

Workers' Compensation Regulation Retention and Disposal Schedule

Responsible public authority: Department of Justice and Attorney-General

Queensland Disposal Authority Number (QDAN)	621	Version	2
Date of approval	2 May 2014		
Approved by State Archivist	Janet Prowse		
QSA File Reference	QSA07/472		

Scope of retention and disposal schedule

This schedule applies to the core business records relating to the management of Worker's Compensation Regulation in Queensland and includes the records of the abolished Queensland Workers' Compensation Regulatory Authority (Q-COMP) and the Q-COMP Board.

This schedule is to be used in conjunction with the [General Retention and Disposal Schedule for Administrative Records \(GRDS\)](#).

References to repealed legislation within this schedule may be taken to be a reference to current legislation if the context permits.

In the event of an administrative change, or the transfer of a function from one public authority to another, this retention and disposal schedule will continue to apply to the records covered by the schedule. For further advice on the currency of approved retention and disposal schedules following administrative change, please contact Agency Services at Queensland State Archives on (07) 3131 7777.

Record formats

This Schedule applies to records created in all formats, unless otherwise specified in the class description. This includes, but is not limited to, records in business systems, maps, plans, photographs, motion picture and records created using web 2.0 media.

Authority

Authorisation for the disposal of public records is given under s.26 of the *Public Records Act 2002* (the Act).

No further authorisation is required from the State Archivist for records disposed of under this schedule. However, the disposal of all public records must be endorsed by the public authority's Chief Executive Officer, or authorised delegate, in accordance with *Information Standard 31: Retention and Disposal of Public Records*, and recorded in the public authority's disposal log.

Public records that are not covered by an approved retention and disposal schedule cannot be disposed of by a public authority.

Disposal of public records not covered by an approved retention and disposal schedule is a contravention of s.13 of the Act.

Queensland State Archives

Department of Science, Information Technology, Innovation and the Arts

Revocation of previously issued disposal authorities

Any previously issued disposal authority which covers disposal classes described in this retention and disposal schedule is revoked. The Department of Justice and Attorney-General should take measures to withdraw revoked disposal authorities from circulation. This includes, but is not limited to:

- *Queensland Workers' Compensation Regulatory Authority (Q-COMP) Retention & Disposal Schedule: QDAN621 v.1* – issued August 2007

Public records sentenced under revoked retention and disposal schedules should be re-sentenced prior to disposal.

For further advice on the currency of approved retention and disposal schedules, please contact Agency Services at Queensland State Archives on (07) 3131777.

Retention of records

All of the retention periods in this schedule are the minimum period for which the sentenced records must be maintained. Public records cannot be disposed of prior to the expiration of the appropriate retention period. However, there is no requirement for public records to be destroyed at the expiration of a minimum retention period.

Public records must be retained for longer if:

the public record is or may be needed in evidence in a judicial proceeding, including any reasonably possible judicial proceeding

the public records may be obtained by a party to litigation under the relevant Rules of Court, whether or not the State is a party to that litigation

the public record must be retained pursuant to the *Evidence Act 1977*

there is a current disposal freeze in relation to the public record, or

there is any other law or policy requiring that the public record be retained.

This list is not exhaustive.

Public records which deal with the financial, legal or proprietary rights of the State of Queensland or a State related Body or Agency regarding another legal entity and any public record which relates to the financial, legal or proprietary rights of a party other than the State are potentially within the category of public records to which particular care should be given prior to disposal.

Records which are subject to a Right to Information application are to be retained for the period specified in section 8 – INFORMATION MANAGEMENT of the *General Retention and Disposal Schedule for Administrative Records* in addition to their required retention period according to an approved retention and disposal schedule. The two periods run concurrently, and may result in a longer required retention period overall. This is in order to cover all appeal and review processes. Even though the records subject to an application may be ready for disposal according to an approved retention and disposal schedule at the time of the Right to Information application, the additional Right to Information retention requirements must still be applied. See section 8 – INFORMATION MANAGEMENT of the *General Retention and Disposal Schedule for Administrative Records* for records of Right to Information applications.

The disposal of public records should be documented in accordance with the requirements of *Information Standard 31: Retention and Disposal of Public Records*.

For further advice on the retention and disposal of public records under an approved retention and disposal schedule, please refer to the Queensland State Archives website or contact Agency Services at Queensland State Archives on 07 3131 7777.

