

Appraisal log

Liquor and Gaming Regulation Sector retention and disposal schedule

Office of Liquor and Gaming Regulation

Date: 15 December 2016

Function	Scope note
LIQUOR AND GAMING COMPLIANCE	<i>The function associated with monitoring and enforcing compliance with relevant liquor and gaming requirements, not limited to, but including the Gaming Machine Act 1991 and the Liquor Act 1992. Includes inspections, audits, complaints, investigations and actions.</i>
Activities	
Compliance Appeals Audits Enforcement Exclusions Inspections Investigations Monitoring Registration	

Disposal authorisation	Record class and retention period	Justifying the retention period
1602	<p>Submissions and decisions Records relating to submissions from licensees to review decisions made after an investigation of premises. 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 	<p>Background/business process: The Office of Liquor and Gaming Regulation (OLGR) regularly conducts unannounced inspections at licensed premises in accordance with its proactive compliance program. OLGR compliance officers may also attend a venue if OLGR has received a complaint about the venue’s operation. Where serious breaches are identified, enforcement action may be taken in accordance with OLGR’s Enforcement Policy. This record class provides communication between the licensee and the OLGR regarding any compliance issues raised at the time of an inspection.</p> <p>Regulatory requirements: <i>Casino Control Act 1982 – s.91A</i> <i>Charitable and Non-Profit Gaming Act 1999 – s.174</i> <i>Gaming Machine Act 1991 – s.29</i> <i>Interactive Gambling (Players Protection) Act 1998 – s.249, 250, 251, 252, 253</i> <i>Keno Act 1996 – s.228, 229, 230, 231, 232, 233</i> <i>Liquor Act 1992 – s.30</i></p>

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	<ul style="list-style-type: none"> • a gaming integrity deficiency order • a compliance order. <p>Retention period & trigger 7 years after business action completed.</p>	<p><i>Lotteries Act 1997</i> – s.214, 215, 216, 217, 218 <i>Wagering Act 1998</i> – s.291, 292, 293, 294, 295, 296, 297</p> <p>Business requirements: The OLGR requires these records to be retained for a minimum of seven years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10(2) of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period: <i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476</i> Reference 1.2.1 Records documenting appeals made to the ACT Administrative Appeals Tribunal relating to decisions made by the ACT Gambling and Racing Commission – Destroy 7 years after appeal finalised. <i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 3.2.1 Records relating to the receipt, investigation and reconciliation of consumer complaints – Destroy 10 years after registration. <i>PROV Retention & Disposal Authority for records of the Office of Gaming & Racing PROS04/07</i> Reference 3.2 Appeal records – Destroy 7 years after appeal is complete.</p>
1603	<p>Compliance audits Records relating to an independent review and evaluation of the adequacy and effectiveness of licensees within the liquor and gaming industry.</p> <p>Retention period & trigger 7 years after audit.</p>	<p>Background/business process: The OLGR is required to be vigilant in ensuring licensees maintain a full understanding of their regulatory compliance requirements. This includes:</p> <ul style="list-style-type: none"> • reviewing the reliability and integrity of financial and operating information and the methods used to identify, measure, classify and report such information • reviewing the systems to ensure compliance with policies, plans, procedures, laws and regulations • reviewing operations to ascertain whether results are consistent with business and operational objectives and goals. <p>When a direction and/or legislative requirement is reported, the auditor ensures it is in accordance with the relevant Act, e.g. s.207 of the <i>Keno Act 1996</i> requires a direction to:</p> <ul style="list-style-type: none"> • be in writing • state the grounds on which the Minister believes the management practice is unsatisfactory • if the direction is to change the management practice, clearly describe how the practice is required to be changed

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		<ul style="list-style-type: none"> • state when the person is required to comply with the direction. <p>Working papers provide evidence of the work carried out and provides the basis for the audit report. Working papers align with the audit work program, scope of the audit and clearly articulate the results of audit testing.</p> <p>All correspondence on the audit file is cross referenced in the Corporate Office Gaming System (COGS) system (OLGR's main integrated licensing and compliance business application used by all business areas within OLGR. It supports the core regulatory operations of OLGR).</p> <p>Regulatory requirements:</p> <p>Liquor and Gaming auditors are appointed as inspectors under the:</p> <p><i>Casino Control Act 1982 – s.85E</i></p> <p><i>Charitable and Non-Profit Gaming Act 1999 – s.111</i></p> <p><i>Gaming Machine Act 1991 – s.325A</i></p> <p><i>Interactive Gambling (Players Protection) Act 1998 – s.186</i></p> <p><i>Keno Act 1996 – s.167</i></p> <p><i>Liquor Act 1992</i></p> <p><i>Lotteries Act 1997 – s.153</i></p> <p><i>Wagering Act 1998 – s.229</i></p> <p>Business requirements:</p> <p>The OLGR requires these records to be retained for a minimum of 7 years as they:</p> <ul style="list-style-type: none"> • are required for future effectiveness of control within the liquor and gaming industry • need to be retained to support the decisions of the business • ensure legal reference, including standard appeals of decisions and other court processes under s.10(1) of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476:</i></p> <ul style="list-style-type: none"> • reference 1.3.1 Inspections by ACT Gambling and Racing Commission officers ensuring the casino licensee is not in breach of the <i>Casino Control Act 1988</i> – Destroy 3 years after last action • reference 1.3.3 Inspections by ACT Gambling and Racing Commission officers ensuring licensed Race/Sports bookmakers are not in breach of the <i>Race and Sports Bookmaking Act 2001</i> – Destroy 3 years after last action

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		<ul style="list-style-type: none"> • reference 1.3.4 Inspections by ACT Gambling and Racing Commission officers ensuring approved lotteries were not in breach of the <i>Lotteries Act 1964</i> – Destroy 3 years after last action • reference 1.3.5 Inspections by ACT Gambling and Racing Commission officers ensuring licensed Interactive Gambling agents are not in breach of the <i>Interactive Gambling Act 1998</i> – Destroy 3 years after last action. <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> • reference 1.5.1 Records relating to compliance audits on charities – Retain minimum of 10 years after audit, then destroy • reference 2.4.1 Records relating to compliance audits of clubs – Retain minimum of 10 years after audit, then destroy • reference 4.10.1, 7.6.1 Records relating to compliance audits whether or not there is a finding of non-compliance – Retain minimum of 10 years after audit, then destroy • reference 6.6.1 Records relating to compliance audits on liquor licensees – Retain minimum of 10 years after audit, then destroy. <p><i>NT disposal schedule for Gaming Control Licensing Regulation records 2014/17</i> Reference 1.6.1 Records documenting the management of the Community Benefit Fund – Destroy 7 years after last audit.</p> <p><i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08</i> Reference 1.2.1 Records documenting the planning and conduct of standard financial and operational audits of gaming operators and venues – Destroy 7 years after audit completed.</p> <p><i>Office of Racing Retention and Disposal Schedule QDAN620 v.2</i> Reference 2.2.1 Records relating to annual audit programs prepared and conducted by the Office of Racing in accordance with s.46–51 and s.59–20 of the <i>Racing Act 2002</i> – Retain for 7 years after last action.</p>
1604	<p>Gaming application systems audit</p> <p>Records relating to an audit of gaming application systems already in production.</p> <p>Retention period & trigger</p> <p>7 years after audit.</p>	<p>Background/business process:</p> <p>The purpose of this audit is to ensure the internal controls are effective and appropriate and that the system is in compliance with the relevant legislation. The purpose of performing this type of audit is to ensure that:</p> <ul style="list-style-type: none"> • the internal controls are effective and appropriate • the system is in compliance with the relevant legislation • the system performs according to the LGR approved specifications • data is accurate, complete and consistent

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		<ul style="list-style-type: none"> • continuity of processing is maintained across interfaces with other systems • the system is able to maintain a level of security (and privacy) commensurate with the relative exposures involved with organisation security policies and/or sound internal control practice • audit trails exist and are adequate. <p>Working papers evidence the work carried out and provide the basis for the Audit report. Working papers align with the audit work program, scope of the audit and clearly articulate the results of audit testing.</p> <p>All correspondence on the audit file is cross referenced in the COGS system (OLGR's main integrated licensing and compliance business application used by all business areas within OLGR. It supports the core regulatory operations of OLGR).</p> <p>Regulatory requirements:</p> <p>Gaming auditors are appointed as inspectors under:</p> <p><i>Casino Control Act 1982 – s.85E</i></p> <p><i>Charitable and Non-Profit Gaming Act 1999 – s.111</i></p> <p><i>Gaming Machine Act 1991 – s.325A</i></p> <p><i>Interactive Gambling (Players Protection) Act 1998 – s.186</i></p> <p><i>Keno Act 1996 – s.167</i></p> <p><i>Liquor Act 1992</i></p> <p><i>Lotteries Act 1997 – s.153</i></p> <p><i>Wagering Act 1998 – s.229</i></p> <p>Business requirements:</p> <p>The OLGR requires these records to be retained for a minimum of seven years as they:</p> <ul style="list-style-type: none"> • are required for future industry enhancements and improvements • need to be retained to support the decisions of the business • ensure legal reference, including standard appeal of decisions and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476</i> Reference 1.3.2 Inspections by ACT Gambling and Racing Commission officers ensuring the Gaming Machine licensees are not in breach of the <i>Gaming Machine Act 2004 – Destroy 3 years after last action.</i></p>

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		<p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239 Reference 4.10.1</i> Records relating to compliance audits whether or not there is a finding of non-compliance – Retain minimum of 10 years after audit, then destroy.</p>
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>Retention period & trigger</p> <p>7 years after business action completed.</p>	<p>Background/business process:</p> <p>The purpose of these reviews is to ensure that OLGR has robust business processes in place and to undertake reviews of business processes as a continuous improvement activity, not a quality control activity. The internal quality review has the potential to lead to meaningful and worthwhile change. However, if change is not the outcome, the reviews must provide assurance that the OLGR's practices are appropriate.</p> <p>Regulatory requirements:</p> <p>Financial and Performance Management Standard 2009 – part 2 division 5 Quality Requirements (AS/NZS ISO 9001:2015) Queensland Audit Office – Better practice guide performance reviews</p> <p>Business requirements:</p> <p>Section A23.1 of the Australian Auditing Standard ASA230 Audit Documentation endorses s.307B of the <i>Corporations Act 2001</i>, which requires audit working papers for company audits to be retained until:</p> <ul style="list-style-type: none"> • the end of 7 years after the date of the audit report prepared in relation to the audit or review to which the audit working papers relate; or • an earlier date determined by the Australia Securities and Investment Commission for the audit of working papers. <p>Section A23.2 states that relevant legislation or regulation, other than the <i>Corporations Act 2001</i>, may require the retention of audit working papers for specified periods.</p> <p>The Queensland Auditing Standards, issued by the Auditor-General of Queensland, adopts the Australian Auditing Standards for audits in the Queensland public sector including Government Owned Corporations and local governments.</p> <p>Under the General retention and disposal schedule, the retention period for quality audits is retain for 3 years after audit. However, the business has requested that these records be retained for a minimum of 7 years after business action completed as it can identify improvement opportunities and provides counsel to the OLGR executive and staff for improving their services.</p> <p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Strategic Management Records) NI2009-453</i></p>

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		<p>Reference 016.013.001 Final internal and external audit reports relating to the strategic management function – Destroy 10 years after action completed.</p> <p><i>National Archives of Australia Administrative Functions Disposal Authority (AFDA) Reference 2024</i> Final internal and external audit reports relating to the strategic management function – Destroy 10 years after action completed.</p> <p><i>State Records of NSW General retention and disposal authority GA28 Reference 19.2.2</i> Records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level which do not set a precedent or lead to major change in policies – Retain minimum of 6 years after action completed, then destroy.</p> <p><i>NT Records disposal schedule for administrative functions 2013/5 Reference 0.4.1</i> Records documenting the planning and conduct of internal and external audits into the organisation’s functions – Destroy 7 years after audit completed.</p> <p><i>South Australia General disposal schedule no. 30 Reference 13.3.4</i> Records relating to other internal or external audits of agency policy, procedures, systems, facilities and/or processes – Destroy 7 years after action completed.</p> <p><i>Tasmanian Disposal schedule for common administrative functions DA2157 Reference 16.02.01</i> Records documenting internal and external audits relating to the strategic management function – Destroy 5 years after action completed.</p> <p><i>State Records Office of WA General disposal authority for State Government information Reference 10.2</i> Records of internal or external audits not included in section 10.1 and minor audits – Retain 6 years after successful audit, then destroy.</p> <p><i>General Retention and Disposal Schedule Reference 12.1.1</i> Quality audits – Retain for 3 years after audit.</p>
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> <p>Quality assurance audits include, but are not limited to:</p> <ul style="list-style-type: none"> liquor compliance inspections (breaches only) 	<p>Background/business process:</p> <p>This audit is scheduled approximately 12 months after the original audit with the scope being limited to checking implementation of recommendations. The results of the QA are recorded in the OLGR’s operational system (COGS) that the QA has been undertaken and document whether a matter will be referred for further action.</p> <p>Regulatory requirements:</p> <p>Gaming auditors are appointed as inspectors under:</p> <p><i>Casino Control Act 1982 – s.85E</i></p> <p><i>Charitable and Non-Profit Gaming Act 1999 – s.111</i></p> <p><i>Gaming Machine Act 1991 – s.325A</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> • gaming machine audits – reinspection • completed target inspections/ reinspections • completed risk assessments (licence/high risk permits only) • licence/permit applications (high risk). <p>Retention period & trigger 7 years after audit.</p>	<p><i>Interactive Gambling (Players Protection) Act 1998 – s.186</i> <i>Keno Act 1996 – s.167</i> <i>Liquor Act 1992 – s.174</i> <i>Lotteries Act 1997 – s.153</i> <i>Wagering Act 1998 – s.229</i></p> <p>Business requirements: The OLGR requires these records to be retained for 7 years after audit in order to:</p> <ul style="list-style-type: none"> • cover the OLGR for risks associated with non-implementation of audit recommendations as it: <ul style="list-style-type: none"> ○ meets the OLGR’s obligations for accountability ○ supports the processes of the business. • be consistent with the initial quality assurance audit (1.2.3). <p>Comparison with other schedules' retention period: <i>General Retention and Disposal Schedule</i> Reference 12.1.1 Quality audits – Retain for 3 years after audit.</p>
1607	<p>Regulatory enforcement Records relating to issuing directives, orders, fines, penalties, exemptions and other enforcement actions under relevant legislation.</p> <p>Retention period & trigger 7 years after matter is resolved.</p>	<p>Background/business process: Enforcement related records are created during compliance monitoring processes to ensure adherence to legislative requirements, and take punitive action against offenders. As part of the monitoring programs and the conduct of inspections and investigations, on-the-spot notices such as directives, orders, fines, penalties are issued.</p> <p>Regulatory requirements: <i>Gaming Machine Act 1992 – s.328</i> <i>Interactive Gambling (Player Protection) Act 1998 – s.216</i> <i>Keno Act 1996 – s.193, 208</i> <i>Liquor Act 1992 – s.174</i> <i>Lotteries Act 1997 – s.179, 194</i> <i>Wagering Act 1998 – s.258, 272</i> <i>Wine Industry Act 1994</i></p> <p>Business requirements: The OLGR requires these records to be retained for a minimum of seven years after matter is resolved, as they:</p>

