



Appraisal Report for Accident Compensation Corporation Claim Information Retention and Disposal Schedule

January 2011

Table of Contents

1	EXECUTIVE SUMMARY	3
2	APPRAISAL CIRCUMSTANCES	3
2.1	PREVIOUS DISPOSAL AUTHORITIES.....	3
2.2	SCANNING OF ACC’S CLAIM INFORMATION	4
2.3	SCOPE OF THE RETENTION AND DISPOSAL SCHEDULE	4
3	RECORDKEEPING INFORMATION	4
3.1	ABOUT ACC CLAIM RECORDS	4
3.2	COMPOSITION	5
3.3	VALUE	5
4	AGENCY INFORMATION	5
5	METHODOLOGY	6
6	RELEVANT PRECEDENT	7
7	DISPOSAL CRITERIA	7
8	DESCRIPTION OF CLASSES	7
8.1	CLASS 1 CLAIM REGISTRATION	7
8.2	CLASS 2 CLAIM PROCESSING	9
8.3	CLASS 3 MEDICAL FEES.....	10
8.4	CLASS 4 CONTACT CENTRE MANAGED CLAIMS	11
8.5	CLASS 5 VIRTUAL CLAIM FOLDER (VCF) DOCUMENTS.....	12
8.6	CLASS 6.1 CLAIM FILES – DECLINED CLAIMS	13
8.7	CLASS 6.2 STAFF CLAIMS	13
8.8	CLASS 6.3 CLAIM FILES – MANAGED AT BRANCH LEVEL.....	14
8.9	CLASS 6.4 CLAIM FILES – MANAGED BY SPECIALIST UNITS AND TEAMS	14
8.10	CLASS 6.5 CLAIM FILES – HARDCOPY	15
8.11	CLASS 6.6 ACC CLAIM INFORMATION MANAGED BY EXTERNAL ORGANISATIONS (PHYSICAL AND ELECTRONIC)	16
8.12	CLASS 7 INQUIRY SERVICE CENTRE RECORDS.....	17
8.13	CLASS 8 SYSTEM METADATA (CLAIMS-RELATED)	17
8.14	CLASS 9 MANAGING CLIENT ISSUES	18
8.15	CLASS 10 REGISTERS AND INDEXES	20
9	ACCESS RECOMMENDATIONS	20
10	DISCHARGE ARRANGEMENTS	20
11	DEFERRAL OF TRANSFER	20
12	FORMAT AND PRESERVATION	21

Client Name:	Accident Compensation Corporation
Disposal Type	Retention and Disposal Schedule
Agency	National Coverage
Coverage:	
Scope:	All physical and electronic ACC claim records

1 Executive Summary

The Accident Compensation Corporation (ACC) generates large quantities of claim records and information every year in carrying out its legislative functions. This Retention and Disposal Schedule for claim information has been developed to ensure that ACC complies with the Public Records Act 2005 and imposes good management of its claim information over time.

The schedule covers electronic and physical information relating to all aspects of the claims process. This Report and Schedule will supersede the current claims disposal authority, DA229. This includes information captured in ACC's claims management system (Eos), Medical Fees Processing system, Pathway, Virtual Claim Folder (VCF) and any other system that manages claim information.

All of the ACC claim records are considered to be of a routine operational nature and therefore recommended for destruction, but will be retained by ACC for long-term business use as required. Information about the claims process is represented and available in detail via the ACC website and various ACC publications which will supply any detail required long term about how the claims process works in New Zealand.

	Electronic	Physical	
<i>Quantity recommended for <u>retention as public archives</u>:</i>	0 gb	0 lm	(0%)
<i>Quantity recommended for <u>destruction</u>:</i>	775 gb	53,099 lm	(100%)
<i>Estimated amount added per year:</i>	53 gb	7,672 lm	

2 Appraisal Circumstances

2.1 Previous Disposal Authorities

An ad-hoc, class-based appraisal was prepared for ACC by [Name removed] (DA74). No date is given on the document. The appraisal covered Claim Files, M45 Registration files, and Medical Fees. This was approved in July 2003 and subsequently implemented in March 2004.

The current Retention and Disposal Schedule for ACC Physical Claim Records (DA229) became a legal authority in August 2006 and expires on 22/08/2016. The development of this disposal was a key initiative in the ACC the Records Management Strategy 2005, and remains a key priority.

