

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA375**

This authority covers records documenting the function of motor accidents insurance regulation

This functional 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 Records Authority of New South Wales in accordance with section 21(3) of the Act.



# State Records Authority of New South Wales

## Functional Retention and Disposal Authority

**Authority no** FA375

**SR file no** 16/0266

**Scope** This functional retention and disposal authority covers records documenting the function of motor accidents insurance regulation.

**Public office** State Insurance Regulatory Authority

**Approval date**

Geoff Hinchcliffe  
Director  
State Records Authority of New South Wales

23/06/2016  
Date

## **About the Functional Retention and Disposal Authority**

### **Purpose of the authority**

The purpose of this functional retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met.

The approval for disposal given by this authority is given under the provisions of the *State Records Act 1998* only and does not override any other obligations of an organisation to retain records.

### **The retention and disposal of State records**

The records retention and disposal practices outlined in this authority are approved under section 21(2)(c) of the *State Records Act 1998* (NSW). Part 3 (Protection of State Records) of the Act provides that records are not to be disposed of without the consent of State Records with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Records does not disapprove. Advice on the State Records Act can be obtained from State Records.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. The State Records Authority ('State Records') reviews and approves organisations' retention and disposal authorities under the *State Records Act*. It is the duty of a public office, in submitting a draft retention and disposal authority for approval, to disclose to State Records any information which affects the retention of the records covered by the authority.

State Records' decisions take into account both the administrative requirements of public offices in discharging their functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Records' functions is to identify and preserve records as State archives. These are records which document the authority and functions of Government, its decision-making processes and the implementation and outcomes of those decisions, including the nature of their influence and effect on communities and individual lives. Criteria for the identification of State archives are listed in *Building the Archives: Policy on records appraisal and the identification of State archives*. The Policy also explains the roles and responsibilities of State Records and of public offices in undertaking appraisal processes and disposal activities.

### **Implementing the authority**

This functional retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority should be implemented as part of the records management program of the organisation. Two primary objectives of this program are to ensure that records are kept for as long as they are of value to the organisation and its stakeholders and to enable the destruction or other disposal of records once they are no longer required for business or operational purposes.

The implementation process entails use of the authority to sentence records. Sentencing is the examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. Advice on sentencing can be obtained from State Records. See *Implementing a retention and disposal authority*.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see also the *General Retention and Disposal Authority – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology dependent records is available for the periods prescribed.

## **Disposal action**

### ***Records required as State archives***

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these records should be transferred to State Records when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Records regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Records' control should be a routine and systematic part of a public office's records management program. If the records are more than 25 years old and are still in use for official purposes, then a 'still in use determination' should be made.

### ***Records approved for destruction***

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, and government directives. A public office *must not* dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, formal applications for access) where the records may be required as evidence.

Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded. See *Destruction of records: a practical guide*.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Records recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office must not permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Records.

### **Administrative change**

This functional retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Records for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Records to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

### **Amendment and review of this authority**

State Records must approve any amendment to this authority. Public offices that use the authority should advise State Records of any proposed changes or amendments to the authority.

State Records recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Records may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements or procedures which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Records and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

#### Contact Information

State Records  
PO Box 516  
Kingswood NSW 2747

Telephone: (02) 9673 1788  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

**Functional Retention and Disposal Authority**  
**Motor accidents insurance regulation (State Insurance Regulatory Authority)**

Authority number: FA375

Dates of coverage: Open

**List of Functions and Activities covered**

<b>Function</b>	<b>Activity</b>	<b>Reference</b>	<b>Page</b>
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### List of Functions and Activities covered

