

Australian Capital Territory

Territory Records (Records Disposal Schedule – Compensation Records) Approval 2012 (No1)

Notifiable instrument NI2012—183

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Compensation Records) Approval 2012 (No 1)

2. Approval

I approve the Records Disposal Schedule – Compensation Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument:

NI2009-435 notified 10 September 2009.

David Wardle
Director of Territory Records
28 March 2012



Records Disposal Schedule

Compensation Records

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INTRODUCTION

The *Records Disposal Schedule – Compensation Records* is the official authority for the disposal of these ACT Government Records.

It is one of a series of Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with other Territory Records Disposal Schedules.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements such as a records disposal freeze. Current records disposal freezes can be found at the Territory Records Office Internet site <http://www.territoryrecords.act.gov.au/recordsadvice>.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE TERRITORY WHOLE OF GOVERNMENT THESAURUS

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must not dispose of any**

records where it is aware of possible legal action for which the records may be required as evidence or if there is a current records disposal freeze in effect.

The *Records Disposal Schedule – Compensation Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Whole of Government Thesaurus originally based on the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all ACT Government records regardless of titling conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

Whole of Government Thesaurus

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA 2010), a thesaurus which incorporated 16 common functions. All other functions within the Whole of Government Thesaurus are considered functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the TRO for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 - Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the original Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The *Records Disposal Schedule - Compensation Records*:

- covers all ACT Government records;
- is intended to be used in conjunction with other Territory Records Disposal Schedules;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

Function.

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

Activity.

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

Description of Records.

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

Disposal Action.

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

Electronic records

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

DESTRUCTION OF RECORDS

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

UPDATING THE RECORDS DISPOSAL SCHEDULE

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.

RELATED LEGISLATION

The following legislation is related to the records classes covered by this Records Disposal Schedule:

Evidence Act 1971

Freedom of Information Act 1989

Public Sector Management Act 1994

Territory Records Act 2002

Workers Compensation Act 1951

Workers Compensation Regulation 2002

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

COMPENSATION

The function of providing compensation to personnel and visitors injured while proceeding to or from work, during working hours or on the agency's premises. Includes the rehabilitation of injured workers claiming compensation and compensation for damage to property where such damage is claimed as the agency's responsibility.

Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

Advice

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

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Case Management

The activity of managing an incident, person, organisation or client, on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing of applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Committees

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Contracting out

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the agency's premises or whilst engaged during employment.

Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

Payments

The activities involved in the preparation and payment of money.

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 agency's operating procedures are determined.

Procedures

Standard methods of operating laid down by the agency according to formulated policy.

Reviewing

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

Tendering

The activities involved in receiving and assessing tenders, of making offers and finalising contract arrangements for the supply, sale or purchase of goods and services.

RECORDS DISPOSAL SCHEDULE

COMPENSATION

The function of providing compensation to personnel and visitors injured while proceeding to or from work, during working hours or on the agency's premises. Includes the rehabilitation of injured workers claiming compensation and compensation for damage to property where such damage is claimed as the agency's responsibility.

[For accident reports covering deaths, serious personal injury, incapacity and dangerous occurrences for both employees and members of the public, use OCCUPATIONAL HEALTH & SAFETY (OH&S) - Accidents.

For accident reports submitted where an employee also submits a compensation claim, use COMPENSATION - Case Management.

For accident reports submitted by an employee but where there is no compensation claim submitted, use PERSONNEL - Accident.

For accident reports submitted by members of the public where a compensation claim is lodged, use COMPENSATION - Claims.

For accident reports submitted by members of the public where there is no claim made for compensation, use OCCUPATIONAL HEALTH & SAFETY (OH&S) - Accidents.

For agreements relating to the settlement of compensation cases, use LEGAL SERVICES - Agreements.]

Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

Entry No.	Description of Records	Disposal Action
002.003.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the acquisition of services to support the compensation function (e.g. employment of rehabilitation providers and case managers). <i>[For the acquisition of services through a tender process, use COMPENSATION - Tendering.</i> <i>For the management of contracted out services, use COMPENSATION - Contracting out.</i> <i>For managing financial transactions supporting acquisition activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.]</i>	Destroy 7 years after action completed

Audit (Continued)

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.013.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the planning and conduct of internal and external audits relating to the compensation function. Includes: <ul style="list-style-type: none"> • liaison with the auditing body • notes taken at opening and exit interviews • draft reports • comments. 	Destroy 5 years after action completed

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.014.001 ■■■■■■■■■■■■■■■■■■■■	Delegations of power to agency staff to authorise administrative action relating to the compensation function.	Destroy 7 years after delegation expires
002.014.002 ■■■■■■■■■■■■■■■■■■■■	Authorisations for administrative action supporting the compensation function.	Destroy 7 years after action completed
002.014.003 ■■■■■■■■■■■■■■■■■■■■	Records documenting the delegation of power to the agency to make determinations on compensation claims.	Destroy 2 years after delegation expires
002.014.004 ■■■■■■■■■■■■■■■■■■■■	Records documenting the granting of licences to agencies to self-insure and/or manage their workers' compensation liabilities.	Destroy 1 year after licence expires

Case Management (Continued)

The activity of managing an incident, person, organisation or client, on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing of applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

[For reviews of actions taken by the agency, use COMPENSATION - Reviews (decisions).

[For records relating to claims made by public visitors, use COMPENSATION - Claims.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
III	<ul style="list-style-type: none">• individual employee's return to work plan• progress reports• assessment reports• medical reports and certificates• claim reviews• appeal records (including reconsideration and appeals to ACT Civil and Administrative Tribunal)• appeal records relating to appeals• lodged against any aspect of management of a compensation case• agreements entered into by the parties• legal records documenting any legal advice received and action taken in relation to the case.	

[For records relating to claims made by public visitors, use COMPENSATION - Claims.]

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 agency's operating procedures are determined.

Entry No.	Description of Records	Disposal Action
002.080.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development, establishment and review of the agency's compensation policies, including an agency's return to work policy. Includes: <ul style="list-style-type: none"> • policy proposals • research papers • results of consultations • supporting reports • major drafts • final policy documents. 	Destroy 5 years after policy is superseded
002.080.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting comments made on the development of government-wide compensation policies. <i>[For the development of government-wide compensation policies, use WORKPLACE AND SAFETY POLICY - Policy.]</i>	Destroy 3 years after promulgation of new policy
002.080.003 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development of all agency compensation policies.	Destroy 3 years after promulgation of new policy
002.080.004 ■■■■■■■■■■■■■■■■■■■■	Copies of agency policy documents and supporting papers.	Destroy 6 months after last action

RETAIN AS TERRITORY ARCHIVES

SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.

Changes to **Compensation**

Dated

November 2011

New Features (Insertions)

FUNCTION	Activity	Entry no.	Description
Compensation	Case Management	002.016.001	New class
	Claims	002.019.001 002.019.003	New classes

Enhancements (Changes)

FUNCTION	Activity	Entry no.	Description
Compensation	Case Management	002.016.002	Renumbered and disposal action amended
	Claims	002.019.002 002.019.004	Renumbered

Corrections (Deletions)

FUNCTION	Activity	Entry no.	Description