - Authorisation</b> for agreements relating to compensation payments.		
12.2.1		Memoranda of Understanding and other agreements with external organisations to perform services on behalf of WorkCover. For example, collect premiums or manage claims.	Retain minimum of 12 years after expiry or termination of agreement or minimum of 12 years after action completed, whichever is longer, then destroy	
12.2.2		Memoranda of Understanding and other agreements between WorkCover and external organisations. For example, industry sponsorship of small businesses, data matching probity checks to ensure claimant is not making two claims for the one injury, provision of confidential	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Appeals</i>				
		information for fraud related to workers compensation on individual cases.	after action completed, whichever is longer, then destroy	
12.3.0	<b>Appeals</b>	The activities involved in the process of appeals against decisions by application to a higher authority.		
12.3.1		Records relating to conciliation appeals including conciliation appeal records of the Workers Compensation Resolution Service. Records could include dispute form, statements, medical report, supporting documentation, investigation report, decision, etc.	Retain minimum of 7 years after action completed, then destroy	
12.3.2		Records relating to appeals made to WorkCover for a decision, or appeals to WorkCover against its actions or decisions. For example, records relating to appeals against insurance companies in regards to premiums, etc.	Retain minimum of 5 years after action completed, then destroy	
12.4.0	<b>Audit</b>	The activities associated with officially checking fiscal, quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.		
12.4.1		Final audit reports or findings on audits of specific workers compensation management issues, conducted across one or more industry sectors and resulting in substantial changes	Required as State archives	Retain minimum of 10 years after action completed,