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		<ul style="list-style-type: none"> are required to be retained for financial reasons as they are linked to the receipt of monies and are required to be retained for the same period of time as the related financial records which is seven years within the General Retention and Disposal Schedule support the decisions of the business ensure legal reference, including standard appeals of decisions and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period: <i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> reference 1.6.3 Records relating to the investigation of charities which proceed to prosecution – Retain minimum of 15 years after court case has been finalised, then destroy reference 2.5.2, 4.11.2, 6.7.2, 7.7.2 Records relating to other prosecutions, whether or unsuccessful – Retain minimum of 15 years after matter is resolved, then destroy.
1608	<p><i>Infringement notices</i> Records relating to the issue of infringement notices by the OLGR.</p> <p>Retention period & trigger 7 years after matter is resolved.</p>	<p>Background/business process: Liquor infringement tickets are issued by the Queensland Police Service (QPS) and OLGR compliance officers. All offenders are registered into the Infringement Notice Register (INR) which tracks infringement payment tracking and reporting.</p> <p>The INR is managed by OLGR. OLGR issues the infringement notice books and when a notice is served, the original is given to the offender, a copy is kept by QPS and a copy is sent to OLGR. This information is then entered into the register. All used books are returned to OLGR as they are audited.</p> <p>Regulatory requirements: <i>Liquor Act 1992 Part 6</i> <i>State Penalties Enforcement Act 1999 – s.15</i> <i>Wine Industry Act 1994 – s.49</i></p> <p>Business requirements: These records relate to the issue of infringement notices and fines for non-compliance to minimise the adverse effects of alcohol and gambling within the community. The OLGR requires minor investigation case files to be retained for a minimum of seven years after business action completed, as they:</p> <ul style="list-style-type: none"> support the decisions of the business are required to be retained for financial reasons as they are linked to the receipt of monies. <p>Comparison with other schedules' retention period:</p>

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		<p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239 Reference 1.6.2, 2.5.3, 4.11.3, 6.7.3</i> Records relating to the issue of penalty notices by the agency – Retain minimum of 15 years after matter is resolved, then destroy.</p> <p><i>Queensland Police Service retention and disposal schedule QDAN561 v7 Reference CD/INT/33</i> Records relating to liquor licensing offences – Retain for 10 years after last action.</p>
1609	<p>Gambling related exclusions Records relating to the monitoring and enforcing compliance of exclusions.</p> <p>Retention period & trigger 7 years after exclusion order revoked.</p>	<p>Background/business process: This record class was created in consultation with industry and gambling support stakeholders to support both industry and counsellors in identifying and assisting problem gamblers. The Queensland Government is committed to working with the community, industry, employers and employees to prevent and address problem gambling and to foster responsible gambling. The self-exclusion program is easy for customers to understand, is publicised in a clear manner, protects the privacy and dignity of customers and demonstrates links with a problem gambling service.</p> <p>Regulatory requirements: <i>Casino Control Act 1982</i> – s.91N <i>Gaming Machine Act 1991</i> – s.261 <i>Interactive Gambling (Player Protection) Act 1998</i> – s.137 <i>Keno Act 1996</i> – s.154A <i>Liquor Act 1992</i> – s.173EB <i>Wagering Act 1998</i> – s.216A</p> <p>Business requirements: Section 100 of the <i>Casino Control Act 1982</i> states that a person who is prohibited from entering or remaining in a casino under a self-exclusion order, an exclusion direction or a direction under s.92 or 94 must not enter or remain in the casino. There is also under s.100B an obligation to prevent persons from entering or remaining in the casino under the orders mentioned above. As such, the business believes a minimum of seven years' retention after exclusion is revoked allows the access to relevant information if required and complies with the <i>Limitation of Actions Act 1974</i>.</p> <p>The OLGR requires these records be retained for a minimum of seven years as they:</p> <ul style="list-style-type: none"> • provide evidence that the Queensland Government is meeting appropriate obligations • ensure legal reference, including standard appeals and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period:</p>

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		<p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476 Reference 1.1.6 Requests made to the ACT Gambling and Racing Commission regarding requests for exclusion from the casino under section 70B of the <i>Casino Control Act 1988</i> – Destroy 3 years after expiry or revocation of exclusion notice.</i></p> <p><i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08 Reference 1.4.1 Summary records of members of the public excluded from the casino under s.72 and 74 of the <i>Casino Control Act 1991</i> – Destroy 7 years after exclusion order revoked.</i></p>
1610	<p>Casino inspections Records relating to the conduct of onsite compliance inspections/audits of casinos.</p> <p>Retention period & trigger 7 years after business action completed.</p>	<p>Background/business process: The role of the OLGR is to monitor industry compliance with relevant legislation, controls and procedures to ensure that liquor compliance and legal gambling is correctly regulated in the community. The OLGR are required to do one programmed (planned) inspection a year. However, ad hoc inspections are completed throughout the year as well.</p> <p>Regulatory requirements: <i>Casino Control Act 1982</i> – s.37, s.77, Part 9 <i>Gaming Machine Act 1991</i> – s.327, s.328, Part 10 Gaming Machine Regulation 2002 – Schedule 2 Part 1 s.1 <i>Interactive Gambling (Players Protection) Act 1998</i> – s.14, s120, 127, 204, Part 8 <i>Keno Act 1996</i> – s.119, 130, 138, Part 9 <i>Liquor Act 1992</i> – s.46, 174, 176, 178, s.153 <i>Lotteries Act 1997</i> – s.100, 101, 102, <i>Wagering Act 1998</i> – s.173, 174, 175, 178, Div 1, Div 6</p> <p>Business requirements: The Compliance Unit of the OLGR requires these records to be retained for a minimum of seven years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business • ensure legal reference, including standard appeals of decisions and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period: <i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476 Reference 1.3.1 Inspections by ACT Gambling and Racing Commission officers ensuring the casino licensee is not in breach of the <i>Casino Control Act 1988</i> – Destroy 3 years after last action.</i> <i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i></p>

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		<p>Reference 1.1.2 Trader history files, including master files that relate to trader history – Destroy 7 years after action completed.</p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i></p> <p>Reference 06.07.03 Case records relating to routine inspections of venues which do not detect a breach of the <i>Gaming Control Act</i> – Destroy 10 years after action completed.</p>
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 • accuracy of the results of each approved lottery • presence of inspector at certain operations. <p>Retention period & trigger</p> <p>7 years after business action completed.</p>	<p>Background/business process:</p> <p>Under the <i>Lotteries Act 1997</i>, the OLGR is required to supervise the drawing of lotteries together with the Queensland Audit Office. Although lottery organisations are predominately state-based, the OLGR responds to other jurisdictions within Australia to queries regarding claims.</p> <p>Regulatory requirements:</p> <p><i>Lotteries Act 1997</i> – s.129, 138 <i>Lotteries Regulation 2007</i> – s.14</p> <p>Business requirements:</p> <p>Under s.129 of the <i>Lotteries Act 1997</i>, a participant's entitlement to claim a prize in an approved lottery continues until either the prize is paid or the end of seven years after the closure of the lottery in which the prize is won.</p> <p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476</i> Reference 1.3.4 Inspections by ACT Gambling and Racing Commission officers ensuring approved lotteries were not in breach of the <i>Lotteries Act 1964</i> – Destroy 3 years after last action.</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> • reference 4.10.2 Audit reports of games of lotto, Saturday lotto, Oz lotto and Powerball where there is no discrepancy – Retain minimum of 3 months after last action, then destroy • reference 4.10.3 Records relating to the auditing of lotteries/games of lotto where there is a discrepancy detected – Retain minimum of 10 years after last action, then destroy.
1612	<p>Routine inspections</p> <p>Records relating to the conduct of inspections in licensed premises, organisations or individuals, to ensure compliance with relevant</p>	<p>Background/business process:</p> <p>This class covers records relating to routine and ongoing inspections performed by OLGR. The OLGR regularly conducts unannounced liquor inspections at licensed premises in accordance with its proactive compliance program. OLGR compliance officers may also attend a venue if OLGR has received a complaint about that venue's operation.</p> <p>Any compliance issues will be raised at the time of the inspection. In most instances, OLGR</p>

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	<p>legislation.</p> <p>Retention period & trigger 7 years after business action completed.</p>	<p>compliance officers provide education and advice about how to address any breaches identified during the inspection. Where more serious breaches are identified (e.g. minor persons consuming liquor on premises, intoxication), enforcement action may be taken in accordance with OLGR's Liquor Enforcement Policy.</p> <p>Regulatory requirements: <i>Gaming Machine Act 1991</i> – Part 10 <i>Liquor Act 1992</i> – s.46, 46A, 142AK, 176, 177</p> <p>Business requirements: Records of routine incidents are required to document the OLGR response to breaches identified in the event legal action is required or to analyse the occurrence of breaches that may occur regularly. For this record class, the retention period of seven years after business action completed meets the business requirements of the Compliance Business Unit.</p> <p>Comparison with other schedules' retention period: <i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476:</i></p> <ul style="list-style-type: none"> reference 1.3.3 Inspections by ACT Gambling and Racing Commission officers ensuring licensed Race/Sports bookmakers are not in breach of the <i>Race and Sports Bookmaking Act 2001</i> – Destroy 3 years after last action reference 1.3.5 Inspections by ACT Gambling and Racing Commission officers ensuring licensed Interactive Gambling agents are not in breach of the <i>Interactive Gambling Act 1998</i> – Destroy 3 years after last action. <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 1.1.3 Other compliance inspections, including those relating to consumer protection and licensed trades persons – Destroy 5 years after subsequent inspection.</p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.07.03 Case records relating to routine inspections of venues which do not detect a breach of the Gaming Control Act – Destroy 10 years after action completed.</p>
1613	<p>Case files – significant Records relating to investigations arising from complaints, inspections and/or compliance audits where the investigation results in</p>	<p>Background/business process: In Brisbane, the Investigations Unit is responsible for investigating liquor matters relating to the Brisbane area and undertaking gaming investigations state-wide. Each regional liquor branch is responsible for managing and carrying out their own liquor related investigations. These records cover the activities of investigating complaints and ensuring the members of liquor and gaming community meet legislative requirements.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>significant changes to legislation, policy or processes or the case file sets a precedent.</p> <p>Retention period & trigger Permanent. Transfer to QSA after business action completed.</p>	<p>Proper storage and recording of evidence, including digital recordings of interviews, is paramount to ensure both the integrity and admissibility of the evidence. This record class refers to more serious offences/conduct and action is pursuant to section 142ZB of the <i>Liquor Act 1992</i>. Glassing or violent incidents are considered high risk investigations under s.97 and 98 of the <i>Liquor Act 1992</i> as are dangerous activities at licensed premises under s.187 of the Act.</p> <p>Regulatory requirements: <i>Casino Control Act 1982</i> – s.38(1), 39, 39C(1), 39E(3), 45B, 45C, 45E, 45F <i>Charitable and Non-Profit Gaming Act 1999</i> – s.105, 106, 108 <i>Gaming Machine Act 1991</i> – s.102, 227(1), 265(1), 267(3), 268(2), 271(2), 325, 346, 349 <i>Interactive Gambling (Players Protection) Act 1998</i> – s.169, 170, 172 <i>Keno Act 1996</i> – s.155, 156, 158 <i>Liquor Act 1992</i> – s.97, 98, 142ZB, 187 <i>Lotteries Act 1997</i> <i>Wagering Act 1998</i></p> <p>Business requirements: This record class provides detailed information on liquor and gaming operations that result in legal action and/or set a precedent. Further investigations are held to determine trends or issue ‘flags’ to identify evidence of whether a trend or issue of concern exists. If there is a concerning trend, plans are put into place to develop/or change either process, policy or legislation.</p> <p>If a matter relates to non-compliance with legislation the branch can undertake investigations with a view to establishing whether an individual or organisation has contravened legislation and/or internal controls and/or is suitable to remain licensed. Under s.137 of the Act, the OLGR, can determine the type of disciplinary action for non-compliance, some of which can include suspension due to multiple breaches. Some major investigations may involve prosecutions for rarely breached provision(s) and may involve a challenge to existing legislation.</p> <p>The OLGR requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • are required for long-term reference and business needs • provide evidence of decisions, support actions and provide a history of major investigations and any significant changes • support the business processes including complaint conciliation, mediation, enforcement and dispute resolution process • represent industry over time to effectively assess long-term impacts.

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>Permanent retention criteria (where applicable)</p> <p>Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 2 – Primary Functions & Programs of Government • 4 – Significant Impact on Individuals • 5 – Substantial Contribution to Community Memory. <p>Community expectation:</p> <p>These records provide proof that liquor and gaming operations are conducted in a safe, fair and ethical manner and that persons connected or associated with liquor and gaming are suitable – that the OLGR are committed to protecting the community and the most vulnerable within the community.</p> <p>Comparison with other schedules' retention period:</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 1.7.1, 2.6.1, 4.12.1, 6.8.1, 7.8.1 Records regarding investigations arising from complaints and/or compliance audits that demonstrated widespread public concern as revealed, for instance, in the media or Parliament or where the investigation results in significant changes in legislation, policy or processes – Required as State archives.</p> <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 1.2.1 Records documenting major (serious) investigations, including those leading to legal action – Permanent.</p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.07.02 Records relating to casino incidents and investigations – Permanent.</p> <p><i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08</i> Reference 1.3.2 Records relating to investigations of complaints about gaming activities that leads to a change in government or agency policies or legislation – Permanent.</p>
1614	<p>Case files – major investigations</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>Background/business process:</p> <p>The responsibility for assessing the suitability of individuals to continue to hold licences within the liquor and gaming industries, as well as the initiation of any subsequent disciplinary action, sits with the Investigations Unit. Records are held by the licensee on the premises to which they relate for a period of 6 years after the day on which the record is made. These records to be made available to investigators to which the investigator is able to make copies of or take extracts.</p> <p>Regulatory requirements:</p> <p><i>Casino Control Act 1982</i> – s.30, 31, 43A, s.76</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Matters may relate to underage drinking, underage betting, licensee/trader convicted or disciplined, insolvency, exceeding scope of license, insufficient funds.</p> <p>Includes matters which relate to revocation or suspension of license, imposition of finds or referring matter to QCAT.</p> <p>Retention period & trigger 15 years from the completion of the OLGR investigation.</p>	<p><i>Charitable and Non-Profit Gaming Act 1999</i> – s.125, 126, 127, 137, 140, 142, 165(1), 165(2), <i>Gaming Machine Act 1991</i> – s.136, 137, 139, 304, Part 10 <i>Interactive Gambling (Players Protection) Act 1998</i> – s.167, 169, 170, 171, 172, 180, 183, Part 8 <i>Keno Act 1996</i> – s.117, 118, 122, 124, 127, Part 9 <i>Liquor Act 1992</i> – s.6, 42, 46, 111(2), 217, 228B <i>Lotteries Act 1997</i> – s.100, 108, 110, 149, 150, 154, 181, 182, 190, 207, Part 8 <i>Wagering Act 1998</i> – s.11A, 37, 38, 39, 40, 178, 179, 183, 212, 284, Part 12</p> <p>Business requirements: The OLGR requires major investigation case files to be retained for 15 years from completion of the investigation as they:</p> <ul style="list-style-type: none"> • are required for long-term business needs on cycles of renewal and regeneration • cover the OLGR for risks associated with the OLGR’s responsibility to check and solve possible situations. Inspectors can uncover significant risks and undue exposure to the community during inspections • directly relate to or provide background information to significant investigations. <p>Comparison with other schedules' retention period: <i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> • reference 1.6.3 Records relating to the investigation of charities which proceed to prosecution – Retain minimum of 15 years after court case has been finalised, then destroy • reference 2.5.2, 4.11.2, 6.7.2, 7.7.2 Records relating to other prosecutions, whether or unsuccessful – Retain minimum of 15 years after matter is resolved, then destroy. <p><i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08</i> Reference 1.3.3 Records relating to investigations of complaints about gaming activities that identify substantial breaches of gaming legislation which result in disciplinary action or criminal prosecution – Destroy 15 years after last action.</p> <p><i>PROV Retention & disposal authority for records of the Liquor Licensing function created to 31 December 1998 PROS11/08:</i></p> <ul style="list-style-type: none"> • reference 6.3.3 Records of inspections and investigations that lead to written warnings or contravention notices – Destroy 12 years after conclusion of investigation • reference 6.3.4 Records documenting inspections and investigations that lead to the cancelling of