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No	Function/Activity	Description	Disposal Action
1.0.0	<b>MOTOR ACCIDENTS INSURANCE REGULATION</b>	<p>The function of regulating the motor accidents third party insurance scheme.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to committees and similar groups including audit and risk committees and investment committees.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Conferences</b> or records relating to arranging and/or attending conferences, seminars and forums.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Media relations</b> for records relating to media contacts, arranging media interviews and media releases.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Public reaction</b> for records relating to complaints and compliments about the Authority's policies, procedures, guidelines, services, or staff, including associated statistics and reports on complaints and enquiries.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNING BODIES</b> for records relating to the establishment and management of governing bodies such as councils, advisory groups and boards.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS</b> for records relating to the provision of advice or reports to the Minister with regard to the administration, efficiency and effectiveness of the scheme, or other reports and advice provided in response to a specific request from the Minister or parliament, including the Annual Report.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Agreements</b> for records relating to the establishment, management and review of agreements with States, Territories and Federal or other government agencies, such as agreements and memorandums of understanding which set up cooperative arrangements for regulatory functions</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INFORMATION MANAGEMENT - Agreements</b> for records relating to</p>	

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Complaints &amp; Enquiries</i>			
		<p>agreements with other agencies and organisations regarding sharing and access to information.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records relating to the development and review of legislation and regulations relevant to the scheme.</p>	
1.1.0	<b>Complaints &amp; Enquiries</b>	<p>The activity associated with receiving and responding to complaints and enquiries from injured persons, policy holders, insurers, legal representatives or other stakeholders.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Insurer Compliance &amp; Performance Monitoring</b> for records relating to insurer compliance monitoring and enforcement actions taken as a result of complaints and allegations made.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Advice</b> for records relating to requests for and the provision of legal advice on the interpretation of legislation to support enquiry responses.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PERSONNEL - Misconduct</b> for complaints or allegations involving misconduct by staff of the organisation.</p>	
1.1.1		Records relating to the handling of complaints, allegations and enquiries which require investigation and/or a formal detailed response. Includes complaints requiring liaison with and responses from insurers and complaints and enquiries which require interpretation of the organisation's policies and guidelines, and registers of complaints.	Retain minimum of 7 years after action completed, then destroy
1.1.2		Records relating to the handling of complaints, allegations and enquiries which require a standard or routine response. Includes complaints or allegations which are considered vexatious or frivolous.	Retain minimum of 2 years after action completed, then destroy
1.2.0	<b>Insurer Compliance &amp;</b>	The activity associated with proactive or reactive monitoring of insurer or service	

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No	Function/Activity	Description	Disposal Action
<i>Performance Monitoring</i>			
	<b>Performance Monitoring</b>	<p>provider compliance and performance with licence obligations, industry agreements and agreed standards, guidelines, policies and rules. Includes monitoring the solvency and financial performance of insurers.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Data Management</b> for records relating to claims and policy data held in systems managed and controlled by the organisation.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Insurer Licensing</b> for records relating to the application for and management of third party insurer licences.</p> <p>See General Retention and Disposal Authority <i>Administrative records CONTRACTING-OUT</i> for records relating to the engagement of external auditors, investigators or other contractors and consultants.</p>	
1.2.1		<p>Records documenting the handling and management of cases involving compliance breaches or failures by insurers which led to changes in policy, legislation or regulatory guidelines or resulted in significant harm to claimants and/or stakeholders. Includes:</p> <ul style="list-style-type: none"> <li>• copies of complaints, notifications, referrals or reports identifying major compliance breaches</li> <li>• intelligence gathered</li> <li>• results of audits, including auditor working papers and summary reports</li> <li>• results and findings from internal reviews, investigations and/or assessments</li> <li>• liaison and meetings with insurers</li> <li>• notices, warnings and penalties issued</li> <li>• requests for and results of reviews of decisions.</li> <li>• reports on remedial action taken by insurers</li> </ul>	Required as State archives

