

**Disposal Schedule
for
Functional records of
Retirement Benefits Fund**

Disposal Authorisation No. 2416

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INTRODUCTION

Archives legislation

The *Archives Act 1983* stipulates that State and local government organisations, must not dispose of **records of any type or format** without the written approval of the State Archivist. Disposal of records involves their destruction, their removal from the custody of their creating Agency, or their transfer to the Tasmanian Archive & Heritage Office.

Schedule elements and arrangement

The administrative functions covered by this schedule are arranged in alphabetical order as function headings. The activities performed under each function are listed in alphabetical order within each function.

- **Reference**

All function and activity headings and disposal classes are allocated a reference number. These reference numbers are used, in conjunction with the schedule number, to identify records in the Tasmanian Archive & Heritage Office disposal documentation. These numbers can also be used by agencies, in the same way, to indicate disposal authorisation in their records control systems, where the records have been registered in these systems.

- **Disposal classes**

The groups of records that document, and are derived from, the performance of the functions and activities are listed as disposal classes under each function/activity set.

It should be noted that Disposal Classes have been described in functional terms irrespective of the format or medium in which the records were created.

- **Status**

All disposal classes have either 'PERMANENT' or 'TEMPORARY' status. Records identified as 'PERMANENT' are those that will be transferred to the Archives Office to be retained as State archives. 'TEMPORARY' records are those that can be destroyed under the authority of this schedule.

- **Disposal action**

All temporary records identified in this schedule will have a disposal action which specifies the length of time for which the record must be retained before it can be destroyed under this authorisation.

Review of the schedule

It is the responsibility of agencies to monitor administrative, legal or regulatory changes which may result in the need to alter disposal class descriptions or disposal actions for records covered by this schedule. When this occurs, this schedule should not be used to dispose of those records and the State Archivist should be informed of the need to revise the schedule. If necessary, the procedures for the disposal of unscheduled records can be used in the interim. Reviews may also be initiated by the Tasmanian Archive & Heritage Office.

Contacts

Any enquiries relating to this schedule should be directed to the Tasmanian Archive & Heritage Office, 91 Murray Street, Hobart, email gisu@education.tas.gov.au , or by phoning 03 6165 5581

TASMANIAN ARCHIVE & HERITAGE OFFICE

DISPOSAL AUTHORISATION No. 2416

Title: **Retirement Benefits Fund**

Authorisation:

Under Section 20 (2) (b) of the Archives Act 1983, I hereby authorise 'relevant authorities' (as defined in Section 3 of that Act) to manage the disposal of the records described in this schedule in accordance with the procedures specified herein.

Ross Latham
State Archivist

Document Development History

Build Status

| Version | Date | Author | Reason | Sections |
|----------------|-------------|------------------|-----------------|-----------------|
| I | 31-1-13 | Deborah Drinkell | Initial Release | All |

Amendments in this Release

| Section Title | Section Number | Amendment Summary |
|----------------------|-----------------------|--|
| | | This is the first release of this document |

INTERPRETATION

Definitions

Permanent records are those that will be transferred to the Tasmanian Archive & Heritage Office to be retained as State Archives. The Archives Act 1983 establishes 25 years as the maximum required timeframe for the transfer of permanent records to the Tasmanian Archive & Heritage Office unless an extension of time has been approved by the State Archivist.

Temporary records are those that can be destroyed under the authority of this schedule after a minimum retention period, or once certain requirements have been met.

Significant events, policy, projects of programs are those that may result in;

- Major environmental impact
- Profound change to lives of individuals
- Political or legal ramifications
- Considerable expenditure, financial commitment or revenue generation
- Major changes or reversal of agency policy or operations
- State, national or international reaction
- Public reaction or sensitivity
- Social impact

Non-significant events, policy, projects or programs are those that may result in;

- Matters that result in only minor change
- Minor operational details
- Routine matters
- And which do not result in outcomes defined under the term 'significant'.