Disposal authorisation	Record class and retention period	Justifying the retention period
		a licence – Destroy 12 years after date of cancellation of the licence.
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>Retention period & trigger</p> <p>10 years from the date of finalisation of the investigation.</p>	<p>Background/business process:</p> <p>The responsibility for assessing the suitability of individuals to continue to hold licences within the liquor and gaming industries, as well as the initiation of any subsequent disciplinary action, sits with the Investigations Unit. Records are held by the licensee on the premises to which they relate for a period of six years after the day on which the record is made. These records to be made available to investigators to which the investigator is able to make copies of, or take extracts.</p> <p>Regulatory requirements:</p> <p><i>Casino Control Act 1982</i> – s.86, 87, 87A, 88 <i>Charitable and Non-Profit Gaming Act 1999</i> – s.57, 73, 74, 75, 76,104(3), 125, 126, 127, 142(1), 147, <i>Gaming Machine Act 1991</i> – s.165, 179, 180, 329 <i>Interactive Gambling (Players Protection) Act 1998</i> – s.35, 56, 167(3), 169, 170, 171, 172, 173, 174 <i>Keno Act 1996</i> – s.152(3), 175, 180, 204(2), 206, Part 9 <i>Liquor Act 1992</i> – s.46, 46A, 142AJ, 143, 176, 177, 178,198, 233 <i>Lotteries Act 1997</i> – s.105, 107, 137(3), 138(2), 139(3), 140, 141, 142, 143, 149, 150, 190(2), Part 8 <i>Wagering Act 1998</i> – s.173, 178, 183, 212, 216, 246, 267, 268</p> <p>Business requirements:</p> <p>The OLGR requires other investigation case files to be retained for 10 years from the date of finalisation of the investigation as they:</p> <ul style="list-style-type: none"> • meet the OLGR’s business and legal requirements • support the decisions of the business. <p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476:</i></p> <ul style="list-style-type: none"> • reference 1.9.1 Investigations by ACT Gambling and Racing Commission officers ensuring the casino licensee is not in breach of the <i>Casino Control Act 1988</i> – Destroy 5 years after last action • reference 1.9.2 Investigations by ACT Gambling and Racing Commission officers ensuring the Gaming Machine licensees are not in breach of the <i>Gaming Machine Act 1987</i> – Destroy 5 years after last action • reference 1.9.3 Investigations by ACT Gambling and Racing Commission officers ensuring licensed Race/Sports bookmakers are not in breach of the <i>Race and Sports Bookmaking Act 2001</i>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>– Destroy 5 years after last action</p> <ul style="list-style-type: none"> • reference 1.9.4 Investigations by ACT Gambling and Racing Commission officers ensuring approved lotteries were not in breach of the <i>Lotteries Act 1964</i> – Destroy 5 years after last action • reference 1.9.5 Investigations by ACT Gambling and Racing Commission officers ensuring licensed Interactive Gambling agents are not in breach of the <i>Interactive Gambling Act 1998</i> – Destroy 5 years after last action. <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 1.7.2, 2.6.2, 4.12.2, 6.8.2, 7.8.2 Records relating to other investigations, including initial complaint or incident report etc. – Retain minimum of 10 years after investigation is finalised (including any enforcement action arising), then destroy.</p> <p><i>NT disposal schedule for Gaming Machine Licensing Regulation records 2014/16</i> Reference 1.3.2, 1.3.3 Records documenting investigations into complaints against persons suspected of contravening the Act – Destroy 7 years after licence expires, is cancelled, suspended or surrendered.</p> <p><i>NT disposal schedule for Liquor Licensing Regulation records 2014/18</i> Reference 1.3.1 Records documenting investigations, compliance investigations, complaints or disciplinary actions against the licensing requirements under the Act – Destroy 7 years after licence expires, is cancelled or suspended.</p> <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 1.2.2 Records documenting recurrent or routine investigations under legislation for which the agency is responsible, not resulting in further action nor leading to legal action – Destroy 10 years after action completed.</p> <p><i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08</i> Reference 1.3.4 Records relating to investigations of complaints about gaming activities that identify minor breaches of gaming legislation and do not result in disciplinary action or criminal prosecution – Destroy 7 years after last action.</p> <p><i>PROV Retention & disposal authority for records of the Liquor Licensing function created to 31 December 1998 PROS11/08</i> Reference 6.3.2 Records documenting inspections and investigations that do not lead to any enforcement action – Destroy 7 years after conclusion of investigation.</p> <p><i>Office of Racing Retention and Disposal Schedule QDAN620 v.2</i> Reference 2.11.1 Complaints – Retain for 7 years after last action.</p> <p>Previous schedules (where applicable)</p> <p><i>Queensland Office of Gaming Regulation Retention and Disposal Schedule QDAN432 v2</i> Reference 7 QOGR prepared investigation reports – 5 years after the date that the report was written, if the organisation/person is still involved in the Queensland gaming industry or 2 years after the date that</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		the report was written, if the organisation/person ceases to be involved in the Queensland gaming industry or 5 years after the date that the report was written if the organisation/person is refused/cancelled as a result of the investigation.
1616	<p>Financial monitoring (financial analysis – FAN files)</p> <p>Records relating to financial returns, including balance sheets, of licensees.</p> <p>Retention period & trigger</p> <p>7 years after the end of the financial period to which the documents relate.</p>	<p>Background/business process:</p> <p>Financial monitoring is undertaken by the OLGR on a continuous basis as part of an assessment plan or as a targeted/specific assessment for higher risk situations.</p> <p>Regulatory requirements:</p> <p><i>Gaming Machine Act 1991</i> – s.171, 172, 173, 177, 178, 179, 180 <i>Liquor Act 1992</i> – s.203, 217, 218(2b), 281(5)</p> <p>Business requirements:</p> <p>Sections 78 and 79 of the <i>Casino Control Act 1982</i> and s.171 of the <i>Gaming Machine Act 1991</i> state that a casino operator must keep accounting records to explain the transactions and financial position of the operations to enable the financial statements and accounts to be conveniently and properly audited. The OLGR receives reports as required about the financial operations of operators and licensees to ensure compliance against legislation. If these reports do not comply, the OLGR will send out investigators to determine the type of action that needs to be enforced.</p> <p>This record class supports legislation on financial management and community expectation that licences are being monitored, so retention for at least seven years is recommended.</p> <p>Comparison with other schedules' retention period:</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> • reference 1.10.1 Records relating to the monitoring an organisation or body's use and intentions regarding expenditure of money raised – Retain minimum of 5 years after last action, then destroy • reference 2.4.2 Records relating to the receipt and audit of annual financial statements of registered clubs – Retain minimum of 7 years after audit, then destroy. <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44:</i></p> <ul style="list-style-type: none"> • reference 06.07.08 Monthly financial reports of casino and venue operations – Destroy 7 years after action completed • reference 06.08.03 Register recording financial transactions relating to permits – Destroy 7 years after action completed.
1617	<p>Tax sweep</p> <p>Records relating to the</p>	<p>Background/business process:</p> <p>A licensed monitoring operator (LMO) provides a monthly Gaming Machine Report to the OLGR</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>collection of taxes from gaming machines.</p> <p>Retention period & trigger 7 years after the end of the financial period to which the documents relate.</p>	<p>finance team. Gaming machine tax is paid on the profits of gaming machines in clubs and hotels. The tax is paid by direct debit from the nominated bank account. On a monthly basis the OLGR reviews the amount of tax from each club and hotel accounts which have been set up via direct debit.</p> <p>Regulatory requirements: <i>Gaming Machine Act 1991</i> – s.318, 319, 322, 323, 324</p> <p>Business requirements: The OLGR requires these records to be retained for a minimum of seven years as they:</p> <ul style="list-style-type: none"> • are linked to the receipt of monies and are required to be retained for the same period of time as the related financial records, which is seven years within the <i>General Retention and Disposal Schedule</i> • support the decisions of the business. <p>Comparison with other schedules' retention period: <i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 4.5.1 Records relating to gaming machine tax assessments – Retain minimum of 7 years after date of tax assessment, then destroy.</p>
1618	<p>Appeals register Register relating to licensees who have appealed against decisions of the OLGR.</p> <p>Retention period & trigger Permanent. Transfer to QSA after business action completed.</p>	<p>Background/business process: These records list the names of licensees/non-licensees/operators who have appealed against a decision that has been made on behalf of the OLGR. This register is regularly checked when appeals are lodged to check if licensees/non-licensees/operators repeatedly appeal against decisions made by OLGR. This evidence can then be used to uphold any decisions.</p> <p>Regulatory requirements: <i>Liquor Act 1992</i> <i>Wine Industry Act 1994</i></p> <p>Business requirements: The OLGR requires these registers to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide long-term reference value for future decisions and actions as well as providing an appeals history • reduce the potential for repetition of mistakes regarding decisions • document the history of the OLGR's work in response to significant incidents. <p>Permanent retention criteria (where applicable):</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 4 – Significant Impact on Individuals • 5 – Substantial Contribution to Community Memory. <p>Community expectation: These records may have continual research and community value.</p> <p>Comparison with other schedules: <i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.5.1 Registers created and maintained in electronic format within LoB databases and other electronic applications – Permanent. <i>PROV Retention & Disposal Authority for records of the Office of Gaming & Racing PROS04/07</i> Reference 3.1 Register appeals – Permanent.</p>
1619	<p>Death register Register listing deaths on licensed premises.</p> <p>Retention period & trigger Permanent. Transfer to QSA after business action completed.</p>	<p>Background/business requirements: Data sets comprising the register of deaths within Queensland casinos and licensed premises. Information captured includes incident details and outcome of investigation into death. Reports are generated from this register to identify trends. The reports are important to department stakeholders and other government agencies in determining why deaths occurred and finding ways to prevent deaths.</p> <p>Business requirements: The investigations officer has stated that the deaths are registered only if they are on or around licensed premises. Even though the coroner may be involved, the OLGR keeps this register for information and reference purposes. The OLGR requires these registers to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide long-term reference value for current and previous cases including the identification of historical and contextual information • document the history of the OLGR’s significant work. <p>Permanent retention criteria (where applicable) Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 4 – Significant Impact on Individuals • 5 – Substantial Contribution to Community Memory. <p>Community expectation: These records may have continual research and community value to show how and why people have</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>died on or around Queensland casinos and licensed premises.</p> <p>Comparison with other schedules: <i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.5.1 Registers created and maintained in electronic format within LoB databases and other electronic applications – Permanent.</p>
1620	<p><i>Investigation branch prosecution register</i> Register of sites that have been prosecuted for breach of licence.</p> <p>Retention period & trigger Permanent. Transfer to QSA after business action completed.</p>	<p>Background/business process: This register is an operation tool used by the OLGR investigators to keep track of the investigations which have led to prosecutions. Some outcomes can be achieved by issuing an infringement notice but others require prosecution action. The register is regularly updated and contains information on potential repeat offender licensees.</p> <p>Regulatory requirements: <i>Gaming Machine Act 1991</i> – s.102, 227(1), 265(1), 267(3), 271(2), 286(1), 291(1), 294(1), 325, 346,356 <i>Liquor Act 1992</i> – s.13, 136</p> <p>Business requirements: The OLGR requires these records to be retained permanently, as they:</p> <ul style="list-style-type: none"> • provide long-term reference value for current and previous cases including the identification of historical and contextual information • document the history of the OLGR’s work. <p>Permanent retention criteria (where applicable) Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 4 – Significant Impact on Individuals • 5 – Substantial Contribution to Community Memory. <p>Community expectation: A history of prosecutions within the Queensland liquor and gaming industry is retained.</p> <p>Comparison with other schedules: <i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.5.1 Registers created and maintained in electronic format within LoB databases and other electronic applications – Permanent. <i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08</i> Reference 1.3.1 Summary register of disciplinary actions against venues and operators – Permanent.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
1621	<p>Licensee disciplinary action register</p> <p>Register of disciplinary action to licensees who breached their licence.</p> <p>Retention period & trigger</p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>Background/business process:</p> <p>Disciplinary action registration records are created during compliance monitoring processes to ensure adherence to legislative requirements and to take punitive action against offenders. In accordance with s.137 of the Act, disciplinary action may be taken against a licensee by the OLGR if grounds exist (as outlined in s.136 of the Act). Outcomes may result in one or more of the following:</p> <ul style="list-style-type: none"> • cancellation or suspension of licence • orders prohibiting individuals from working in the industry • conditions or variations imposed on a licence • imposition of an administrative fine. <p>Disciplinary action is instigated as a last resort when all other forms of remedial action have failed.</p> <p>Regulatory requirements:</p> <p><i>Liquor Act 1992 – s.136</i></p> <p>Business requirements:</p> <p>The OLGR requires these records to be retained permanently, as they:</p> <ul style="list-style-type: none"> • provide long-term reference value for current and previous cases including the identification of historical and contextual information • document the history of the OLGR's work. <p>The retention period is consistent with the show cause register-licensees and employees record class.</p> <p>Permanent retention criteria (where applicable)</p> <p>Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 2 – Primary Functions & Programs of Government • 4 – Significant Impact on Individuals • 5 – Substantial Contribution to Community Memory. <p>Comparison with other schedules:</p> <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.5.1 Registers created and maintained in electronic format within LoB databases and other electronic applications – Permanent.</p> <p><i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08</i> Reference 1.3.1 Summary register of disciplinary actions against venues and operators – Permanent.</p>
1622	Show cause register –	Background/business process:

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>licensees and employees</p> <p>Register of show cause notices issued to licensees and employees.</p> <p>Retention period & trigger</p> <p>Permanent. Transfer to QSA after business action completed.</p>	<p>'Show cause' registration records are created during compliance and investigation processes to ensure legislative requirements are met and to take punitive action against offenders, if required. The licensee/ operator is required to explain or prove why compliance has not been met. Reports are created from the register for stakeholders/government to see how many show cause notices were finalised and whether there was further action, e.g. investigations.</p> <p>Regulatory requirements:</p> <p><i>Gaming Machine Act 1991 – s.336</i></p> <p><i>Liquor Act 1992 – s.134B</i></p> <p>Business requirements:</p> <p>The OLGR requires these records to be retained permanently, as they:</p> <ul style="list-style-type: none"> • provide long-term reference value for current and previous cases including the identification of historical and contextual information • document the history of the OLGR's work. <p>The retention period is consistent with the licensee disciplinary action register record class.</p> <p>Permanent retention criteria (where applicable)</p> <p>Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 4 – Significant Impact on Individuals • 5 – Substantial Contribution to Community Memory. <p>Community expectation:</p> <p>A history of show cause actions within the Queensland liquor and gaming industry is retained. These records will also provide evidence of who might have been serial offenders.</p> <p>Comparison with other schedules:</p> <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13 Reference 2.5.1 Registers created and maintained in electronic format within LoB databases and other electronic applications – Permanent.</i></p>
1623	<p>Exhibit register</p> <p>Register listing evidence confiscated from licensed/ unlicensed premises.</p> <p>Retention period & trigger</p> <p>7 years after business action</p>	<p>Background/business process:</p> <p>These records detail items removed for evidential purposes to prove breach of legislation or licensing requirements. These items may be required by court for inspection. Items can include but are not limited to:</p> <ul style="list-style-type: none"> • alcohol • DVDs of CCTV footage

