

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

Authority number: GA28

Dates of coverage: 1940+

List of Functions and Activities covered

State Archives and Records Authority of New
South Wales

General Retention and Disposal
Authority: GA28

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

This general retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.

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COMPENSATION - Advice

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3.0.0 COMPENSATION

The function of providing compensation to personnel and visitors injured while proceeding to or from work, during working hours or on the organisation's premises or compensation to members of the public suffering personal injury, loss of or damage to property as a result of the organisation's actions. Includes the rehabilitation of injured workers and compensation for damage to property where such damage is claimed as the organisation's responsibility. Also includes insurance and claims for professional indemnity.

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

Accidents

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and records relating to rehabilitation of the employee as part of a compensation claim.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to the reporting of incidents and any subsequent investigation by the organisation or an external body.

Acquisition

See **COMPENSATION - Claims** for records relating to the acquisition of rehabilitation services or case managers that are not hired through a tendering or contracting-out process.

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

See **PERSONNEL - Employee service history** for records relating to the employment and management of a rehabilitation provider or case manager as an employee of the organisation.

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

3.1.0 Advice

The activities associated with offering opinions by or to the organisation as to an action or judgment. Includes the process of advising.

See **COMPENSATION - Claims** for records relating to advice on specific cases.

See **COMPENSATION - Insurance** for records relating to obtaining a licence for the organisation to self-insure and/or manage its own compensation liabilities.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by external or internal legal service providers.

3.1.1	Records relating to compensation advice, not related to a specific case. Records include information regarding the results of court decisions impacting on the	Retain until administrative or reference use
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COMPENSATION - Advice

	management of compensation generally, i.e. not relating to a specific case involving the organisation. Note: In some cases records may contain information that impacts on the organisation's policies and procedures and influences its response to compensation issues and cases and may need to be retained for longer periods.	ceases, then destroy
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Agreements

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

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

Appeals

See **COMPENSATION - Claims** for records relating to appeals regarding a compensation claim.

See **LEGAL SERVICES - Litigation** for records relating to appeals regarding a compensation claim.

Cases

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

See **LEGAL SERVICES - Advice** for records relating to legal advice obtained from internal or external legal service providers on the management of specific cases.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to incidents and the provision of first aid treatment.

3.2.0 Claims

The process of administering and managing claims lodged after an incident as compensation for injury, death or denial of rights of a person, or damage to or destruction of property. Includes claims for recompense for stolen or lost property and professional indemnity claims.

Note: It is not recommended that papers relating to workers' compensation matters be attached to 'personnel files'. If compensation information has been attached to a personnel file, retain for this period or retain for the period of time the personnel file is required, as specified in the *General Retention and Disposal Authority - Administrative records*, whichever is longer.

See **LEGAL SERVICES - Litigation** for records relating to the management of appeals regarding claims that are taken to courts or tribunals, e.g. affidavits.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to incidents where there is no claim for compensation.

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COMPENSATION - Claims

3.2.1	<p>Records relating to an employee's claim for workers' compensation where an incident has resulted in serious personal injury or incapacity. Records include:</p> <ul style="list-style-type: none"> • incident/injury records • notifications to insurer, employer's reports of injury and supporting documents • records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted • claims for compensation and other related documentation, e.g. statements of witnesses • records of acceptance or denial of claim from insurer • correspondence and advice regarding the case, e.g. from the insurer, employee, doctors, injury management advisor or WorkCover NSW, including minutes or notes of meetings • reports, e.g. progress reports, assessments • medical certificates and other medical reports • claim reviews • records of disputes, including medical disputes, and conciliation • records of the outcomes of appeals, e.g. orders • agreements between parties • records relating to payment by the insurer • records of acquisition of services of case managers • injury management plans for injured employee • rehabilitation providers' reports • details of vocational retraining or workplace adjustment if required • medical certificates and reports • return to work plans • records of disputes over injury management or return to work, and mediation • records regarding fitness to continue assessment and medical retirement. <p>Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant.</p>	<p>Retain minimum of 75 years after date of birth or minimum of 7 years after action completed, whichever is longer, then destroy</p>
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COMPENSATION - Claims

