

# **State Archives and Records Authority of New South Wales**

## **General Retention and Disposal Authority: GA28**

This authority covers records documenting the function of common administrative records created and maintained by New South Wales Public Offices

This general 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 Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.

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**General Retention and Disposal Authority**  
**Common administrative records created and maintained by New**  
**South Wales Public Offices**

**Authority number: GA28**

**Dates of coverage: 1940+**

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*OCCUPATIONAL HEALTH & SAFETY - Accidents*

### 14.0.0 OCCUPATIONAL HEALTH & SAFETY

The function of implementing and coordinating work health and safety and associated legislation throughout the organisation. Includes developing safety policies and monitoring safe work practices, procedures and preventative measures. Also includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

See **LEGAL SERVICES - Litigation** for records relating to prosecutions of the organisation for breaches of legislation or regulations.

See **STAFF DEVELOPMENT - Training** for records relating to the training of employees in occupational health and safety issues.

#### 14.1.0 Accidents

The activities involved with dealing with mishaps causing injury or damage. Includes damage or injury to the organisation's property or to employees incurred while coming to, at, or leaving work, or to the general public or visitors while on the organisation's premises. Also includes measures to prevent incidents occurring.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees, or claims for the damage or destruction of personal property caused by an incident.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of occupational health and safety hazards (which may or may not have resulted in accidents or incidents).

See **PERSONNEL - Advice** for records relating to the rehabilitation of employees where the rehabilitation is not related to a compensation claim.

14.1.1	<p>Records relating to incidents that result in serious personal injury or incapacity to employees. Records include:</p> <ul style="list-style-type: none"> <li>• incident/injury records, e.g. incident/accident report forms</li> <li>• notifications to insurer</li> <li>• records of investigation by the organisation into incident</li> <li>• details of notifications to WorkCover NSW of incident</li> <li>• copies of investigation reports by Police, WorkCover NSW inspectors etc into incident.</li> </ul> <p>See 14.1.6 for registers of injuries.</p> <p><b>Note:</b> Records may be required for compensation claims which can potentially be lodged at any time during the lifetime of the claimant. Retention period is intended to cover potential life expectancy of claimants. Consideration may need to be given to</p>	<p>Retain minimum of 75 years after action completed, then destroy</p>
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<i>OCCUPATIONAL HEALTH &amp; SAFETY - Accidents</i>		
	retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.	
14.1.2	<p>Records relating to incidents that results in the death of employees. Records include:</p> <ul style="list-style-type: none"> <li>• incident records, e.g. incident/accident report forms</li> <li>• notifications to insurer</li> <li>• records of investigation by the organisation into incident</li> <li>• details of notifications to WorkCover NSW of incident</li> <li>• copies of investigation reports by Police, WorkCover NSW inspectors etc into incident.</li> </ul> <p>See 14.1.6 for registers of injuries.</p>	Retain minimum of 25 years after date of death or minimum of 7 years after action completed, whichever is longer, then destroy
14.1.3	<p>Records relating to incidents involving employees that do <b>not</b> result in death, serious personal injury or incapacity to employees. Records include:</p> <ul style="list-style-type: none"> <li>• incident/injury records</li> <li>• notifications to insurer</li> <li>• records of investigation by organisation/WorkCover NSW into incident.</li> </ul> <p>See 14.1.6 for registers of injuries.</p> <p><b>Note:</b> A compensation claim can potentially be lodged at any time in the lifetime of the claimant, but it is likely to occur within the retention period. Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.</p>	Retain minimum of 25 years after action completed, then destroy
14.1.4	<p>Records relating to incidents involving members of the public, including work experience students and volunteers or other persons who are not employees. Records include:</p> <ul style="list-style-type: none"> <li>• incident/injury records</li> <li>• notifications to insurer</li> <li>• records of investigation by organisation/WorkCover NSW into incident.</li> </ul> <p>See 14.1.6 for registers of injuries.</p>	Retain minimum of 15 years after action completed or until expiry of statutory limitation periods, whichever is longer, then destroy