Disposal authorisation	Record class and retention period	Justifying the retention period
	completed.	<ul style="list-style-type: none"> • receipts and bank statements • SD cards from gaming machines • incident registers from licensees. <p>Business requirements: The OLGR requires these registers to be retained for a minimum of seven years after business action completed, as they:</p> <ul style="list-style-type: none"> • support the decisions of the business • cover the OLGR for risks associated with the government’s responsibility to check and catch problems • ensure legal reference, including standard appeals of decisions and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: <i>Courts Sector Retention and Disposal Schedule QDAN705 v.1</i> Reference 2.9.3 Case registration and control-other – Retain for 12 years after last action.</p>
1624	<p>Confiscated ID register Register relating to IDs confiscated from patrons in/at licensed areas.</p> <p>Retention period & trigger 5 years after business action completed.</p>	<p>Background/business process: Checking forms of ID by licensees defined as ‘acceptable evidence of age’ under the <i>Liquor Act 1992</i> provides licensees with a potential defence from enforcement action. The licensees confiscate any suspected fake, defaced or falsely presented ID. This is then sent to the OLGR with a completed ID confiscation report. The legitimate owner of the ID may reclaim the ID by contacting the OLGR.</p> <p>Regulatory requirements: <i>Liquor Act 1992</i> – s.158, s160</p> <p>Business requirements: The OLGR requires these registers to be retained for a minimum of 5 years, after business action completed, in order to:</p> <ul style="list-style-type: none"> • support the decisions of the business by providing action taken by licensees/operators • cover the OLGR for risks associated with the government’s responsibility to check and catch problems. <p>Comparison with other schedules: <i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.1.21 Records documenting applications to bar individuals from entering licensed premises – Destroy 5 years after barring order ceases.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
1625	<p><i>Intervention register</i> Register of meetings held in venues that have received complaints against them.</p> <p>Retention period & trigger 5 years after business action completed.</p>	<p>Background/business process: These records are created as part of the licensing and compliance process to ensure legislation requirements are met and to take action as required. After receiving a valid objection/complaint, a conference, chaired by an OLGR licensing officer may be held. This allows objectors and the licensee to discuss the concerns as laid down by the objector. While enforcement action is an important component of the work OLGR does, working with industry participants to achieve sustainable compliance outcomes with associated benefits for the community is a priority of the compliance strategy.</p> <p>Business requirements: The OLGR requires these registers to be retained for a minimum of 5 years after business action completed as they:</p> <ul style="list-style-type: none"> • enable the OLGR to address enquiries • support the decisions of the business. <p>Comparison with other schedules: There are no other schedules found for comparison.</p>
1626	<p><i>Glassing register</i> Register of glassing incidents at licensed venues.</p> <p>Retention period & trigger 3 years after business action completed.</p>	<p>Background/business process: These records are created as part of the inspection and monitoring process to ensure legislative requirements are met and to take punitive action against offenders, if required.</p> <p>This register is for business purposes only. Any records created as part of an investigation or inspections are captured on the relevant record class.</p> <p>Business requirements: The OLGR requires these registers to be retained for a minimum of 3 years after business action completed, as they:</p> <ul style="list-style-type: none"> • support the decisions of the business • ensure legal reference, including standard appeals under s.11 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules: There are no other schedules found for comparison.</p>
1627	<p><i>Field property receipt book register</i> Register of field property books</p>	<p>Background/business process: These records detail the distribution of receipt books to an OLGR field officer. These receipts are presented when property is confiscated/seized after an inspection, due to non-compliance.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>distributed to OLGR field officers to provide receipts when property is confiscated.</p> <p>Retention period & trigger 2 years after business action completed.</p>	<p>Business requirements: The OLGR requires these registers to be retained for two years, after business action completed, as they support the actions/decisions of the business.</p> <p>Comparison with other schedules: There are no other schedules found for comparison.</p>

Function	Scope note
GAMING SERVICES	<i>The function associated with technical, concept and operational evaluations under various gaming legislation. Includes operational approvals, guidelines, testing and monitoring.</i>
Activities	
Equipment and systems evaluations Operational approvals Training	

Disposal authorisation	Record class and retention period	Justifying the retention period
1628	Casino Control Act 1982 technical evaluations Records relating to technical and concept evaluations made under the <i>Casino Control Act 1982</i> .	Background/business process: All gaming equipment for use in Queensland must be evaluated by the Gaming Services Branch technical unit of the OLGR. In particular, the technical unit evaluate hardware, software, artwork, mathematics and communications against liquor and gaming legislation, standards and policies to ensure regulated equipment is safe, secure, reliable and fair. This includes any equipment used in casino games, charitable and non-profit games, machine gaming (pokies), Keno, lottery or wagering systems.
1629	Charitable and Non-profit Gaming Act 1999 technical evaluations 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.	The technical unit: <ul style="list-style-type: none"> • use Licensed Testing Facility Operators (LTFOs) and approved evaluators to improve evaluation timeframes so resources can be directed toward more complex and higher risk products • advise clients of issues, submission quality and potential improvements identified during the evaluation process • is independently accredited by ISO 12025:2005 – general requirements for the competence of testing and calibration laboratories.
1630	Gaming Machine Act 1991 technical evaluations Records relating to technical and concept evaluations for gaming machines under the <i>Gaming Machine Act 1991</i> .	Regulatory requirements: <i>Casino Control Act 1982</i> – s.14A, 62, 62AA, 73 <i>Charitable and Non-Profit Gaming Act 1999</i> – s.98, 99, 100 <i>Gaming Machine Act 1991</i> – s.19, 232, 281, 387 <i>Interactive Gambling (Player Protection) Act 1998</i> – s.162, 163, 163A <i>Keno Act 1996</i> – s.117, 119

Disposal authorisation	Record class and retention period	Justifying the retention period
1632	<p>Includes withdrawn or refused gaming machines.</p> <p>Interactive Gambling (Player Protection) Act 1998 technical evaluations</p> <p>Records relating to technical and concept evaluations conducted under the <i>Interactive Gambling (Player Protection) Act 1998</i>.</p>	<p><i>Lotteries Act 1997</i> – s.134</p> <p><i>Wagering Act 1998</i> – s.208</p> <p>Business requirements:</p> <p>These record classes assist operators to meet technical requirements of gaming equipment as it is vital to have a strong approach to ensure compliance with the law and respect for community standards. The <i>Gaming Machine Act 1991</i> s.19 allows the OLGR to make technical standards to which the gaming operators must conform. The OLGR requires these records to be retained for seven years once the game is no longer operational, as they need to be retained to:</p> <ul style="list-style-type: none"> • support the decisions of the business • show history of technical requirements and evaluations • ensure legal reference.
1632	<p>Keno Act 1996 technical evaluations</p> <p>Records relating to technical and concept evaluations conducted under the <i>Keno Act 1996</i>.</p>	<p>The legislative intent underlying the regulation and control of gaming in Queensland is to protect players and the community through:</p> <ul style="list-style-type: none"> • ensuring integrity and fairness of games • ensuring the probity of those involved in the conduct of gaming • minimising the potential for harm from gaming.
1633	<p>Liquor Act 1992 technical evaluations</p> <p>Records relating to technical and concept evaluations conducted under the <i>Liquor Act 1992</i>.</p>	<p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476:</i></p> <ul style="list-style-type: none"> • reference 1.4.3 Records documenting the evaluation and approval of rules of games and the approval for the casino specific table games – Destroy 3 years after next subsequent amendment to the rules or 7 years after licence expires/cancelled • reference 1.4.10 Records documenting the evaluation and approval of games on gaming machines – Destroy 7 years after approval revoked/cancelled or games no longer available • reference 1.4.11 Records documenting software programs for gaming machines – Destroy 5 years after approval revoked/cancelled or programs withdrawn.
1634	<p>Lotteries Act 1997 technical evaluations</p> <p>Records relating to technical and concept evaluations conducted under the <i>Lotteries Act 1997</i>.</p>	<p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 4.4.2 Records relating to the evaluation of successful applications of software and hard – Retain minimum of 10 years after surrender or expiry of approval, then destroy.</p>
1635	<p>Wagering Act 1998 technical evaluations</p> <p>Records relating to technical and concept evaluations conducted under the <i>Wagering Act 1998</i>.</p>	<p><i>NT disposal schedule for Gaming Machine Licensing Regulation records 2014/16</i> Reference 1.2.8 Records documenting the granting, refusal or withdrawal of approval for gaming equipment and</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>Retention period & trigger 7 years after product is no longer operational.</p>	<p>games – Destroy 7 years after licence expires, is withdrawn or action completed. <i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44:</i></p> <ul style="list-style-type: none"> • reference 06.05.01 Records relating to the evaluation and approval of games played on gaming machines in Tasmania – Destroy 2 years after approval is withdrawn or game is withdrawn • reference 06.05.03 Records relating to the testing of gaming machines – Destroy 2 years after action completed.
1636	<p>Control systems 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. Retention period & trigger 7 years after approval is superseded.</p>	<p>Background/business process: Control systems are systems of internal controls and procedures that are used to ensure the operation of a licensed casino's gambling activities meet the objectives and requirements of the <i>Casino Control Act 1982</i>. The legislative intent underlying the regulation and control of gaming in Queensland is outlined in the object of the Act, which are achieved in part by the legislative requirement for licensed casino operators not to operate a casino under a casino licence unless the operator has an approved control system for the casino. The OLGR reviews and, where applicable, approves agreements and contracts to ensure, with the assistance of Licence Monitoring Operators (LMOs), gaming operators comply with s.97 of the <i>Gaming Machine Act 1991</i>.</p> <p>Regulatory requirements: <i>Casino Control Act 1982</i> – s.73 <i>Gaming Machine Act 1991</i> – s.162A, 163, 164, 165 <i>Interactive Gambling (Player Protection) Act 1998</i> – s.127, 128, 129 <i>Keno Act 1996</i> – s.117, 118, 119 <i>Lotteries Act 1997</i> – s.100, 101, 102 <i>Wagering Act 1998</i> – s.173, 179, 180 These Acts and other associated regulations, rules and technical documents are used by the OLGR to regulate the gaming industry. These documents often require gaming equipment to be submitted for the purpose of evaluation.</p> <p>Business requirements: Gaming has become one of the fastest growing segments of the industry. Enormous amounts of cash change hands in the daily operation of a casino. Therefore, internal control practices, especially concerning cash flows, are important. Public records provide evidence that the OLGR is ensuring suitability of applicants, persons and corporations connected or associated with liquor and gaming. This record class provides information about agreements made with gaming operators in maintaining</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>standards for internal control.</p> <p>The OLGR require these records to be retained for seven years after approval is superseded, as they:</p> <ul style="list-style-type: none"> • are required for future business enhancement and improvement • support the decisions of the business • ensure legal reference, including standard appeals of decision, and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period:</p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44 Reference 06.07.04</i> Records relating to venue and casino operations including notice of promotions, internal controls, approval of venue control manuals and correspondence – Destroy 10 years after action completed.</p>
1637	<p>Games and gaming schemes</p> <p>Records relating to gaming related approvals between the OLGR and other entities.</p> <p>Retention period & trigger</p> <p>7 years after approval is superseded or game withdrawn, whichever is later.</p>	<p>Background/business process:</p> <p>Submissions for approval of games and gaming machines are only accepted from manufacturers who hold a major dealer's licence under the <i>Gaming Machine Act 1991</i>. Submissions for approval of games and gaming machines are only accepted if the product is compliant with the requirements of the relevant version of the Australian/New Zealand Gaming Machine National Standard 2015.</p> <p>Regulatory requirements:</p> <p>Australian/New Zealand Gaming Machine National Standards (GMNS) 2015 – s1.20-1.22 <i>Gaming Machine Act 1991</i> – s.232, 281, 288 <i>Gaming Machine and Other Legislation Amendment Act 1999</i> Gaming Guideline G08: Approvals for gaming machines and gaming related systems Lotteries Rule 1998</p> <p>Business requirements:</p> <p>The OLGR requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> • document the business processes associated with gaming related approvals • support the decisions of the business • are required for reference purposes if the approval is superseded or game is withdrawn • ensure legal reference, including standard appeals of decision, and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>476 Reference 1.4.8 Records documenting approvals for the possession of gaming equipment – Destroy 7 years after approval revoked or cancelled or removed permanently.</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 4.14.4 Records relating to authorising lottery approvals for art unions, games of housie, chocolate wheels, lucky envelopes etc. – Retain minimum of 5 years after approval, then destroy.</p> <p><i>NT disposal schedule for Gaming Machine Licensing Regulation records 2014/16</i> Reference 1.2.8 Records documenting the granting, refusal or withdrawal of approval for gaming equipment and games – Destroy 7 years after licence expires, is withdrawn or action completed.</p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.05.06 Records relating to approvals for the possession of gaming equipment – Destroy after 3 months after equipment ceases to be in the possession of the approved party.</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>Retention period & trigger</p> <p>5 years after business action completed.</p>	<p>Background/business process:</p> <p>It is mandatory for certain people involved in Queensland’s liquor and gambling industries to have the appropriate certification in the responsible service of alcohol (RSA) and responsible management of licensed venues (RMLV). These courses may only be delivered by trainers who are approved by the Office of Liquor and Gaming Regulation (OLGR). The RSA is valid for a three-year period and can be renewed for another three years, while the RMLV trainer approval is valid for a one-year period to be renewed each year.</p> <p>Regulatory requirements:</p> <p><i>Liquor Act 1992 – s.274</i></p> <p>Business requirements:</p> <p>This record class provides proof that the Registered Training Organisation’s (RTO) scope of registered trainers to deliver Nationally Recognised Training, as required by national and jurisdictional legislation within Australia, includes the approved scope to deliver training and/or assessment in an approved training product. It also shows evidence of the individual trainer qualifications and experience. The OLGR requires these records to be retained for five years after business action completed as they:</p> <ul style="list-style-type: none"> • support the decisions of the business • are used for reference purposes once the RTOs are approved. <p>Comparison with other schedules' retention period:</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 3.3.2 Records relating to the assessment of</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>RTOs to deliver programs to the industry and, for RTO's seeking approval for their courses – Retain minimum of 5 years after business action completed, then destroy.</p> <p><i>Industrial Relations Regulation Retention and Disposal Schedule QDAN727 v.1</i> Reference 4.4.2</p> <p>Course providers-registered training organisations – Retain for 7 years after expiry or cancellation of licence agreement.</p>

Function	Scope note
LIQUOR & GAMING HARM MINIMISATION	<i>The function associated with the development and delivery of awareness strategies within the industry and community to reduce the risk associated with certain behaviours pertaining to liquor and gaming.</i>
Activities	
Campaigns and initiatives Code of practice Industry-based partnerships	