Records created before 1950

Records described in QDAN 621 v.2 that were created before 1950 should be referred to Queensland State Archives for further appraisal before any disposal action is taken by the public authority. For further advice please refer to the Public Records Brief: [Pre-1950s public records](#) which is available from the Queensland State Archives' website.

Transfer of public records to Queensland State Archives

Records covered by a class with the disposal action of 'Retain permanently' should be transferred to Queensland State Archives with the approval of the State Archivist. Records covered by a class with the disposal action of 'Retain permanently by the Department of Justice and Attorney-General' are not eligible for transfer to Queensland State Archives unless re-appraised and assigned a disposal action of 'Retain permanently'.

Agencies are required to submit a transfer proposal containing details of the records under consideration for transfer. Queensland State Archives will assess the transfer proposal before formal approval to transfer is issued. Please refer to the Guideline on [Transferring Public Records to Queensland State Archives](#) available from the Queensland State Archives' website. The State Archivist reserves the right to revise any previous decisions made with regard to the appraisal and transfer of records. Contact Agency Services at Queensland State Archives on (07) 3131 7777 for further details.

Revision history

QDAN	Date of approval	Extent of revision
QDAN621 v.1	24 August 2007	Comprehensive Retention and Disposal Schedule
QDAN 621v.2	2 May 2014	Minor Revision

Contents

1. APPEALS MANAGEMENT	5
2. CORPORATE GOVERNANCE.....	8
3. FRAUD MANAGEMENT.....	11
4. INSURER MANAGEMENT.....	13
5. DECISION REVIEW MANAGEMENT	17
6. SCHEME SUPPORT	20
7. MEDICAL ASSESSMENT TRIBUNAL MANAGEMENT.....	23
8. LEGACY RECORDS	26

1. APPEALS MANAGEMENT

The function of managing appeals against a Workers' Compensation Regulation review decision, lodged by an employer, worker or insurer with the Industrial Magistrates Court, the Industrial Relations Commission or the Industrial Court.

Reference	Description of records	Status	Disposal action
1.1	<p>ADMINISTRATIVE ARRANGEMENTS</p> <p><i>The activities associated with administering and coordinating appeals to the Industrial Magistrates Court, the Industrial Relations Commission or the Industrial Court. Includes the preparation of itineraries, authorisations, entitlements and travel arrangements for appeals and callovers.</i></p>		
1.1.1	<p>Court appearances</p> <p>Records relating to the administrative arrangements for court appearances for appeals. Records may include, but are not limited to :</p> <ul style="list-style-type: none"> • attendance records • callover schedules • court appearance schedules • court lists • liaison with barristers, courts, insurers and workers • schedules of barrister availability. 	Temporary	Retain for 2 years after last action.
1.2	<p>APPEALS</p> <p><i>The activities associated with handling appeals against Workers' Compensation Regulation review decisions and heard before the Industrial Magistrates Court, the Industrial Relations Commission or the Industrial Court.</i></p>		
1.2.1	<p>Appeals – significant</p> <p>Records relating to appeals against workers' compensation review decisions made by the Workers' Compensation Regulator which are considered to be significant. Significant cases may include, but are not limited to:</p> <ul style="list-style-type: none"> • cases which may affect the implementation of the Workers' Compensation Scheme • cases which are rare or unique • cases which are high profile and generate significant media and public interest. 	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	Records may include, but are not limited to: <ul style="list-style-type: none"> • claim details • notice of appeal • personal details of the claimant • review history and decision. 		
1.2.2	<p>Appeals – other</p> <p>Records relating to appeals against workers' compensation review decisions which are not considered to be significant.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • claim details • notice of appeal • personal details of the claimant • review history and decision. 	Temporary	Retain for 30 years after case finalised.
1.3	<p>BARRISTER PANELS</p> <p><i>The activities associated with the establishment and ongoing administration of barrister panels established to assist the Workers' Compensation Regulator with appeals to the Industrial Magistrates Court, the Industrial Relations Commission or the Industrial Court.</i></p>		
1.3.1	<p>Panels</p> <p>Records relating to the establishment and management of barrister panels.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • appointment contracts; • conditions of employment and entitlements • fee calculations • official barrister lists • selection panel process. <p><i>See the General Retention and Disposal Schedule for Administrative Records for tender</i></p>	Temporary	Retain for 7 years after separation.