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Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Insurer Compliance &amp; Performance Monitoring</i>			
		<ul style="list-style-type: none"> <li>• notifications to external regulators.</li> </ul>	
1.2.2		<p>Records documenting the handling and management of cases <b>not</b> involving compliance breaches or failures by insurers which led to changes in policy, legislation or regulatory guidelines or resulted in significant harm to claimants and/or stakeholders. Includes:</p> <ul style="list-style-type: none"> <li>• copies of complaints, notifications, referrals or reports identifying compliance breaches</li> <li>• intelligence gathered</li> <li>• results of audits, including auditor working papers and summary reports</li> <li>• results and findings from internal reviews, investigations and/or assessments</li> <li>• liaison and meetings with insurers</li> <li>• notices, warnings and/or penalties issued</li> <li>• requests for and results of reviews of decisions.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.2.3		<p>Records relating to ongoing monitoring of insurer compliance and performance in accordance with agreed standards, practices and licence obligations where compliance breaches were not identified and practices met standards. Includes (but not limited to):</p> <ul style="list-style-type: none"> <li>• copies of insurer business plans, strategies and management accounts</li> <li>• reports and returns received from insurers, such as actuarial (claims) reports, financial returns, audited certification of reported premiums etc.</li> <li>• insurer self-assessment compliance reports</li> <li>• complaint registers or reports</li> <li>• premium filings</li> </ul>	Retain minimum of 7 years after action completed, then destroy

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<i>MOTOR ACCIDENTS INSURANCE REGULATION - Insurer Compliance &amp; Performance Monitoring</i>			
		<ul style="list-style-type: none"> <li>• levy returns and remittance advices</li> <li>• liaison and meetings with insurers</li> <li>• insurer advice and notifications (e.g. change of details, status, circumstances, system-wide issues and unusual complaints etc.)</li> <li>• results and findings from routine compliance audits, reviews and investigations, including audits of levy collection and remittance.</li> </ul> <p>Also includes:</p> <ul style="list-style-type: none"> <li>• reports prepared in relation to financial performance and insurer ability to meet potential claims</li> <li>• liaison with and intelligence gathered from external bodies and regulators relating to insurer solvency matters.</li> </ul>	
1.2.4		Records relating to the processing of applications received from insurers seeking prior approval to request suspension of vehicle registrations.	Retain minimum of 7 years after action completed, then destroy
1.2.5		Records relating to the disclosure and monitoring of costs recoverable by service providers (e.g. legal professionals) in association with injury claims. Includes: <ul style="list-style-type: none"> <li>• requests for costs recovered</li> <li>• cost breakdowns received</li> <li>• liaison with providers, as required.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.3.0	<b>Data Management</b>	Records relating to the management of datasets held by the organisation. See General Retention and Disposal Authority <i>Administrative records</i> <b>INFORMATION MANAGEMENT</b> for records relating to the acquisition of data from external parties and/or agreements and arrangements relating to the provision of access to datasets by or from external parties.	

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<i>MOTOR ACCIDENTS INSURANCE REGULATION - Data Management</i>			
		See General Retention and Disposal Authority <i>Administrative records</i> <b>TECHNOLOGY &amp; TELECOMMUNICATIONS</b> for records relating to the design, development, testing, implementation and maintenance of databases used to store data.	
1.3.1		Summary datasets held in registers and databases maintained and controlled by the organisation such as data relating to claims, insurance policies, injury, hospital and crash data, etc.	Retain until no longer required for monitoring, information exchange or reporting purposes, then destroy
1.4.0	<b>Dispute Resolution</b>	<p>The activity of assessing and resolving disputes about claims and treatment and care.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Policies, Procedures &amp; Guidelines</b> for records relating to policies, procedures and guidelines in relation to the resolution of disputes or the appointment of assessors, including fee schedules required to be followed by assessors.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PERSONNEL - Employee service history</b> for records relating to the relating to the recruitment, appointment and ongoing management of medical, health or legal professionals to assist with the resolution of disputes</p>	
1.4.1		<p>Records relating to the assessment and handling of individual dispute cases relating to claims or medical assessment matters. Includes:</p> <ul style="list-style-type: none"> <li>• dispute forms and supporting documentation</li> <li>• records of teleconferences, assessment hearings and/or medical assessments</li> <li>• liaison and correspondence with applicants</li> </ul>	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Education &amp; Training</i>			
		<ul style="list-style-type: none"> <li>decisions, reasons for decisions and records summarising assessment cases, such as registers and indexes.</li> </ul>	
1.5.0	<b>Education &amp; Training</b>	<p>The activity associated with managing the planning, preparation and delivery of education and training for external stakeholders.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Funding Programs</b> for records relating to the provision of funding to support the development and implementation of training programs and initiatives by external parties.</p> <p>See General Retention and Disposal Authority <i>Administrative records CONTRACTING-OUT</i> for records relating to the engagement of external providers to provider training on a contractual basis.</p>	
1.5.1		<p>Final versions of materials used to support the development and delivery of training, such as final versions of:</p> <ul style="list-style-type: none"> <li>training plans and strategies</li> <li>session outlines/plans</li> <li>presentations</li> <li>training and participant workbooks and handouts.</li> </ul> <p><b>Note:</b> For final versions of training materials where updates are only minor in nature (e.g. updated graphics, fonts, references, minor content amendments not reflective of changes in requirements or approaches), see entry 1.2.2.</p>	Retain minimum of 7 years after action completed, then destroy
1.5.2		<p>Records relating to the development materials used to support the development and delivery of training as well as routine arrangements for training delivering. Includes:</p> <ul style="list-style-type: none"> <li>drafts released for review</li> <li>results of review comments and feedback</li> <li>minutes and notes of meetings</li> </ul>	Retain minimum of 2 years after action completed, then destroy