Disposal authorisation	Record class and retention period	Justifying the retention period
1639	<p>Advertising campaigns Records relating to the establishment and implementation of advertising campaigns.</p> <p>Retention period & trigger 15 years after business action completed.</p>	<p>Background/business process Promoting and enhancing community safety and responsible alcohol use are important considerations for liquor licensees. The Office of Liquor and Gaming Regulation (OLGR) works closely with Queensland’s liquor industry and gambling industry to develop campaigns based on messages and themes that focus on:</p> <ul style="list-style-type: none"> • early intervention and prevention • consumer protection • help services for people experiencing problems with alcohol or gambling. <p>Regulatory requirements <i>Gaming Machine Act 1991 – s.229, 230</i> Police Direction for Gambling in Queensland April 2000 Queensland Responsible Gambling Code of Practice (RSG) Queensland Responsible Service of Alcohol (RSA)</p> <p>Business requirements These records provide evidence of the planning, management and success of the campaign. They are used for reporting purposes, lessons learnt and to assist in the planning for future campaigns. The OLGR requires these records to be retained for 15 years as they are:</p> <ul style="list-style-type: none"> • required for business improvement in future campaigns • support the decisions of the business. <p>Comparison with other schedules' retention period:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 3.4.2 Records relating to the establishment and implementation of campaigns including objectives, methodology and evaluation reports – Retain minimum of 10 years after business action completed, then destroy.
1640	<p>Community education initiatives</p> <p>Records relating to a primary prevention approach to increasing community awareness about impacts and prevalence of problem gambling and intoxication.</p> <p>Retention period & trigger</p> <p>15 years after business action completed.</p>	<p>Background/business process:</p> <p>One of the commitments of the OLGR is to promote and enhance education in the community about impacts, what can be done, and who can help concerning problem gambling and intoxication. Material is created to assist licensed premises and registered clubs to comply with liquor and gaming laws.</p> <p>Regulatory requirements:</p> <p><i>Liquor Act 1992</i> Police Direction for Gambling in Queensland, April 2000 Queensland Responsible Gambling Code of Practice (RSG) Queensland Responsible Service of Alcohol (RSA)</p> <p>Business requirements:</p> <p>These records provide evidence to the community that the OLGR is concerned about liquor and gambling abuse within the community. And, as such, OLGR raises awareness by creating several programs to target patrons. As this record class covers regular and routine programs, the OLGR requires these records to be retained for 15 years after business action completed as they:</p> <ul style="list-style-type: none"> • support the decisions of the business • are used for reference purposes during development of future programs. <p>Comparison with other schedules' retention period:</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> • references 3.4.1 and 3.6.1 Records regarding the development of education plans, including the final plan – Retain minimum of 10 years after approval of plan, then destroy • reference 5.5.1 Records relating to liaison with external organisations, community groups, other states and industry stakeholders on issues regarding the provision of gambling counselling and education services – Retain minimum of 5 years after last action, then destroy.
1641	<p>Code of practice</p> <p>Records relating to the master/final approved copy of</p>	<p>Background/business process:</p> <p>One of the purposes of the <i>Liquor Act 1992</i> and <i>Liquor and Gaming (Red Tape Reduction) and Other Legislation Amendment Act 2013</i> is to minimise harm and the potential for harm from alcohol abuse</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>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.</p> <p>Retention period & trigger 15 years after business action completed.</p>	<p>and misuse and associated violence. The development of a Code of Practice provides a whole-of-industry approach to the promotion and provision of responsible practices.</p> <p>The Code of Practice supports and progresses the state government’s Queensland responsible gambling strategy, which aims to balance the social and economic benefits and costs of gambling. The Code of Practice draws upon industry commitment to best practice in the provision of responsible gambling. All licensees within the industry must abide by a number of legislative requirements in their operation. This code guides all areas of activity and seeks to enshrine agreed standards to meet compliance and to reduce harm. The Code of Practice is monitored and evaluated regularly for its effectiveness and commitment by industry. Where appropriate minimum standards may be recommended and codified into legislation.</p> <p>Regulatory requirements: <i>Casino Control Act 1982</i> <i>Charitable and Non-Profit Gambling Act 1999</i> (includes Bingo) <i>Gaming Machine Act 1991</i> (clubs and hotels) <i>Interactive Gambling (Player Protection) Act 1998</i> <i>Keno Act 1996</i> <i>Liquor Act 1992</i> <i>Lotteries Act 1997</i> <i>Wagering Act 1998</i> (includes Racing and TAB)</p> <p>Business requirements: These records are required to support the actions of the liquor and gaming industry to assist harm minimisation within the industry. The introduction of the Code of Practice facilitates a mechanism to check for compliance. It provides a safe, socially responsible and supportive gambling environment where the potential for harm associated with gambling is minimised and people can make informed decisions about their participation in gambling. The Code of Practice is a dynamic document. It is anticipated new practices will be developed in response to innovative best practice within the industry. While commitment to the Code of Practice is voluntary, there are practices that are also a legislation requirement, e.g. exclusion provisions, physical environment, financial transaction, advertising and promotions.</p> <p>The OLGR requires these records to be retained for 15 years after the Code of Practice is superseded as it:</p> <ul style="list-style-type: none"> • provides long-term reference value to the OLGR for further improvement

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> • supports business processes relating to the Code of Practice. <p>Comparison with other schedules' retention period:</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> • reference 1.11.1 Records relating to the development of policies, guidelines, directives etc. concerning the interpretation of legislation and regulations and the conduct of regulatory processes or activities – Required as State archives • reference 4.16.1 Records relating to the development of policies, guidelines, directives concerning the implementation of legislation and conduct of activities associated with gaming industry regulation – Required as State archives • reference 6.13.1 Records relating to the development of policies, guidelines, directives concerning the implementation of legislation and conduct of activities associated with regulating the accountability and governance of liquor licensees – Required as State archives. <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.02.01 Records relating to the formulation of policy, the establishment of precedents and the development of procedures and rules – Permanent.</p> <p>Other comments/factors for consideration:</p> <p>The development of the Code of Practice outlines and establishes principles and standards of behaviour to assist with the harm minimisation program and compliance.</p>
1642	<p>Liquor accords</p> <p>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.</p> <p>Accords include, but are not limited to:</p> <ul style="list-style-type: none"> • underage drinking • anti-social behaviour • alcohol related crime within 	<p>Background/business process:</p> <p>Accords are agreements that promote a cooperative approach between licensees, businesses, councils, local residents, QPS, OLGR and other local and state government agencies to develop a safe and well managed environment in and around licensed premises. Since 1 January 2009, accords have been recognised in the Act in terms of their purpose and formalisation. Accords greatly assist in achieving compliance through identifying industry trends and issues and implementing proactive initiatives. They are a valuable tool for communicating compliance information and highlighting successful strategies for dealing with alcohol-related issues across the state.</p> <p>Regulatory requirements:</p> <p><i>Liquor Act 1992 – s.142ZZD</i> <i>Wine Industry Act 1994 – s.3(1c)</i></p> <p>Business requirements:</p> <p>These records provide evidence of agreements made with local communities, police, local councils,</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>the community</p> <ul style="list-style-type: none"> • increasing safety and amenities • increasing patron’s awareness of their responsibilities regarding the consumption of alcohol • any other issues, which may arise. <p>Retention period & trigger 7 years after business action completed.</p>	<p>government departments and other community organisations to assist the regulation of liquor within Queensland. Licensees as individuals are obliged under the <i>Liquor Act 1992</i> to minimise harm and the potential for harm from alcohol abuse and misuse. Under s.142ZZD of the <i>Liquor Act 1992</i> ‘a licensee may be required to ensure stated harm minimisation measures are in place whenever a licensee engages in a particular practice’. The <i>Wine Industry Act 1994</i> is based, in part, on the <i>Liquor Act 1992</i> so some relevant issues are common to both Acts. Section 3(1c) of the <i>Wine Industry Act 1994</i> states that it regulates the Queensland wine industry in a way that is compatible with minimising harm arising from the misuse of liquor. The OLGR does not regulate accords but participates in and provides best practice guidelines to assist accords.</p> <p>The OLGR requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> • support the decisions of the business • communicate compliance information • identify industry trends and issues • support the ongoing requirements under the accord. <p>Comparison with other schedules' retention period:</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 6.2.1 Records relating to Liquor Accords with local communities, police, local councils, government departments and other community organisations – Retain minimum of 7 years after agreement expires, then destroy.</p> <p><i>NT disposal schedule for Liquor Licensing Regulation records 2014/18</i> Reference 1.2.3 Records documenting liquor accords between licensed venues and other stakeholders – Permanent.</p>
1643	<p>Safe night out precincts</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>Retention period & trigger 7 years after business action completed.</p>	<p>Background/business process:</p> <p>The Safe Night Out Precincts are a result of the Safe Night Out Strategy – a comprehensive action plan based on extensive community consultation. One element of the strategy is ‘Changing the environment’ – providing safe and supportive spaces through initiatives such as the establishment of 15 Safe Night Out Precincts across Queensland and a trial of ‘sober safe centres’ in the Brisbane CBD. This comprehensive approach to deal with alcohol and drug related violence recognises that everyone has a role to play and it is about patrons, venues, communities and the government coming together to create a safe, vibrant culture for Queensland’s nightlife. The precincts are managed by local boards comprising a range of local stakeholders including liquor licensees in the designated precincts, local business owners and other local representatives (including the local Chamber of Commerce).</p> <p>Regulatory requirements:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>Liquor Act 1992 – s173NC(1) Rules of local boards</i> <i>Safe Night Out Legislation Amendment Act 2014 – Part 6AB</i></p> <p>Business requirements:</p> <p>The purpose of Part 6AB of the <i>Safe Night Out Legislation Amendment Act 2014</i> is to minimise harm, and the potential for harm, from the abuse and misuse of alcohol and drugs and associated violence, and to minimise alcohol and drug-related disturbances or public disorder.</p> <p>The OLGR requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> • support future improvements of the program • support decisions made • ensure legal reference, including standard appeals of decision, and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period:</p> <p>There are no schedules found for comparison.</p>
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>Retention period & trigger</p> <p>7 years after business action completed.</p>	<p>Background/business process:</p> <p>On behalf of the Queensland Government, the OLGR provided seed funding of \$50,000 per precinct to assist local boards with establishment and administration costs. Applications for seed funding grants require an ABN, registration for GST, a valid bank account, an annual budget, submission, and preparation of annual financial statement and acquittal of the grant by the OLGR.</p> <p>In addition to the seed funding, a further \$8000 in operational funding is available to assist local boards in implementing initiatives that will minimise alcohol and drug-related harm, along with disturbances and public disorder, in their Safe Night Out Precinct. Grant applications for operational funding are accepted in four rounds each year.</p> <p>Regulatory requirements:</p> <p><i>Associations Incorporation Act 1981</i> Liquor Regulation 2002 <i>Safe Night Out Legislation Amendment Act 2014</i></p> <p>Business requirements:</p> <p>The OLGR allocates funding to associations prescribed and established to be the precinct boards for areas prescribed as a Safe Night Out Precinct under the Liquor Regulation 2002.</p> <p>The OLGR requires these records to be retained for seven years as they:</p> <ul style="list-style-type: none"> • are required for audit and financial purposes

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> • support the decisions of the business. <p>Comparison with other schedules' retention period:</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239 Reference 5.3.2 Individual project files – Retain minimum of 7 years after completion of project, then destroy.</i></p> <p><i>NT disposal schedule for Gaming Control Licensing Regulation records 2014/17:</i></p> <ul style="list-style-type: none"> • reference 1.6.1 Records documenting the management of the Community Benefit Fund – Destroy 7 years after last audit • reference 1.7.1 Records documenting applications for grant funding to the organisation, including consultations and decisions – Destroy 7 years after grant acquitted or action completed. <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13 Reference 2.6.1 Records documenting disbursement of funds for project and initiatives – Destroy 20 years after last acquittal process completed</i></p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44 Reference 02.04.01 Records relating to the provision of grants – Destroy 7 years after all grant conditions have been met.</i></p> <p><i>Office of Racing Retention and Disposal Schedule QDAN620 v.2 Reference 2.9.1 Records related to the training track subsidy scheme administered by Queensland Racing Limited – Retain for 5 years after last action.</i></p>