Reference	Description of records	Status	Disposal action
	<i>records for appointments to barrister panels.</i>		
1.4	<p>COSTS RECOVERIES</p> <p><i>The activities associated with the recovery of costs awarded by the Industrial Magistrates Court, the Industrial Relations Commission or the Industrial Court following an appeal against a Workers' Compensation Regulator review decision.</i></p>		
1.4.1	<p><i>Debt recovery</i></p> <p>Records relating to the recovery of costs awarded in favour of the Workers' Compensation Regulator during the appeals process.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • amount to be recovered • amounts received/owing • court instructions for recovery • recovery agreement. <p><i>See the General Retention and Disposal Schedule for Administrative Records for records of financial transactions.</i></p>	Temporary	Retain for 7 years after settlement of claim.

2. CORPORATE GOVERNANCE

The function of developing, maintaining, auditing and promoting accountable, ethical and efficient business practices. Includes the development of processes and controls to ensure integrity, transparency and the fair and ethical treatment of all stakeholders and to assist in the prevention and detection of fraudulent, dishonest and/or unethical behaviour by any member of staff, tribunals and other groups or committees.

Reference	Description of records	Status	Disposal action
2.1	<p>COMPLIANCE</p> <p><i>The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Activities include:</i></p> <ul style="list-style-type: none"> <i>compliance with legislation</i> <i>compliance with national and International standards</i> <i>management of Conflict of Interest Compliance.</i> 		
2.1.1	<p>Compliance</p> <p>Records relating to complying with mandatory or optional accountabilities, for fiscal, legal, regulatory or quality standards or requirements at an organisation wide or program specific level.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> records of development of initiatives to improve compliance records of assessments of requirements with which the organisation needs to comply. 	Temporary	Retain for 7 years after last action.
2.2	<p>PROJECT MANAGEMENT</p> <p><i>The activities associated with the conceptual development, establishment, initiation, planning and management of Workers' Compensation Regulator projects.</i></p>		
2.2.1	<p>Projects - significant</p> <p>Records relating to the conceptual development, establishment, initiation, planning and management of significant Workers' Compensation Regulator projects.</p> <p>Significant projects include projects that change the strategic direction of the Regulator or instigate legislative changes and may include projects related to :</p>	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • Human Resource Management • Information, Communication and Technology • Legal Services • Education and Advisory Services. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • briefings • project documentation including project scope, project initiation documents • project plans • reports, including stage and exception reports. 		
2.2.2	<p>Projects – other</p> <p>Records relating to the conceptual development, establishment, initiation, planning and management of Workers' Compensation Regulator projects that do not have major significance to the scheme.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • briefings • project documentation including project scope, project initiation documents • project plans • reports, including stage and exception reports. 	Temporary	Retain for 7 years after project is completed.
2.3	<p>RESEARCH</p> <p><i>The activities associated with investigating or enquiring into a subject or area of interest to Workers' Compensation Regulation in order to discover facts, principles etc, used to support the development of projects, standards, guidelines etc., and the business activities of the organisation in general. Also includes following up queries relating to organisational programs, projects, working papers and literature searches.</i></p> <p><i>See the General Retention and Disposal Schedule for Administrative Records for records relating to reports resulting from research.</i></p>		
2.3.1	<p>Research – significant</p> <p>Records relating to significant research conducted to support the functions of the Workers' Compensation Regulator, including records containing research material which</p>	Temporary	Retain for 5 years after last action.

Reference	Description of records	Status	Disposal action
	<p>was commissioned and/or outsourced by the Workers' Compensation Regulator and which has resulted in changes to the Workers' Compensation Regulator's activities.</p> <p>Significant research may include research related to:</p> <ul style="list-style-type: none"> • External relations, including client services • Information, Communication and Technology • Review Management • Scheme Support. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • expressions of interest • progress reporting • research data • results • scope of research • surveys. 		
2.3.2	<p><i>Research – other</i></p> <p>Records relating to minor research carried out to support the functions of the Workers' Compensation Regulator, including records containing research material of interest to the Workers' Compensation Regulator that has not been referenced or no action has taken place.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • expressions of interest • progress reporting • research data • results • scope of research • surveys. 	Temporary	Retain for 2 years after last action.