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<i>MOTOR ACCIDENTS INSURANCE REGULATION - Education &amp; Training</i>			
		<ul style="list-style-type: none"> <li>• training calendars</li> <li>• registrations, attendance confirmations, lists and cancellation notices</li> <li>• completed evaluation forms.</li> </ul> <p>Also includes final versions of training and support materials where updates are minor in nature (e.g. updated graphics, fonts, references, minor content amendments not reflective of changes in requirements or approaches).</p>	
1.5.3		<p>Routine support records facilitating the delivery of training such as</p> <ul style="list-style-type: none"> <li>• training notices</li> <li>• venue, facility and catering arrangements</li> <li>• presenter bookings and arrangements.</li> </ul>	Retain until administrative or reference use ceases, then destroy
1.6.0	<b>Fund Management</b>	<p>The activity associated with managing scheme funds, including determining levy rates, analysing and reporting on financial performance and managing fund investments.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Insurer Compliance &amp; Performance Monitoring</b> for records relating to levy returns and remittances from insurances as well as annual audits of levy collection and remittances.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Nominal Defendant Claims</b> for records relating to receipt and handling of nominal defendant claims.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>CONTRACTING-OUT</b> for records relating to the engagement of external actuaries, fund managers, financial advisers or consultants.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>FINANCIAL MANAGEMENT - Accounting</b> for records relating to financial transactions associated with the payment of levies to the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>FINANCIAL MANAGEMENT</b> for records relating to the management of the organisation's</p>	

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<i>MOTOR ACCIDENTS INSURANCE REGULATION - Fund Management</i>			
		operational fund.	
1.6.1		Reports relating to the performance, viability and sufficiency of scheme funds. Includes reports of actuarial assessments and reviews of funds to calculate costs and identify future financial risks.	Required as State archives
1.6.2		Records relating to the management of scheme funds and investment activities, includes: <ul style="list-style-type: none"> <li>• reports and returns for monies recovered or received into and paid out of the fund</li> <li>• records relating to the investment of funds and associated investment portfolios, including investment strategies, options, reports and statements</li> <li>• reports and results of fund performance</li> <li>• meetings and liaison with appointed actuaries, fund managers and financial advisers</li> <li>• calculations, estimates, forecasts, decisions for levy rates.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.7.0	<b>Funding Programs, Financial Support &amp; Assistance</b>	The activity associated with providing financial support and assistance through funding or grants to external bodies and/or individuals for the development and/or implementation of programs, projects, research or other activities which aim to improve service delivery and outcomes for people with severe injuries.  See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Research</b> for records relating to final reports, studies and findings of research carried out, commissioned or funded by the organisation.  See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Scheme Strategy, Performance Monitoring &amp; Review</b> for strategies and plans which establish the organisation's funding program agenda, priorities and actions.	
1.7.1		Final reports, papers, briefings or summaries of the outcomes of programs or	Required as State