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Audit</i>				
		to policy and procedures.		then transfer
12.4.2		Records relating to compliance audits of other organisations including self insurers, audits by Premium Discount Advisers etc; or audits of individuals including where serious failures to meet compliance requirements were identified.	Required as State archives	Retain minimum of 15 years after action completed, then transfer
12.4.3		<p>Records relating to compliance audits of other organisations including self insurers, audits by Premium Discount Advisers etc; or audits of individuals including where there were no serious deficiencies identified: Records include:</p> <ul style="list-style-type: none"> <li>- records of audit planning or liaison with organisation/ individual</li> <li>- minutes or notes of meetings</li> <li>- notes taken at interviews</li> <li>- correspondence</li> <li>- draft versions of reports containing significant changes/alterations or formally circulated for comment</li> <li>- final, approved versions of reports</li> <li>- records of remedial action.</li> </ul>	Retain minimum of 7 years after action completed, then destroy	
12.4.4		Records relating to requests from insurers for wage audit,	Retain minimum of 5 years after action	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Authorisation</i>				
		related correspondence and reports.	completed, then destroy	
12.5.0	<b>Authorisation</b>	<p>The process of seeking and granting permission to undertake requested action. Includes accrediting or authorising individuals or companies to undertake activities.</p> <p>See <b>WORKERS COMPENSATION MANAGEMENT - Audit</b> for records relating to audits of employers by Premium Discount Advisers. Records could include performance reviews, audit reports, correspondence etc.</p> <p>See <b>WORKERS COMPENSATION MANAGEMENT - Premiums - Projects and Programs</b> for records regarding development and administration of premium reduction programs.</p>		
12.5.1		Records relating to authorisation for settlement of common law claims. Records could include copies of claim, court outcome, statistics, etc.	Retain minimum of 7 years after action completed, then destroy	
12.5.2		Summary details of common law claims decisions maintained on system.	Retain minimum of 20 years after action completed, then destroy	
12.5.3		Records relating to applications for authorisation as a Premium Discount Adviser. Records could include application, supporting documentation, evaluation forms,	Retain minimum of 7 years after authorisation	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Authorisation</i>				
		insurance details, discount ratings, approval, correspondence, notice of cancellation etc.	expires, is withdrawn or refused, then destroy	
12.5.4		Registers of agreements of compensation where WorkCover authorises the agreement or is the primary source of the agreement. For example agreements of impairment, agreements for lump sum payments; and, agreements for increases to statutory maximums.	Retain minimum of 75 years after agreement registered, then destroy	
12.5.5		Copies of entries for registers of agreements of compensation generated by other agencies where WorkCover does not authorise the agreement and is not the primary source of the agreement. For example, determinations made by Workers Compensation Commission.	Retain until administrative or reference use ceases, then destroy	
12.5.6		Records relating to the authorisation of agreements for changes to standard claims amounts. For example, commutations, compensation for lump sum payouts for permanent disabilities or pain and suffering, authorisation of payouts to injured workers who have moved overseas and applications to increase statutory maximums where no register or summary record has been maintained.	Retain minimum of 75 years after action completed, then destroy	
12.5.7		Ancillary records relating to the authorisation of agreements for changes to standard claims amounts outside standard processes. For example, commutations, compensation for lump sum payouts for permanent disabilities or pain and	Retain minimum of 5 years after action completed, then	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Authorisation</i>				
		suffering, authorisation of payouts to injured workers who have moved overseas and applications to increase statutory maximums where adequate register or summary record is maintained. Includes applications where settlement was refused or discontinued.	destroy	
12.5.8		Records relating to policy holders who want their insurance policy prematurely cancelled for which WorkCover's approval is required. Section 157 (S157).	Retain minimum of 30 years after action completed, then destroy	
12.6.0	<b>Claims</b>	<p>The process of administering and managing claims lodged after an incident as compensation for injury, death or denial of rights of a person, or damage to or destruction of property. Includes claims for stolen or lost property.</p> <p>See <b>FINANCIAL MANAGEMENT - Fund Management</b> for records relating to the contribution of funds by insurers and management of the funds.</p> <p>See <b>WORKERS COMPENSATION MANAGEMENT - Investigations</b> for records relating to investigation into uninsured liability claims where the insurer details are found or claim is found to be fraudulent or is otherwise denied.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>FINANCIAL MANAGEMENT - Accounting</b> for all banking records relating to the collection and payment of monies regarding claims or funds.</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Claims</i>				
12.6.1		Claims for compensation from insurers who are no longer licensed. Includes registration of injuries form, supporting documentation.	Retain minimum of 10 years after action completed, then destroy	
12.6.2		Records relating to insurer claims for redemption payment from the Insurance Contribution Fund (ICF): Insurers notification of claim recovery on weekly compensation paid to a worker (CF1 Form). Claims for the difference between the statutory rate payable at the worker's date of injury and the current statutory rate (CF2 Form). Notification of any change in the CF1 Form details (CF3 Form). Lump sum redemption claim (CF4 form). ICF Assessment Sheets and associated accounting records.	Retain minimum of 7 years after action completed, then destroy	
12.6.3		Insurance Contribution Fund (ICF) registers including the ICF database system data.	Retain minimum of 30 years after action completed, then destroy	
12.6.4		Records relating to compensation claims for a person against an affiliated or other fund where an incident has resulted in serious personal injury or incapacity. Records could include claim, correspondence, proof of employment, pay slips, medical certificates, factual interviews, evidence of injury, circumstances of injury, court documents, payment details, etc. For example, claims from sporting injury schemes, uninsured liability schemes and volunteer schemes such as Bush Fire Fighter fund, Emergency and Rescue Services	Retain minimum of 75 years after date of birth or minimum of 7 years after action completed, whichever is longer, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Claims</i>				