The current Schedule has come under review due to the following factors:

- The schedule does not take into consideration recent changes to the management of claims in ACC.
- The schedule is limited in scope – physical files only. A schedule that does not cover electronic information poses a significant compliance risk and business risk to ACC.

- There are difficulties implementing the schedule. Defining life of the client to generate a list of physical files for destruction is not a straight forward process.
- No real cost benefits for physical files as savings are generated by destroying the box, not a single file.
- Keeping files for the life of the client poses risks for the storage and maintenance of files in offsite storage, and claim information electronically held in tape media.
- Maintaining accessibility to information over such a long period of time will incur significant costs in retrieval as changes in systems, technology, and service providers increase potential for the information to become “lost”.

2.2 Scanning of ACC’s Claim Information

Since 2004-2005, ACC has introduced the back-end scanning of any physical claim documentation received. An audit of the scanning process and system was conducted using Archives NZ Digitisation Standard, and the Certificate of Compliance signed off in December 2010. Any disposal of original source documents and records will be covered by the GDA 5: General Disposal Authority Digitised Original Source Records. This RDS covers those documents and records scanned prior to certification.

2.3 Scope of the Retention and Disposal Schedule

The scope of the Retention and Disposal Schedule includes:

1. Electronic claim information
2. Virtual Claim related information pre-sign off of the Certificate of Compliance for the Digitisation Standard
3. Information generated from all areas of the claim process
4. Claim metadata
5. Physical claim files.

3 Recordkeeping Information

3.1 About ACC Claim Records

In 2009, ACC received 1.75 million new claims. A claim is triggered when an Injury Claim Form (ACC45) or Dental Injury Claim Form (ACC42) is submitted to ACC. A claim form can be submitted either electronically or in hardcopy.

Each of the claims is lodged at a Service Centre based either in Te Rapa (for claims north of the middle of the North Island) or in Dunedin (for claims south of the middle of the North Island).

Between 80% and 90% of claims are either approved or declined at this point and closed. These claims are considered to be of little or no risk to ACC and ACC’s liability, and involve only direct payments to medical professionals.

Injuries of a low complexity e.g. fractures, are referred to a Contact Centre, where ACC staff contact the client to ascertain a course of action. 70% to 80% of these claims are resolved and closed during this process.

The remaining claims are considered to be of high complexity, and high risk to ACC liability. They are referred to Branches or Specialist Units for more intensive case management.

At each point ACC's Eos computer system is used to record the status of the claim. Once the claim is completed it is not closed, but moved to an Actioned Cases queue.

For physical files, an archiving list is generated electronically each month of files that are in the Actioned case queue. Administration staff in each office manages the process of transferring records to offsite storage. No archiving process exists for electronic information.

3.2 Composition

Claim files and claim-related information consists of the following:

- Personal information, e.g. contact details, age,
- Medical information – Information relating to client's injury, medical records, treatment provided, rehabilitation, etc.
- Financial information – documents relating to client's income and other financial records where appropriate; payments made to the client, cover entitlements, reimbursements, etc.
- Correspondence and ACC documents – documents ACC require in order to meet legislative requirements, eg. permission to get health information; may include ACC45

3.3 Value

The claim records are routine and operational in nature. Records relating to the policy and processes relating to claims are not covered in this appraisal. ACC has well developed documents available via their website or in other publications that detail how the claim process works. For this reason, the appraisal recommendations do not include any recommendation for sampling, as detail about policy and process is already readily available.

4 Agency Information

<i>Agency code</i>	AADP
<i>Agency name:</i>	Accident Compensation Commission
<i>Year established:</i>	1972
<i>Year dis-established:</i>	1980

<i>Agency code</i>	AACT
<i>Agency name:</i>	Accident Compensation Corporation
<i>Year established:</i>	1981
<i>Year dis-established:</i>	Current

ACC is a Crown Entity charged with the administration of New Zealand's 24-hour, no-fault accident compensation and rehabilitation scheme. It is responsible to a board of directors and ultimately to a Minister of the Crown for the efficient administration of the statutory insurance scheme. New Zealand was the first country to introduce such a scheme.

ACC is responsible for:

- Preventing injury
- Collecting personal injury cover levies

- Determining whether claims for injury are covered by the scheme and providing entitlements to those who are eligible
- Paying compensation
- Buying health and disability support services to treat, care for and rehabilitate injured people
- Advising the government

The accident compensation and rehabilitation scheme provides personal injury cover for all New Zealand citizens, residents and temporary visitors to New Zealand. In return people do not have the right to sue for personal injury, other than for exemplary damages.