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### OCCUPATIONAL HEALTH & SAFETY - Accidents

	<p><b>Note:</b> Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.</p>	
14.1.5	<p>Records relating to the provision of first aid treatment. Records include:</p> <ul style="list-style-type: none"> <li>• first aid registers</li> <li>• forms/records detailing treatment given.</li> </ul> <p>See 14.1.1-4 in cases where first aid treatment is documented together with incident/injury records.</p> <p>See 14.1.6 where first aid registers function as the equivalent of registers of injuries.</p> <p><b>Note:</b> With paper-based registers, retain minimum of 5 years after last entry in the register. With electronic registers, retain minimum of 5 years after last update or amendment to an entry, or after data has become obsolete, then destroy. Consideration may need to be given to retaining these records longer in some circumstances if the record is potentially the only record of the occurrence of an injury.</p>	Retain minimum of 5 years after action completed, then destroy
14.1.6	<p>Registers of injuries.</p> <p><b>Note:</b> With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 75 years after action completed, then destroy
14.1.7	<p>Copies or details of records of all incidents and/or hazards in an organisation kept or compiled together for occupational health and safety assessment or monitoring purposes.</p> <p>See 14.1.6 for registers of injuries.</p> <p><b>Note:</b> Ensure records of incidents relevant to a claim are retained on OCCUPATIONAL HEALTH AND SAFETY - ACCIDENTS and COMPENSATION - CLAIMS files.</p>	Retain until administrative or reference use ceases, then destroy

### Agreements

See **CONTRACTING-OUT** for records relating to the acquisition of services, e.g. medical practitioners, contractors for Employee Assistance Program, Critical Incident Support Program etc, through a contracting-out or outsourcing process.

See **PERSONNEL - Employee service history** for records relating to providers of occupational health and safety services who are hired as employees of the organisation.

See **TENDERING** for records relating to receiving and assessing tenders.

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*OCCUPATIONAL HEALTH & SAFETY - Appeals*

### 14.2.0 Appeals

The activities involved in the process of appealing against decisions by application to a higher authority.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees.

See **LEGAL SERVICES - Advice** for records relating to legal advice received by the organisation on the conduct of an appeal.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to applications to WorkCover NSW for a review of notices with regard to breaches or non-compliance with occupational health and safety legislation.

14.2.1	<p>Records relating to an appeal made by the organisation to the Administrative Decisions Tribunal for review of a decision made under health and safety legislation. Records include:</p> <ul style="list-style-type: none"> <li>• copies of applications to the Administrative Decisions Tribunal</li> <li>• copies of proceedings/notifications of outcome of Tribunal decisions</li> <li>• correspondence with the Tribunal.</li> </ul>	Retain minimum of 5 years after action completed, then destroy
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### 14.3.0 Audit

The activities associated with officially checking 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.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to complying with occupational health and safety standards and requirements.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections undertaken for occupational health and safety reasons.

See **STRATEGIC MANAGEMENT - Audit** for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.

14.3.1	<p>Records relating to audits of the organisation's work health and safety management systems or processes. Records include:</p> <ul style="list-style-type: none"> <li>• records of audit planning or liaison with auditing body</li> <li>• minutes or notes of meetings</li> <li>• notes taken at interviews</li> </ul>	Retain minimum of 6 years after action completed, then destroy
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### OCCUPATIONAL HEALTH & SAFETY - Audit

	<ul style="list-style-type: none"><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> <p><b>Note:</b> If serious deficiencies are identified during audits, longer retention may be required, particularly if records include documentation of remedial action undertaken.</p>	
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### Cases

See **COMPENSATION - Claims** for records relating to claims for compensation by a member of the public and for records relating to managing claims for the damage or destruction of property caused by an incident.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections undertaken for occupational health and safety reasons.

See General Retention and Disposal Authority *Personnel records* **Personnel - Employment conditions** for records relating to an employee's employment at a place identified as containing a hazardous substance.

