

Liquor and Gaming Regulation Sector retention and disposal schedule

Authorised 15 December 2016

An authorisation under s.26 of the *Public Records Act 2002* for the disposal of liquor and gaming regulation records created by the Office of Liquor and Gaming Regulation.

Where printed, this reproduction is only accurate at the time of printing.

Queensland State Archives' [website](#) should always be referred to for the current, authorised version.

Using this schedule

The Office of Liquor and Gaming Regulation Sector retention and disposal schedule authorises the disposal of liquor and gaming regulation records created by the Office of Liquor and Gaming Regulation. It applies to records created in any format, unless otherwise specified in the class description.

The Office of Liquor and Gaming Regulation Sector retention and disposal schedule can be used in conjunction with the [General retention and disposal schedule](#) (GRDS). Record classes in the Common Activities section of the GRDS can be applied to any function undertaken by the agency, provided the retention period meets all of the agency's specific regulatory requirements and there are no exclusions listed. Schedules should be reviewed at least every five years.

Any references to repealed legislation may be taken as a reference to current legislation if the context permits.

Any previously authorised retention and disposal schedule covering record classes described in this schedule is now superseded and previous versions should be removed from use. It is the agency's responsibility to maintain the current approved schedule within their business practices and systems.

Revoked schedules include:

- QDAN734 v1

When this schedule should not be used

It is an offence under the *Criminal Code Act 1899* (s.129) 'for a person, who knowing something is or may be needed in evidence in a judicial proceeding, damages it with intent to stop it being used in evidence'. A duty of care exists for agencies to ensure records that may be needed in evidence in a judicial proceeding, including any legal action or a Commission of Inquiry, are not disposed of. Internal processes should be implemented to meet this obligation, which may include consultation with your legal or Right to Information area or issuing an internal records disposal freeze if it is reasonably expected that a judicial proceeding may occur, e.g. retaining property files that may contain information on the use of asbestos in buildings.

Additionally, any group of records covered by a disposal freeze issued by the State Archivist cannot be disposed of while the freeze is in place. Disposal freezes generally relate to a particular topic or event which has gained prominence or provokes controversy. Further information about current disposal freezes and whether they affect the use of this schedule is available from the Queensland State Archives [website](#) under Destroy.

Records which are subject to a request for access under the *Right to Information Act 2009*, the *Information Privacy Act 2009* or any other relevant Act must not be destroyed until the action, and any applicable appeal period, has been completed.

Schedule layout

Each class has been allocated a unique number to aid with the disposal of records. Further implementation information is available on the Queensland State Archives [website](#).

Records created before 1950

Records described in this schedule that were created before 1950 should be referred to Queensland State Archives for further appraisal before any disposal action is taken by the agency. Further information about pre-1950 records is available from the Queensland State Archives website under [Sentencing](#).

Disposal

No further authorisation is required from the State Archivist for the records disposed of under this schedule. However, disposal must be appropriately documented in accordance with *Information Standard 31: Retention and Disposal of Public Records*. Approval from your CEO or authorised delegate is also required prior to disposal.

Any disposal of public records without authorisation from the State Archivist may be a breach of the *Public Records Act 2002 (s.13)*.

How we can help?

More information on implementing schedules is available on the Queensland State Archives [website](#). Any enquiries about this schedule or recordkeeping should be directed in the first instance to your Records Manager. If further information is required, please contact Government Recordkeeping, Queensland State Archives on (07) 3037 6630 or email: rkqueries@archives.qld.gov.au.

Approved by State Archivist: Mike Summerell

Date: 15 December 2016

Contents

- LIQUOR & GAMING COMPLIANCE 5**
- GAMING SERVICES..... 18**
- LIQUOR & GAMING HARM MINIMISATION 23**
- LIQUOR & GAMING LICENSING..... 26**
- LIQUOR & GAMING PROBITY INVESTIGATIONS..... 34**
- LEGACY RECORDS..... 36**

LIQUOR & GAMING COMPLIANCE

The function associated with monitoring and enforcing compliance with relevant liquor and gaming requirements, including but not limited to, the Casino Control Act 1982, the Gaming Machine Act 1991 and the Liquor Act 1992. Includes inspections, audits, complaints, investigations and actions.