The scheme:

- Provides cover for injuries, no matter who is at fault
- Eliminates the slow, costly and wasteful process of using the courts for each injury
- Reduces personal, physical and emotional suffering by providing timely care and rehabilitation that gets people back to work or independence as soon as possible
- Minimises personal financial loss by paying weekly earnings compensation to injured people who are off work and have an entitlement
- Focuses on reducing the causes of these problems – the circumstances that lead to accidents at work, at home, on the road and elsewhere.

The Accident Compensation Act 2001 is the principal Act under which ACC operates.

5 Methodology

For this Retention and Disposal Schedule, the approach employed is a class-based Retention and Disposal Schedule (rather than series or function).

A class-based schedule is not tied to a specific file classification system with specific series and file titles. The schedule could still apply even if the records classification structure was changed. The reason ACC chose to develop a class-based schedule was that records are all of one type i.e. claim records and are arranged by claim number. For convenience of disposal actions and periods, the claim records have been broken into several classes reflecting the different types of claims ACC deals with. This has enabled different retention periods to be applied as appropriate.

A number of claim records were physically examined and consultation was carried out with representatives across business units and locations within the Corporation.

Significant feedback from the Claims Management Group related to the retention of claim files information and the ability to make decisions on a claim where the information has been destroyed, resulting in a cost to the ACC Scheme.

The Legal Team were concerned about the claim liability side of ACC's business, and that the health precedents did not adequately cover that aspect.

As a result of this feedback, there is a long retention period applied to claim information in ACC.

No issues were raised by external organisations.

6 Relevant Precedent

ACC's current Disposal Authority for Claim Records (DA229), as a precedent, illustrates how difficult it was to implement a life of the client retention period, prompting a review of the Schedule.

ACC's Client Files has been aligned with the retention recommendations for patient files authorised in the District Health Board General Disposal Authority (DA262). DHB Patient Files contain similar information to ACC's Client Files, and the value of the records to their respective organisations and stakeholders are comparable.

7 Disposal Criteria

A1	Records providing evidence of the statutory roles, bodies and core functions of ACC.
A2	Records providing evidence and accountability in development of policy, legislation, rules and regulations and the execution of management decisions of ACC.
A3	Records of informational value illustrating ACC's history and / or public, national and cultural events, or research.
A4	Records that provide evidence of the ACC's involvement in wider health sector policy, legislation, rules and regulations development and/or decisions.
A5	Records that provide evidence of the rights and entitlements of individuals.

D1	Routine administrative matters only, including duplicate records or reference material.
D2	Routine operational matters only.
D3	Information summarised, more complete and/or more readily accessible in other records recommended for retention or held elsewhere.
D4	Records that have no ongoing informational value but are generally retained for longer periods than those records that meet the criteria detailed in D1 and D2.

8 Description of Classes

Outlined below are the classes of records covered by this Retention and Disposal Schedule.

8.1 Class 1 Claim Registration

<i>Class Title:</i>	Claim Registration
<i>Class number:</i>	1.0-1.3

<i>Class Description:</i>	<p>Records and documents related to the registration and lodgement of ACC Claims. The types of information in this class include the ACC Injury Claim Forms and the information that is lodged electronically in the Claims Management System, Eos.</p> <p>The forms contain details of the injury, the injured client, and the health provider who provided the treatment required.</p> <p>ACC Injury Claim forms can be completed and submitted in hardcopy, or electronically. Over 80% of claim forms are received electronically. Using the information on the claim forms, the claims are then lodged into Eos.</p> <p>Prior to the introduction of scanning claim documentation, form hardcopies were batch-filed and archived into offsite storage. Since the introduction of scanning, hardcopies are now scanned and held as part of the clients' virtual claim folder (VCF). The hardcopies are batch-filed and sent to offsite storage.</p> <p>Once the information is captured electronically, there is very little need to refer back to a physical copy. As a result, the electronic information will be retained longer than the physical.</p>
<i>Value:</i>	<p>These records contain routine details of the claim to initiate the claims process. While business critical to ACC, they are administrative and operational in nature and have no archival value.</p> <p>Because there is more reliance on the electronic versions, there is a lesser need to hold any physical copies that have been digitised, or captured electronically.</p>

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D4
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.	D4
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.	D2