	<p>Note: if date of birth is unknown assume the person was 15 years at the time of the accident.</p>	
3.2.2	<p>Records relating to a claim for compensation in relation to an incident resulting in the death of an employee.</p>	<p>Retain minimum of 25 years after date of death or minimum of 7 years after action completed, whichever is longer, then destroy</p>
3.2.3	<p>Records relating to an employee's claim for workers' compensation where an incident has not resulted in death, serious personal injury or incapacity.</p> <p>Records include:</p> <ul style="list-style-type: none"> • incident/injury records • notifications to insurer, employer's reports of injury and supporting documents • records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted • claims for compensation and other related documentation e.g. statements of witnesses • records of acceptance or denial of claim from insurer • correspondence and advice regarding the case, e.g. from the insurer, employee, doctors, injury management advisor or WorkCover NSW, including minutes or notes of meetings • reports, e.g. progress reports, assessments • medical certificates and other medical reports • claim reviews • records of disputes, including medical disputes, and conciliation • records of the outcomes of appeals, e.g. orders • agreements between parties • records relating to payment by the insurer • records of acquisition of services of case managers • injury management plans for injured employee • rehabilitation providers' reports 	<p>Retain minimum of 25 years after action completed, then destroy</p>

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<i>COMPENSATION - Claims</i>		
	<ul style="list-style-type: none"> • details of vocational retraining or workplace adjustment if required • medical certificates and reports • return to work plans • records of disputes over injury management or return to work, and mediation • records regarding fitness to continue assessment and medical retirement. <p>Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant, but it is likely to occur within the retention period. Consideration may need to be given to retaining these records longer in some circumstances.</p>	
3.2.4	<p>Records relating to compensation claims for personal injury made by members of the public, including work experience students and volunteers or other persons who are not employees. Records include:</p> <ul style="list-style-type: none"> • incident/injury records • notifications to insurer, reports of injury and supporting documents • records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted • claims for compensation and other related documentation, e.g. statements of witnesses • records of acceptance or denial of claim from insurer • correspondence and advice regarding the case, including minutes or notes of meetings • reports, e.g. progress reports, assessments • medical certificates and other medical reports • claim reviews • records of disputes, including medical disputes, and conciliation • records of the outcomes of appeals, e.g. orders • agreements between parties • records relating to payment by the insurer. <p>Note: These types of claims are dealt with under third party insurance through the insurer.</p>	Retain minimum of 15 years after action completed or until upon expiry of statutory limitation periods, whichever is longer, then destroy
3.2.5	Records relating to compensation claims for (a) damage to personal property or (b) loss suffered as a	Retain minimum of 7 years after

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COMPENSATION - Claims

	result of the organisation's actions. Records include copies of claims, reports and related correspondence.	finalisation or withdrawal of claim, then destroy
3.2.6	<p>Routine activity reports sent from insurers to the organisation regarding premiums and claims made under their insurance policy.</p> <p>See OCCUPATIONAL HEALTH & SAFETY - Reviewing for records relating to the use of activity reports in analysis and performance review.</p> <p>See OCCUPATIONAL HEALTH & SAFETY - Risk management for records relating to risk management processes using activity reports.</p>	Retain until administrative or reference use ceases, then destroy

Committees

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

3.3.0 Compliance

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

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor or assess the compliance of other organisations with policies, standards and requirements on compensation.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

3.3.1	Records relating to breaches of compensation compliance requirements that do not result in litigation, e.g. breaches of requirements for insurance or self insurer licence conditions etc. Includes penalties.	Retain minimum of 7 years after action completed, then destroy
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Contracting-out

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

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

3.4.0 Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover members of the public, customers and employees against loss, injury or

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COMPENSATION - Insurance

death resulting from the actions of the organisation or incidents on the organisation's premises or whilst engaged during employment. Includes professional indemnity insurance.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and activity reports from insurers regarding claims made under a policy.