Disposal authorisation	Description of records	Retention period & trigger
<p>COMPLIANCE APPEALS</p> <p><i>The activities associated with requesting a formal change to an official decision by an inspector. The appeal process covers all licences, permits and approvals under the Liquor Act 1992, Casino Control Act 1982 and the Gaming Machine Act 1991. Includes submissions.</i></p>		
1602	<p>Submissions and decisions</p> <p>Records relating to submissions from licensees to review decisions made after an investigation of premises.</p> <p>Submissions include, but are not limited to:</p> <ul style="list-style-type: none"> • licence, permit or approval • the imposition of terms and conditions on a licence, permit or approval • a decision to issue a liquor service licence • a prohibited place order • a patron dispute order • a gaming integrity deficiency order • a compliance order. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • submission • decision notice. <p>See <u>LICENSING-Formal appeals</u> for records relating to formal appeals to Queensland Civil and Administrative Tribunal (QCAT).</p>	7 years after business action completed.
<p>AUDITS</p> <p><i>The activities and processes associated with financial, quality assurance and operational audits conducted by liquor and gaming auditors on all major liquor and gaming operators and suppliers of liquor and gaming equipment for compliance with various liquor and gambling legislation.</i></p> <p>See <u>COMPLIANCE-Investigations</u> for records relating to issues raised during an audit process that require further investigation.</p>		

Disposal authorisation	Description of records	Retention period & trigger
1603	<p>Compliance audits</p> <p>Records relating to an independent review and evaluation of the adequacy and effectiveness of licensees within the liquor and gaming industry.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • audit file • audit working papers. 	7 years after audit.
1604	<p>Gaming application systems audit</p> <p>Records relating to an audit of gaming application systems already in production. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • audit file • audit working papers. 	7 years after audit.
1605	<p>Internal OLGR quality assurance reviews</p> <p>Records relating to an independent review of OLGR business processes, internal policies and procedures of internal business areas.</p> <p>Reviews may include, but are not limited to:</p> <ul style="list-style-type: none"> • operational planning and control • processes • continual improvement. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • terms of reference • approved quality review plan • schedule and methodology • delegation/assignation of internal audit • recommendations. 	7 years after business action completed.
1606	<p>Quality assurance audits</p> <p>Records relating to a follow up audit/quality assurance audit to ensure audit recommendations, identified during the main audit, have been implemented.</p>	7 years after audit.

Disposal authorisation	Description of records	Retention period & trigger
	<p>Quality assurance audits include, but are not limited to:</p> <ul style="list-style-type: none"> • liquor compliance inspections (breaches only) • gaming machine audits – reinspection • completed target inspections/reinspections • completed risk assessments (licence/high risk permits only) • licence/permit applications (high risk). <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • plans and schedules • conduct of quality assurance reviews • reports • effectiveness of action taken in response to non-conformances • corrective action request (CARs). 	
<p>ENFORCEMENT</p> <p><i>The activities associated with identifying regulatory compliance issues within area and scope of enforcement parameters, and issuing enforcement notices, including infringement notices, directives, orders, fines, penalties & exemptions.</i></p> <p><i>See Inspections for records relating to inspections of licensed premises.</i></p>		
1607	<p>Regulatory enforcement</p> <p>Records relating to issuing directives, orders, fines, penalties, exemptions and other enforcement actions under relevant legislation.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • notices • fines • seizing property as exhibits • penalties • referring reports to inspectors. <p><i>See Infringement notices for records relating to the issuing of penalty notices.</i></p>	7 years after matter is resolved.