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.2 Class 2 Claim Processing

<i>Class Title:</i>	Claims Processing
<i>Class number:</i>	2.0 – 2.6
<i>Class Description:</i>	<p>Records, documents and information created during the processing of an injury claim.</p> <p>The activities under this function include:</p> <ul style="list-style-type: none"> • Assessment for cover: • Processing entitlement payments • Scanning hardcopy claim documentation • Managing treatment approvals <p>Although the Claim Processing activities includes Claims Registration and Medical Fees processing, due to the specific nature of these records they are being treated as a separate class.</p> <p>There are a number of documents that facilitate the claims processing activity. These include letters, invoices, purchasing orders, reimbursements, independence allowances, weekly compensation payments, vendor and provider registration forms, etc.</p> <p>The information is captured electronically in the MFP system or scanned and captured in the VCF system. Once the information is captured electronically, there is very little need to refer back to a physical copy.</p> <p>Prior to the introduction of scanning claim documentation, form hardcopies were batch-filed and archived into offsite storage. Since the introduction of scanning, hardcopies are now scanned and held as part of the clients' virtual claim folder (VCF). The hardcopies are batch-filed and sent to offsite storage.</p> <p>Once the information is captured electronically, there is very little need to refer back to a physical copy. As a result, the electronic information will be retained longer than the physical.</p>
<i>Value:</i>	<p>These records support a routine, transactional activity, and therefore, do not have archival value.</p> <p>Because there is more reliance on the electronic versions, there is a lesser need to hold any physical copies that have been digitised, or captured electronically.</p>

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D4
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.	D2 and D4
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.	D2
2.4	Managing invoice queries	Records, documents and information related to internal queries re: provider and vendor invoices.	D2
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)	D4
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.	D2

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.3 Class 3 Medical Fees

<i>Class Title:</i>	Medical Fees
<i>Class number:</i>	3.0 – 3.2
<i>Class Description:</i>	<p>Records, documents and information created during the processing of Medical Fees Payments. Medical Fees Payments are the payments made by ACC to Health Providers who gave treatment for injuries to clients. Most ACC claims result in a Medical Fees payment.</p> <p>The information is captured electronically in the MFP system or scanned and captured in the VCF system. Once the information is captured electronically, there is very little need to refer back to a physical copy.</p> <p>Prior to the introduction of scanning claim documentation, form hardcopies were batch-filed and archived into offsite storage. Since the introduction of scanning, hardcopies are now scanned and held as part of the clients' virtual claim folder (VCF). The hardcopies are batch-filed and sent to offsite storage.</p> <p>Once the information is captured electronically, there is very little need to refer back to a physical copy. As a result, the electronic information will be retained longer than the physical.</p>

<i>Value:</i>	<p>These records support a routine, transactional activity, and therefore, do not have archival value.</p> <p>Because there is more reliance on the electronic versions, there is a lesser need to hold any physical copies that have been digitised, or captured electronically.</p>
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Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D2 and D4
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.	D2

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.4 Class 4 Contact Centre managed claims

<i>Class Title:</i>	Contact Centre managed claims
<i>Class number:</i>	4.0 – 4.2
<i>Class Description:</i>	<p>This class covers records that have been transferred to ACC Contact Centres for management. While these claims deal with more serious injuries, they involve a low degree of complexity in terms of management and rehabilitation.</p> <p>Information relating to these files is primarily captured electronically in Eos. These types of claims generate very little hardcopy, and since the introduction of VCF, all hardcopy documentation is scanned.</p> <p>Once the information is captured electronically, there is very little need to refer back to a physical copy. As a result, the electronic information will be retained longer than the physical.</p>
<i>Value:</i>	<p>These records deal with the operational activity of managing low complexity claims. While business critical, they do not have archival value.</p> <p>Because there is more reliance on the electronic versions, there is a lesser need to hold any physical copies that have been digitised, or captured electronically.</p>

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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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.	D2 and D4
4.2	Hardcopy (pre-VCF)	Hardcopy documents relating to low risk and/or low complexity claims that have not been scanned into VCF.	D2

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.5 Class 5 Virtual Claim Folder (VCF) documents

<i>Class Title:</i>	Virtual Claim Folder (VCF) documents
<i>Class number:</i>	5.0 – 5.4
<i>Class Description:</i>	<p>This class comprises of all the hardcopy claim documentation received by ACC which is scanned and stored as a pdf digital image, prior to the sign-off of the Archives NZ Digitisation Standard Certificate of Compliance.</p> <p>Hardcopy originals, once scanned, are batch filed and sent to offsite storage.</p> <p>It also includes correspondence and other documentation that is born digital, i.e. created using MS Word and other applications. A final version is saved as a pdf and stored in VCF.</p> <p>As part of the conversion process, drafts are created electronically and are deleted after the pdf version is finalised and published.</p> <p>Once a digital version is published, this version becomes the core record upon which claim decisions are made.</p>
<i>Value:</i>	<p>Documents created within VCF are part of the claim file. They hold significant value for ACC's operational activity of managing a claim. But because claims management is operational in nature, they do not hold archival value.</p> <p>Because there is more reliance on the electronic versions, there is a lesser need to hold any physical copies that have been digitised.</p>