### Claims

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees, or claims for the damage or destruction of personal property caused by an incident.

### Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of internal committees which form part of consultative arrangements with staff regarding working conditions, including occupational health and safety committees.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections carried out by occupational health and safety committees or representatives.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to risk assessments done by occupational health and safety committees.

See **STAFF DEVELOPMENT - Training** for records relating to the training of committee members and representatives.

### 14.4.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor the compliance of



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### *OCCUPATIONAL HEALTH & SAFETY - Compliance*

other organisations with policies, standards, legislative or regulatory requirements relating to occupational health and safety etc, e.g. WorkCover NSW.

See **COMMITTEES** for records relating to occupational health and safety committees.

See **EQUIPMENT & STORES - Compliance** for records relating to registering, licensing or obtaining permits for the use of equipment and plant.

See **LEGAL SERVICES - Advice** for records relating to legal advice sought and received.

See **OCCUPATIONAL HEALTH & SAFETY - Representatives** for records relating to the election of occupational health and safety representatives, including committee members, or the appointment, resignation and termination of first aid officers, fire wardens and safety officers.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the identification, assessment and management of occupational health and safety hazards risks and hazards.

See **PERSONNEL - Employee service history** for records relating to copies of qualifications, certificates of competency, statements of attainment etc when they relate to occupational health and safety training or where required by individual employees as part of employment conditions or to perform their duties.

14.4.1	<p>Records relating to the licensing or registration process for a business, substance, place or type of work involving contact with toxic or hazardous materials. Records include:</p> <ul style="list-style-type: none"> <li>• applications for, renewals, cancellations or details regarding suspension of permits, licences, certificates of registration</li> <li>• copies of permits, licences, certificates of registration</li> <li>• conditions of registration or licensing</li> <li>• applications for review of decisions regarding registration or licensing.</li> </ul> <p><b>Note:</b> The existence of permits, authorisations etc may be relevant to compensation claims which can be lodged at any time within the lifetime of the claimant.</p>	Retain minimum of 75 years after action completed, then destroy
14.4.2	<p>Records relating to the licensing or registration process for a business, substance, place or type of work <b>not</b> involving contact with hazardous or toxic materials. Records include:</p> <ul style="list-style-type: none"> <li>• applications for, renewals, cancellations or details regarding suspension of permits, licences, certificates of registration</li> <li>• receipt for payment of fees (if relevant)</li> <li>• copies of permits, licences, certificates of registration</li> </ul>	Retain minimum of 7 years after licence, permit or certificate of registration expires or is terminated, then destroy

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	<ul style="list-style-type: none"> <li>• conditions of registration or licensing</li> <li>• applications for review of decisions regarding registration or licensing.</li> </ul> <p><b>Note:</b> The existence of permits etc may be relevant to compensation claims, and in these cases should be copied and kept with records of the claim.</p>	
14.4.3	<p>Records relating to health surveillance of employees exposed or at risk of exposure to hazardous or carcinogenic substances or conditions, including asbestos or cytotoxins and lead. Records include:</p> <ul style="list-style-type: none"> <li>• details of employee/s exposed to or at risk of exposure to hazardous or carcinogenic substances or conditions</li> <li>• notifications to WorkCover NSW by employer of intention to carry out work that involves the use of carcinogenic substances or lead risk work or other notifications as required</li> <li>• reports of outcomes of medical examinations to determine exposure or monitor the effects of exposure on an ongoing basis</li> <li>• copies of written statements to employees regarding exposure when they cease employment.</li> </ul>	Retain minimum of 75 years after action completed, then destroy
14.4.4	<p>Hazardous substances registers (including asbestos registers) identifying substance properties and details of their condition.</p> <p><b>Note:</b> With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p> <p>See <b>OCCUPATIONAL HEALTH &amp; SAFETY - Health promotion</b> for records relating to material safety data sheets (MSDS).</p>	Retain minimum of 75 years after action completed, then destroy
14.4.5	<p>Records relating to entry and work permits for access to confined spaces. Records include:</p> <ul style="list-style-type: none"> <li>• requests for access</li> <li>• entry and work permits.</li> </ul> <p><b>Note:</b> Longer retention may be required for these records if continuing monitoring or health surveillance is required.</p>	Retain minimum of 1 month after return of confined space to service, then destroy
14.4.6	<p>Records relating to compliance with court orders or notices issued by regulatory bodies in connection with</p>	Retain minimum of 10 years after