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<i>MOTOR ACCIDENTS INSURANCE REGULATION - Funding Programs, Financial Support &amp; Assistance</i>			
		findings from research funded by the organisation.	archives
1.7.2		Records relating to successful applications and/or proposals for the provision of grants and funds for programs, projects, research or other activities. Includes: <ul style="list-style-type: none"> <li>• applications and proposals</li> <li>• business cases</li> <li>• major draft and final funding agreements</li> <li>• consultations and liaison with recipients</li> <li>• interim progress reports and financial statements</li> <li>• final project reports including acquittal reports.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.7.3		Records relating to the unsuccessful applications and/or proposals for the provision of grants and funds for programs, projects, research or other activities. Includes: <ul style="list-style-type: none"> <li>• applications and proposals</li> <li>• business cases</li> <li>• liaison with applicants.</li> </ul>	Retain minimum of 2 years after action completed, then destroy
1.7.4		Records relating to the development of funding or financial assistance program reports, papers, briefings or summaries.	Retain minimum of 2 years after action completed, then destroy
1.8.0	<b>Information &amp; Communication</b>	The activity associated with managing external broadcast communications for the purposes of keeping stakeholders updated and informed of matters and activities relevant to the scheme.  See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Media relations</b> for records relating to media releases.	

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Information &amp; Communication</i>			
1.8.1		Final versions of reports, advice, newsletters or other updates provided to stakeholders which notify and inform of changes to scheme legislation, regulations or requirements and/or which provide a summary of scheme performance, outcomes, events or other activities. Includes scheme updates on reforms and enhancements and newsletters prepared and disseminated for external stakeholders.	Required as State archives
1.8.2		Information, advice and updates provided to stakeholders which do not provide notification of changes to scheme legislation, regulations or requirements and/or which do not provide a summary of scheme performance, outcomes, events of other activities. Includes scheme information sheets, brochures, flyers, frequently asked questions and routine explanatory information, advice and updates posted to websites etc.	Retain minimum of 7 years after action completed, then destroy
1.8.3		Records relating to the development of reports, advice, newsletters or updates provided to stakeholders, including drafts distributed for internal review and approval.	Retain minimum of 2 years after action completed, then destroy
1.9.0	<b>Insurer Licensing</b>	The activity associated with licensing insurers to sell compulsory third party insurance and handle associated claims.  See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Insurer Compliance &amp; Performance Monitoring</b> for records relating to reviewing and monitoring insurer compliance and performance in accordance with licence obligations.	
1.9.1		Records relating to applications to be licensed as a third party insurer which are <b>granted</b> . Includes: <ul style="list-style-type: none"> <li>• applications and supporting documentation</li> <li>• results and findings from internal assessments</li> <li>• meetings and liaison with applicants</li> </ul>	Retain minimum of 80 years after licensee is deregistered, then destroy

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Insurer Licensing</i>			
		<ul style="list-style-type: none"> <li>• advice and notifications of application determination, including notifications to external bodies</li> <li>• approvals for the assignment of licences to other insurers</li> <li>• signed industry deeds, agreements and business rules relating to agreed conditions of operation.</li> </ul>	
1.9.2		Records relating to <b>refused</b> applications to be licensed as a third party insurer. Includes: <ul style="list-style-type: none"> <li>• applications and supporting documentation</li> <li>• results and findings from internal assessments</li> <li>• meetings and liaison with applicants</li> <li>• advice and notifications of application determination.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.10.0	<b>Claims</b>	The activity associated with the handling and management of claims under insurance schemes.  See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Data Management</b> for records relating to summary claim data held in systems maintained and controlled by the organisation.  See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Fund Management</b> for records relating to the establishment and management of insurance or compensation scheme funds for the payment of claims.	
1.10.1		Records relating to the establishment, negotiation and review of agreements with insurers for the handling and management of nominal defendant claims.	Retain minimum of 12 years after expiry or termination of agreement, then destroy

