



Public Record Office Standard

PROS 03/03

# Authority

## Retention & Disposal Authority for Records of the Victorian Managed Insurance Authority

Version 2013

Incorporating Variation 1 and 2

03/03  
Variation 1  
Variation 2

Issue Date: 09/02/2004  
Issue Date: 23/12/2013  
Issue Date: 03/02/2017

Expiry Date: 08/02/2014  
Expiry Date: 31/12/2016  
Expiry Date: 31/12/2019

### Copyright Statement

© State of Victoria 2017



Except for any logos, emblems, and trademarks, this work (PROS 03/03 Records of the Victorian Managed Building Authority) is licensed under a Creative Commons Attribution 4.0 International license, to the extent that it is protected by copyright. Authorship of this work must be attributed to the Public Record Office Victoria. To view a copy of this license, visit <http://creativecommons.org/licenses/by/4.0/>

**Disclaimer** The State of Victoria gives no warranty that the information in this version is correct or complete, error free or contains no omissions. The State of Victoria shall not be liable for any loss howsoever caused whether due to negligence or otherwise arising from the use of this Standard.

# Public Records Act 1973

(Section 12)

## Retention and Disposal Authority for Records of the Victorian Managed Insurance Authority

Public Record Office Standard (PROS) 03/03

### Variation 1:

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention and Disposal Authority for Records of the Victorian Managed Insurance Authority, issued as Public Record Office Standard (PROS) 03/03 on 09/02/2004, as follows:

### Extension of the application of this Standard until 31/12/2016

This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood

Date: 23/12/2013

**Director and Keeper of Public Records**

# Public Records Act 1973

(Section 12)

## Retention and Disposal Authority for Records of the Victorian Managed Insurance Authority

Public Record Office Standard (PROS) 03/03

### Variation 2:

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention and Disposal Authority for Records of the Victorian Managed Insurance Authority, issued as Public Record Office Standard (PROS) 03/03 on 09/02/2004, as follows:

### Extension of the application of this Standard until 31/12/2019

This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood

Date: 03/02/2017

**Director and Keeper of Public Records**

## Table of Contents

<b>1</b>	<b>Introduction .....</b>	<b>5</b>
1.1	Purpose of this Authority .....	5
1.2	Context of this Authority .....	5
1.2.1	Public Record Office Victoria Standards .....	5
1.2.2	Disposal of records identified in the Authority .....	5
1.2.3	Transfer of records to Public Record Office Victoria.....	6
1.2.4	Normal Administrative Practice .....	6
1.3	Use of Other Authorities .....	6
1.4	Explanation of Authority Headings.....	7
<b>2</b>	<b>Concurrence of Public Office .....</b>	<b>8</b>
<b>3</b>	<b>Establishment of Standard .....</b>	<b>8</b>
<b>4</b>	<b>Further Information .....</b>	<b>8</b>
<b>5</b>	<b>Retention &amp; Disposal Authority.....</b>	<b>9</b>

Under section 12 of the *Public Records Act 1973*, the Keeper of Public Records is responsible for the establishment of standards for the efficient management of public records and for assisting public offices to apply those standards to records under their control. Officers in charge of public offices are responsible under section 13 of the Act for carrying out, with the advice and assistance of the Keeper, a program of records management in accordance with the standards established under section 12 of the Act.

# 1 Introduction

## 1.1 Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*.

The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

## 1.2 Context of this Authority

### 1.2.1 Public Record Office Victoria Standards

This Authority should be used in conjunction with the standards issued by the Keeper of Public Records under section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from [www.prov.vic.gov.au](http://www.prov.vic.gov.au). These documents set out the procedures that must be followed by Victorian public offices.

### 1.2.2 Disposal of records identified in the Authority

Disposal of public records identified in this Authority must be undertaken in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is

or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

### **1.2.3 Transfer of records to Public Record Office Victoria**

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

### **1.2.4 Normal Administrative Practice**

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

## **1.3 Use of Other Authorities**

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

## 1.4 Explanation of Authority Headings

### **CLASS NUMBER**

The class number or entry reference number provides citation and ease of reference.

### **DESCRIPTION**

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

### **STATUS**

This entry provides the archival status of each class - either permanent or temporary.

### **CUSTODY**

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria.

Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 *Management of Electronic Records* (Version 2).

The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*.

## 2 Concurrence of Public Office

This Authority has the concurrence of:

Signature: [Signed]

Date: 02/02/2004

Name: Patricia Quigley

Position: General Manager,  
Finance & Corporate Services

## 3 Establishment of Standard

Pursuant to Section 12 of the *Public Records Act* 1973, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to the records of the Victorian Managed Insurance Authority.

This standard as varied or amended from time to time, shall have effect for a period of ten (10) years from the date of issue unless revoked prior to that date.

[Signed]

Justine Heazlewood

Date of Issue: 09/02/2004

**Keeper of Public Records**

## 4 Further Information

You can obtain relevant publications, supplies of relevant forms, and answers to any enquiries you may have by first contacting your agency's records manager or the Public Records Office Victoria:

Public Record Office Victoria



(03) 9348 5600

e-mail: [agency.queries@prov.vic.gov.au](mailto:agency.queries@prov.vic.gov.au)

web: [www.prov.vic.gov.au](http://www.prov.vic.gov.au)

## 5 Retention & Disposal Authority

### Retention & Disposal Authority

CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.0	<b>Client Management</b> VMIA provides insurance and risk management services to government agencies and public healthcare in accordance with the <i>Victorian Managed Insurance Authority Act 1996</i>		
1.1	<b>Insurance Policy Templates.</b> Master of insurance policy wordings	<b>Permanent</b>	Retain at VMIA until no longer required, then transfer to PROV
1.2	<b>Reinsurance Policies</b> Policies initiated by VMIA taken with other insurance companies to manage its risk		
1.2.1	<b>Reinsurance - Occurrence Based</b> Insurance cover for events occurring within a policy periods which can be reported at any time in the future	<b>Temporary</b>	Destroy 100 years after risk insured
1.2.2	<b>Reinsurance - Property</b> Insurance cover for property related claims	<b>Temporary</b>	Destroy 7 years following the expiry date of the insurance contract.

## Retention & Disposal Authority

CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.3	<p><b>Client Records</b></p> <p>Records for specific VMIA clients about the provision of specific risk management and insurance coverage and monitoring services. The records include documentation pertaining to funded risk management projects, engineering reports, on site risks and the provision of risk services for healthcare providers.</p>	<b>Temporary</b>	Destroy when record has been inactive for 7 years.
2.0	<p><b>Claims Management</b></p> <p>VMIA, or its nominated service provider, manage insurance claims made against government agencies or healthcare providers.</p>		
2.1	<p><b>Precedent Claims</b></p> <p>Cases that establish precedent or a change in policy</p>	<b>Permanent</b>	Retain at VMIA until no longer required, then transfer to PROV
2.2	<p><b>Routine Claims</b></p> <p>Cases of a routine nature that do not establish precedent or a change in policy.</p>	<b>Temporary</b>	Destroy when record has been inactive for 7 years.
2.3	<p><b>Healthcare Incidents</b></p> <p>Reports received from hospitals of incidents involving patients or visitors that may result in a claim.</p>	<b>Temporary</b>	Destroy 7 years after report received.

**END OF DOCUMENT**