Function		Scope note
LIQUOR & GAMING LICENSING		<i>The function associated with acquiring a licence for liquor, gaming machines, casino gaming, wagering and betting, lotteries and games of chance. Also includes applications for permits, renewals, increase in gaming machines, exemptions, extended trading hours, and change in plans and agreements.</i>
Activities		
Advice Agreements Licensing appeals Licences Permits		
Disposal authorisation	Record class and retention period	Justifying the retention period
1645	<p>Information and guidance 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>Retention period & trigger 7 years after business action completed.</p>	<p>Background/business process: The OLGR determines licensing matters under the gaming and liquor legislation. They provide advice, guidance and assistance in all aspects of liquor and gaming regulation including which licence would be appropriate to the situation. The OLGR's service charter outlines the values and commitment to clients, members of the public and other agencies. Advice is provided to assist with compliance on any aspect of liquor, gaming and lotteries law and licensing.</p> <p>Regulatory requirements: Advice is sought on the following legislation – <i>Casino Control Act 1982</i> <i>Charitable and Non-Profit Gaming Act 1999</i> <i>Gaming Machine Act 1991</i> <i>Interactive Gambling (Player Protection) Act 1998</i> <i>Keno Act 1996</i> <i>Liquor Act 1992</i> <i>Lotteries Act 1997</i> <i>Wagering Act 1998</i> <i>Wine Industry Act 1994</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>Business requirements:</p> <p>The OLGR requires these records to be retained for 7 years after business action completed as they:</p> <ul style="list-style-type: none"> • support the advice provided by the business • are required for reference in future business enhancement. <p>Comparison with other schedules' retention period:</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> References 1.1.2, 2.1.2, 3.2.2, 4.1.2, 5.1.2, 6.1.2, 7.1.2 Records relating to advice concerning routine operational matters – Retain minimum of 10 years after last action, then destroy.</p> <p><i>NT disposal schedule for Gaming Machine Licensing Regulation records 2014/16</i> Reference 1.1.2 Records documenting routine advice given to members of the public and industry on licensing processes and legislation requirements – Destroy 3 years after action completed.</p> <p><i>NT disposal schedule for Gaming Control Licensing Regulation records 2014/17</i> Reference 1.1.2 Records documenting routine advice given to members of the public and industry on licensing processes and legislation requirements – Destroy 3 years after action completed.</p> <p><i>NT disposal schedule for Liquor Licensing Regulation records 2014/18</i> Reference 1.1.2 Records documenting routine advice given to members of the public and industry on licensing processes and legislation requirements – Destroy 3 years after action completed.</p> <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 3.1.3 Records documenting matters regarding operational process, policies and procedures, received from the public and other stakeholders, which may result changes in process policies and procedures, but not legislation – Destroy 7 years after action completed.</p> <p><i>Office of Racing Retention and Disposal Schedule QDAN620 v.2:</i></p> <ul style="list-style-type: none"> • reference 2.1.2 Correspondence relating to general racing matters – Retain for 7 years after last action • reference 2.1.3 Correspondence from breeders, owners, bookmakers, jockeys, trainers, regional racing associations regarding policy issues – Retain for 7 years after last action.
1646	<p>Casinos</p> <p>Records relating to the agreement between the Casino Authority and the Minister. Includes a copy of the signed agreement and advice relating</p>	<p>Background/business process:</p> <p>Casino licensing in Queensland is a complex process. The Queensland Government will call for submissions by placing an advertisement worldwide calling for an expression of interest. Submissions must contain information on the organisation wishing to establish the casino. After the government has selected a preferred applicant, negotiations will begin with the completion of the casino complex and awarding of the licence, usually taking some years to finalise. The OLGR is</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>to the agreement.</p> <p>Retention period & trigger Permanent. Transfer to QSA after business action completed.</p>	<p>responsible for performing casino regulatory and other decision making functions on behalf of the government.</p> <p>The Casino Agreement is an agreement entered into under s.142 of the <i>Casino Control Act 1982</i> for the development and operation of a casino. This agreement has been varied several times since its inception. The purpose of the Casino Agreement is to detail the licence conditions of the casino. Currently the major licence holders in Queensland are:</p> <ul style="list-style-type: none"> • Breakwater Island Limited (Jupiter’s Townsville Hotel and Casino) • Jupiter Custodian Pty Ltd (Jupiter’s Casino) • Jupiter’s Limited (Treasury Casino) • Reef Corporate Services Limited (The Reef Hotel Casino). <p>Regulatory requirements: <i>Breakwater Island Casino Agreement Act 1984</i> – s.2, 4, schedule 3 <i>Brisbane Casino Agreement Act 1992</i> – s.3, 4, 5, s6 <i>Cairns Casino Agreement Act 1993</i> – Part 2, Part 3, s.13 <i>Casino Control Act 1982</i> – s.18, 19, 20, 22, 23, 24, 25, 26, 27, 28, 29, 29A Casino Control Regulation 1999 – Part 2 <i>Gaming Machine Act 1991</i> – Part 3 <i>Jupiter’s Casino Agreement Act 1983</i> – Part IV, Part V, Part VI <i>Liquor Act 1992</i> – s.58, 58A, 63, 65, 105(1)(c), 242 Liquor Regulation 2002 – s.4, s45, 46(a), 48, 48</p> <p>Due to the enormity of casino agreements, there are other Acts that apply to casino development: <i>Casino Control Act 1982</i> s.19 – A casino agreement is taken to be ratified by Parliament <i>Heritage Act 1992</i> – Casino development is Crown development <i>Land Act 1994</i> s.371A, 203, 204A and 204B – development and operation of a casino</p> <p>Business requirements: This record class covers the obligations required for the development and completion of a casino. It also details the conditions relating to the company structure of the casino operator; disclosure requirements for the casino operator; exclusive undertakings and approval of games and operating practices. The Brisbane Casino Agreement Bill 1992 authorises the entering into an agreement for the development and operation of a Brisbane casino and for related purposes. All agreements and amendments for casino developments are referred to the Queensland Government and the relevant</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>Minister for signature.</p> <p>Queensland has double the number of casinos compared to any other Australian state or territory with casinos operating in Brisbane, the Gold Coast, Townsville and Cairns. The costs and benefits of casinos to the community remains the subject of considerable debate. When locals spend money at casinos, it drains income from other businesses, or syphons household savings into multinational corporations.</p> <p>A new casino could impact on the operation of an existing casino and employment in businesses may also be affected as jobs move to a new mega development.</p> <p>The OLGR requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide long-term reference material on social, environmental and economic issues around casinos • document the history of OLGR's significant work. <p>Permanent retention criteria (where applicable)</p> <p>Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 4 – Significant Impact on Individuals • 5 – Substantial Contribution to Community Memory • 6 – Environmental Management & Change. <p>Community expectation:</p> <p>State governments regulate and provide gambling services and rely heavily on the ensuing revenue. Public records have the potential to show that the state of Queensland considered in its agreement:</p> <ul style="list-style-type: none"> • the economic viability of the casino project • the long-term infrastructure costs to the community • the track record of potential licensee – Casino Control Regulation 99 (s2) • the social damage to a community of even more gambling opportunities when gambling is responsible for crime, social harm, family breakdown and poverty. <p>Comparison with other schedules' retention period:</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239 Reference 4.2.2 Records relating to the agreement between the Casino Control Authority and the Minister – Required as State archives.</i></p>
1647	<p>Conduct of games</p> <p>Records relating to responsible</p>	<p>Background/business process:</p> <p>The gambling provider agrees, under the <i>Gaming Machine Act 1991</i>, to ensure best practice in the</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>gambling agreements and of proposed conduct of games by an organisation/person. Games include, but are not limited to:</p> <ul style="list-style-type: none"> • Keno • lotto, Oz Lotto, instant lotteries • Powerball. <p>Retention period & trigger 5 years after agreement expires or is revoked.</p>	<p>provision of responsible gambling. Information about the potential risks associated with problem gambling is on display to all customers and displayed in a prominent location to alert customers that information regarding the conduct of games is available on request. The needs of local communities are considered, with particular focus on any regional or cultural issues.</p> <p>Regulatory requirements: <i>Gaming Machine Act 1991 – s.272</i> Responsible Gambling Code of Practice</p> <p>Business requirements: Responsible gambling is a preventative strategy that minimises harm and maximises benefits to the community. Ultimately, the provision of this record class indicates that responsible gambling goes beyond minimum compliance with the law and regulation to reflect changing community values and objectives. The OLGR requires these records to be retained for 5 years as they support the decisions of the business.</p> <p>Comparison with other schedules' retention period: There are no schedules found for comparison.</p>
1648	<p>Possession of gaming machines Records relating to the approval to possess and transport gaming machines by persons other than licensees.</p> <p>Retention period & trigger 3 years after business action completed.</p>	<p>Background/business process: To obtain an authority to possess, store or transport a gaming machine or gaming equipment, a person must make an application in writing to the OLGR. The person, including the venue operator if it is used as a prop for a function, must apply for an authority to possess the gaming machine. All possessed, stored or rented gaming machines must not be in operating order and not connected to an electronic monitoring system.</p> <p>This is separate to the Reallocation Scheme (1657) where the Public Trustee receives tenders for the distribution of working gaming machines from appropriately licensed applicants.</p> <p>Regulatory requirements: <i>Gaming Machine Act 1991 – s.272</i></p> <p>Business requirements: Under the <i>Gaming Machine Act 1991</i>, these requests must be approved by the OLGR. Transfers may be permanent or temporary. The OLGR requires these records to be retained for 3 years as they support the decisions of the business.</p> <p>Comparison with other schedules' retention period: <i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476:</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> reference 1.4.8 Records documenting approval for the possession of gaming equipment – Destroy 7 years after approval revoked or cancelled or removed permanently reference 1.4.9 Records documenting the sale, storage and transport of gaming machines – Destroy 7 years after last action. <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.05.06 Records relating to approvals for the possession of gaming equipment – Destroy after 3 months after equipment ceases to be in the possession of the approved party.</p>
1649	<p>Informal appeals Records relating to informal appeals to find or seek relief from a decision made by OLGR, or, to review the decision.</p> <p>Retention period & trigger 7 years after business action completed.</p>	<p>Background/business process: Individuals or businesses who are applying for a licence, or are licensed, under the <i>Liquor Act 1992</i> and who dispute a decision issued by the OLGR to refuse the application or to suspend or revoke the licence may appeal the decision.</p> <p>Regulatory requirements: <i>Gaming Machine Act 1991</i> – s.432 <i>Liquor Act 1992</i> – s.173B</p> <p>Business requirements: This record class provides communication between the licensee and the OLGR regarding the approval/ rejection of an application, or the suspension or revocation of a licence. The OLGR requires these records to be retained for 7 years after business action completed as they:</p> <ul style="list-style-type: none"> support the decisions of the business ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period: There are no schedules found for comparison.</p>
1650	<p>Formal appeals Records relating to formal appeals and master summary of decisions by the Queensland Civil and Administrative Tribunal (QCAT).</p> <p>Retention period & trigger 7 years after appeal is</p>	<p>Background/business process: A person may apply, as provided under the QCAT Act, to the tribunal for a review of a decision of the OLGR if:</p> <ul style="list-style-type: none"> the person made an application, submission or objection to a decision that was made the decision is to take disciplinary action relating to the urgent suspension of a licence, to cancel or suspend a permit or to impose or vary the conditions of a permit the person is aggrieved by the decision. <p>Regulatory requirements:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	complete.	<p><i>Gambling Legislation Amendment Act 2002 – s.91(g)</i> <i>Gaming Machine Act 1991 – Division 2</i> <i>Judicial Review Act 1991 – s.15, 49</i> <i>Liquor Act 1992 – Part 2 Division 1</i> <i>Queensland Civil and Administrative Tribunal Act 2009 – Part 8</i></p> <p>Business requirements:</p> <p>This record class provides information about the hearing of appeals sent to QCAT by affected persons to the decision of OLGR. The OLGR requires these records to be retained for 7 years after the appeal is complete to:</p> <ul style="list-style-type: none"> • demonstrate compliance in the distribution and approval of licences • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.41 of the <i>Limitation of Actions Act 1974</i>. <p>In the draft Queensland Civil and Administrative Tribunal retention and disposal schedule, these records are to be retained for 12 years after business action completed and finalisation of all appeal processes.</p> <p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476</i> Reference 1.2.1 Records documenting appeals made to the ACT Administrative Appeals Tribunal relating to decisions made by the ACT Gambling and Racing Commission – Destroy 7 years after appeal finalised.</p> <p><i>PROV Retention & Disposal Authority for records of the Office of Gaming & Racing PROS04/07</i> Reference 3.2 Appeal records – Destroy 7 years after appeal is complete.</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. Includes unsuccessful applications.</p> <p>Significant licences include, but are not limited to:</p>	<p>Background/business process:</p> <p>An application of this nature is required when a person wishes to operate a licensed premises and the premises are not already licensed. A new licence application will not be accepted by the OLGR unless it contains certain minimum requirements – this removes the need to follow up on incomplete applications. If the application is incomplete, it is returned to the applicant for completion. A complete application is entered into the COGS database (licensing and compliance business application) within two days of being received by the OLGR. These significant licences, once approved, must be issued and signed by the minister.</p> <p>It should be noted that Racing Queensland provides the platform to service the racing industry across three codes of racing. It is the approved control body under the <i>Racing Act 2002</i> and is responsible</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> • casinos • Keno • sports and wagering • lotteries, e.g. Lotto • interactive gambling. <p>Retention period & trigger Permanent. Transfer to QSA after business action completed.</p>	<p>for licensing participants in the thoroughbred, harness and greyhound racing industry.</p> <p>The following records are required when applying for a licence:</p> <ul style="list-style-type: none"> • completed application form • personal details schedule for each person involved (including majority shareholders and holding company of applicant company) • application fee • layout plan of entire premises – photographs may be included but not in lieu of plan • a plan showing location of premises in relation to adjacent buildings and the nearest residential premises • evidence (obtained from the local council) that the intended use of the site as licensed premises is permitted under the town plan • certificate of title issued by the Department of Environment and Resource Management (DERM) • a risk assessed management plan (RAMP) • a community impact statement • photographic identification of each new person on the application form • criminal history checks are conducted on each new person on the application form. <p>In Queensland there is only one licence for Keno (Keno (Qld) Pty Ltd) and lotteries (Golden Casket Lottery Corporation Ltd).</p> <p>Regulatory requirements:</p> <p><i>Brisbane Casino Agreement Act 1992 – s.3, 4, 5, 6</i> <i>Casino Control Act 1982 – s.18, 19, 20, 22, 23, 24, 25, 26, 27, 28, 29, 29A</i> <i>Gaming Machine Act 1991 – Part 3</i> <i>Interactive Gambling (Player Protection) Act 1998 – s.30, 31, 32, 33, 34, 35, 36, 37, 38, 40</i> <i>Jupiter's Casino Agreement Act 1983 – Part IV, Part V, Part VI</i> <i>Keno Act 1996 – s.13, 14, 15, 16, 17, 18, 19, 20, 22, 23</i> <i>Liquor Act 1992 – s.9, 12, 21, 44A, 50 58, 106, 107, 116, 117, 118, 121, 122, 123</i> Liquor Regulation 2002 – Section 4 - Particulars to accompany application for a licence</p> <p>Business requirements:</p> <p>These records provide evidence of the OLGR's decision to grant or refuse an application to operate licensed premises that are not already licensed and the conditions that may be set by the OLGR. The</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>OLGR requires these records to be retained permanently, as they:</p> <ul style="list-style-type: none"> • provide long-term reference value on future decisions • document the history of the OLGR's significant work. <p>Permanent retention criteria (where applicable):</p> <p>Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 2 – Primary Functions & Programs of Government • 4 – Significant Impact on Individuals • 5 – Substantial Contribution to Community Memory • 6 – Environmental Management & Change. <p>Community expectation:</p> <p>Public records provide evidence of the justification to grant or refuse an application to operate licensed premises. It also provides evidence of the planning and management of the industry within Queensland.</p> <p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476</i> Reference 1.5.1 A single licence granted by the Minister under section 45 of the <i>Casino Control Act 1988</i> – Retain as Territory archives.</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> • reference 2.8.1 Licensing records for registered clubs – Required as State archives • reference 4.14.1 Records relating to the granting of casino licences – Required as State archives • reference 6.10.1 Licensing records for hotels, nightclubs, public hall and theatres – Required as State archives. <p><i>NT disposal schedule for Gaming Control Licensing Regulation records 2014/17</i> Reference 1.5.1 Register of licensees and authorised persons in relation to the <i>Gaming Control Act</i> – Permanent.</p> <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.1.1 Premises and application files relating to liquor licences, gaming licences and the Casino – Permanent.</p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.04.01 Licensing history information recorded in computerised gaming registration system (since 1984) – Permanent.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<i>PROV Retention & Disposal Authority for records of the Office of Gaming & Racing PROS04/07</i> Reference 1.2 Register of bookmakers and bookmakers' clerks – Permanent.
1652	<p>Licences – individuals</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 controllers • wine nominee • gaming nominee • gaming repairer • Keno employee • key monitoring employee • lottery key person • wagering key person. <p>Retention period & trigger</p> <p>7 years after expiry or revocation of licence.</p>	<p>Background/business process:</p> <p>Individuals seeking employment in the liquor and gaming industry within Queensland can apply for an approval/licence online or by completing the paper application form. Individuals can apply, upload supporting documentation, verify their identity and pay online for an employee licence to work in the liquor or gaming industry. Details entered online are uploaded to COGS. Licences are issued for five years.</p> <p>Individual employee licensing applications lodged at OLGR, the regional offices or sent by mail are processed by the individual licensing team.</p> <p>The government has ceased the requirement for persons to obtain gaming employee licences to work in the industry. However, individuals who wish to carry out gaming duties must still complete a Responsible Service of Gambling course (RSG).</p> <p>Regulatory requirements:</p> <p><i>Gaming Machine Act 1992 – s.119</i> <i>Liquor Act 1992 – s.58A, s107C</i></p> <p>Business requirements:</p> <p>These records are required to document approved individual licensees by the OLGR under the <i>Liquor Act 1992</i>. A licence granted and held under the <i>Liquor Act 1992</i> s.58A is subject to conditions prescribed. These records confirm data and conditions that is entered into the register of licences, permits and applications (COGS) according to s.43(1).</p> <p>The OLGR requires these records to be retained for seven years after expiry or revocation of licence as they:</p> <ul style="list-style-type: none"> • provide reference value as the business, in the past, has had to go back and look at applications to clarify conditions imposed on a licence (s.107C) • are linked to the receipt of monies and are required to be retained for the same period of time as the related financial records, which is, 7 years within the <i>General Retention and Disposal Schedule</i> • support the decisions of the business. <p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476:</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> • reference 1.5.8 The approval or refusal of a person to hold a gaming machine attendants licence – Destroy 6 months after licence has expired • reference 1.5.11 Approval or refusal of a person to hold an interactive employee gambling licence – Destroy 6 months after licence has expired. <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 4.14.9 Records relating to issued licences for gaming machine dealer’s licence, gaming machine seller’s licence, gaming machine technician’s licence, gaming machine adviser’s licence, gaming machine testing facility licence – Retain minimum of 5 years after expiry or revocation of license, then destroy.</p> <p><i>NT disposal schedule for Gaming Control Licensing Regulation records 2014/17</i> Reference 1.5.1 Register of licensees and authorised persons in relation to the <i>Gaming Control Act</i> – Permanent.</p> <p><i>NT disposal schedule for Liquor Licensing Regulation records 2014/18</i> Reference 1.4.1 Records documenting registers of persons holding licences, permits and enforceable undertakings under the <i>Liquor Act</i> – Permanent.</p> <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.1.13 Records documenting receipt, recording and determining of applications for approval of a crowd controller to be licensed under prescribed legislation – Destroy 7 years after expiation/ revocation of licence.</p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.04.02 Records relating to the licensing of venue operators, special employees and technicians – Destroy 7 years after licence ceases to be current, as determined by the Commission</p> <p><i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08:</i></p> <ul style="list-style-type: none"> • reference 1.1.2 Records relating to the registration of gaming and venue operators – Destroy 7 years after registration ceases • reference 2.1.1 Completed employee licensing applications – Destroy 5 years after expiry or non-renewal of licence. <p>Previous schedules (where applicable):</p> <p><i>Tourism & Racing Department Licensing Commission QDAN493 v.1:</i></p> <ul style="list-style-type: none"> • reference 1.4 Billiard/bagatelle licences – office copies/receipts of licences issued c1920-1950 – Retain for 7 years after last action • reference 1.5 Vigneron vintners’ licences – office copies/receipts of licences issued c1970-1980 – Retain for 7 years after last action • reference 1.6 Theatre licences – office copies/receipts of licences issued c1970-1980 – Retia for