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	work health and safety breaches. Records include: <ul style="list-style-type: none"> <li>• notices or court orders, e.g. provisional improvement notices (PINS), court orders to publicise or notify offences or to commence a specified project</li> <li>• records of compliance with orders or notices</li> <li>• records of reporting on compliance.</li> </ul>	action completed, then destroy
14.4.7	Records relating to drug and alcohol testing of employees. Records include: <ul style="list-style-type: none"> <li>• sample collection forms</li> <li>• laboratory reports and statements.</li> </ul> See <b>PERSONNEL - Recruitment</b> or records relating to drug and alcohol testing conducted as part of pre-employment requirements.	Retain a minimum of 7 years after action completed, then destroy, or retain in accordance with any agreements relating to testing of staff.

### Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services, e.g. medical practitioners, contractors for Employee Assistance Program, Critical Incident Support Program etc, through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

### 14.5.0 Health promotion

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

**Note:** For public health organisations, records relating to the provision of clinical treatment and care to staff (i.e. treatment records of employees) constitute the primary health care record and their retention and disposal should be in accordance with the *General retention and disposal authority: public health services - patient/client records*. If the patient/client record also documents an employee's health assessment and screening outcomes or vaccinations required for occupational purposes and this information is not recorded and maintained elsewhere then the records should be retained as per the requirements for health promotion records relating to an individual employee (see entry 14.5.5).

See **EQUIPMENT & STORES - Maintenance** for records relating to the maintenance of equipment and stores, e.g. the replenishment of first aid kits.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to monitoring employee exposure to hazardous and carcinogenic substances or conditions.

14.5.1	Records relating to the promotion of safe work practices including notices, posters and promotional materials and records of their distribution.  See <b>PUBLICATION - Production</b> for records relating to the design, layout, printing etc of health promotion	Retain until administrative or reference use ceases, then destroy
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### *OCCUPATIONAL HEALTH & SAFETY - Health promotion*

	materials.	
14.5.2	Information sheets etc detailing hazards associated with the use of materials and first aid instructions maintained for reference or safety instruction, e.g. material safety data sheets (MSDS).	Retain until materials are disposed of, then destroy
14.5.3	Summary details of materials safety information maintained by the organisation, e.g. material safety data sheets (MSDS) registers.  <b>Note:</b> With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 75 years after action completed, then destroy
14.5.4	Records relating to the management and administration of programs to promote a healthy working environment, such as routine immunisation and health monitoring programs.	Retain minimum of 7 years after action completed, then destroy
14.5.5	Health promotion records relating to an individual employee, including: <ul style="list-style-type: none"> <li>• reports of health monitoring or notifications or certificates of immunisation or vaccination</li> <li>• reports/notifications of outcomes of medical examinations to determine fitness for duty.</li> </ul> See <b>PERSONNEL - Recruitment</b> for records relating to medical examinations performed for recruitment purposes.	Retain minimum of 7 years after employment ceases, then destroy

### **14.6.0 Inspections**

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

See the organisation's functional retention and disposal authority for records relating to inspections if a function of the organisation is to conduct work health and safety inspections of other organisations.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to investigations involving the organisation conducted by external bodies.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to inspections or investigations undertaken in response to an incident.

See **OCCUPATIONAL HEALTH & SAFETY - Audit** for records relating to formal occupational health and safety audits.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for hazardous substances registers.

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### *OCCUPATIONAL HEALTH & SAFETY - Inspections*

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the monitoring of atmospheric contaminants.