		fund.		
12.6.5		Records relating to compensation claims for a person against an affiliated fund or other fund where an incident resulted in the death of a person or alternatively where an incident has not resulted in serious personal injury or incapacity. Records could include claim, correspondence, proof of employment, pay slips, medical certificates, factual interviews, evidence of injury, circumstances of injury, court documents, payment details, etc. For example, claims from sporting injury schemes, uninsured liability schemes and volunteer schemes such as Bush Fire Fighter fund, Emergency and Rescue Services fund, Work trial schemes.	Retain minimum of 30 years after action completed, then destroy	
12.6.6		Records relating to compensation for property damage against an affiliated fund. For example, claims from uninsured liability schemes and volunteer schemes.	Retain minimum of 7 years after action completed, then destroy	
12.6.7		Registers providing summary records of insurers, policies and compensation claim details including electronic systems.	Retain minimum of 100 years after date registered, then destroy	
12.6.8		General information and correspondence regarding claims regarding a fund for example uninsured workers, bushfire fighters and emergency service volunteers fund. Includes claims that were refused, withdrawn or discontinued. Records include advice on claims process and criteria, notification of office relocations, updates to contact details,	Retain minimum of 7 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Claims</i>				
		updates to bank details, liaison regarding balances owing.		
12.6.9		Records relating to development of claim reduction programs for workers and employers to assist in claims management, for example tail claims. Records include establishment and implementation of the project / program, invitations to participants, rating reviews, management of awards programs, advice about the closure of the project / program.	Retain minimum of 10 years after action completed, then destroy	
12.6.10		Records relating to operational or administrative support functions of projects and programs. Records include meeting notifications, arrangements, routine reports, related correspondence etc.	Retain minimum of 3 years after action completed, then destroy	
12.6.11		Records relating to the administration of a workers compensation claim where the claimant is either deceased or incapable of managing their finances. Records include social work visits to beneficiaries, copies of death, marriage and birth certificates, court awards, mortgage documents and requests for payment.	Retain minimum of 12 years after the funds of the Trust have been fully disbursed and/or revoked, then destroy. Where the matter involves a minor, retain a minimum of 12 years from completion date after the beneficiary has turned 18 or, if the matter	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Compliance</i>				
			completed before beneficiary has turned 18, retain a minimum of 12 years from date beneficiary attained 18, then destroy	
12.7.0	<b>Compliance</b>	The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which WorkCover sets. Includes compliance with legislation and with national and international standards.		
12.7.1		Records relating to breaches in advertising of work injury services by lawyers and agents and persons other than lawyers and agents. Records include correspondence with company, investigations, recommendations regarding further action.	Retain minimum of 5 years after action completed, then destroy	
12.7.2		Records relating to minor breaches or failures of service providers, employers, insurers etc to meet compliance requirements. Records include notices, correspondence with the entity, investigations, reports recommending further action.	Retain minimum of 3 years after action completed, then destroy	
12.7.3		Records relating to serious breaches or failures of service providers, employers, insurers etc to meet compliance requirements including records relating to penalties on insurers found to be negligent. Records include notices,	Retain minimum of 7 years after action completed, then	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Compliance</i>				
		correspondence with the entity, investigations, reports recommending further action.	destroy	
12.7.4		Records relating to exemptions from any of the provisions of the Regulations.	Retain minimum of 7 years after exemption expires, then destroy	
12.7.5		Notices or letters issued in regards to breaches of Acts or Regulations including notices to produce insurance policy (also known as Section 161).	Retain minimum of 3 years after action completed, then destroy	
12.8.0	<b>Enquiries</b>	<p>The activities associated with the handling of requests for information about WorkCover and its services by the general public or another organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INFORMATION MANAGEMENT - Cases</b> for records relating to requests for or decisions regarding access to or alteration of information under relevant legislation such as requests for workers compensation insurer details. For example, Freedom of Information (FOI), Government Information Public Access (GIPA), privacy or records legislation or legislation specific to WorkCover.</p>		
12.8.1		Records relating to enquiries for detailed or significant information about the compensation management activities carried out by WorkCover.	Retain minimum of 5 years after action completed, then	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Enquiries</i>				
		<b>Note:</b> Records relating to provision of advice to clients should be sentenced under Workers Compensation Management - Advice.	destroy	
12.8.2		Records relating to enquiries requesting routine information and requests for general information, including routine surveys about activities completed for WorkCover or by WorkCover. Also, notification of change of address, names and telephone numbers of contact officers and other routine information given out by organisations or individuals. Includes any publications listing WorkCover offices or routine information.	Retain minimum of 1 year after action completed, then destroy	
12.9.0	<b>Industry liaison</b>	<p>The activities associated with maintaining regular general contact between WorkCover and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, and collaborating on projects that are not joint ventures.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records of meetings with Industry Groups.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Enquiries</b> for records relating to general enquiries from industry groups regarding routine information about WorkCover and its services.</p>		