Coverage

This schedule covers functional records of the Retirement Benefits Fund.

This schedule **does not cover pre-1960 records**. The disposal of those records should be managed according to the procedures for unscheduled records.

The *Disposal Schedule for Short-term Value Records - DA No. 2158* covers the disposal of short-term value records which are created by most agencies. These documents are usually of a trivial nature or of such short-term value that they do not support or contribute to the business functions of the agency.

Records not covered by these schedules, or other authorised disposal schedules, should be disposed of according to the current Tasmanian Archive & Heritage Office procedures for unscheduled records.

Preservation of records

Section 10 (1) (a) of the *Archives Act 1983* requires agencies to preserve records until they are dealt with under the Act. This places a statutory obligation on agencies to ensure that all records, regardless of format, remain accessible while they are in the custody of the agency.

Permanent records

All disposal classes of records identified as having 'PERMANENT' status in this schedule should be transferred to the Archives Office 25 years after the date of creation. Agencies may make application to the Tasmanian Archive & Heritage Office for earlier transfer of particular groups of records and the Tasmanian Archive & Heritage Office may also initiate an earlier transfer arrangement.

Records for transfer should be arranged and described in accordance with any instruction provided by the Tasmanian Archive & Heritage Office.

Temporary records

All records identified as having 'TEMPORARY' status in this schedule will have a disposal action which is the authorised date for destruction. These disposal actions specify minimum retention periods. Temporary records can be kept as long as the agency wishes following the expiration of the specified period, but the provisions of the *Archives Act 1983* regarding their proper care and custody will still apply to them.

Frequently the disposal actions will refer to '**after action completed**' which means after completion of the transaction to which the records relate. The disposal action '**destroy when reference ceases**' authorises the destruction of records when all business needs to refer to the records have ceased.

Destruction of records

The destruction method chosen for records authorised for destruction in this schedule should be appropriate to the medium in which the record exists. It is the responsibility of the agency to ensure that the identified records are actually destroyed, and that this process is confidential and secure. The following issues should be considered before destruction of any documents.

Right to Information

Right to Information legislation prescribe rights and processes for access to documents held by government agencies. If a request for access under the legislation has been lodged, all records relevant to the request, regardless of whether they are due for destruction, must be identified and preserved until action on the request and any subsequent reviews are completed.

Personal Information Protection

Personal Information Protection legislation provides appropriate safeguards for government agencies in collecting and handling individual's personal information, creating statutory obligations and a right to make a privacy complaint. If an application is in progress, all records relevant to the application must be identified and preserved until the action and any subsequent actions are completed.

Other investigations and inquiries

If an investigation or inquiry is in progress, all records relevant to the investigation or inquiry must be identified and preserved until the action and any subsequent actions are completed.

Records relating to indigenous people

Key recommendations of the Bringing Them Home Report 1997 relate to the need for the identification, preservation, indexing, management and access to records relating to Indigenous individuals, families and/or communities in accordance with established privacy principles.

Records relating to indigenous families and communities or which document links between indigenous people and localities are not to be destroyed and should be the subject of consultation with the Tasmanian Archive & Heritage Office.

Native title

If a native title claim is in progress, all documents relevant to the claim must be identified and preserved until the action and any subsequent actions are completed.

Registration of destruction

Central to the accountability process built into the disposal schedules is the requirement that agencies maintain a *Register of Records Destroyed*. It is important to recognise that the formal evidential record of destruction is contained in this registration process. The register is to be made available to the State Archivist (or his nominee) on request. The register must be clearly identified as the *Register of Records Destroyed* (under Section 20 (2) (b) of the *Archives Act 1983*) and should include the name of the agency. The register can be the same used for registering destructions authorised under other disposal schedules. A sample format indicating the required elements for the register and related procedures are available on the Tasmanian Archive & Heritage Office website.