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>7 years after last action</p> <ul style="list-style-type: none"> reference 1.7 Spirit merchant licences – office copies/receipts of licences issued c1950-1960 – Retain for 7 years after last action reference 1.10 Licensed victuallers’ licences – office copies/receipts of licences issued c1914-1960 – Retain for 7 years after last action reference 1.12 Limited hotel licences – office copies/receipts of licences issued c1980s – Retain for 7 years after last action reference 1.13 Restaurant licences – office copies/receipts of licences issued c1960-1980 – Retain for 7 years after last action reference 1.14 Resort licences – office copies/receipts of licences issued c1950-1990 – Retain for 7 years after last action reference 1.15 Casino, bistro, tourist park, golf club, bowling club, registered club etc., liquor licences – office copies/receipts of licences issued c1950-1990 – Retain for 7 years after last action.
1653	<p>Liquor licences</p> <p>Records relating to the process associated with receiving and assessing documentation submitted in support of 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 temporary/retain 	<p>Background/business process:</p> <p>Liquor licensing regulates and controls the supply and consumption of alcohol and encourages responsible attitudes. The OLGR’s Liquor Licensing Branch processes liquor applications and extended hours permits for all commercial type facilities including restaurants, taverns, and manufacturers.</p> <p>Regulatory requirements:</p> <p><i>Liquor Act 1992</i> – 3A, 105, 106, 107, 107A <i>Wine Industry Act 1994</i> – s.58, 67, 75, 169</p> <p>Business requirements:</p> <p>These records provide details of the operation of an establishment and is governed by the <i>Liquor Act 1992</i> and the <i>Wine Industry Act 1994</i> and terms and conditions imposed on a licence to which the licence holder must comply.</p> <p>The OLGR requires these records to be retained for 7 years after transfer, cancellation or surrender of licence, as they:</p> <ul style="list-style-type: none"> provide reference to the business, as, in the past, they have had to go back and look at the application to clarify conditions imposed on a licence provide evidence of the business process associated in approving licences

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>permanently changes to licences</p> <ul style="list-style-type: none"> wine producer wine merchant. <p>Retention period & trigger 7 years after transfer, cancellation or surrender of licence.</p>	<ul style="list-style-type: none"> support the decisions of the business ensure legal reference including standard appeals of decisions and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period: <i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> reference 6.10.3 Licensing records for bottle shops and restaurants – Retain minimum of 30 years after last action, then destroy reference 6.10.4 Liquor licensing records not pertaining to premise applications – Retain minimum of 5 years after last action, then destroy. <p><i>NT disposal schedule for Liquor Licensing Regulation records 2014/18 Reference 1.2.5 Records documenting the granting, renewal, transfer, withdrawal and refusal of full, special and wholesale liquor registrations, including variations and enforceable undertakings – Destroy 7 years after licence expires, is withdrawn or action completed.</i></p> <p><i>PROV Retention & disposal authority for records of the Liquor Licensing function created to 31 December 1998 PROS11/08 Reference 9.1.1 Licence applications-granted – Destroy 5 years after action completed.</i></p>
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's licences and approvals.</p> <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 	<p>Background/business process:</p> <p>Individuals and organisations that supply, monitor or service gaming machines in Queensland must be licensed by the OLGR. Service contractors install and service gaming machines in clubs and hotels on behalf of licensed monitoring operators. This licence remains in effect for five years.</p> <p>Regulatory requirements:</p> <p><i>Gaming Machine Act 1991 – s.198(4)(1), 207(2)(c)</i> <i>Gaming Machine Regulation 2002 – s.11</i></p> <p>Business requirements:</p> <p>The OLGR requires these records to be retained for 7 years after cancellation or surrender of licence as they:</p> <ul style="list-style-type: none"> provide reference to the business, as, in the past, they have had to go back and look at the applications are linked to the receipt of monies and are required to be retained for the same period of time as the related financial records, which is, 7 years within the <i>General Retention and Disposal Schedule (GRDS)</i>

Disposal authorisation	Record class and retention period	Justifying the retention period
	<ul style="list-style-type: none"> • monitoring operators • testing facility operators • service contractors. <p>Retention period & trigger 7 years after cancellation or surrender of licence.</p>	<ul style="list-style-type: none"> • support the decisions of the business • ensure legal reference including standard appeals of decisions and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period: <i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476</i> Reference 1.5.9 The approval or refusal of a person to hold a gaming machine technician's licence – Destroy 6 months after licence has expired. <i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 4.14.9 Records relating to issues licences for gaming machine dealer's licence, gaming machine seller's licence, gaming machine technician's licence, gaming machine adviser's licence, gaming machine testing facility licence – Retain minimum of 5 years after expiry or revocation of licence, then destroy. <i>NT disposal schedule for Gaming Machine Licensing Regulation records 2014/16:</i></p> <ul style="list-style-type: none"> • reference 1.2.5 Records documenting the granting, renewal and refusal of licences to repairers, service contractors, monitoring providers and machine managers, including variations – Destroy 7 years after licence expires, is withdrawn or action completed • reference 1.2.6 Records documenting the authorising of persons to be a recognised manufacturer or supplier of gaming machines and restricted components – Destroy 7 years after licence expires, is withdrawn or action completed. <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.04.04 Records relating to the licensing of venues, manufacturers and suppliers – Destroy 7 years after licence ceases to be current, as determined by the Commission.</p>
1655	<p>Gaming machine licences Records relating to the process associated with receiving and assessing documentation submitted in support of a gaming machine licence. Includes unsuccessful applications.</p> <p>Retention period & trigger 7 years after cancellation or expiry when liquor licence</p>	<p>Background/business process: The gaming machine licence is required by corporations (hotels and taverns), incorporated associations (clubs) or individual liquor licensees to operate gaming machines in Queensland. The licence remains in effect for 5 years. If a liquor licence expires or is revoked, a new gaming machine licence application must be presented. A liquor licence can be transferred but a gaming licence cannot be transferred.</p> <p>The <i>Gaming Machine Act 1991</i> regulates the provision of gambling in Queensland including the provision of gaming machines. There is a maximum number of machines permitted. In accordance with s.350 of the <i>Gaming Machine Act 1991</i>, providing false or misleading information may incur penalty units or two years' imprisonment. Often, there are temporary/permanent changes to licences. Applicants must be the holder of one of the following liquor licences:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	transfers.	<ul style="list-style-type: none"> • commercial hotel liquor licence • community club liquor licence • special facility licence • subsidiary operator of a special facility licensee • prescribed liquor licence. <p>Regulatory requirements: <i>Gaming Machine Act 1991 – s.198(4)(1), 207(2)(c)</i></p> <p>Business requirements: The OLGR requires these records to be retained for seven years after cancellation, expiry or when liquor licence transfers, as they:</p> <ul style="list-style-type: none"> • provide evidence of business processes associated with approving these licences • support the decisions of the business • are linked to the receipt of monies and are required to be retained for the same period of time as the related financial records, which is, 7 years within the <i>General Retention and Disposal Schedule (GRDS)</i> • ensure legal reference including standard appeals of decisions and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>The OLGR require these records to be kept for an extra 2 years after the licence is in effect, as it references past applications if there appears to be a discrepancy in content of the application.</p> <p>Comparison with other schedules' retention period: <i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476:</i></p> <ul style="list-style-type: none"> • reference 1.4.36 Approval to transfer or surrender a gaming machine licence – Destroy 5 years after last action • reference 1.4.37 Approval of gaming machines – Destroy 5 years after last action. <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 4.14.1 Records relating to licence applications for gaming machines that are approved – Required as State archives.</p> <p><i>NT disposal schedule for Gaming Machine Licensing Regulation records 2014/16:</i></p> <ul style="list-style-type: none"> • reference 1.2.3 Records documenting the granting, refusal and withdrawal of gaming machine licences, including restricted licence conditions and variations – Destroy 7 years after licence

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>expires, is withdrawn or action completed</p> <ul style="list-style-type: none"> reference 1.2.8 Records documenting the granting, refusal or withdrawal of approval for gaming equipment and games – Destroy 7 years after licence expires, is withdrawn or action completed. <p><i>NT disposal schedule for Gaming Control Licensing Regulation records 2014/17 Reference 1.2.2</i> Records documenting the granting, renewal, refusal and withdrawal of gaming control licences and permits – Destroy 7 years after licence expires, is withdrawn or action completed.</p> <p>Previous schedules:</p> <p><i>Queensland Office of Gaming Regulation Retention and Disposal Schedule QDAN530 v.1 Reference 1</i> Machine gaming site files – Retain for 7 years after last action.</p>
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> <p>Licences include, but are not limited to:</p> <ul style="list-style-type: none"> art unions bingo lucky envelope printers licence. <p>Retention period & trigger</p> <p>7 years after expiry or revocation of licence.</p>	<p>Background/business process:</p> <p>Art unions, raffles, bingo, lucky envelopes, sweeps and promotional games (trade promotions or competitions) are regulated under the <i>Charitable and Non-Profit Gaming Act 1999</i>. Section 3 of the Act provides that the overarching object of the Act is to ensure that, on balance, the State and the community as a whole benefit from general gaming. Although most licences in this record class are issued for one year, lucky envelope printers' licences are issued for a period of five years.</p> <p>Regulatory requirements:</p> <p><i>Charitable and Non-Profit Gaming Act 1999</i> – s.43</p> <p>Business requirements:</p> <p>The OLGR requires these records to be retained for 7 years as they:</p> <ul style="list-style-type: none"> provide evidence of business processes associated with approving these licences support the decisions of the business are linked to the receipt of monies and are required to be retained for the same period of time as the related financial records ensure legal reference including standard appeals of decisions and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period:</p> <p><i>Territory Records (Records Disposal Schedule – Gambling and Racing Regulation Records) NI2004-476</i> Reference 1.4.50 Approved raffles and conditions – Destroy 2 years after the last has completed.</p> <p><i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 1.9.2 Records relating to the assessment and issue of authorities or licences to conduct charitable fundraising activities – Retain minimum of 10 years after surrender of licence, then destroy.</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.1.14 Records documenting licence applications relating to lotteries and trade promotions includes suppliers (of instant prize money/bingo sheets), instant prize lotteries relating to trade promotions and clubs & associations, bingo tickets – Destroy 7 years after expiration of licence.</p> <p><i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08</i> Reference 1.1.3 Records relating to the registration of operators of minor gaming activities – Destroy 3 years after expiry of permit.</p> <p><i>PROV Retention & Disposal Authority for records of the Office of Gaming & Racing PROS04/07</i> Reference 4.1 Application for Calcutta sweepstakes licence records – Destroy 7 years after licence is cancelled or surrendered.</p>
1657	<p>Re-allocation scheme Records relating to the re-allocation of gaming machine entitlements amongst Queensland club and hotel licensees.</p> <p>Retention period & trigger 7 years after business action completed.</p>	<p>Background/business process: A re-allocation scheme for club gaming machine entitlements was introduced through amendments to the <i>Gaming Machine Act 1991</i>. The scheme complements a state-wide cap on the number of club-operated gaming machines in Queensland. Gaming machines currently cannot be directly transferred from one club to another. The OLGR does not have decision-making power in relation to the re-allocation scheme. The Public Trustee conducts and administers authorised sales and transfers via a competitive tender process.</p> <p>Regulatory requirements: <i>Gaming Machine Act 1991</i> – s.55a, 60, 64, 85, 109ZC, 411 <i>Gaming Machine Regulation 2002</i> – s.8, 9, 10J <i>Gaming Machine and Other Legislation Amendment Act 2003</i> – s.88, s21, Div 2</p> <p>Business requirements: Under the <i>Gaming Machine Act 1991</i>, these transfers must be approved by the OLGR. Transfers may be permanent or temporary. The OLGR regulates the conduct of authorised sales of entitlements (gaming machines) of the state while the Public Trustee conducts and administers authorised sales via a competitive tender process. The decision to retain these records for a minimum of 7 years, then destroy after business action completed, was based on <i>the Limitation of Actions Act 1974</i> 10(1)(a) and is consistent with the Public Trust Office of Queensland schedule.</p> <p>Comparison with other schedules' retention period: <i>Public Trust Office of Queensland Retention and Disposal Schedule QDAN651 v.1:</i></p> <ul style="list-style-type: none"> • reference 12.5.1 – Gaming tender files – Retain for 7 years after last action • reference 12.5.2 – Register of gaming operating authorities sales – Retain for 7 years after last entry in the register.

Disposal authorisation	Record class and retention period	Justifying the retention period
1658	<p>Adult entertainment permits 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>Retention period & trigger 5 years after permit lapses, is cancelled or suspended.</p>	<p>Background/business process: An adult entertainment permit is an approval issued to liquor licensees and permit holders to allow the provision of sexually explicit entertainment. Sexually explicit entertainment is regulated under the <i>Liquor Act 1992</i> and may only be conducted on premises to which a licence or permit relates. Permits can be issued for one-off occasions, or for an ongoing period of three years. Licensees or permittees may make up to six one-off applications per year, otherwise a three-year period is required.</p> <p>Any entertainment of an explicit sexual nature that is performed at licensed premises without an adult entertainment permit may be subject to prosecution, if the entertainment is of such a nature as to constitute a criminal offence.</p> <p>Regulatory requirements: <i>Liquor Act 1992</i> – Div 6</p> <p>Business requirements: The OLGR requires these records to be retained for 5 years after the permit lapses, or is cancelled, as they:</p> <ul style="list-style-type: none"> • support the decisions of the business • show evidence that the OLGR acted in a responsible manner in accordance with all regulation requirements. <p>Comparison with other schedules' retention period: There were no schedules found for comparison.</p>
1659	<p>Wagering permits Records relating to the process associated with receiving and assessing documentation submitted in support of wagering permits.</p> <p>Retention period & trigger 5 years after permit lapses or is cancelled.</p>	<p>Background/business process: Wagering is another name for betting, which is to stake something, usually money, on the outcome of a contest or any uncertain event or matter. An on-course wagering permit remains in effect for the term stated on the permit or for the term to enable the permit holder to undertake and complete the permit holder's operations under the permit for a state meeting or meetings. Wagering permits are issued for five years and encompass events such as country races without an agency agreement with Tattsbet – i.e. no use of a totalizator in which dividends are calculated according to the amount staked rather than odds offered. Applications contain information on the applicant's:</p> <ul style="list-style-type: none"> • business reputation • financial position and background • business acumen to successfully conduct operations under a wagering authority • other items prescribed under the regulation.