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Dates of coverage: c.1901+

No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Industry liaison</i>				
		<p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Liaison</b> for records relating to names and contact details of industry groups or their representatives kept for the purposes of referral etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records documenting the outcomes of consultation with industry regarding changes to legislation.</p>		
12.9.1		<p>Records of consultation with industry groups or stakeholders regarding proposed changes to or issues concerning potential impact on work health and safety policy or industry practices standards, regulation, including safety summits.</p> <p><b>Note:</b> Normal Administrative Practice: Duplicates should be used for staff copies of records relating to meetings with industry groups.</p>	Required as State archives	Retain minimum of 10 years after action completed, then transfer
12.9.2		Routine liaison between WorkCover and industry groups and other stakeholders including joint ventures regarding sporting or workers compensation initiatives. Records include records relating to maintenance of contact lists, advice regarding holidays, circulars advising of upcoming events.	Retain minimum of 5 years after action completed, then destroy	
12.10.0	<b>Investigations</b>	Investigations of sites, facilities, organisations or persons etc. as a result of a complaint, incident, accident or injury.		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Investigations</i>				
12.10.1		Records relating to complaints about insurers, agents, premiums, claims, uninsured employers, etc.	Retain minimum of 7 years after action completed, then destroy	
12.10.2		Registers or databases of complaints, including names of complainants and evaluation made by WorkCover.	Retain minimum of 30 years after action completed, then destroy	
12.10.3		Fraud investigation files where WorkCover conducts an investigation into fraudulent, or suspected fraudulent, activities relating to workers compensation that leads to criminal law prosecution. File could contain complaint form, investigation report, medical certificates, schedules of payment, brief of evidence, copies of surveillance tapes / photographs etc.	Retain minimum of 15 years after action completed, then destroy	
12.10.4		Fraud investigation files where WorkCover conducts an investigation into fraudulent, or suspected fraudulent, activities relating to workers compensation and the matter does not proceed to prosecution or leads to civil law prosecution. File could contain complaint form, investigation report, medical certificates, schedules of payment, brief of evidence, copies of surveillance tapes / photographs etc.	Retain minimum of 7 years after action completed, then destroy	
12.10.5		Investigation files where employers are under-insured or uninsured for workers compensation. Identified by name of employer being investigated. File could contain company	Retain minimum of 7 years after action completed, then	

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<i>WORKERS COMPENSATION MANAGEMENT - Investigations</i>				
		and trading details, witness statements, correspondence, copies of wage records, wage audit reports, complaints, investigation report, evidence, etc. Includes investigation of uninsured worker claims where the insurer details are found.	destroy	
12.10.6		Ancillary/supplementary, records, papers, background notes and reference materials that are used to prepare or complete an investigation report where the investigation has been finalised. Includes drafts, working papers and evidence unable to be returned to clients.	Retain until investigation or legal process is finalised, then destroy	
12.11.0	<b>Licensing</b>	<p>The activity of regulating the marketplace via granting or denying of licences, authorities etc to organisation to operate as a workers compensation insurance agent. For example, Domestic Insurers, Self Insurers, Former Insurers, Group Insurers and Specialised Insurers.</p> <p>See <b>WORKERS COMPENSATION MANAGEMENT - Audit</b> for records relating to audits of insurers etc.</p> <p>See <b>WORKERS COMPENSATION MANAGEMENT - Investigations</b> for records relating to investigation into complaints about insurance premiums, insurance company, etc.</p>		
12.11.1		Routine administrative matters regarding insurers. Records could include accounting returns prepared by insurers, statistical returns, consolidated financial statements prepared from these accounting returns, correspondence, etc. For example, administrative records from Domestic	Retain minimum of 5 years after action completed, then destroy	