| Reference | Disposal class | Status and Disposal Action |
|-----------------|--|---|
| 01.00.00 | Board and Governance The function of constituting and administering the RBF Board and its meetings, including the specific functions and responsibilities of the Board. It includes the arranging and conducting of meetings, capture of Board minutes and agendas, authorisations and delegations and appointments to the Board. The RBF Board is a statutory authority consisting of Board members elected for a fixed term to manage and control Tasmanian Public Sector superannuation arrangements. | |
| 01.01.00 | Audit (Board & Governance) The activities associated with RBF's records and processes being formally checked by internal or external investigators. | |
| 01.01.01 | Records relating to audits under the Board and Governance function and activities resulting in changes to policy or procedures. | PERMANENT |
| 01.01.02 | Records relating to audits under the Board and Governance function and activities which do not result in changes to policy or procedures. | TEMPORARY Destroy 7 years after action completed. |
| 01.02.00 | Authorisation & Delegation (Board & Governance) The activities associated with authorisations and delegations issued by the Board. Includes the RBF Board's Instrument of Delegation (IOD) and associated operating guidelines. | |
| 01.02.01 | Records relating to all authorisations and delegations issued by the Board to agents or employees of the Board. | TEMPORARY Destroy 10 years after authorisation or delegation revoked, cancelled or superseded. |
| 01.03.00 | Compliance (Board & Governance) The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which RBF is subject. Includes compliance with legislation and national and international standards. (Eg. Operating standards established by Superannuation Industry (Supervision) Act 1993, and the Australian Prudential Regulation Authority, APRA). | |
| 01.03.01 | Records documenting RBF's compliance with optional, mandatory, fiscal and statutory requirements. | TEMPORARY Destroy 7 years after action completed. |
| 01.04.00 | Membership (Board & Governance) The activities associated with the nomination, appointment or resignation of RBF Board members. Includes appointments of Board members, remuneration and arranging and conducting meetings. | |
| 01.04.01 | Records documenting the nomination, appointment, resignation or termination of Board members. | PERMANENT |

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| 01.05.00 | Meetings (Board & Governance) The activities associated with the gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the RBF Board and its sub-committees. Includes arrangements, agenda, taking of minutes etc. | |
| 01.05.01 | Master set of minutes and agenda papers of meetings including reports incorporated in agenda papers. | PERMANENT |
| 01.05.02 | Records relating to the conduct of meetings including notices of meetings and routine correspondence. | TEMPORARY Destroy 7 years after action completed. |
| 01.06.00 | Policy (Board & Governance) The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisations operating procedures are determined. Includes policies approved by the RBF Board and the Committees of the Board. | |
| 01.06.01 | Records illustrating and documenting the development of policy and documenting policy decisions and the establishment of precedents. | PERMANENT |
| 01.07.00 | Procedures (Board & Governance) Standard methods of operating laid down by the organisation according to formulated policy that has been approved by the RBF Board or the Committees of the Board. | |
| 01.07.01 | Records documenting the development of agency procedures and final versions of agency manuals and instructions relating to the RBF Board and Governance Function. | TEMPORARY Destroy 7 years after date Superseded. |
| 01.08.00 | Reporting (Board & Governance) The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns. | |
| 01.08.01 | Reports prepared by or for the Board regarding any significant matter or issue involving RBF or impacting RBF. | PERMANENT |
| 01.08.02 | Internal and external reports that do not contain significant information or findings, such as financial information, investment fund activities, member statistics, performance reports, etc that are not major and do not result in changes to policy, procedures or legislation. | TEMPORARY Destroy 7 years after action completed |