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Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Claims</i>			
1.10.2		<p>Records relating to handling and management of nominal defendant scheme claims. Includes:</p> <ul style="list-style-type: none"> <li>• claim forms</li> <li>• records relating to initial claims assessments</li> <li>• records documenting allocation of claims to licensed insurers</li> <li>• liaison and correspondence with insurers including notifications of conflicts of interest</li> <li>• reports from insurers.</li> </ul>	<p>Retain minimum of 70 years after date of birth or minimum of 20 years after action completed, whichever is longer, then destroy</p>
1.10.3		<p>Records relating to receipt of claims which are rejected and/or not proceeded with. Includes:</p> <ul style="list-style-type: none"> <li>• claim forms</li> <li>• records relating to initial claims assessments</li> <li>• notifications and advice regarding claim assessment outcomes, including reasons for decisions.</li> </ul>	<p>Retain minimum of 7 years after action completed, then destroy</p>
1.11.0	<b>Policies, Procedures &amp; Guidelines</b>	<p>The activity associated with the development and review of policies, procedures and guidelines.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records relating to the review and development of legislation administered by the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PUBLICATION - Production</b> for records relating to the development of forms.</p>	
1.11.1		<p>Records documenting the development and review of statutory policies, procedures and guidelines issued in accordance with legislative requirements. Includes:</p> <ul style="list-style-type: none"> <li>• major drafts released for stakeholder consultation</li> </ul>	<p>Required as State archives</p>

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Policies, Procedures &amp; Guidelines</i>			
		<ul style="list-style-type: none"> <li>• summaries of consultation and feedback</li> <li>• minutes, agenda and reports from meetings and working groups</li> <li>• supporting research findings and technical reports</li> <li>• final versions.</li> </ul>	
1.11.2		Final versions of all other policies, procedures and guidelines which are not issued as statutory documents in accordance with legislative requirements. Includes associated checklists for procedures and guidelines, and final versions of forms developed for use by insurers, health or legal professionals, or injured persons.	Retain minimum of 7 years after action completed, then destroy
1.11.3		Records documenting the development of policies, procedures and guidelines which are not issued as statutory documents in accordance with legislative requirements. Includes: <ul style="list-style-type: none"> <li>• drafts released for stakeholder consultation</li> <li>• summaries of consultation feedback</li> <li>• minutes and agenda of meetings</li> <li>• supporting research findings and reports.</li> </ul>	Retain minimum of 2 years after action completed, then destroy
1.12.0	<b>Programs &amp; Initiatives</b>	<p>The activity associated with establishing and implementing programs and initiatives to improve or advance the delivery of care and treatment services to people affected by injury or illness or to minimise or better prevent the occurrence of injury or harm.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Education &amp; Training</b> for records relating to the development and delivery of training programs relating to injury prevention and management.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Funding Programs, Financial Support &amp; Assistance</b> for records relating to the provision of grants or funds for the ongoing implementation and administration of programs and initiatives by external parties once in place, including business cases to extend</p>	

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Programs &amp; Initiatives</i>			
		<p>funding.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Funding Programs, Financial Support &amp; Assistance</b> for records relating to the awarding of grants or provision of funding for the development and implementation of programs and initiatives by external organisations and individuals.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Scheme Strategy, Performance Monitoring &amp; Review</b> for records relating to the high-level management and monitoring of programs and projects across the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records TENDERING</i> for records relating to formal tendering processes associated with the development and implementation of programs and initiatives.</p>	
1.12.1		<p>Records relating to the establishment, development and/or management of programs, projects, initiatives to meet or better the care and support needs of people affected by injury or illness or to minimise or prevent the occurrence/incidence of injury or harm. Includes:</p> <ul style="list-style-type: none"> <li>• major draft and final versions of proposals and business cases</li> <li>• major draft and final versions of strategies, plans and models</li> <li>• results and summaries of consultations and meetings with stakeholders</li> <li>• progress reports and final program reports</li> <li>• final versions of post implementation review and/or evaluation reports.</li> </ul>	Retain minimum of 7 years after action completed, then destroy
1.12.2		<p>Routine administrative and operational records supporting the establishment, development and implementation of programs and initiatives, including:</p> <ul style="list-style-type: none"> <li>• arrangements for meetings and consultations</li> <li>• routine reports and updates.</li> </ul>	Retain minimum of 2 years after action completed, then destroy
1.13.0	<b>Research</b>	The activity associated with carrying out or commissioning research.	