Disposal authorisation	Description of records	Retention period & trigger
1608	<p><i>Infringement notices</i> Records relating to the issue of infringement notices by the OLGR. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • infringement notice books issued to the Queensland Police Service (QPS) and OLGR • infringement notices • acknowledgement slips of QPS and OLGR issued notices (A-Z) • import reports receipts • summary reports excluding finance receipts • authorisation for cancellation/withdrawals of liquor PINS (penalty infringement notices) • monthly office summary reports (OLGR regional offices) • adverse compliance history reports • SSQ emails/queries • police emails • SPER enforcement reports sequence numbers • refund vouchers • juvenile unpaid reports. <p><i>See <u>General Retention and Disposal Schedule (GRDS)</u> for records relating to the processing of financial receipts.</i></p>	7 years after matter is resolved.
<p>EXCLUSIONS <i>The activities and processes associated with managing gambling related exclusions to support gamblers who have, or who are at risk of, problem gambling behaviours.</i></p>		
1609	<p><i>Gambling related exclusions</i> Records relating to the monitoring and enforcing compliance of exclusions. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • self-inclusion notice • self-exclusion order • revocation notice – self-exclusion order 	7 years after exclusion order revoked.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • exclusion direction • application to revoke exclusion direction • revocation notice – exclusion direction • register of excluder persons • notice of contravention of self-exclusion order/exclusion direction • report on excluded persons. 	
<p>INSPECTIONS</p> <p><i>Activities and processes associated with managing inspections (including legislative compliance inspections) of the activities of licensed premises, organisation or individual pursuant to, but not limited to, the Gaming Machine Act 1991 and the Liquor Act 1992.</i></p> <p><i>See Enforcement for records relating to enforcement notices that have been issued following an inspection.</i></p>		
1610	<p>Casino inspections</p> <p>Records relating to the conduct of onsite compliance inspections/audits of casinos. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • checklists • working papers • interviews • file notes • drafts and final audit reports • soft count audit • hard count audit • equipment registers • casino incident tracking registers. 	7 years after business action completed.
1611	<p>Lottery draws</p> <p>Records relating to the supervision of a lottery draw. Supervision includes, but is not limited to:</p> <ul style="list-style-type: none"> • operation of the systems for each lottery 	7 years after business action completed.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • accuracy of the results of each approved lottery • presence of inspector at certain operations. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • evaluation of lottery equipment • requests to review decisions on claim for payment • requests to resolve claims for payment. 	
1612	<p><i>Routine inspections</i></p> <p>Records relating to the conduct of inspections in licensed premises, organisations or individuals, to ensure compliance with relevant legislation.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • checklists • working papers • interviews • file notes • drafts and final audit reports • audit recommendations. 	7 years after business action completed.
<p>INVESTIGATIONS</p> <p><i>Activities associated with managing complaints received from an external person or organisation, or from the outcome of inspections or audits and other internally generated advice received by OLGR.</i></p> <p><i>See <u>PROBITY-Investigations</u> for records relating to investigating the background of an organisation (company or other corporate body) or individual to determine their suitability to work in the gaming and liquor environment.</i></p>		
1613	<p><i>Case files – significant</i></p> <p>Records relating to investigations arising from complaints, inspections and/or compliance audits where the investigation results in significant changes to legislation, policy or processes or the case file sets a precedent.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • complaints 	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • interviews • file notes • working papers • compliance related documents • audit reports • monitoring reports • draft reports • final investigation reports • management decisions and related correspondence • prosecutions. 	
1614	<p><i>Case files – major investigations</i></p> <p>Records relating to investigations arising from complaints, inspections and/or compliance audits where the investigation results in prosecution or disciplinary action.</p> <p>Matters may relate to underage drinking, underage betting, licensee/trader convicted or disciplined, insolvency, exceeding scope of licence, insufficient funds.</p> <p>Includes matters which relate to revocation or suspension of licence, imposition of finds or referring matter to QCAT.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • complaints • interviews • file notes • working papers • compliance related documents • audit reports • monitoring reports • draft reports • final investigation reports 	15 years from completion of the OLGR investigation.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • management decisions and related correspondence • prosecutions. 	
1615	<p>Case files – other</p> <p>Records relating to routine investigations arising from complaints, inspections and/or compliance audits where the investigation does not result in prosecution or disciplinary action.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • complaints • interviews • file notes • working papers • compliance related documents • audit reports • monitoring reports • draft reports • final investigation reports • management decisions and related correspondence. 	10 years from the date of finalisation of the investigation.
<p>MONITORING</p> <p><i>The activities associated with conducting regular surveillance and observing activities covered by legal, regulatory or quality standards the OLGR administers. Includes maintaining checks to ensure transparent overview.</i></p>		
1616	<p>Financial monitoring (financial analysis – FAN files)</p> <p>Records relating to financial returns, including balance sheets, of licensees.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • community benefit statements • interim and final audit report • recommendations • reports of corrective action taken 	7 years after the end of the financial period to which the documents relate.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • responses to audit findings from relevant operator. 	
1617	<p>Tax sweep Records relating to the collection of taxes from gaming machines. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • direct debit request form • EFT rejections • change of ownership/receivership • outstanding taxes • gaming machine revenue reports. 	7 years after the end of the financial period to which the documents relate.
<p>REGISTRATION <i>The activities associated with receiving, processing, granting and refusing applications for registration of objects, people, businesses, entities or legal instruments in electronic and/or physical registers for particular purposes as required by business and legislation. Includes purposes of process control, unique identification and public search requirements. Includes registering licence holders, maps, licence areas as well as investigation and prosecution cases and outcomes.</i></p>		
1618	<p>Appeals register Register relating to licensees who have appealed against decisions of the OLGR. Register includes details of:</p> <ul style="list-style-type: none"> • name of licensee • date of decision • reason for decision • date of appeal • result of appeal • date of result. 	Permanent. Transfer to QSA after business action completed.
1619	<p>Death register Register listing deaths on licensed premises. Register includes details of:</p>	Permanent. Transfer to QSA after business action completed.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • date and time of death • licensee/operator name • deceased's name • details. 	
1620	<p><i>Investigation branch prosecution register</i> Register of sites that have been prosecuted for breach of licence. Register includes details of:</p> <ul style="list-style-type: none"> • investigation reference number • defendant • site number • premises • act • name of premises • offence description • date of offence • summons date • hearing date • outcome • conviction records • fine amount • court held • investigation officer • comments. 	Permanent. Transfer to QSA after business action completed.
1621	<p><i>Licensee disciplinary action register</i> Register of disciplinary action to licensees who breached their licence. Register details include:</p>	Permanent. Transfer to QSA after business action completed.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • name of licensee • name of premises • offence/grounds for breach • decision date • proposed action • result. <p>See <i>Show cause register-licensees and employees</i> for records relating to show cause notices issued.</p>	
1622	<p>Show cause register – licensees and employees Register of show cause notices issued to licensees and employees. Register details include:</p> <ul style="list-style-type: none"> • investigation number • date of issue • licensee/operator/entity/person • act and grounds for show cause • outcome. <p>See <i>Licensee disciplinary action register</i> for records relating to disciplinary action taken against licensees.</p>	Permanent. Transfer to QSA after business action completed.
1623	<p>Exhibit register Register listing evidence confiscated from licensed/unlicensed premises. Register details include:</p> <ul style="list-style-type: none"> • exhibit number • date and time received • description • date • returned/destroyed exhibits. 	7 years after business action completed.
1624	<p>Confiscated ID register Register relating to ID's confiscated from patrons in/at licensed areas.</p>	5 years after business action completed.