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D4
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.	D4

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.	D1
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.	D1

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.6 Class 6.1 Claim Files – Declined Claims

<i>Class Title:</i>	Claim Files – Declined Claims
<i>Class number:</i>	6.1
<i>Class Description:</i>	Files created to manage information relating to injury claims that have been declined for cover.
<i>Value:</i>	Comprises of information relating to an operational activity, and therefore holds no archival value.

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
6.1	Declined Claims (Electronic)	Claim files that are declined for cover.	D2 and D4

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.7 Class 6.2 Staff Claims

<i>Class Title:</i>	Staff Claims
<i>Class number:</i>	6.2
<i>Class Description:</i>	Claim records that document long term, high injury claims, for ACC staff. Information relating to these files is primarily captured electronically in Eos. While information is still received in hardcopy format, since the introduction of VCF, all hardcopy documentation is scanned.
<i>Value:</i>	Staff Claims comprise routine details of a employee's injury, accident, treatment and financial information relating to the claim.

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
6.2	Staff Claims (Electronic)	Claims that are managed for ACC staff members.	D2 and D4

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.8 Class 6.3 Claim Files – Managed at Branch Level

<i>Class Title:</i>	Claim files – Managed at Branch level
<i>Class number:</i>	6.3
<i>Class Description:</i>	Claim records that document long term, high injury claims, managed at Branch level. Information relating to these files is primarily captured electronically in Eos. While information is still received in hardcopy format, since the introduction of VCF, all hardcopy documentation is scanned.
<i>Value:</i>	Claim files managed at Branch level comprise routine details of a client's injury, accident, treatment and financial information relating to the claim.

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D2 and D4

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.9 Class 6.4 Claim files – Managed by Specialist Units and Teams

<i>Class Title:</i>	Claim files – Managed by Specialist Units and Teams
<i>Class number:</i>	6.4

<i>Class Description:</i>	<p>Claim records that document injury claims that deal with specific injury types or clients and are therefore managed by specialist teams. These include:</p> <ul style="list-style-type: none"> • Sensitive Claims • Treatment Injury and Patient Safety Claims • Dental Claims including Dental Prior Approvals • Hearing Loss Claims • Elective Surgery Claims • Risky Clients • Gradual Process • Orthotics • Lump Sum Compensation • Accidental Death. <p>Information relating to these files is primarily captured electronically in Eos. While information is still received in hardcopy format, since the introduction of VCF, all hardcopy documentation is scanned.</p>
<i>Value:</i>	Claims managed by Specialist Units or Teams that comprise routine details of a client's injury, accident, treatment and financial information relating to the claim.

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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	D2 and D4

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.10 Class 6.5 Claim Files – Hardcopy

<i>Class Title:</i>	Claim Files – Hardcopy
<i>Class number:</i>	6.5
<i>Class Description:</i>	Claim files held in physical format only, pre-scanning and electronic formats. Includes Declined Claims, Staff Claims, Branch Managed Claims, Accidental Death, and Claims managed by Specialist Units or Teams.

<i>Value:</i>	Claim files comprise routine details of a client's injury, accident, treatment and financial information relating to the claim.
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Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D2 and D4

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.11 Class 6.6 ACC claim information managed by external organisations (Physical and Electronic)

<i>Class Title:</i>	ACC claim information managed by external organisations (Physical and Electronic)
<i>Class number:</i>	6.6
<i>Class Description:</i>	This class applies to records created 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. These records are held in hardcopy format, or on electronic systems, that are controlled by the external organisation. This class excludes information on claims managed by external organisations, but held in ACC systems.
<i>Value:</i>	Information includes routine details of a client's injury, accident, and treatment, and therefore, recommended for destruction.