| Reference | Disposal class | Status and Disposal Action |
|-----------------|---|---|
| 02.00.00 | INVESTMENT MANAGEMENT The function of managing RBF's portfolio investments and relationships with investment managers. | |
| 02.01.00 | Compliance (Investment Management) The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which RBF is subject. Includes compliance with legislation and with national and international standards. (Eg. Operating standards established by Superannuation Industry (Supervision) Act 1993, and the Australian Prudential Regulation Authority, APRA). | |
| 02.01.01 | Records documenting RBF's compliance with optional, mandatory, fiscal and statutory requirements. | TEMPORARY Destroy 7 years after action completed. |
| 02.02.00 | Infrastructure Management (Investment Management) The activities associated with the dealings of RBF infrastructure investments. Includes proposals of investment options by Financial or Investment Organisations or Consultancies. Also RBF research into investment opportunities. <u>See</u> - Board & Governance – Meetings for final versions of Infrastructure Investment reports that were presented to the Board. | |
| 02.02.01 | Records of infrastructure investment projects including deeds or agreements with business partners and the supporting documentation to secure the investment. | TEMPORARY Destroy 7 years after the sale of the investment. |
| 02.02.02 | Records of business plans, performance reporting and investor and valuation reports from infrastructure asset managers. | TEMPORARY Destroy 7 years after action completed. |
| 02.02.03 | Records documenting routine research and investigation into possible infrastructure and property investments that does not result in a business partnership or other investment acquisition for RBF. | TEMPORARY Destroy 5 years after action completed. |
| 02.03.00 | Investment Managers (Investment Management) The activities associated with the dealings between RBF and its Investment Managers. <u>See</u> - Board & Governance – Meetings for records of opinions or advice from Investment Managers. | |
| 02.03.01 | Records documenting contractual or service arrangements with funds managers. | TEMPORARY Destroy 7 years after completion or termination of contract. |

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| 02.03.02 | <p>Records relating to funds managers including:</p> <ul style="list-style-type: none"> • performance reporting from funds managers of assets under management • instructions from RBF to funds managers regarding investment options | <p>TEMPORARY Destroy 7 years after action completed.</p> |
| 02.04.00 | <p>Mortgage Management (Investment Management) The activities associated with the mortgages managed and maintained by RBF. Including the sourcing of new mortgage opportunities; evaluation and recommendation of mortgage loan applications; and liaison with mortgage brokers and other service providers.</p> | |
| 02.04.01 | <p>Records relating to approved commercial loans. Includes preparation of mortgage and other documents necessary as security for the commercial loan.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Records relating to negotiations and investigations undertaken in relation to the loan application; • Loan Agreements and associated documents; • Consent of Board to commercial loan being made; • Valuations and other due diligence carried out; • Title Searches; • Council records and other searches conducted; • Legal advice obtained; • Settlement details; • Copies of mortgage and other security documents prepared; • Registered Copy of executed mortgage and other security documents required; • Titles Office registration statements; • Statements of account; and • General correspondence relating to the conduct of the negotiating and obtaining security for commercial loans made. | <p>TEMPORARY Destroy 10 years after loan finalised or discharged.</p> |
| 02.04.02 | <p>Records relating to applications for commercial loans which are refused.</p> | <p>TEMPORARY Destroy 2 years after action completed</p> |
| 02.04.03 | <p>Records relating to any security in respect of which any mortgage has been given, including Certificates of Title, Insurance Certificates, Solicitors Certificates, Mortgage documents and Loan Agreements.</p> | <p>TEMPORARY Return to property owner after loan finalised or discharged.</p> |

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| 02.05.00 | <p>Property Acquisition (Investment Management) The activities associated with the acquisition of property investments, including sourcing of new property opportunities; liaison with estate agents, property managers, and other service providers.</p> <p>Use DA 2157 13.00.00 Property Management for records of the general management of an RBF owned property.</p> | |
| 02.05.01 | Records of property acquisition and property investment projects including deeds or agreements with business partners and the supporting documentation to secure the investment. | <p>TEMPORARY Destroy 7 years after sale or disposal of the property.</p> |
| 02.05.02 | Records documenting routine research and investigation into possible property investments that do not result in an investment asset for RBF. | <p>TEMPORARY Destroy 5 years after action completed.</p> |