3. FRAUD MANAGEMENT

The function of investigating and managing fraudulent or suspected fraudulent claims against self-insurers.

Reference	Description of records	Status	Disposal action
3.1	<p>FRAUD INVESTIGATION</p> <p><i>The activities associated with handling and investigating fraudulent compensation claims against self-insurers.</i></p>		
3.1.1	<p><i>Fraud investigation</i></p> <p>Records relating to fraudulent compensation claims against a self-insurer.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • complaints • compliance and investigation referrals • surveillance requests • action summaries • interview documentation • requests for investigations • investigation reports and evaluations • factual investigator reports. 	Temporary	Retain for 25 years after settlement of claim.
3.2	<p>COSTS RECOVERIES</p> <p><i>The activities associated with the recovery of costs awarded by the Industrial Court following a successful fraud prosecution.</i></p>		
3.2.1	<p><i>Debt recovery</i></p> <p>Records relating to the recovery of costs awarded in favour of the Workers' Compensation Regulator by the Industrial Court arising from a successful fraud prosecution.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • amount to be recovered • amounts received/owing 	Temporary	Retain for 7 years after settlement of claim.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • court instructions for recovery • recovery agreement. <p><i>See the General Retention and Disposal Schedule for Administrative Records for records of financial transactions.</i></p>		
3.3	<p>REPORTING</p> <p><i>The activities associated with initiating or providing of a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation to or on behalf of the Workers' Compensation Regulator with relation to fraud management.</i></p>		
3.3.1	<p><i>Fraud registers</i></p> <p>Records relating to the management of Workers' Compensation Fraud Registers. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Fraud registers • Fraud referral registers • Completed fraud referral forms. 	Permanent	Retain permanently by Workers' Compensation Regulator.

4. INSURER MANAGEMENT

The function of licensing and monitoring the performance of self-insurers under the Worker's Compensation and Rehabilitation Act 2003, including self-insurers who become non-scheme employers. Includes assessment and processing of licence applications, renewals and cancellations. Also includes monitoring the performance of insurers, including consistent application of the Act and the accreditation of claims officers, conducting insurer audits, developing policy and insurer guidelines, and monitoring insurer self assessment.

Reference	Description of records	Status	Disposal action
4.1	<p>AUDIT</p> <p><i>The activities associated with official audits of the records of employers and self-insurers by the Workers' Compensation Regulator to ensure compliance with the Workers' Compensation and Rehabilitation Act 2003.</i></p>		
4.1.1	<p>Audit</p> <p>Records relating to audits of employers and self-insurers for compliance with the requirements of self-insurance under the <i>Workers' Compensation and Rehabilitation Act 2003</i>.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • compliance reports • inspection reports • audit reports • implementation plans. 	Temporary	Retain for 7 years after last action.
4.2	<p>INSURER POLICY DEVELOPMENT</p> <p><i>The activities associated with developing and establishing policies and guidance notes by the Workers' Compensation Regulator which acts as a reference for future decision making, as the basis from which the insurers operating procedures are determined.</i></p>		
4.2.1	<p>Insurer policy directives</p> <p>Master set of policy directives issued by the Workers' Compensation Regulator to insurers for compliance with the <i>Workers' Compensation and Rehabilitation Act 2003</i>.</p>	Permanent	Retain permanently.
4.2.2	<p>Insurer policy development</p> <p>Records relating to the development of policy directives issued by the Workers' Compensation Regulator to insurers for compliance with the <i>Workers' Compensation and</i></p>	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	<p><i>Rehabilitation Act 2003.</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • policy proposals • significant drafts • consultation papers. <p><i>Reference material and working copies should be sentenced as ephemeral records under the General Retention and Disposal Schedule for Administrative Records.</i></p>		
4.3	<p>INSURER SELF ASSESSMENT</p> <p><i>The activities associated with insurer reports and action plans provided to the Workers' Compensation Regulator by self-insurers concerning claims and rehabilitation management.</i></p>		
4.3.1	<p>Claims and rehabilitation management</p> <p>Records relating to reports and action plans submitted by self-insurers regarding claims and rehabilitation management.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • action plans • reports • rehabilitation management programs. 	Temporary	Retain for 7 years after last action.
4.4	<p>LICENSING</p> <p><i>The activities associated with the approval and licensing of a self-insurer as required under the Workers' Compensation and Rehabilitation Act 2003 including applications, renewals and cancellations. Also includes activities associated with self-insurers who become non-scheme employers.</i></p>		
4.4.1	<p>Licensing – self-insurers</p> <p>Records relating to the issue, renewal or cancellation of a licence to an employer to operate as a self-insurer.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • claims procedure manual 	Temporary	Retain for 7 years after last action.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • insurer financial statements • insurer Occupational Health & Safety reports • reinsurance • supporting documentation • forms approval • bank guarantee • insurer performance management program • transfer of claims • Estimated Claims Liability (ECL). 		
4.4.2	<p><i>Licensing – non-scheme employers</i> Records relating to deregistration of self-insurers that become non-scheme employers. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • written notices • copy of licence granted under Safety Rehabilitation and Compensation Act 1988 (Commonwealth) • conditions imposed by the Workers' Compensation Regulator • notice from the Workers' Compensation Regulator advising of continuing powers. 	Temporary	Retain for 7 years after last action.
4.5	<p>PERFORMANCE MANAGEMENT PROGRAMS <i>The activities associated with the insurer performance management program including the management of insurer performance management plans.</i></p>		
4.5.1	<p><i>Performance management programs</i> Records relating to the development, implementation and ongoing management of insurer performance management programs. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • performance management programs • performance management plans 	Temporary	Retain 7 years after last action.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • self assessment surveys • implementation process. 		
4.6	<p>INSURER STANDARDS <i>The activities associated with the development, review and publication of insurer performance standards, codes and benchmarks.</i></p>		
4.6.1	<p><i>Insurer standards</i> Records relating to the approval of codes of practice in accordance with s.486A of the <i>Workers' Compensation and Rehabilitation Act 2003</i>. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • ministerial consultation • recommendations. 	Permanent	Retain permanently.