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<i>WORKERS COMPENSATION MANAGEMENT - Licensing</i>				
		Insurers, Self Insurers, Former Insurers, Group Insurers and Specialised Insurers.		
12.11.2		Copies of injury management, rehabilitation and work health and safety programs and policies submitted by insurer's as supporting documentation required for issue or review of licences.	Required as State archives	
12.11.3		Copies of company documents (other than those relating to injury management, rehabilitation and work health and safety programs and policies) submitted by insurer's as supporting documentation required for issue or review of licences.	Retain until administrative or reference use ceases, then destroy	
12.11.4		All licence records regarding the licensing of insurers. Records could include application and renewals for insurer's licence, recommendations, reports, licence details, licence conditions etc. For example licences for Domestic Insurers, Self Insurers, Former Insurers, Group Insurers and Specialised Insurers.	Retain minimum of 15 years after licence, authority or agreement expires, lapses or is withdrawn or after action completed, whichever is the longer, then destroy	
12.11.5		Records relating to monitoring of insurer performance, including field visit documentation, report, recommendations, reviews etc.	Retain minimum of 5 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Licensing</i>				
12.11.6		Records relating to security deposits and bank guarantees. Records could include correspondence, accounts, copy of deed, etc.	Retain minimum of 5 years after superseded, then destroy	
12.11.7		Licence register or database. For example, register of all insurers, including licensed, former, specialised, self-insurers, etc.	Retain minimum of 30 years after action completed, then destroy	
12.11.8		Records relating to unsuccessful applications. File could contain application, annual reports, reports, correspondence, etc. Includes applications for group insurers, licensed insurers etc.	Retain minimum of 5 years after action completed, then destroy	
12.12.0	<b>Meetings</b>	<p>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 as a whole. Includes arrangements, agenda, taking of minutes etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for committee meetings.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Meetings</b> for records relating to routine general and section or unit meetings of employees and administrative arrangements for meetings.</p>		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Meetings</i>				
12.12.1		Records of meetings relating to operational matters and issues concerning general operational support functions. Records include agenda and minutes, advice and briefing papers.	Retain minimum of 5 years after action completed, then destroy	
12.13.0	<b>Planning</b>	The development of plans and strategies for the delivery of services, programs etc.  See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Planning</b> for records relating to the development and review of WorkCover's strategic, corporate or business plans.		
12.13.1		Records relating to planning of workers compensation or insurance activities. For example, plans for transferring policies between scheme agents. Includes the process of formulating ways in which objectives can be achieved and determinations of services, needs and solutions to those needs. Records include project plans, work schedules, resourcing decisions.	Retain minimum of 7 years after action completed, then destroy	
12.13.2		Routine organisational matters and operational support functions relating to the planning process. Records include meeting arrangements, requests for copies of plans, schedules for planning process.	Retain minimum of 3 years after action completed, then destroy	
12.14.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from		

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Policy</i>				
		which WorkCover's operating procedures are determined.		
12.14.1		Records relating to the establishment and development of policy in relation to the regulating of licensed insurers, or the provision of compensation cover for workers, sports people, uninsured workers and emergency or volunteer workers. Includes policy proposals, research papers, results of consultations, supporting reports and final documents.	Required as State archives	Retain minimum of 10 years after action completed, then transfer.  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
12.14.2		Ancillary records supporting the development of WorkCover policy. Includes working papers and drafts.	Retain minimum of 3 years after action completed, then destroy	
12.15.0	<b>Premiums</b>	The activity of setting, monitoring and collecting premium rates for insurance.  See <b>WORKERS COMPENSATION MANAGEMENT - Appeals</b> for complaints from employers disputing premiums assessed by their insurer.		
12.15.1		Records relating to the establishment and development of Approved Insurance Premium Orders, or similar, outlining the insurance premium rates set by WorkCover's actuaries	Required as State archives	Retain minimum of 10 years after action completed,