| Reference | Disposal class | Status and Disposal Action |
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| 03.00.00 | MEMBER ADMINISTRATION AND SERVICES The function of providing access to superannuation benefits and information through developing members' understanding of the schemes, processing contributions, paying benefits and managing member details of RBF superannuation schemes including: <ul style="list-style-type: none"> • Tasmanian Accumulation Scheme • RBF Contributory Scheme • State Fire Commission Superannuation Scheme • Tasmanian Ambulance Service Superannuation Scheme • RBF Investment Account • Parliamentary Scheme • Pension scheme | |
| 03.01.00 | Employer Relations (Member Administration and Services) Activities relating to the management of relations with employers of scheme members. | |
| 03.01.01 | Records relating to the management of relations with employers of scheme members, including recording and updating details of employers, communicating and exchanging information and advice with respect to employee salary rates and periods of leave without pay, affecting rates of contribution etc. | TEMPORARY Destroy 7 years after last action completed |
| 03.02.00 | Member Files (Member Administration and Services) Activities relating to the administration of superannuation accounts of members and pensioners (case records), including managing member personal details, receipting and crediting member contributions, calculating and paying benefits, handling complaints, queries, claims, disputes and appeals, provision of and communicating with members about their superannuation accounts. | |
| 03.02.01 | Records (member accounts) documenting the management of an individual member's contributions and benefit payments, where there are NO further entitlements owing to members or their beneficiaries. Includes: <ul style="list-style-type: none"> • applications; • personal member details; • contribution and payment calculations; • debt recovery correspondence and reports; • written and telephone communications in relation to the individual scheme member; • medical examinations/assessments/declarations; • member statements; • details of family law orders; • complaints, reviews, appeals and disputes in relation to decisions concerning individual members, and associated legal advice; • contribution and benefit advice and counselling provided to an individual member. | TEMPORARY Destroy 10 years after last financial transaction. |

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| <p>03.03.00</p> | <p>Reporting (Member Administration and Services) Records relating to regular reporting to the Board on issues relating to the Member Administration and Services function where originals are tabled as part of the Board papers. Includes providing advice, data, reports, determinations, input into the development of legislation and superannuation schemes, and financial information to stakeholders, including the Minister, actuaries and regulatory bodies such as the Australian Prudential Regulation Authority and the Australian Taxation Office.</p> <p><u>See</u> - Board & Governance – Meetings for final versions of Member Administration and Services reports that were presented to the Board.</p> | |
| <p>03.03.01</p> | <p>Records relating to internal and external reports prepared by or for the agency relating to the Member Administration and Services function.</p> <p>Includes ATO, Department of Veterans Affairs and Centrelink reporting such as:</p> <ul style="list-style-type: none"> • Member Contributions Statement (MCS) • Lost Member Reporting • Taxation of Pensions • Taxation of lump sums • Pension Information to Centrelink and Department of Veterans Affairs | <p>TEMPORARY Destroy 5 years after last action completed</p> |

| Reference | Disposal class | Status and Disposal Action |
|-----------------|---|--|
| 04.00.00 | PRODUCT MANAGEMENT The function of developing contemporary and quality superannuation products, researching and evaluating financial product policy and practices and providing strategic options on their continued efficiency. | |
| 04.01.00 | Fund Summaries (Product Management) The activities relating to the capture of information and history of RBF's superannuation schemes as well as the administrative practices and business rules for the schemes. | |
| 04.01.01 | RBF Fund Summaries, including the Approval of Changes Register and the Update Register. | PERMANENT |
| 04.01.02 | Records relating to the development of RBF Fund Summaries and the supporting operating guidelines. | TEMPORARY Destroy 7 years after action completed. |
| 04.02.00 | Reporting (Product Management) Records relating to regular reporting to the Board on issues relating to the Product Management function where originals are tabled as part of the Board papers. Also includes reporting to external regulator or state authorities on matters relating to specific RBF products. <u>See</u> - Board & Governance – Meetings for final versions of Product Management reports that were presented to the Board. | |
| 04.02.01 | Records of formal internal and external reports prepared by or for the agency relating to the Product Management function. | TEMPORARY Destroy 5 years after action completed |
| 04.03.00 | Research and Development (Product Management) Records documenting research, evaluation and suitability of proposed products and services. Also includes market research and records relating to specific product development. | |
| 04.03.01 | Records documenting major research, evaluation and suitability of proposed products and services that become RBF specific products and services. | PERMANENT |
| 04.03.02 | Records documenting routine research undertaken into products and services. Includes records such as comparable product analysis, economic trends, market growth areas, etc. | TEMPORARY Destroy 5 years after action completed. |
| 04.04.00 | Reviewing (Product Management) | |