5. DECISION REVIEW MANAGEMENT

The function of independently reviewing decisions made by WorkCover, employers or self-insurers relating to the workers' compensation scheme undertaken on behalf of workers, employers or insurers.

Reference	Description of records	Status	Disposal action
5.1	<p>REVIEWS</p> <p><i>The activities associated with reviewing workers' compensation decisions on behalf of workers, employers or insurers.</i></p>		
5.1.1	<p>Reviews – significant</p> <p>Records relating to reviews of workers' compensation scheme decisions conducted by the Workers' Compensation Regulator which are considered to be significant.</p> <p>Significant cases may include, but are not limited to:</p> <ul style="list-style-type: none"> • cases which may affect the implementation of the workers' compensation scheme • cases that are rare or unique <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • records documenting the allocation of valid review applications to review officers • job sheets, workloads and monitoring records • application for review • medical assessment tribunal referral • review decisions • tribunal findings • assessment of review application. 	Permanent	Retain permanently.
5.1.2	<p>Reviews – other</p> <p>Records relating to reviews of workers' compensation scheme decisions conducted by the Workers' Compensation Regulator which are not considered to be significant.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • records documenting the allocation of valid review applications to review officers; • job sheets, workloads and monitoring records; 	Temporary	Retain for 30 years after settlement of claim.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • application for review; • medical assessment tribunal referral; • review decisions; • Tribunal findings; and • assessment of review application. 		
5.2	<p>REVIEW REGISTRATION <i>The activities associated with registering review cases.</i></p>		
5.2.1	<p>Review registration Records relating to the initial assessment of review applications to determine the validity of the application against the criteria of the <i>Workers' Compensation and Rehabilitation Act 2003</i>. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • correspondence • requests for review. 	Temporary	Retain for 4 years after last action.
5.3	<p>BARRISTER PANELS <i>The activities associated with the establishment and ongoing administration of barrister and legal panels established to assist the Workers' Compensation Regulator with the Workers' Compensation review process. Includes appointments, performance management and maintenance of the official list of barristers and legal service providers.</i></p>		
5.3.1	<p>Panels Records relating to the establishment and management of barrister and legal service panels. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • appointment contracts • official barrister lists • fee calculations • conditions of employment and entitlements 	Temporary	Retain for 7 years from date of separation.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none">• applications• selection panel process. <p><i>See the General Retention and Disposal Schedule for Administrative Records for tender records for appointments to barrister and legal services panels.</i></p>		

6. SCHEME SUPPORT

The function of reporting on scheme-wide issues and providing services to ensure consistency and best practice is followed in the fair treatment of all stakeholders in the worker's compensation scheme. Includes providing advice and interpretation of medical matters, collaborating and liaising with key stakeholder groups, authorities and organisations and the provision of information and statistical analysis relevant to state and federal issues and national reporting requirements. Also includes the formulation and amendment of legislation which provides the legislative basis for the scheme and the review, updating, production and distribution of legislative tables and approved forms including medical certificates.