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<i>MOTOR ACCIDENTS INSURANCE REGULATION - Research</i>			
		<p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Funding Programs, Financial Assistance &amp; Support</b> for records relating to research reports funded by the organisation, research grant and/or funding applications and proposals, liaison with funding recipients, progress and acquittal reports, etc.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Scheme Strategy, Performance Monitoring &amp; Review</b> for strategies and plans which establish the organisation's research agenda, priorities and actions.</p> <p>See the relevant function-activity for research carried out to support a more specific process. For example, see MOTOR ACCIDENTS INSURANCE REGULATION – Policies, Procedures &amp; Guidelines for research carried out as part of developing of reviewing policies, procedures or guidelines, or MOTOR ACCIDENTS INSURANCE REGULATION – Scheme Establishment for research carried out to inform the establishment of schemes</p>	
1.13.1		Final reports, papers, etc., documenting the findings of research projects or studies carried out, commissioned or funded by the organisation.	Required as State archives
1.13.2		<p>Records relating to the conduct of research projects or studies carried out or commissioned by the organisation. Includes:</p> <ul style="list-style-type: none"> <li>• survey templates and completed surveys</li> <li>• statistical models</li> <li>• data sets used to support research</li> <li>• drafts reports distributed for review</li> <li>• results and summaries of stakeholder comments and feedback.</li> </ul> <p>Also includes discontinued research.</p>	Retain minimum of 7 years after action completed, then destroy
1.14.0	<b>Scheme Establishment</b>	<p>The activity associated with establishing and implementing schemes.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Policies, Procedures &amp; Guidelines</b> for records relating to the development and review of policies,</p>	

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Scheme Establishment</i>			
		<p>procedures and guidelines which provide the framework for scheme operations and activities.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Scheme Strategy, Performance Monitoring &amp; Review</b> for records associated with ongoing planning, monitoring and reviewing of the performance and operations of schemes.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Research</b> for final versions of formal research reports or studies carried out or commissioned by the organisation which inform the high-level framework and operation of schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to formal committees and working parties set up to establish, implement and review schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS</b> for records relating to the provision of advice and reports to the Minister as to the administration, efficiency and effectiveness of schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Submissions</b> for records relating to submissions to Cabinet or other government agencies regarding proposals to establish, implement and review schemes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Advice</b> for records relating to the provision of legal advice regarding the interpretation of legislation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records relating to the development, implementation and review of legislation and regulations.</p>	
1.14.1		<p>Records documenting the operational establishment and implementation of schemes, including:</p> <ul style="list-style-type: none"> <li>• background research and reviews carried out to determine and establish</li> </ul>	Retain minimum of 15 years after action completed,

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Scheme Strategy, Performance Monitoring &amp; Review</i>			
		<p>approaches, practices and systems required to implement and administer schemes</p> <ul style="list-style-type: none"> <li>• service delivery models and injury costings</li> <li>• liaison and minutes of meetings and consultations with professionals and industry stakeholders</li> <li>• implementation progress reports.</li> </ul> <p>Note: See Research, for final versions of formal research reports or studies carried out or commissioned by the organisation which inform the high-level framework and operation of schemes.</p>	then destroy
1.15.0	<b>Scheme Strategy, Performance Monitoring &amp; Review</b>	<p>The activity associated with planning, monitoring and reviewing the performance and operations of schemes.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Policies, Procedures &amp; Guidelines</b> for records relating to the development and review of scheme policies, procedures and guidelines for the purposes of improving and enhancing scheme performance.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to formal committees and working parties set up to monitor and review the scheme.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Advice</b> for records relating to the provision of advice and reports to the Minister as to the administration, efficiency and effectiveness of the scheme.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Submissions</b> for records relating to proposals for projects or programs to reform a scheme.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records relating to the review and development of legislation and regulations, including proposed reforms to improve and enhance</p>	

