ACC Claim Records Retention and Disposal Schedule

Disposal Authority Number:		Authorising Agency:	Accident Compensation Corporation
Schedule Reference:		Agency Coverage:	Organisation-wide
This Authority Expires In:		Scope:	Claim Records - Physical and Electronc

No.	Record Class	Subclass	Description	Example	Agency Minimum Retention Period	Disposal Action
1.0	**Claim Registration -** That part of claims processing activity that involves lodging injury claims into the claims management system.					
1.1		Injury Claim Form	ACC Injury Claim Forms (ACC45, ACC42, ACC21) that are completed and submitted electronically and trigger the claims process. The information is converted to pdf and held as part of the virtual claim file They contain routine details about a particular claim.		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
1.2		Claim lodgement	Information manually inputted electronically into Eos where the source is hardcopy. (ACC45, ACC42, ACC21). They contain routine details about a particular claim.		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
1.3		Injury Claim Forms - Hardcopy Only (pre-VCF)	ACC Injury Claim Forms that are completed and submitted in in hardcopy form and triggers the claims process. They contain routine details about a particular claim. Often batch filed once electronic capture is completed. The details of the form are inputted into the Claims Management System.	ACC45, ACC42, ACC21	10 years from date of lodgement	Destroy (unless legal requirement to keep for evidential purposes)
2.0	**Claim Processing** - All activities associated with processing an injury claim, processing payments, scanning documents into the claims management system, and registering providers and vendors.					
2.1		Claims Assessment	Records, documents and information, electronically captured , related to, and generated from, assessing a claim and streaming to determine cover. Includes declined claims.		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
2.2		Processing Transactions and Entitlements (Electronic)	Records, documents and information, electronic, related to, and generated from, processing weekly compensation, independence allowance, client reimbursements, invoices, purchase orders.		30 years from date of last action	Destroy
2.3		Provider and Vendor Registration (Electronic)	Records, documents and information, electronic and hardcopy related to the administration of a health provider and/or vendor registration application.	ACC111, ACC84, ACC86, Vendor letter, etc.	Keep for the registered life of the Provider or Vendor + 7 years.	Destroy
2.4		Managing invoice queries	Records, documents and information related to internal queries re: provider and vendor invoices.		Keep until query resolved and no longer required for business purposes.	Destroy

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Destroy = destruction to be carried out in a secure manner

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2.5		Prior approvals for additional treatment (ACC32)	Records, documents and information, electronic and hardcopy, related to, and generated from, processing Prior approvals for additional treatment (ACC32)		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
2.6		Claims Processing hardcopy documents (pre-VCF)	Records, documents and information in hardcopy format received as part of processing claims, and captured electronically for long term retention.		10 years from date information is captured electronically	Destroy
3.0	**Medical Fees** - That part of the claims processing activity that involves processing Medical Fees payments.					
3.1		Electronic	Records, documents and information captured electronically as part of processing medical fees.		30 years from date of last action	Destroy
3.2		Hardcopy only (pre-VCF)	Records, documents and information in hardcopy format received as part of processing medical fees and captured electronically for long term retention.		10 years from date of payment	Destroy
4.0	**Contact Centre managed Claims** - Claims identified as low risk and/or of low complexity					
4.1		Electronic	Electronic information held for claims identified as low risk, or having low complexity.		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
4.2		Hardcopy (pre-VCF)	Hardcopy documents relating to low risk and/or low complexity claims that have not been scanned into VCF.		10 years after the date of the latest action the Corporation has recorded on the claim	Destroy
5.0	**Virtual Claim Folder (VCF) documents** - Records and documents relating to the capture of inbound and outbound documents about claims and clients captured by scanning paper documents, and or saving digital files into the Virtual Claim Folder System.					
5.1		Final Version	Scanned and born digital records.		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
5.2		Drafts	Preparation of preliminary drafts or outlines of born digital claim documentation developed from templates in the Claims Management System etc. prior to production of the final work.	Correspondence, ACC forms and letters, etc.	Until no longer required for administrative or business purposes	Destroy
5.3		Digitised Original Source Documents	The claim documentation ACC receives in hardcopy format that is scanned in the Hamilton and Dunedin Scanning Centres and held as a digital image in ACC systems. The hardcopy is batch filed and kept in offsite storage.		6 months from date scanned	Destroy (unless legal requirement to keep for evidential purposes)