14.6.1	<p>Records relating to routinely conducted inspections of hazardous substances in the workplace to ensure or check compliance with regulations, standards etc for their management and use.</p> <p>See <b>PROPERTY MANAGEMENT - Inspections</b> for records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land.</p>	Retain minimum of 75 years after action completed, then destroy
14.6.2	<p>Records relating to routinely conducted workplace inspections undertaken either by the organisation or employee representatives to identify and monitor occupational health and safety risks or hazards. Records include:</p> <ul style="list-style-type: none"> <li>• notes of inspection</li> <li>• records of liaison with WorkCover NSW</li> <li>• records relating to complaints about the way an investigation was carried out</li> <li>• details of remedial action undertaken.</li> </ul>	Retain minimum of 7 years after action completed, then destroy

## Meetings

See the relevant function/activity for records relating to meetings that are held as part of the management or conduct of those activities or processes, e.g. use OCCUPATIONAL HEALTH & SAFETY – PLANNING for records relating to meetings held for planning purposes, e.g. use OCCUPATIONAL HEALTH & SAFETY – RISK MANAGEMENT for records relating to meetings with occupational health and safety representatives concerning the management of risks or hazards.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc, including occupational health and safety committees.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

### 14.7.0 Planning

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

See **OCCUPATIONAL HEALTH & SAFETY - Procedures** for records relating to evacuation procedures.

See **STRATEGIC MANAGEMENT - Planning** for records relating to corporate and business planning which defines broad occupational health and safety objectives and targets.

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### *OCCUPATIONAL HEALTH & SAFETY - Planning*

14.7.1	Final, approved versions of the organisation's work health and safety plans, e.g. asbestos management, emergency evacuation and medical evacuation plans etc, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 5 years after plan is superseded, then destroy
14.7.2	Records relating to the development and review of the organisation's work health and safety plans, e.g. asbestos management, emergency evacuation and medical evacuation plans etc. Records include: <ul style="list-style-type: none"> <li>• background research</li> <li>• draft versions of plans containing significant changes/alterations or formally circulated for comment</li> <li>• notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.</li> </ul>	Retain minimum of 5 years after action completed, then destroy

### **14.8.0 Policy**

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 the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to complying with occupational health and safety standards and requirements.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

14.8.1	Final, approved versions of policies relating to specific work health and safety tasks and practices, e.g. policies on the management of hazardous materials, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Retain minimum of 75 years after policy is superseded, then destroy
14.8.2	Final, approved versions of policies relating to work	Retain minimum of

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### OCCUPATIONAL HEALTH & SAFETY - Policy

	<p>health and safety programs, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.</p> <p><b>Note:</b> Evidence of policies in place at a particular time may be of relevance for future claims or legal action involving the organisation. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of policies need to be retained for longer periods.</p>	<p>5 years after policy is superseded, then destroy</p>
14.8.3	<p>Records relating to the development and review of the organisation's work health and safety policies. Records include:</p> <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• background research</li> <li>• records of consultations</li> <li>• draft versions of policies containing significant changes/alterations or formally circulated for comment</li> <li>• reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.</li> </ul>	<p>Retain minimum of 5 years after action completed, then destroy</p>

### 14.9.0 Procedures

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

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

14.9.1	<p>Final, approved versions of procedures relating to specific work health and safety tasks and practices, e.g. procedures on the management of hazardous materials, safe work method statements (SWMS), and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.</p>	<p>Retain minimum of 75 years after procedures are superseded, then destroy</p>
14.9.2	<p>Final, approved versions of procedures relating to work health and safety programs, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.</p> <p><b>Note:</b> Evidence of procedures in place at a particular time may be of relevance for future claims or legal action involving the organisation. Organisations should</p>	<p>Retain minimum of 5 years after procedures are superseded, then destroy</p>

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### *OCCUPATIONAL HEALTH & SAFETY - Procedures*

	consider known or potential risks, which may be identified in risk assessments, when deciding if records of procedures need to be retained for longer periods.	
14.9.3	<p>Records relating to the development and review of the organisation's work health and safety procedures. Records include:</p> <ul style="list-style-type: none"> <li>• background research</li> <li>• records of consultations</li> <li>• draft versions of procedures containing significant changes/alterations or formally circulated for comment</li> <li>• reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.</li> </ul>	Retain minimum of 5 years after action completed, then destroy

### **14.10.0 Reporting**

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **COMMITTEES** for records relating to reports developed by occupational health and safety committees and representatives.