Reference	Description of records	Status	Disposal action
6.1	<p>EDUCATION AND ADVISORY SERVICES</p> <p><i>The activities associated with providing education and advisory services to the Workers' Compensation Regulator stakeholders including workers, employers, training providers, insurers and health providers, in relation to rehabilitation and the workers' compensation scheme.</i></p>		
6.1.1	<p>Advice</p> <p>Records relating to the provision of advice to inform stakeholders regarding rehabilitation and return to work.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • particular advice to stakeholders • rehabilitation promotion material • requests for advice and information. 	Temporary	Retain for 7 years after last action.
6.1.2	<p>Education and training program materials</p> <p>Records relating to education and training material provided by the Workers' Compensation Regulator to self-insurers, training providers and rehabilitation coordinators.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • course development records • review of course content • masters of lecture notes • handouts • slides 	Temporary	Retain for 5 years after last action.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • video tapes • presentations. 		
6.1.3	<p><i>Education and training arrangements</i></p> <p>Records relating to arrangements and administration of education and training provided by the Workers' Compensation Regulator to self-insurers, training providers and rehabilitation coordinators.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • administrative arrangements • attendance by participants. 	Temporary	Retain for 2 years after last action.
6.1.4	<p><i>Education and training course assessment</i></p> <p>Records relating to the assessment of training and education courses provided by the Workers' Compensation Regulator to self-insurers, training providers and rehabilitation coordinators.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • course reports • customer feedback • assessments. 	Temporary	Retain for 5 years after last action.
6.2	<p>GRANT MANAGEMENT</p> <p><i>The activities associated with the administration of grants under the Workers' Compensation & Rehabilitation Act 2003 provided to organisations to support, implement and promote awareness of the workers' compensation scheme. Includes grants provided for research and education relating to the management of workers' injuries and the rehabilitation of workers.</i></p>		
6.2.1	<p><i>Agreements</i></p> <p>Records relating to the establishment, maintenance, review and negotiation of agreements. Includes reports provided to the Workers' Compensation Regulator by grant beneficiaries regarding performance, progress, results and outcomes of grant funded projects.</p> <p>Records may include, but are not limited to:</p>	Temporary	Retain for 7 years after the expiry or termination of the agreement.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> • grant applications, including unsuccessful applications • agreement review • memorandum of understanding (MOU) • reports. 		
6.3	<p>STATISTICAL ANALYSIS</p> <p><i>The activities associated with quantitative analysis and reporting of scheme-wide data for stakeholders and decision-makers. Includes analysis and reporting to federal and state governments, monthly and annual insurer reports and national reporting requirements.</i></p>		
6.3.1	<p><i>Statistical analysis</i></p> <p>Records relating to statistical data and reports on individuals, employers and insurers contained in the Workers' Compensation Regulator Statistical Analysis database in accordance with section 327 (2) (j) of the <i>Workers' Compensation and Rehabilitation Act 2003</i>.</p> <p>Information may include, but is not limited to:</p> <ul style="list-style-type: none"> • employer and insurer history • case management outcomes • worker claim history. 	Temporary	Retain for 50 years after all claims are finalised

7. MEDICAL ASSESSMENT TRIBUNAL MANAGEMENT

The function of providing independent medical assessments of injury or impairment of workers for compensation claims under the Workers' Compensation and Rehabilitation Act 2003 or for personal injury under another Act.