Disposal authorisation	Description of records	Retention period & trigger
	Register details include: <ul style="list-style-type: none"> • name on ID • date received • licensed venue • date returned • details. 	
1625	<p><i>Intervention register</i> Register of meetings held in venues that have received complaints against them. Register details include:</p> <ul style="list-style-type: none"> • premises name • premises address • licence type • date of meeting • location of meeting • comments. 	5 years after business action completed.
1626	<p><i>Glassing register</i> Register of glassing incidents at licensed venues. Register details include:</p> <ul style="list-style-type: none"> • date and time of incident • site number • licensee/operator name • locality • information on glassing incident • licence type • glass type • investigator's name • status of investigation 	3 years after business action completed.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • final outcome. <p>See <u><i>Liquor & Gaming Compliance-Investigations</i></u> for records relating to investigations of glassing incidents.</p>	
1627	<p><i>Field property receipt book register</i> Register of Field Property books distributed to OLGR field officers to provide receipts when property is confiscated. Register details include:</p> <ul style="list-style-type: none"> • serial number • date issued • issued to • issued by. 	2 years after business action completed.

GAMING SERVICES

The function of technical, concept and operational evaluations under various gaming legislation. Includes operational approvals, guidelines, testing and monitoring.

Disposal authorisation	Description of records	Retention period & trigger
EQUIPMENT AND SYSTEMS EVALUATIONS <i>The activities which relate to technical and concept evaluations including software and hardware products. Includes table games, and games played on gaming machines.</i>		
1628	<p>Casino Control Act 1982 technical evaluations</p> <p>Records relating to technical and concept evaluations made under the <i>Casino Control Act 1982</i>. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • initial application form • program report • assessment report • technical audits • copy of the software • approval notice • game conditions • games withheld • games refused. 	7 years after product is no longer operational.
1629	<p>Charitable and Non-profit Gaming Act 1999 technical evaluations</p> <p>Records relating to technical and concept evaluations regarding charitable and non-profit organisations such as bingo drawing devices, video raffle systems, art unions and lucky envelope machines. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • initial application form • program report • assessment report 	7 years after product is no longer operational.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • technical audits • copy of the software • approval notice. 	
1630	<p><i>Gaming Machine Act 1991 technical evaluations</i> Records relating to technical and concept evaluations for gaming machines under the <i>Gaming Machine Act 1991</i>. Includes withdrawn or refused gaming machines. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • initial application form • program report • assessment report • technical audits • copy of the software • relevant notice • game conditions • games withheld • games refused. 	7 years after product is no longer operational.
1631	<p><i>Interactive Gambling (Player Protection) Act 1998 technical evaluations</i> Records relating to technical and concept evaluations conducted under the <i>Interactive Gambling (Player Protection) Act 1998</i>. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • initial application form • program report • assessment report • technical audits • copy of the software • approval notice 	7 years after product is no longer operational.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • game conditions. 	
1632	<p><i>Keno Act 1996 technical evaluations</i> Records relating to technical and concept evaluations conducted under the <i>Keno Act 1996</i>. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • initial application form • program report • assessment report • technical audits • copy of the software • approval notice • game conditions. 	7 years after product is no longer operational.
1633	<p><i>Liquor Act 1992 technical evaluations</i> Records relating to technical and concept evaluations conducted under the <i>Liquor Act 1992</i>. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • initial application form • program report • assessment report • technical audits • copy of the software • approval notice • game conditions. 	7 years after product is no longer operational.
1634	<p><i>Lotteries Act 1997 technical evaluations</i> Records relating to technical and concept evaluations conducted under the <i>Lotteries Act 1997</i>. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • initial application form • program report 	7 years after product is no longer operational.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • assessment report • technical audits • copy of the software • approval notice • game conditions. 	
1635	<p><i>Wagering Act 1998 technical evaluations</i> Records relating to technical and concept evaluations conducted under the <i>Wagering Act 1998</i>. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • initial application form • program report • assessment report • technical audits • copy of the software • approval notice • game conditions. 	7 years after product is no longer operational.
<p>OPERATIONAL APPROVALS <i>The activities in establishing, maintaining and reviewing approvals that gaming operators enter into for the provision of services related to the conduct of gaming. Includes the authorisation of rules and games such as keno, lotteries, gaming operators and wagering.</i> See <u><i>General Retention and Disposal Schedule (GRDS)</i></u> for records relating to the negotiation, establishment, maintenance and review of agreements.</p>		
1636	<p><i>Control systems</i> Records relating to the approval of internal controls applicable to all gaming providers in Queensland to ensure accountability. Include ancillary and related approvals and agreements. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • submissions • evaluations. 	7 years after approval is superseded.