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D2

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.12 Class 7 Inquiry Service Centre Records

<i>Class Title:</i>	Inquiry Service Centre Records
<i>Class number:</i>	7.0 – 7.3
<i>Class Description:</i>	<p>The Inquiry Service Centre (ISC) provide inbound call centre services to ACC's clients, providers, employers and other key stakeholders. The ISC is responsible for answering between 18,000 and 22,000 customer inquiries per week.</p> <p>Calls are recorded for training purposes only, except where a security issues is identified. In those cases, a process is initiated to ensure those security-related calls are kept.</p> <p>This class of records includes all call recordings and records relating to the administrative activities that ensures the smooth running of the ISC, e.g. rosters, processes, procedures, etc.</p>
<i>Value:</i>	With the exception of class identified as a security risk, the records in this class are administrative and facilitative and have no archival value.

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
7.0	Inquiry Service Centre Records		
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.	D1
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.	D2

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.13 Class 8 System Metadata (Claims-related)

<i>Class Title:</i>	System Metadata (Claims-related)
<i>Class number:</i>	8.0 – 8.3

<i>Class Description:</i>	<p>Records in this class relate to the metadata held in information systems that manage information relating to a claim. This includes:</p> <ul style="list-style-type: none"> • Eos • Medical Fees Processing • Virtual Claim Folder <p>This class also includes the Metadata Schema and Metadata Model used to control the use of metadata in systems.</p>
<i>Value:</i>	Records in this class are used to facilitate the management and control of information in systems, therefore have administrative value only.

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D4
8.2	MFP Metadata	Metadata associated with processing claims in the MFP system.	D2 and D4
8.3	Metadata Model and Schema	Tools used to apply metadata structure to claim information and information systems that manage this information.	D1

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.14 Class 9 Managing Client Issues

<i>Class Title:</i>	Managing Client Issues
<i>Class number:</i>	9.0 – 9.2

<i>Class Description:</i>	<p>Managing client issues in ACC relates to processes that deal with clients who raise an issue over a claim or the management of the claim by ACC. The records generated by this process includes:</p> <ul style="list-style-type: none"> • Appeals • Client Fraud • Complaints • Mediation and Disputes Resolution • Claim Reviews • Ministerial requests <ul style="list-style-type: none"> • Appeals • Client Fraud • Complaints • Mediation and Disputes Resolution • Claim Reviews • Ministerial requests <p>With the exception of classes 9.4 and 9.6 (mediation and disputes resolution, and claim reviews), records in this class are covered by ACC’s Retention and Disposal Schedule for Corporate Records (DA402).</p> <p>Claim Reviews and Disputes Resolution processes are initiated when clients have an issue with the way their claims are being managed, and would like ACC to review the decision about an aspect of their claim. According to the Accident Compensation Act 2001, clients have the right of review.</p> <p>Review files and mediation files are managed separately from the claim, but a copy of the decision is kept as part of the claim file.</p> <p>If any issue is escalated, this is managed from Corporate Office, and any retention and disposal requirements are covered by ACC’s Retention and Disposal Schedule for Corporate Records (DA402).</p>
<i>Value:</i>	Routine, operational processes for managing issues with a claim or client.

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D2
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.	D2

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

8.15 Class 10 Registers and Indexes

<i>Class Title:</i>	Registers and Indexes
<i>Class number:</i>	10.0 – 10.1
<i>Class Description:</i>	Tools used to help manage claim information and aid retrieval. Created and used at the operational level of ACC. As they relate to a core function of ACC, they are not covered by the General Disposal Authorities.
<i>Value:</i>	High business value for ACC, but because of the operational aspect, holds no archival value.

Recommended for destruction

No.	Record Class	Description	Disposal Criteria
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.	D1

Recommended for transfer to Archives New Zealand

There are no records recommended for transfer to Archives New Zealand

9 Access Recommendations

Restricted access will apply to claim records, records relating to client issues, or any other record which contains claim information for the following reasons:

- Claim files and records contain information of a highly sensitive nature, e.g. health information, personal details, financial information, relating to individuals
- Claim files and records may contain legal professional privileged information

10 Discharge Arrangements

There are no records recommended for discharge under this disposal schedule.

11 Deferral of Transfer

There are no records recommended for transfer under this disposal schedule.

12 Format and Preservation

Records are a mix of electronic and hardcopy formats. Preservation for hardcopy records is managed by a contracted offsite storage provider. Preservation for electronic information

- Records must be kept for the minimum period specified.
- Records may be destroyed at any point once the minimum retention periods have passed.
- Records do not have to be destroyed; the agency may keep them for longer if required.

This authority is valid for a period of 10 years from date of signing, unless previously agreed with the Chief Archivist.