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

3.4.1	Insurance policies taken out by the organisation to protect against risk of claims for personal injury or property damage, e.g. workers compensation insurance, professional indemnity insurance, including information provided for renewals.	Retain minimum of 7 years after expiry of the policy, then destroy
3.4.2	Records relating to the administration of insurance policies. Records include notices of renewals, advice on premiums payable etc.	Retain minimum of 1 year after action completed, then destroy
3.4.3	Records relating to obtaining a licence for the organisation to self-insure and/or manage its own compensation liabilities. Records include: <ul style="list-style-type: none"> • records regarding the application process and advice of its outcome • records of audits as part of the process of seeking accreditation. 	Retain minimum of 7 years after licence expires, then destroy

Meetings

See the relevant function/activity for records relating to meetings that are held as part of the management or conduct of those activities or processes, e.g. use COMPENSATION – CLAIMS for records relating to meetings held in order to discuss or mediate the settlement of a claim, e.g. use COMPENSATION – INSURANCE for records relating to meetings held in order to discuss insurance policies.

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

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

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

Payments

See **COMPENSATION - Claims** for records relating to payment by the insurer.

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COMPENSATION - Policy

See **FINANCIAL MANAGEMENT - Accounting** for records relating to payments managed by organisations that are self-insured.

3.5.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **COMPENSATION - Compliance** for records relating to breaches of organisational compliance with policies.

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

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

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

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

3.5.1	<p>Final, approved versions of policies relating to the provision of compensation, rehabilitation and injury management, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Includes policies relating to return to work programs developed by the organisation and copies of the injury management program established by the insurer.</p> <p>Note: Evidence of policies in place at a particular time may be of relevance for future claims or legal action involving the organisation. This may be the case for some rehabilitation and injury management matters. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of policies need to be retained for longer periods.</p>	Retain minimum of 5 years after policy is superseded, then destroy
3.5.2	<p>Records relating to the development and review of the organisation's compensation, rehabilitation and injury management policies. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • draft versions of policies containing significant changes/alterations or formally circulated for comment 	Retain minimum of 5 years after action completed, then destroy

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COMPENSATION - Procedures

	<ul style="list-style-type: none"> • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	
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3.6.0 Procedures

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

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

3.6.1	<p>Final, approved versions of the organisation's manuals, handbooks and directives etc detailing approved procedures relating to the provision of compensation, rehabilitation and injury management, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Includes procedures relating to return to work programs developed by the organisation.</p> <p>Note: Evidence of procedures in place at a particular time may be of relevance for future claims or legal action involving the organisation. This may be the case for some rehabilitation and injury management matters. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of procedures need to be retained for longer periods.</p>	Retain minimum of 5 years after procedures are superseded, then destroy
3.6.2	<p>Records relating to the development and review of an organisation's compensation, rehabilitation and injury management procedures. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 5 years after action completed, then destroy

Rehabilitation

See **COMPENSATION - Claims** for records relating to the rehabilitation of an employee as part of a claim for compensation.

See **COMPENSATION - Policy** for records relating to rehabilitation programs developed by the organisation that do not relate to specific cases.

See **PERSONNEL - Advice** for records relating to rehabilitation of employees that is not linked to compensation claims.

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COMPENSATION - Reviewing

3.7.0 Reviewing

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

See **COMPENSATION - Policy** for records relating to the review of plans and policies.

See **COMPENSATION - Procedures** for records relating to the review of procedures.

3.7.1	Records relating to the review of the organisation's compensation, rehabilitation and injury management programs and operations. Records include: <ul style="list-style-type: none">• documents establishing the review• background research, e.g. analysis of compensation and rehabilitation data and accident investigation outcomes to establish trends• draft versions of reports containing significant changes/alterations or formally circulated for comment• final, approved versions of reports.	Retain minimum of 5 years after action completed, then destroy
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Tendering

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

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