See **GOVERNMENT RELATIONS - Reporting** for records relating to reporting on prosecutions under the Occupational Health and Safety Act, and on performance indicators, activities and awards relating to occupational health and safety in annual reports.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to internal incident reports and reports to WorkCover NSW and other relevant authorities.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to reports on routine inspections carried out by committees, representatives etc.

14.10.1	<p>Records relating to formal internal and external reports regarding work health and safety programs and practices. Records include:</p> <ul style="list-style-type: none"> <li>• background research</li> <li>• draft versions of reports containing significant changes/alterations or formally circulated for comment</li> <li>• final, approved versions of reports.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
14.10.2	Records relating to internal periodic reports on general administrative matters used to monitor and document recurring activities to support work health and safety programs and practices, e.g. lost time injury statistics.	Retain minimum of 3 years after action completed, then destroy



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### *OCCUPATIONAL HEALTH & SAFETY - Reporting*

	Records include: <ul style="list-style-type: none"> <li>• background research</li> <li>• draft versions of reports containing significant changes/alterations or formally circulated for comment</li> <li>• final, approved versions of reports.</li> </ul>	
14.10.3	Records relating to statistical information and survey responses on work health & safety forwarded to external sources, e.g. Australian Bureau of Statistics. Records include copies of returns, related correspondence.	Retain minimum of 2 years after action completed, then destroy

### **14.11.0 Representatives**

The activities associated with the election of personnel appointed by the organisation or their co-workers as official work health and safety representatives or committee members, and the nomination, appointment, resignation or termination of fire wardens, first aid officers or safety officers.

See **COMMITTEES** for records relating to the nomination, appointment, resignation or termination of work health and safety representatives or minutes of meetings of occupational health and safety committees and representatives.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections carried out by work health and safety representatives.

See **STAFF DEVELOPMENT - Training** for records relating to the training of representatives as required under occupational health and safety legislation.

14.11.1	Records relating to the election of work health and safety representatives to committees and/or to act independently. Records include: <ul style="list-style-type: none"> <li>• ballot papers</li> <li>• nominations.</li> </ul>	Retain minimum of 2 years after election is finalised, then destroy
14.11.2	Records relating to the nomination, appointment, resignation and termination of first aid officers, fire wardens and safety officers. Records include: <ul style="list-style-type: none"> <li>• letters of appointment</li> <li>• details of roles and responsibilities</li> <li>• letters of resignation.</li> </ul>	Retain minimum of 1 year after appointment lapses, then destroy

### **Research**

See the relevant function/activity for records relating to background research undertaken when developing particular products, e.g. use OCCUPATIONAL HEALTH & SAFETY – PLANNING, OCCUPATIONAL HEALTH & SAFETY – POLICY or OCCUPATIONAL HEALTH &

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### *OCCUPATIONAL HEALTH & SAFETY - Reviewing*

SAFETY – PROCEDURES for records relating to background research for the development and review of plans, policies or procedures.

#### **14.12.0 Reviewing**

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **OCCUPATIONAL HEALTH & SAFETY - Audit** for records relating to system wide or individual audits of occupational health and safety performance.

See **OCCUPATIONAL HEALTH & SAFETY - Planning** for records relating to the review of occupational health and safety plans.

See **OCCUPATIONAL HEALTH & SAFETY - Policy** for records relating to the review of occupational health and safety policies.

See **OCCUPATIONAL HEALTH & SAFETY - Procedures** or records relating to the review of occupational health and safety procedures.