Disposal authorisation	Description of records	Retention period & trigger
1637	<p>Games and gaming schemes</p> <p>Records relating to gaming related approvals between the OLGR and other entities. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • submissions • evaluations • security implementations • certification and indemnity. 	7 years after approval is superseded or game withdrawn, whichever is later.
<p>TRAINING</p> <p><i>The activities which identify, assess and approve the delivery of training within the Liquor and Gaming Industry. Includes, but not limited to Responsible Service of Gambling (RSG) Competencies and Responsible Service of Alcohol (RSA) Competencies.</i></p>		
1638	<p>RTO approvals</p> <p>Records relating to assessments and course approval of applications by registered training organisations in the delivery of programs to the industry.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • approved and rejected applications. 	5 years after business action completed.

LIQUOR & GAMING HARM MINIMISATION

The function of developing planning, and delivering awareness strategies within industry and community education, to reduce the risk associated with certain behaviours pertaining to liquor and gaming.

See the [General Retention and Disposal Schedule \(GRDS\)](#) for records relating to the grants provided under the Gambling Community Benefit Fund.

Disposal authorisation	Description of records	Retention period & trigger
CAMPAIGNS AND INITIATIVES		
<i>The activities associated with specific aims to change public perceptions and behaviours in liquor and gaming. Includes advertising, education, outreach, training or other forms of awareness training.</i>		
1639	<p><i>Advertising campaigns</i></p> <p>Records relating to the establishment and implementation of advertising campaigns.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • objectives • methodology • execution • advertising • evaluation reports. 	15 years after business action completed.
1640	<p><i>Community education initiatives</i></p> <p>Records relating to a primary prevention approach to increasing community awareness about impacts and prevalence of problem gambling and intoxication. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • self-help guides • player information • odds of winning material • community service • support programs • identification and response by communities to gambling • liquor related harm and issues • liquor and gaming related signage • decals, stickers and posters. 	15 years after business action completed.

Disposal authorisation	Description of records	Retention period & trigger
<p>CODE OF PRACTICE <i>Activities associated with the development of a whole-of-industry approach to the promotion and provision of responsible gambling and liquor practices. The Code of Practice draws upon industry commitment to best practice in the provision of responsible gambling and drinking.</i></p>		
1641	<p>Code of practice Records relating to the master/final approved copy of the Code of Practice. Includes the development of the Code of Practice on industry policy as well as resource manuals for the nine gambling sectors of hotels, casinos, clubs, bingo, charitable and non-profit games, keno, lotteries, racing and wagering. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • program report • advertising and promotional guidelines • player loyalty program. 	15 years after business action completed.
<p>INDUSTRY-BASED PARTNERSHIPS <i>Activities associated with managing joint collaborations for agreed outcomes in areas of joint interest or responsibility, where there are agreed responsibilities, agreements, either within the agency or with other organisations, or with government. Includes working in local communities to introduce practical solutions to liquor and gambling related problems. For example, ways to improve the operation of licensed venues so that venues and precincts are safe and enjoyable.</i></p>		
1642	<p>Liquor accords Records relating to licensees and other stakeholders who take certain actions in local communities to improve community safety and reduce alcohol related harm in their local area. Accords include, but are not limited to:</p> <ul style="list-style-type: none"> • underage drinking • anti-social behaviour • alcohol related crime within the community • increasing safety and amenities • increasing patron's awareness of their responsibilities regarding the consumption of alcohol • and other issues which arise over a period of time. 	7 years after business action completed.