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Premiums</i>				
		and performance monitoring actuarial reports.		then transfer
12.15.2		Reference cards showing the calculation of premiums by the Insurance Premiums Committee for the period 1951 - 1964.	Required as State archives	Retain minimum of 10 years after action completed, then transfer
12.15.3		Records relating to an organisation's participation in an Insurance Scheme administered by WorkCover. For example NSW Sporting Injuries Insurance Scheme. Records could include application form, correspondence, premium notices and receipts, annual notices.	Retain minimum of 7 years after participation expires, lapses or is withdrawn, then destroy	
12.15.4		Registers of an organisation's participation in an Insurance Scheme administered by WorkCover. For example NSW Sporting Injuries Insurance Scheme.	Retain minimum of 30 years after action completed, then destroy	
12.15.5		Records relating to development of premium reduction programs for workers and employers to assist in reduction of premiums includes judging of awards, premium discount scheme, premium discount advisers, small business strategy programs. Records include establishment and implementation of the project / program, invitations to participants, rating reviews, management of awards programs, advice about the closure of the project / program.	Retain minimum of 10 years after action completed, then destroy	
12.15.6		Records relating to operational or administrative support functions of projects and programs. Records include meeting	Retain minimum of 3 years after action	

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<i>WORKERS COMPENSATION MANAGEMENT - Premiums</i>				
		notifications, arrangements, routine reports, related correspondence etc.	completed, then destroy	
12.15.7		Working papers for Insurance Premium Order, or similar.	Retain until administrative or reference use ceases, then destroy	
12.16.0	<b>Procedures</b>	<p>Standard methods of operating laid down by an organisation according to formulated policy.</p> <p>See <b>WORKERS COMPENSATION MANAGEMENT - Policy</b> for establishment and development of policy in relation to the regulating of licensed insurers, or the provision of compensation cover for sports people, uninsured workers and emergency or volunteer workers.</p> <p>See <b>WORKERS COMPENSATION MANAGEMENT - Standards</b> for guidelines issued by WorkCover to external parties.</p>		
12.16.1		Procedures relating to the conduct of regulatory activities and associated operational processes e.g. procedures for inspectors relating to authority, powers or requirements for the conduct of investigations, enforcement processes, prosecutions, handling or dealing with clients, information and project management etc. Includes records relating to the development and review of procedures and final	Required as State archives	Retain minimum of 5 years after reference use ceases, then transfer

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<i>WORKERS COMPENSATION MANAGEMENT - Procedures</i>				
		approved versions of manuals, handbooks and directives.		
12.16.2		Procedures relating to administrative processes supporting the conduct of operations and activities e.g. procedures on how to enter license details into a database, work computer software, how to report, etc. Includes records relating to the development and review of procedures and final approved versions of manuals, handbooks and directives.	Retain minimum of 5 years after superseded, then destroy	
12.17.0	<b>Reporting</b>	<p>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.</p> <p>See <b>FINANCIAL MANAGEMENT - Reporting</b> for audit reports by consulting actuaries relating to financial aspects of the Workers Compensation Scheme.</p>		
12.17.1		Detailed comprehensive reports that contain major, detailed recommendations or have a significant impact on policies for WorkCover or industry as a whole.	Required as State archives	<p>Retain minimum of 10 years after action completed, then transfer</p> <p><b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference</p>

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Reporting</i>				
				purposes
12.17.2		All reports on the monitoring of insurers, group insurers, specialised insurers, agents and self-insurers in areas of claims, underwriting, credit control, premiums, etc.	Retain minimum of 7 years after action completed, then destroy	
12.17.3		Reports having an impact on business unit operations, but having minor impact on WorkCover's policies or procedures.	Retain minimum of 5 years after action completed, then destroy	
12.17.4		Routine or periodic reports or returns and related records including statistical reports and ad hoc reports generated from databases.	Retain minimum of 3 years after action completed, then destroy	
12.18.0	<b>Research</b>	The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc., and the business activities of WorkCover in general.  See <b>COMMUNITY RELATIONS - Grant funding</b> for final reports or summaries of findings of research projects initiated through the grants scheme.		
12.18.1		Final reports or summary of findings of major research projects managed or carried out by WorkCover i.e. projects that are approved by the Chief Executive Officer or the	Required as State archives	Retain minimum of 10 years after action completed,