Reference	Description of records	Status	Disposal action
7.1	<p>ADMINISTRATIVE ARRANGEMENTS</p> <p><i>The activities associated with administering and coordinating medical assessment tribunals.</i></p>		
7.1.1	<p>Administrative arrangements</p> <p>Records relating to the coordination of Medical Assessment Tribunals including setting tribunal dates and coordinating appointments for injured workers to attend tribunals.</p>	Temporary	Retain for 2 years after last action.
7.2	<p>ASSESSMENTS</p> <p><i>The activities associated with handling referrals to medical assessment tribunals to provide independent assessments of injury or impairment of claimants.</i></p>		
7.2.1	<p>Assessments – significant</p> <p>Records relating to workers' compensation medical assessments conducted by medical assessment tribunals which are considered to be significant.</p> <p>Significant cases may include, but are not limited to:</p> <ul style="list-style-type: none"> • cases which may affect the implementation of the workers' compensation scheme • cases which are rare or unique • cases which are high profile and generate significant media and public interest. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • application to appeal • audio recordings of Medical Assessment Tribunal (MAT) hearings • claim details • claimants personal details • referrals to the Medical Assessment Tribunal (MAT) • review history and decision 	Permanent	Retain permanently.

Reference	Description of records	Status	Disposal action
	<ul style="list-style-type: none"> supporting documentation. 		
7.2.2	<p>Assessments – other</p> <p>Records relating to workers' compensation medical assessments conducted by medical assessment tribunals which are not considered to be significant.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> application to Appeal audio recordings of Medical Assessment Tribunal (MAT) hearings claim details claimants personal details referrals to the Medical Assessment Tribunal (MAT) review history and decision supporting documentation. 	Temporary	Retain for 30 years after settlement of claim.
7.3	<p>FILE TRANSFERS</p> <p><i>The activities associated with the receipt and return of hospital patient and insurer files released for use during Tribunal Hearings</i></p>		
7.3.1	<p>File transfers</p> <p>Records relating to requests for patient information, the receipt of information by the Workers' Compensation Regulator and subsequent return of same information.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> receipt of information request for information return of information. 	Temporary	Retain for 2 years after last action.
7.4	<p>BARRISTER PANELS MANAGEMENT</p> <p><i>The activities associated with the establishment and ongoing administration of tribunal panels established to provide independent assessments of injury or impairment of claimants.</i></p>		
7.4.1	<p>Panels management</p> <p>Records relating to the establishment and management of the tribunal panel, including</p>	Temporary	Retain for 7 years after separation.

Reference	Description of records	Status	Disposal action
	selection process and payments to doctors. Records may include, but are not limited to: <ul style="list-style-type: none">• application for appointment to panel• panel list of doctors• recommendations• supporting documentation.		

8. LEGACY RECORDS

This section covers legacy records of the Queensland Workers' Compensation Regulatory Authority (Q-COMP), 1 July 2003 – 30 June 2014.

Reference	Description of records	Date range	Status	Disposal action
8.1	<p>BOARD SERVICES</p> <p><i>The function of providing administrative and secretariat support to the Q-COMP Board of Directors or other committees established to manage the operational and strategic direction of the Authority.</i></p>			
8.1.1.	<p>Appointments</p> <p>Records relating to the appointment of members to the Q-COMP Board of Directors or other Q-COMP committees. Includes the Register of Q-COMP Board Members.</p>	2003-2014	Temporary	Retain for 25 years after last action.
8.1.2	<p>Authorisations</p> <p>Records relating to delegations by the Q-COMP Board to a director, a committee of the Board, the CEO or a Q-COMP employee in accordance with section 339 of the <i>Workers' Compensation and Rehabilitation Act 2003</i>.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> delegation authorities travel approvals. 	2003-2014	Temporary	Retain for 5 years after last action.
8.1.3	<p>Board induction</p> <p>Records relating to the induction of members of the Q-COMP Board of Directors.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> attendance records implementation of induction programs induction manuals induction programs. 	2003-2014	Temporary	Retain for 5 years after last action.