Disposal authorisation	Description of records	Retention period & trigger
	<p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • plan of accord area • steering committee composition • steering committee agendas and minutes • development of strategies and action from meetings • implementation of strategies. 	
1643	<p><i>Safe night out precincts</i></p> <p>Records relating to the establishment of safe night out precincts with continuing direction by OLGR according to the <i>Safe Night Out Legislation Amendment Act 2014</i> and s.6AB of the <i>Liquor Act 1992</i>.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • application for Incorporation • incorporation certificate (copy) • management plan • membership forms • member list • minutes/notes • copy of precinct maps • quarterly report to OLGR. 	7 years after business action completed.
1644	<p><i>Safe night out strategy – grant funding</i></p> <p>Records relating to funding of safe night out precincts and local boards which operate the precincts as an incorporated association.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • successful and unsuccessful grants • seed funding • operational funding • acquittal of funding. 	7 years after business action completed.

LIQUOR & GAMING LICENSING

The function of acquiring a licence for liquor, gaming machines, casino gaming, wagering and betting, lotteries and games of chance. Includes applications for permits, renewals, increase in gaming machines, exemptions, extended trading hours, change in plans and agreements.

Disposal authorisation	Description of records	Retention period & trigger
<p>ADVICE</p> <p><i>The activities associated with preparing and communicating advice providing information and guidance to the public, business clients and industry members about matters within the scope of functional responsibility. Includes offering opinions by or to the agency as to an action or judgement.</i></p>		
1645	<p>Information and guidance</p> <p>Records relating to the provision of OLGR related advice where the advice is not related to a specific enforcement or monitoring action or case file.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • programs such as self-exclusion, community benefit funding or training • interpretation of relevant legislation. 	7 years after business action completed.
<p>AGREEMENTS</p> <p><i>The activities associated with establishing, maintaining, reviewing and negotiating agreements. Includes agreements as foundational and facilitative documents for collaborative arrangements, outputs, products and services. Also includes memoranda of understanding, information agreements, signed documents and legal contracts.</i></p> <p><i>See the General Retention and Disposal Schedule (GRDS) for records relating to the negotiation, establishment, maintenance and review of agreements relating to financial management and agreements about the performance of the OLGR functions between the OLGR and other government entities.</i></p>		
1646	<p>Casinos</p> <p>Records relating to the agreement between the Casino Authority and the Minister. Includes copy of the signed agreement and advice relating to the agreement.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • signed agreement • advice relating to the agreement • casino suitability • site plans 	Permanent. Transfer to QSA after business action completed.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • floor plans • development approval. 	
1647	<p>Conduct of games</p> <p>Records relating to responsible gambling agreements of proposed conduct of games by an organisation/person.</p> <p>Games include, but are not limited to:</p> <ul style="list-style-type: none"> • keno • lotto, Oz lotto, instant lotteries • Powerball. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • signed agreements. 	5 years after agreement expires or is revoked.
1648	<p>Possession of gaming machines</p> <p>Records relating to the approval to possess and transport gaming machines by persons other than licensees.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • sale, storage and transport of gaming equipment • approvals for the possessions of gaming equipment • rental of gaming equipment. 	3 years after business action completed.
<p>LICENSING APPEALS</p> <p><i>The activities associated with requesting a formal change to an official decision with regard to licence applications. Includes submissions.</i></p>		
1649	<p>Informal appeals</p> <p>Records relating to informal appeals to find or seek relief from the decision made by OLGR, or to review the decision.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • submissions • licence applications 	7 years after business action completed.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • appeals registers. 	
1650	<p>Formal appeals</p> <p>Records relating to formal appeals and master summary of decisions by the Queensland Civil and Administrative Tribunal (QCAT).</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • submissions • transcripts of hearings • statements of reasons • relevant book of documents (RBOD) • master summary of decisions by QCAT. 	7 years after appeal is complete.
<p>LICENCES</p> <p><i>The activities associated with acquiring a licence for liquor, gaming machines, casino gaming, wagering, lotteries and games of chance. Includes applications for renewals, increase in gaming machines, extended trading hours, change in plans and agreements.</i></p>		
1651	<p>Licences – significant</p> <p>Records relating to the processes associated with receiving and assessing documentation submitted in support of a significant licence.</p> <p>Includes unsuccessful applications.</p> <p>Significant licences include, but are not limited to:</p> <ul style="list-style-type: none"> • casinos • Keno • sports and wagering • lotteries, e.g. Lotto • interactive gambling. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • credit checks 	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • bank balance sheets • photographs • correspondence • licence conditions • licence variations • renewals. <p><i>See <u>AGREEMENTS-Casino</u> for records relating to the agreement between the successful casino licensee and the State.</i></p>	
1652	<p><i>Licences – individuals</i></p> <p>Records relating to the process associated with receiving and assessing documentation submitted in support of an individual liquor and gaming licence.</p> <p>Includes unsuccessful applications.</p> <p>Licences include, but are not limited to:</p> <ul style="list-style-type: none"> • approved manager • approved controller • wine nominee • gaming nominee • gaming repairer • keno employee • key monitoring employee • lottery key person • wagering key person. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • supporting documents • identity verifications • industry training records. 	7 years after expiry or revocation of licence.