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5.4		Legal documents (Hardcopy)	Claim documentation ACC receives in hardcopy format that is scanned and held as a digital image, but where the hardcopy format must be retained as per Part 3 of the Electronic Transactions Act 2002.	Information that is required to be given in writing either in person or by registered post: -affidavits, statutory declarations, or other documents given on oath or affirmation: -powers of attorney or enduring powers of attorney: -wills, codicils, or other testamentary instruments: -negotiable instruments	Keep until no longer administratively required for business, legal, or reference purposes	Destroy
6.0	**Claim Files** - Records relating to claims that have a higher level of complexity or higher risk, and require entitlement and/or rehabilitation, income maintenance, support for independence, etc.					
6.1		Declined Claims (Electronic)	Claim files that are declined for cover.		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
6.2		Staff Claims (Electronic)	Claims that are managed for ACC staff members.		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
6.3		Managed at Branch Level (Electronic)	Claim records that document routine information relating to long term, high injury claims, managed at Branch level requiring rehabilitation and / or entitlement, but no further specialist treatment.		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
6.4		Managed by Specialist Units or Teams (Electronic)	Claim records that document routine information relating to long term, high injury claims, managed by Specialist Units and teams	Dental Claims including Dental Prior Approvals, Hearing Loss Claims, Risky Clients, Othotics, Lump Sum Compensation.	75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
6.5		Claim Files (Hardcopy)	Claim files held in physical format. Includes Declined Claims, Staff Claims, Branch Managed Claims, Accidental Death, and Claims managed by Specialist Units or Teams.		20 years after the date of the latest action the Corporation has recorded on the claim	Destroy
6.6		ACC claim information managed by external organisations (Physical and Electronic)	Records created and held in hardcopy files or electronic systems managed by Accredited Employers, Health Providers, Third Party Administrators, or other organisations that have an agreement with ACC to manage claims or aspects of a claim on ACC's behalf.		10 years after the date of the last action	Destroy
7.0	**Inquiry Service Centre Records**					

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7.1		Call Centre Management (Electronic and Hardcopy)	Records relating to the rostering of staff, resourcing, management of phone systems, that enable a call centre to operate. Does not include staff performance management. See Corporate RDS: GDA: Human Resources.	Rosters, processes, procedures, call waiting messages, etc.	Until superseded	Destroy
7.2		Recordings of calls (Routine)	Used for training purposes only. Claim related information resulting from the call is captured electronically as part of the claim.		Until administratively no longer required for business purposes	Destroy
8.0	**System Metadata (Claims-related)** - This class of records relates to the metadata captured in Eos, VCF, and MFP.					
8.1		Claims and VCF Metadata	Metadata associated with the management of claims and the virtual claim folder.		75 years after the date of the latest action the Corporation has recorded on the claim	Destroy
8.2		MFP Metadata	Metadata associated with processing claims in the MFP system.		Keep for 30 years after date of lodgement	Destroy
8.3		Metadata Model and Schema	Tools used to apply metadata structure to claim information and information systems that manage this information.		Keep for the life of the system + 2 years.	Destroy
9.0	**Managing Client Issues** - That part of the Claims Process that manages any issues with ACC Clients. Includes both electronic and hardcopy formats.					
9.1		Mediation and Dispute Resolution	Records relating to the management of resolving an issue or managing a relationship problem between ACC and an ACC client.		20 years after date of decision letter	Destroy
9.2		Claim Reviews - Review file	Records relating to the investigation of a review of a claim decision requested by a client of a decision made by ACC about a claim. Includes a copy of the final decision. Note:		20 years after date of decision letter	Destroy
10.0	**Registers and Indexes - Claim or Client related -** Includes Electronic and Hardcopy formats.					
10.1		Finding Aids	Establish physical, administrative and intellectual control over claim records (both paper-based and electronic) and other informational holdings and facilitate the management and retrieval of claim.	Registers, Correspondence Registers, Catalogues, Archiving lists, Electronic indexing, etc.	Keep for the life of the system + 2 years.	Destroy

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