Reference	Description of records	Date range	Status	Disposal action
8.1.4	<p>Material interests</p> <p>Records relating to declarations and disclosures by members of the Q-COMP Board of Directors of legal, business, and/or financial associations or dealings concerning themselves or their immediate family that conflict or potentially conflict with their capacity as a Q-COMP Board member.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • copies of legal documents, e.g. statutory declarations • declarations • disclosures • financial statements • family details. 	2003-2014	Temporary	Retain for 7 years after separation from the Board.
8.1.5	<p>Performance management</p> <p>Records relating to the evaluation by Q-COMP Board members of their performance.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • evaluation reports • performance management reports • self assessment reports. 	2003-2014	Temporary	Retain for 7 years after separation from the Board.
8.2	<p>EMPLOYER COMPLIANCE</p> <p><i>The function associated with employer workplace rehabilitation, accreditation and compliance activities. Includes accreditation of employers, insurers and training providers in relation to rehabilitation requirements, the auditing of rehabilitation programs, self insurers, employers and government departments, and the development of rehabilitation coordinator training courses.</i></p>			
8.2.1	<p>Accreditation/registration records</p> <p>Records relating to the accreditation and registration of employers, rehabilitation co-ordinators, insurers and training providers against workplace rehabilitation requirements and requirements of the <i>Workers' Compensation and</i></p>	2003-2014	Temporary	Retain for 7 years after accreditation or registration ceases.

Reference	Description of records	Date range	Status	Disposal action
	<p><i>Rehabilitation Act 2003.</i></p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • copies of employers' workplace rehabilitation policies and procedures • application forms • completed examination papers • notification of issue of registration • communication and liaison internal/external. 			
8.2.2	<p><i>Accreditation - unsuccessful training provider applications</i></p> <p>Records relating to unsuccessful applications for registration of training providers.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • application forms • completed examination papers • notification of non-issue of registration • communication and liaison internal/external. 	2003-2014	Temporary	Retain for 1 year after last action.
8.2.3	<p><i>Accreditation – summary records</i></p> <p>Summary records documenting the accreditation and registration of employers, rehabilitation co-ordinators, insurers and training providers. Records may be retained in hard copy format or electronically in a database or business system.</p>	2003-2014	Temporary	Retain for 5 years after last action.
8.2.4	<p><i>Evaluation – industrial instruments</i></p> <p>Records relating to the evaluation of amounts payable by an employer to an incapacitated worker under an Industrial Instrument.</p> <p>Records may include, but are not limited to:</p>	2003-2014	Temporary	Retain for 7 years after accreditation ceases.

Reference	Description of records	Date range	Status	Disposal action
	<ul style="list-style-type: none"> • applications • assessment documentation • decision documentation • supporting documentation. 			
8.3	<p>INSURER MANAGEMENT</p> <p><i>The function of licensing and monitoring the performance of self-insurers under the Worker's Compensation and Rehabilitation Act 2003 including self-insurers who become non-scheme employers. Includes assessment and processing of licence applications, renewals and cancellations. Also includes monitoring the performance of insurers, including consistent application of the Act and the accreditation of claims officers, conducting insurer audits, developing policy and insurer guidelines, and monitoring insurer self assessment.</i></p>			
8.3.1	<p>RECALCULATION</p> <p><i>The activities associated with actuarial analysis of self-insurer liability for outstanding claims for the ensuing five years. Includes actuarial reports, summary reports and agreements to calculate.</i></p>			
8.3.2	<p><i>Calculation of outstanding liability</i></p> <p>Records relating to the annual calculation of outstanding liability of self-insurers for the ensuing five years.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • actuarial report • summary report • agreement to calculation. 	2003-2014	Temporary	Retain for 7 years after last action.
8.4	<p>RETURN TO WORK ASSISTANCE REFERRALS</p> <p><i>The activities associated with the handling of referrals to the Return to Work Assistance initiative to manage injured workers whose worker's compensation claim has closed and who are unable to return to their former employer. The processes link and support injured workers with career advice, training, and job placement.</i></p>			
8.4.1	<p><i>Referrals</i></p> <p>Records relating to the handling of referrals to the <i>Return to</i></p>	2007-2014	Temporary	Retain for 7 years after last action.

Reference	Description of records	Date range	Status	Disposal action
	<p><i>Work Assistance</i> initiative.</p> <p>Activities may include, but are not limited to:</p> <ul style="list-style-type: none"> • advice to worker • management of referral • management of correspondence • training information • management of case related advice and enquiries. 			
8.4.2	<p><i>Provider management</i></p> <p>Records relating to the handling of referrals to providers capable of supporting the <i>Return to Work Assistance</i> initiative.</p> <p>Activities may include, but are not limited to:</p> <ul style="list-style-type: none"> • contact with provider • management of referral • management of correspondence • training information • reference material on services. 	2007-2014	Temporary	Retain for 2 years after last action.