Disposal authorisation	Description of records	Retention period & trigger
	See <u>GAMING SERVICES-Training</u> for records relating to organisations that are approved RTOs.	
1653	<p>Liquor licences</p> <p>Records relating to the process associated with receiving and assessing documentation submitted to obtain or keep a liquor licence.</p> <p>Includes unsuccessful applications.</p> <p>Licences include, but are not limited to:</p> <ul style="list-style-type: none"> • after hours permits • commercial hotels • commercial, other • commercial special facility • community club • community, other plans • changes to licences, temporary/retain permanently • wine producer • wine merchant. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • criminal history checks • applications to change names of premises • applications to transfer liquor licences • plans of premises • town plan approvals from local councils • risk criteria. 	7 years after transfer, cancellation or surrender of licence.
1654	<p>Service contractor/supplier licences</p> <p>Records relating to the process associated with receiving and assessing documentation submitted in support of a service contractor/supplier licences and approvals.</p>	7 years after cancellation or surrender of licence.

Disposal authorisation	Description of records	Retention period & trigger
	<p>Includes unsuccessful applications.</p> <p>Licences include, but are not limited to:</p> <ul style="list-style-type: none"> • major dealers • approved operators • secondary dealers • monitoring operators • testing facility operators • service contractors. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • disclosure affidavits. 	
1655	<p><i>Gaming machine licences</i></p> <p>Records relating to the process associated with receiving and assessing documentation submitted in support of a gaming machine licence.</p> <p>Includes unsuccessful applications.</p> <p>Licences include, but are not limited to:</p> <ul style="list-style-type: none"> • testing facility operators • club details for a category 2 gaming machine licence • company details for category 1 gaming machine licence (hotel) • temporary/permanent changes to licence. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • supporting documents. 	7 years after cancellation, expiry or when liquor licence transfers.
1656	<p><i>Charitable & non-profit category 3 gaming licences</i></p> <p>Records relating to the process associated with receiving and assessing documentation submitted in support of a charitable and non-profit category 3 gaming licence.</p> <p>Includes unsuccessful applications.</p>	7 years after expiry or revocation of licence.

Disposal authorisation	Description of records	Retention period & trigger
	<p>Licences include, but are not limited to:</p> <ul style="list-style-type: none"> • art unions • bingo • lucky envelope printers licence. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • supporting documents • credit card payment authority • auditor's certificate. 	
1657	<p>Re-allocation scheme</p> <p>Records relating to the re-allocation of gaming machine entitlements amongst Queensland club and hotel licensees.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • tenders • statistics • eligibility • allocations • reports. 	7 years after business action completed.
<p>PERMITS</p> <p><i>The activities associated with giving authorisation to allow a person or business to perform certain actions. The purpose of the permit is to guarantee that laws and regulations have been obeyed.</i></p>		
1658	<p>Adult entertainment permits</p> <p>Records relating to the process associated with receiving and assessing documentation submitted in support of permits that allow the conduct of sexually explicit entertainment on licensed premises.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • correspondence 	5 years after permit lapses, is cancelled or suspended.

Disposal authorisation	Description of records	Retention period & trigger
	<ul style="list-style-type: none"> • copies of permits. 	
1659	<p><i>Wagering permits</i> Records relating to the process associated with receiving and assessing documentation submitted in support of wagering permits. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • correspondence • copies of permits. 	5 years after permit lapses or is cancelled.
1660	<p><i>Liquor permits</i> Records relating to the application, reports and decision on the application for a liquor permit. Permits include, but are not limited to:</p> <ul style="list-style-type: none"> • community public events permit (CPEP) • community liquor permit • restricted area permit • restricted liquor permit • wine permit • extended hours permit. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • application • correspondence • copies of permits. 	3 years after permit lapses or is cancelled.

LIQUOR & GAMING PROBITY INVESTIGATIONS

The function associated with investigating the background of an organisation (company or other corporate body) or individual to determine their suitability to work in the gaming and liquor environment. Includes history, activities, financial records and legal involvements.