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Scheme Strategy, Performance Monitoring &amp; Review</i>			
		<p>the scheme and associated consultation with stakeholders.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Planning</b> for records relating to the development of business plans applying to the organisation as a whole as well as business plans for individual business units/sections of the organisation.</p>	
1.15.1		<p>Records documenting the development of strategies, plans and reports which determine the future direction of a scheme, provide a high-level summary of the health, viability, efficiency, effectiveness or performance of a scheme, or which address or respond to specific issues which result in (or have the potential to result in) significant changes to scheme policies, procedures, guidelines or programs. Includes:</p> <ul style="list-style-type: none"> <li>• terms of reference</li> <li>• issues papers</li> <li>• major drafts distributed for review</li> <li>• summaries of stakeholder consultations</li> <li>• reports and findings from supporting research</li> <li>• final versions.</li> </ul>	Required as State archives
1.15.2		Plans, reports and commentary relating to general performance or operations of schemes.	Retain minimum of 7 years after action completed, then destroy
1.15.3		<p>Records relating to the administration, tracking, monitoring and management of programs and projects to ensure they are on time, on budget and in accordance with business requirements and processes. Includes program and project:</p> <ul style="list-style-type: none"> <li>• scoping documents</li> </ul>	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Scheme Strategy, Performance Monitoring &amp; Review</i>			
		<ul style="list-style-type: none"> <li>• approvals</li> <li>• plans or charters</li> <li>• schedules</li> <li>• budget monitoring and management records</li> <li>• progress reports and status updates</li> <li>• minutes and notes of operational meetings</li> <li>• change requests</li> <li>• close out and evaluation reports.</li> </ul> <p>Includes proposals and concepts for programs and projects which are not proceeded with.</p>	
1.15.4		Routine statistics and reports generated for internal information and update only, such as weekly, monthly or quarterly statistical updates.	Retain minimum of 2 years after action completed, then destroy
1.16.0	<b>Stakeholder Liaison</b>	<p>The activity associated with liaising with associations, industry bodies, community and representative groups, service providers and professionals in related fields. Includes sharing informal advice and discussions, including in the form of forums and meetings with stakeholder groups.</p> <p>See <b>MOTOR ACCIDENTS INSURANCE REGULATION - Information &amp; Communication</b> for records relating to broadcast information and communications with all stakeholders.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to committees and similar advisory groups established to facilitate or for the purposes of stakeholder consultation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Legislation</b> for records documenting the outcomes of</p>	

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No	Function/Activity	Description	Disposal Action
<i>MOTOR ACCIDENTS INSURANCE REGULATION - Stakeholder Liaison</i>			
		<p>consultation on development, implementation or review of legislation and regulations impacting on schemes.</p> <p>See <b>relevant activity</b> for consultation with industry on specific issues. For example, see Policies, Procedures &amp; Guidelines for consultation with industry bodies and associations as part of reviewing and developing policies, procedures and guidelines; Programs &amp; Initiatives for records relating to liaison with stakeholders in relation to the establishment of specific programs and initiatives; and Funding Programs, Financial Assistance &amp; Support for liaison with funding applicants and recipients in relation to a proposed or funded program.</p>	
1.16.1		Records relating to liaison with stakeholder groups and individuals for the purposes of routine information sharing concerning scheme initiatives, projects or programs and/or the operation and performance of schemes. Includes regular forums and meetings with stakeholder groups.	Retain minimum of 5 years after action completed, then destroy