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| | Records relating to the review of products or processes for the Product Management function. | |
| 04.04.01 | Records documenting major reviews of RBF superannuation products and services. | PERMANENT |
| 04.04.02 | Records documenting routine reviews of RBF superannuation products and services | TEMPORARY Destroy 5 years after action completed. |

| Reference | Disposal class | Status and Disposal Action |
|-----------------|--|--|
| 05.00.00 | RBF FINANCIAL PLANNING Records relating to financial planning services provided to RBF Members by RBF Financial Planning Pty Ltd, a wholly owned subsidiary of RBF that operates as a separate legal entity. Records include the provision of financial advice relating to members individual circumstances and financial goals. Also includes activities associated with the management of the RBF Financial Planning Board. | |
| 05.01.00 | Compliance (RBF Financial Planning) The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements relating to the Financial Planning function or in accordance with legislation. (Eg. Guidelines and licensing requirements of the Australian Securities Investments Commission, ASIC). | |
| 05.01.01 | Records documenting compliance with standards and regulatory requirements for RBF Financial Planning activities. Includes copies of Financial Services Guide provided to RBF Financial Planning Clients. | TEMPORARY Destroy 7 years after action completed. |
| 05.02.00 | Client Files (RBF Financial Planning) Activities relating to the administration of RBF Financial Planning clients (case records), including managing member personal details and financial and investment advice to RBF members about products and services. | |
| 05.02.01 | Records (client files) documenting member personal details and financial and investment advice to RBF members about products and services including: <ul style="list-style-type: none"> • retirement planning • superannuation and rollovers • wealth accumulation • salary packaging • investment advice • personal insurance advice • aged care/Centrelink advice | TEMPORARY Destroy 7 years after action completed. |
| 05.03.00 | Board Membership (RBF Financial Planning) The activities associated with the nomination, appointment or resignation of RBF Financial Planning Board members. Includes appointments of Board members, remuneration and arranging and conducting meetings. | |
| 05.03.01 | Records documenting the nomination, appointment, resignation or termination of RBF Financial Planning Board members. | PERMANENT |
| 05.04.00 | Meetings (RBF Financial Planning) The activities associated with the gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the RBF Financial Planning Board. Includes arrangements, agenda, taking of minutes etc. | |

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| 05.04.01 | Master set of minutes and agenda papers of meetings including reports incorporated in agenda papers. | PERMANENT |
| 05.04.02 | Records relating to the conduct of meetings including notices of meetings and routine correspondence. | TEMPORARY Destroy 7 years after action completed. |
| 05.05.00 | <p>Reporting (RBF Financial Planning) Formal reports, drafts and working papers relating to the administration and management of the RBF Financial Planning function.</p> <p><u>See</u> - RBF Financial Planning - Board Meetings for final versions of reports that were presented to the RBF Financial Planning Board.</p> | |
| 05.05.01 | Records relating to internal and external reports prepared by or for the agency relating to the Financial Planning function of RBF. | TEMPORARY Destroy 5 years after last action. |
| 05.06.00 | <p>Risk Management (RBF Financial Planning) The identification of major risk and the development, monitoring and review of appropriate ways in which to manage such risks and the opportunities to mitigate them.</p> | |
| 05.06.01 | Records documenting the identification and assessment of risks. Includes the implementation of practices and procedures to reduce risk. | TEMPORARY Destroy 7 years after next risk assessment. |