Disposal authorisation	Description of records	Retention period & trigger
<p>INVESTIGATIONS</p> <p>The activities associated with investigating, examining and monitoring the integrity and/or financial viability of persons/organisations who seek various licences. Includes authorities who are licensed authority holders or who are to be associated with the conduct of gaming in Queensland.</p> <p>See LIQUOR & GAMING COMPLIANCE-Investigations for records relating to investigations arising from complaints, inspections and/or compliance audits.</p>		
1661	<p>Case files – significant</p> <p>Records relating to significant investigations of licensees, casinos and their associates.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • character reputation • business acumen • corporate structure • financial viability. <p>See LICENSING-Licences-significant for records relating to licences that have been granted for casinos, keno, sports and wagering, lotteries and interactive gambling.</p>	<p>Permanent.</p> <p>Transfer to QSA after business action completed.</p>
1662	<p>Case files – other</p> <p>Records relating to routine investigations into gaming and liquor licensees and their associates.</p> <p>Includes hotels, clubs and adult entertainment.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • personal details of each individual party to the licence • registration of financial interest • company extract showing all current directors. <p>See LICENSING:</p> <ul style="list-style-type: none"> • Liquor licences for records relating to licences that allow the serving of liquor • Gaming machine licences for records relating to licences to have a gaming machine. 	<p>12 years after involvement ceases in the Queensland liquor and gaming industry.</p>

Disposal authorisation	Description of records	Retention period & trigger
1663	<p>Case files – OLGR staff probity checks</p> <p>Records relating to routine probity checks into OLGR staff and OLGR contractors. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • financial checks. <p>Excludes records of criminal history checks and supporting documentation.</p>	2 years after separation or probity check is superseded.
1664	<p>Fingerprints</p> <p>Records of fingerprints taken as part of a probity investigation including staff probity. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • fingerprint register. 	Destroy as soon as practicable after police check.
1665	<p>Gaming junket promoters/organisers</p> <p>Records relating to the processes associated with approvals given to organise or promote trips/visits of gamblers to casino, clubs, etc.</p> <p>Includes unsuccessful approvals.</p> <p>Records include, but not limited to:</p> <ul style="list-style-type: none"> • number of participants • name of each participant • photocopy of participant's passport • period when participants are expected to visit the casino • commission proposed to be paid to the promoter by the casino operator • monthly reports from casino operators. 	7 years after business action completed.

LEGACY RECORDS

This section covers legacy records of the Office of Liquor and Gaming Regulation Sector retention and disposal schedule.

Disposal authorisation	Description of records	Date range	Retention period & trigger
<p>LICENCES <i>The activities associated with acquiring licences for gaming machines, casino gaming, wagering and betting, lotteries and games of chance.</i></p>			
1666	<p>Gaming employee Records relating to licences issued by the OLRG which authorised a person to work in the Queensland gaming industry and carry out certain duties and functions.</p>	1992 – 2013	12 months, after expiry or revocation of licence.
<p>QUEENSLAND GAMING COMMISSION (QGC) <i>The Queensland Liquor and Gaming Commission was an independent statutory body established pursuant to the provisions of the Gaming Machine Act 1991 and from 1 July 2011 assumed responsibility for certain matters under the Liquor Act 1992.</i> <i>On September 2012, the Queensland Parliament passed legislation which altered the decision making framework under both the Gaming Machine Act 1991 and the Liquor Act 1992. At midnight on 31 December 2012 the Queensland Liquor and Gaming Commission ceased to exist. The appointment of a Commissioner for Liquor and Gaming came into effect on 1 January 2013.</i> <i>The Commission carried out various functions and responsibilities under the Acts, namely:</i></p> <ul style="list-style-type: none"> • <i>granting, cancelling and suspending gaming related licences</i> • <i>setting the maximum number of gaming machines operable at sites</i> • <i>considering applications to increase the number of gaming machines and other regulatory approvals</i> • <i>setting permitted hours of gaming at sites and other operational conditions</i> • <i>granting, suspending, cancelling and imposing conditions in regard to liquor licences of significant community impact.</i> <p><i>The Commission had an important role to play in carefully balancing a range of consideration to ensure there was an overall benefit to the Queensland community from gaming and to minimise harm from the sale of liquor while facilitating the optimum development of the tourism, liquor and hospitality industries. The Commission met six (6) times a year.</i></p>			
1667	Agendas and meeting minutes.	2003 – 2012	Permanent. Transfer to QSA after business action completed.

This section covers legacy records of the Department of Tourism, Small Business and Industry (ca 1930 – ca 1992) – 97/0181.

LIQUOR LICENSING DIVISION

The records covered by this schedule have been previously appraised and authorised in F49/39, 31 October 1994 and 97/0181, 16 December 1997.

1668	Plans of licensed premises required under the <i>Liquor Licensing Act of 1912</i> . Also includes licensed venues which are of historical significance, which are listed in the Heritage Register under the <i>Queensland Heritage Act 1992</i> or which are included in the National Trust list, or listed with the Australian Heritage Commission.	1930 – 1992	Permanent. Transfer to QSA after business action completed.
1669	Index to plans of licensed premises.	1930 – 1992	Permanent. Transfer to QSA after business action completed.