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<i>WORKERS COMPENSATION MANAGEMENT - Research</i>				
		Executive. Records could include profile, report, summary of findings, final report, etc. For example, statistics bulletin.		then transfer  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
12.18.2		Working papers and administrative records of major research projects managed or carried out by WorkCover. Records include background notes and reference materials.	Retain minimum of 5 years after action completed, then destroy	
12.18.3		Final reports or summary of findings of other projects managed by or carried out by WorkCover. Records could include profile, report, summary of findings, final report, etc.	Retain minimum of 10 years after action completed, then destroy	
12.18.4		Working papers and administrative records of projects managed or carried out by WorkCover, other than major projects. Records include background notes and reference materials.	Retain minimum of 3 years after action completed, then destroy	
12.19.0	<b>Standards</b>	The development of industry standards, codes of practice etc.		
12.19.1		Final versions of standards, codes of practice and industry guidelines developed by WorkCover.	Required as State archives	Retain minimum of 10 years after action completed,

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<i>WORKERS COMPENSATION MANAGEMENT - Standards</i>				
				then transfer  <b>Note:</b> At least one copy of item must also be forwarded to the WorkCover library for reference purposes
12.19.2		The formulation and implementation of guidelines or standards on sporting or workers compensation management for insurers, employers etc. Includes standards and data quality for data being submitted to WorkCover.	Retain minimum of 3 years after action completed, then destroy	
12.20.0	<b>Tendering</b>	The activities involved in receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods, or for the production of work.  See <b>WORKERS COMPENSATION MANAGEMENT - Agreements</b> for records relating to contracts resulting from tenders and supporting records.  See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Submissions</b> for final submissions and reports regarding tender process.		
12.20.1		Records relating to the development, issue, evaluation and review of tenders for services of government-wide impact.	Retain minimum of 12 years after	

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No	Function/Activity	Description	Disposal Action	Custody*
<i>WORKERS COMPENSATION MANAGEMENT - Tendering</i>				
		For example, tenders for insurance or workers compensation for the whole of government. Includes records of planning for the tender, minutes or notes of meetings, Statements of Requirements, Requests for Proposals, Expressions of Interest, Requests for Tender (RFT), draft contracts, records of arrangements for carrying out the evaluation process, evaluation reports, recommendations, final reports, public notices, records of post offer negotiations, records of due diligence checks.	tender process completed, then destroy	
12.20.2		Records relating to unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Records include:  -submissions  -notifications of outcome  -reports on debriefing sessions.	Retain minimum of 3 years after action completed, then destroy	
12.20.3		Summary records created to facilitate the management of contracts or tenders. For example, contract registers, tender registers.	Retain minimum of 7 years after action completed, then destroy	
12.21.0	<b>Training</b>	The activities associated with all aspects of developing and organising of training courses relating to workers compensation, including training provided by WorkCover for external persons.		

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<i>WORKERS COMPENSATION MANAGEMENT - Training</i>				
12.21.1		Records relating to the assessment, approval and review of externally developed training courses. Records could include submissions, course documentation, approval, updates, correspondence, copies of qualifications, copy of training packages, etc.	Retain minimum of 7 years after action completed, then destroy	
12.21.2		Records relating to the development of courses, training packages and programs of study for external clients.	Retain minimum of 10 years after action completed, then destroy	
12.21.3		Records of enrolment and attendance of external clients at training sessions.	Retain minimum of 7 years after action completed, then destroy	
12.21.4		Records relating to operational support functions for training matters and administrative arrangements for conducting training courses. Records include venue bookings, records of equipment hire, catering and travel arrangements, applications and confirmation of attendance for training sessions that did not proceed.	Retain until administrative or reference use ceases, then destroy	

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