14.12.1	Records relating to the review of work health and safety programs and services. Records include: <ul style="list-style-type: none"> <li>• records setting review parameters</li> <li>• analyses of injury and illness data, hazard and incident reports, notifications and accident investigation outcomes to establish trends</li> <li>• measurements and reviews of performance against performance indicators</li> <li>• reports on review and recommendations.</li> </ul>	Retain minimum of 5 years after action completed, then destroy
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#### **14.13.0 Risk management**

The process involving the identification of risks and hazards, and the implementation of appropriate practices and procedures to reduce the number and/or severity of incidents and the impact of incidents on the organisation.

See **OCCUPATIONAL HEALTH & SAFETY - Planning** for records relating to medical evacuation plans/emergency evacuation plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic business continuity/counter disaster planning for the organisation.

14.13.1	Records relating to risk management of work health and safety hazards where risk assessments indicate risk to employees and where health surveillance and/or monitoring of employees are necessary, and where the severity of risk is high. Records include: <ul style="list-style-type: none"> <li>• records identifying and assessing hazards and risks associated with them including hazard</li> </ul>	Retain minimum of 75 years after action completed, then destroy
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*OCCUPATIONAL HEALTH & SAFETY - Risk management*

	<p>reports</p> <ul style="list-style-type: none"> <li>• reviews of relevant health and safety information related to hazards/risks</li> <li>• records of decisions and reports developed to eliminate or control risks, e.g. health surveillance, changes to facilities, systems or methods of work or plan or substances used for work</li> <li>• reviews of hazards/risks</li> <li>• records of consultation with committees/representatives and affected employees on hazards/risks.</li> </ul>	
14.13.2	<p>Records relating to risk management of work health and safety hazards where risk assessments indicate risk to employees and where ongoing health surveillance and/or monitoring of employees are necessary, but where the severity of risk is low. Records include:</p> <ul style="list-style-type: none"> <li>• records identifying and assessing hazards and risks associated with them including hazard reports</li> <li>• reviews of relevant health and safety information related to hazards/risks</li> <li>• records of decisions and reports developed to eliminate or control risks, e.g. health surveillance, changes to facilities, systems or methods of work or plans or substances used for work</li> <li>• reviews of hazards/risks</li> <li>• records of consultation with committees/representatives and affected employees on hazards/risks.</li> </ul>	Retain minimum of 40 years after action completed or until expiry of statutory limitation periods, whichever is longer, then destroy
14.13.3	<p>Records relating to risk management of work health and safety hazards where risk assessments indicate minimal or no risk to employees and where health surveillance and/or monitoring is <b>not</b> required. Records include:</p> <ul style="list-style-type: none"> <li>• records identifying and assessing hazards and risks associated with them including hazard reports</li> <li>• reviews of relevant health and safety information related to hazards/risks</li> </ul>	Retain minimum of 5 years after action completed, then destroy

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### *OCCUPATIONAL HEALTH & SAFETY - Risk management*

	<ul style="list-style-type: none"> <li>• reviews of hazards/risks</li> <li>• records of consultation with committees/representatives and affected employees on hazards/risks.</li> </ul>	
14.13.4	<p>Records relating to the monitoring of atmospheric contaminants when a risk assessment indicates that it should be undertaken.</p> <p>See <b>OCCUPATIONAL HEALTH &amp; SAFETY - Inspections</b> for records relating to routinely conducted inspections of hazardous substances in the workplace.</p>	Retain minimum of 30 years after action completed, then destroy

### **14.14.0 Standards**

The process of developing and implementing industry or organisational benchmarks for work health and safety to enhance the quality and efficiency of the organisation. Includes the development and implementation of work health and safety codes of practice.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to the organisation's compliance with standards.

14.14.1	<p>Records relating to the development and implementation of industry codes of practice. Records include:</p> <ul style="list-style-type: none"> <li>• records of consultations with WorkCover NSW</li> <li>• copies of draft codes</li> <li>• submissions on draft codes.</li> </ul>	Retain minimum of 2 years after action completed, then destroy
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### **Tendering**

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.