Disposal authorisation	Record class and retention period	Justifying the retention period
		<p>Regulatory requirements: <i>Wagering Act 1998</i> – s.18, 23, 30, 39</p> <p>Business requirements: These records provide evidence of the decisions made regarding the allocation of permits to various groups. The OLGR requires these records to be retained for 5 years after permit lapses, or is cancelled, as they:</p> <ul style="list-style-type: none"> • provide evidence the OLGR acted in a responsible manner in accordance with all regulatory requirements • support the decisions of the business. <p>Comparison with other schedules' retention period: <i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> • reference 4.14.5 Records relating to permits and financial returns of art unions – Retain minimum of 5 years after last action, then destroy • reference 4.14.6 Records relating to authorisations to play two-up – Retain minimum of 5 years after expiry of authorisation, then destroy. <p><i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.1.26 Wagering records documenting bookmaker's request to attend race meetings to conduct betting activities (known as permits to bet) and issue of permit – Destroy 2 years after permit issued.</p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.08.02 Records relating to permits – Destroy 2 years after permit lapses or is cancelled.</p> <p>Previous schedules (where applicable): <i>Tourism & Racing Department Retention and Disposal Schedule QDAN493 v.1</i> Reference 1.23 General purpose permits for clubs, registered charities, political organisations, recreational clubs etc., which do not have a liquor licence – Retain for 5 years after last action.</p>
1660	<p>Liquor permits Records relating to the application, reports and decision on the application for a liquor permit.</p>	<p>Background/business process: The OLGR receives applications for permits according to s.43 of the <i>Liquor Amendment Act 1993</i>. These applications consist of:</p> <ul style="list-style-type: none"> • type of permit

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>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>Retention period & trigger 3 years after permit lapses or is cancelled.</p>	<ul style="list-style-type: none"> • particulars of the permittees • addresses of licensed premises or places to which the permit relates • trading hours that apply to the permits. <p>A restricted liquor and restricted area permit is issued for 3 to 6 months, while a community liquor permit, community public events permit and wine permit are usually issued for an event, so the permit may be for one day or several days.</p> <p>Regulatory requirements: <i>Liquor Act 1992</i> – s.103C, 103G, 103JA, 103U, 103N, 149A <i>Wine Industry Act 1994</i> s.103L – The OLGR may grant a restricted liquor permit for a period of at least 3 months but not longer than 6 months.</p> <p>Business requirements: These records provide evidence of the decisions made regarding the allocation of permits to various groups. The OLGR requires these records to be retained for 3 years after permit lapses, or is cancelled, as they:</p> <ul style="list-style-type: none"> • provide evidence of business processes in granting permits • support the decisions of the business. <p>Comparison with other schedules' retention period: <i>NT disposal schedule for Liquor Licensing Regulation records 2014/18</i> Reference 1.2.6 Records documenting permits granted to persons to bring, have or consume liquor in a restricted area under the Act, including refused applications and exemption certificates – Destroy 7 years after licence expires, is withdrawn, surrendered or action completed. <i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 2.1.24 Records documenting applications by members of the public, licensees, clubs and associations for granting of limited liquor licences for major events – Destroy 2 years after licence lapses. <i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.08.02 Records relating to permits – Destroy 2 years after permit lapses or is cancelled. <i>PROV Retention & disposal authority for records of the Liquor Licensing function created to 31 December 1998 PROS11/08</i> Reference 11.1.0 Particular Occasion Permit (POP) applications – Destroy 3 years after action completed.</p> <p>Previous schedules (where applicable): <i>Tourism & Racing Department Retention and Disposal Schedule QDAN493 v. 1:</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none">• reference 1.8 Permits for storage of liquor on premises of an exempted club or association – office copies/receipts of permits issued – Retain for 7 years after business action completed• reference 1.23 General purpose permits for clubs, registered charities, political organisations, recreational clubs etc., which do not have a liquor licence – Retain for 5 years after business action completed.

Function	Scope note
LIQUOR & GAMING PROBITY INVESTIGATIONS	<i>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.</i>
Activities	
Investigations	

Disposal authorisation	Record class and retention period	Justifying the retention period
1661	<p>Case files – significant Records relating to significant investigations of licensees and their associates, and casinos</p> <p>Retention period & trigger Permanent. Transfer to QSA after business action completed.</p>	<p>Background/business process: The OLGR regulates the gaming industry through seven gaming Acts, the main one being the <i>Gaming Machine Act 1991</i>, which requires licensees and their associates to be suitable to conduct gaming or be associated with the ownership, administration or management of the gaming licensees’ business. Probity investigations are conducted into the suitability of casino licence applicants and their associates prior to granting of a casino licence. Probity investigations are also conducted to ensure the suitability of persons seeking to hold a major non-casino gaming licence, and their associates. Suitability requirements apply to both corporations and individuals and encompass matters such as character, reputation, business acumen, corporate structure and financial viability.</p> <p>Regulatory requirements: <i>Casino Control Act 1982</i> – s.30, 32(5), 37, 43A <i>Charitable and Non-Profit Gaming Act 1999</i> – s.48, 49, 50 <i>Gaming Machine Act 1991</i> – s.57, 62, 92, 93, 120 <i>Interactive Gambling (Player Protection) Act 1998</i> – s.35, 56, 85, 109 <i>Keno Act 1996</i> – s.18, 36, 52, 69, 106, <i>Lotteries Act 1997</i> – s.14, 36, 67, 91 <i>Wagering Act 1998</i> – s.24, 25, 69, 70</p> <p>Business requirements: The OLGR has a number of primary responsibilities, one of which is to maintain the integrity and probity of the liquor and gaming industry. The OLGR requires these records to be retained permanently as they:</p> <ul style="list-style-type: none"> • provide evidence of suitability of gaming licence applicants and their associates • are valuable for long-term reference

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> • support future decision making • document probity management over time for OLGR’s licence applicants. <p>Permanent retention criteria (where applicable): Meets the following characteristics of the QSA Appraisal Statement:</p> <ul style="list-style-type: none"> • 2 – Primary Functions & Programs of Government • 4 – Significant Impact on Individuals • 5 – Substantial Contribution to Community Memory. <p>Community expectation: These records provide evidence of the OLGR’s probity investigations into major applicants, casinos and their associates. It ensures the community that the highest possible standards apply especially where the security of persons and property is at stake.</p> <p>Comparison with other schedules' retention period: <i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239</i> Reference 1.7.1, 2.6.1, 4.12.1, 6.8.1, 7.8.1 Records regarding investigations arising from complaints and/or compliance audits that demonstrated widespread public concern as revealed, for instance, in the media or Parliament or where the investigation results in significant changes in legislation, policy or processes – Required as State archives. <i>South Australia Consumer and Business Services operational records disposal schedule 2012/13</i> Reference 1.2.1 Records documenting major (serious) investigations, including those leading to legal action – Permanent. <i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.07.02 Records relating to casino incidents and investigations – Permanent. <i>PROV Retention & disposal authority for records of the Gambling Regulation function PROS99/08</i> Reference 1.3.2 Records relating to investigations of complaints about gaming activities that leads to a change in government or agency policies or legislation – Permanent.</p>
1662	<p>Case files – other Records relating to routine investigations into gaming and liquor licensees and their associates. Includes hotels, clubs and adult</p>	<p>Background/business process Probity checks investigate the previous history, financial history, activities, fingerprints, legal involvement and stability of organisations and their associates working in the liquor and gaming industry. Depending on the particular requirements of the licence or permit, the probity check may comprise some or all of the following:</p> <ul style="list-style-type: none"> • business name certificate

Disposal authorisation	Record class and retention period	Justifying the retention period
	<p>entertainment.</p> <p>Retention period & trigger 12 years after involvement ceases in the Queensland liquor and gaming industry.</p>	<ul style="list-style-type: none"> • a brief history of the organisation • statement of company records certified by an auditor • corporate structure • management structure • taxation returns • annual reports • loan agreements • lease agreements. <p>Regulatory requirements: <i>Casino Control Act 1982</i> – s.30, 32(5), 37, 43A <i>Charitable and Non-Profit Gaming Act 1999</i> – s.48, 49, 50 <i>Gaming Machine Act 1991</i> – s.57, 62, 92, 93, 120 <i>Interactive Gambling (Player Protection) Act 1998</i> – s.35, 56, 85, 109 <i>Keno Act 1996</i> – s.18, 36, 52, 69, 106, <i>Lotteries Act 1997</i> – s.14, 36, 67, 91 <i>Wagering Act 1998</i> – s.24, 25, 69, 70</p> <p>Business requirements: Probity checks on licensees, staff members and contractors are conducted to ensure suitability of persons associated with the liquor and gaming industry. The OLGR requires these records to be retained for 12 years after involvement ceases in the Queensland liquor and gaming industry as they:</p> <ul style="list-style-type: none"> • support the decisions of the business as it is a business requirement to keep probity reports for 12 years • provide evidence of business processes associated with approving these licences • ensure legal reference including standard appeals of decisions and other court processes under s.10(4a) of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period: <i>State Records Authority of NSW Functional retention and disposal authority of liquor, racing, gaming and charitable fundraising regulation FA239:</i></p> <ul style="list-style-type: none"> • reference 2.2.1 Records regarding applications to become club secretary or club manager – Retain minimum of 2 years after revocation, cessation or rejection of applicant, then destroy

Disposal authorisation	Record class and retention period	Justifying the retention period
		<ul style="list-style-type: none"> reference 7.10.4 Records relating to probity checks on racing industry officials – Retain until a more recent check is done, or until the expiry of 2 years after cessation of involvement in the official role, then destroy. <p>Previous schedules (where applicable): <i>Queensland Office of Gaming Regulation Retention and Disposal Schedule QDAN432 v.2 Reference 9 Results of QOGR initiated suitability inquiries – 2 years after the date that the person/organisation ceases to be involved in the Queensland Gaming Industry or 5 years after the date that the person ceases to be involved in the Queensland gaming industry, if as a result of refusal/cancellation or 2 years after the date that the documents are superseded by newly acquired documents.</i></p>
1663	<p>Case files – OLGR staff probity checks Records relating to routine probity checks into OLGR staff and OLGR contractors.</p> <p>Retention period & trigger 2 years after separation or probity check is superseded.</p>	<p>Background/business process Probity checks on licensees, staff members and contractors are conducted to ensure suitability of persons associated with the liquor and gaming industry. Probity checks investigate the previous history, financial history, activities, legal involvement, fingerprints and stability of individuals working in the liquor and gaming industry. It determines whether an individual is fit and proper to work in the gaming industry.</p> <p>Excludes records of criminal history checks and supporting documentation which are covered by the <i>General retention and disposal schedule</i>.</p> <p>Regulatory requirements: <i>Casino Control Act 1982 – s.30, 32(5), 37, 43A</i> <i>Charitable and Non-Profit Gaming Act 1999 – s.48, 49, 50</i> <i>Gaming Machine Act 1991 – s.57, 62, 92, 93, 120</i> <i>Interactive Gambling (Player Protection) Act 1998 – s.35, 56, 85, 109</i> <i>Keno Act 1996 – s.18, 36, 52, 69, 106,</i> <i>Lotteries Act 1997 – s.14, 36, 67, 91</i> <i>Wagering Act 1998 – s.24, 25, 69, 70</i></p> <p>Business requirements: As probity checks on staff and contractors are usually completed every 5 years the OLGR requires these records to be retained for only 2 years after probity check is superseded, to:</p> <ul style="list-style-type: none"> support the decisions of the business provide evidence of business processes associated with probity. <p>Comparison with other schedules' retention period: <i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i></p>

Disposal authorisation	Record class and retention period	Justifying the retention period
		Reference 06.01.03 Records relating to authorisations to act on behalf of the Commission and associated documentation including probity checks – Destroy 7 years after authorisation expires or employee ceases to be employed.
1664	<p><i>Fingerprints</i></p> <p>Records of fingerprints taken as part of a probity investigation including staff probity.</p> <p>Retention period & trigger</p> <p>Destroy as soon as practicable after police check.</p>	<p>Background/business process:</p> <p>Fingerprint checking is part of the wider process of probity checks. Fingerprints are taken by an OLGR officer prior to applications being determined by the Chief Executive. Fingerprints are obtained by the OLGR and forwarded to the Queensland Police Service (QPS) to be examined. Once results are forwarded from the QPS, the OLGR enter the results into COGS, which is the OLGR's main integrated licensing and compliance business application used by all business areas within the OLGR. It supports the core regulatory operations of the OLGR.</p> <p>Regulatory requirements:</p> <p><i>Gaming Machine Act 1991</i> – s.58(10), 105, 223</p> <p>Business requirements:</p> <p>Under sections 58(10), 105 and 223 of the <i>Gaming Machine Act 1991</i>, fingerprints of an individual person are to be destroyed as soon as practicable after cessation of a licence or after refusal of an application.</p> <p>Comparison with other schedules' retention period:</p> <p><i>Tasmania disposal schedule for functional records of the Department of Treasury and Finance DS44</i> Reference 06.04.03 Fingerprints and palm prints of special employees and technicians – Destroy as soon as the Commission has no further use for them or 3 years after licence lapses (if retained on request of employee or technician).</p> <p><i>Office of Racing Retention and Disposal Schedule QDAN620 v.2</i> Reference 2.6.2 Fingerprint records – Destroy once application is unsuccessful, cancelled, or when an association ceases.</p>
1665	<p><i>Gaming junket promoters/organisers</i></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>Retention period & trigger</p>	<p>Background/business process:</p> <p>A gaming junket is an arrangement whereby a person or a group of persons is introduced to a casino operator by a junket promoter who receives a commission or other payment from the casino operator. Junket rooms are rented out to private vendors who run tour groups through them and give a portion of the proceeds to the main casino. Junket operators are independent contractors who bring customers to the casino – they do not operate the casino business.</p> <p>Regulatory requirements:</p> <p>Casino Control Regulation 1999 – s.37</p> <p>Business requirements:</p>

Disposal authorisation	Record class and retention period	Justifying the retention period
	7 years after business action completed.	<p>The OLGR regulates the approval of junket organisers or promoters and junket agreements. These regulations are made under Div 2 85A and 85D of the <i>Casino Control Act 1982</i>. The OLGR requires the records be held for seven years after business action completed as they:</p> <ul style="list-style-type: none">• support the decisions of the business• ensure legal reference including standard appeals of decisions and other court processes under s.10 of the <i>Limitation of Actions Act 1974</i>. <p>Comparison with other schedules' retention period: There were no schedules found for comparison.</p>