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State Records  
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## State Records Act 1997

## Operational Records Disposal Schedule

### **Compulsory Third Party (CTP) Insurance Regulator**

### **RDS 2019/03 Version 1**

Effective Date: 26 February 2019 to 28 February 2029

Approved Date: 26 February 2019



## Compulsory Third Party (CTP) Insurance Regulator

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## Compulsory Third Party (CTP) Insurance Regulator

### Preamble

### Purpose of the Schedule

This Operational Records Disposal Schedule (RDS) authorises arrangements for the retention or destruction of records in accordance with Section 23(2) of the *State Records Act 1997*.

### Application of the Schedule

### Compulsory Third Party (CTP) Insurance Regulator

Approved Date: 26 February 2019

Effective Date: 26 February 2019 to 28 February 2029

### Authorisation by State Records

This authorisation applies only to the disposal of the records described in the Schedule.

### State Records' Contact Information

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## Compulsory Third Party (CTP) Insurance Regulator

### Disposal of Official Records

#### Legislation

Section 23(1) of the *State Records Act 1997* states that an agency must not dispose of official records except in accordance with a determination made by the Manager [Director] of State Records with the approval of the State Records Council.

Section 23(2) states:

‘If an agency requests the Manager to make a determination as to the disposal of official records, the Manager must, as soon as practicable:

- (a) with the approval of the [State Records] Council, make a determination requiring or authorising disposal of the records in a specified manner; or
- (b) make a determination requiring delivery of the records into the custody of State Records or retention of the records and later delivery into the custody of State Records.’

The contents of an RDS, once the approval process is complete, constitute a determination within the meaning of the *State Records Act 1997*.

#### Functions of the Schedule

An RDS plans the life of these records from the time of their creation to their disposal. It describes the records created and/or controlled by CTP Insurance Regulator, the disposal sentence specifying whether they are to be retained as archives or destroyed, and when this should occur.

This Operational Records Disposal Schedule has been prepared in conjunction with staff from CTP Insurance Regulator to determine the records which need to be kept because of their long term value and to enable the disposal of records once they are no longer needed for administrative purposes. The assessment of the records takes into account their administrative, legal, evidential, financial, informational and historical values. The appraisal of the records is in accordance with the State Records’ policy as documented in *Appraisal of Official Records – Policy and Objectives* - available from State Records’ website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

The Schedule complements the General Disposal Schedules (GDS) that are issued by State Records to cover housekeeping and other administrative records common to most State Government agencies.

#### Using the Schedule

The Schedule applies only to the records described within it.



## Compulsory Third Party (CTP) Insurance Regulator

### Layout

The Schedule is laid out as follows:

- Item Number:** Numbering in the Schedule is multi level:  
Functions have single numbers (*e.g.* 1.)  
Activities and/or processes have two-level numbers (*e.g.* 1.1)  
Disposal classes have three-level numbers (*e.g.* 1.1.1)
- Function:** The general functions are shown in 12 point bold Arial upper case at the start of each section. ( *e.g.* **LAND MANAGEMENT**)
- 1 BUSINESS INTELLIGENCE AND DATA QUALITY MANAGEMENT**
- The function of the collection, manipulation, benchmarking and reporting on data relating to scheme performance.
- Activity/Process:** The activities and processes relating to each function are shown in 12 point bold Arial sentence case (*e.g.* **Acquisition**).
- 1.1 Data Quality**
- The activities associated with ensuring the quality of data collected and managed by the Approved Insurers. This includes the conducting of monthly meetings with the Approved Insurers.*
- Description:** Descriptions are in three levels ranging from broad functions to specific disposal classes:  
definitions of functions are shown at the start of each section in bold (*e.g.* **The function of managing land for which the agency is legislatively responsible**)  
definitions of activities are located adjacent to the activity title in italics *e.g.* *The acquisition of land in accordance with the agency's strategic objectives*  
descriptions of each disposal class are arranged in sequence under the activity definitions.
- 1.1.1 Data Quality Master records relating to internal meetings and external Data Quality meetings with Approved Insurers. This includes agendas, minutes and actions.



## Compulsory Third Party (CTP) Insurance Regulator

**Disposal Action:** Disposal actions relate to the disposal classes arranged under the activity descriptions. The status of the class is either PERMANENT or TEMPORARY with a disposal trigger and retention period given for all temporary records.

PERMANENT

If in electronic form actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes

### Retention Period of the Record

The Schedule is used to sentence records. Sentencing involves applying the record retention periods within the RDS to the records of the Compulsory Third Party (CTP) Insurance Regulator referred to as the CTP Insurance Regulator. Decisions are made using the Schedule about whether records are to be retained and, if so, for how long, or when they are to be destroyed.

Retention periods set down in the Schedule are minimum ones and the CTP Insurance Regulator may extend the retention period of the record if it considers there is an administrative need to do so. Where the CTP Insurance Regulator wishes to retain records for substantially longer periods it should request that the Schedule be amended to reflect this requirement.

### Custody and Transfer of the Record

#### Permanent Records

Section 19 of the *State Records Act 1997* includes provisions for the transfer of custody of an official record:

- a) when the agency ceases to require access to the record for current administrative purposes or
- b) during the year occurring 15 years after the record came into existence - whichever first occurs

Official records that have been sentenced as permanent, in accordance with an approved disposal schedule, are required to be transferred to State Records.

Agencies with valid reasons to retain permanent records for longer than 15 years should apply in writing to Director [Manager], State Records requesting either a postponement or an exemption from section 19.

It should be noted that postponement or exemption are only granted in exceptional circumstances.





## Compulsory Third Party (CTP) Insurance Regulator

### Temporary Records

The custody of official records that have been sentenced as temporary is the responsibility of agencies. A policy and standards framework for the management and storage of temporary value official records has been established by State Records as documented in *Records of Temporary Value: Management and Storage: Standard and Guidelines (May 2002)*. CTP Insurance Regulator needs to comply with these policy documents - available from State Records' website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

The custody of official records on networks or hard drives is also the responsibility of agencies. The CTP Insurance Regulator needs to ensure that records in electronic format remain accessible to authorised users for the duration of the designated retention period. State Records is, however, currently examining options for the transfer of permanent value electronic records in digital form to its custody.

### Destruction of Temporary Records

Prior to destruction, the following General Disposal Schedules (GDS) need to be consulted: *GDS 16 Impact of Native Title Claims on Disposal of Records* to ensure records which are relevant to native title claims in South Australia are identified and preserved.

*GDS 27 for Records Required for Legal Proceedings or Ex Gratia Applications Relating to Alleged Abuse of Former Children Whilst in State Care* to ensure the preservation of official records that may relate to the rights and entitlements of the individuals who present a court claim or apply for an ex gratia payment and of the State Government in defending or processing those claims and applications.

*GDS 32 for Records of Relevance to the Royal Commission into Institutional Responses to Child Sexual Abuse* to ensure that records of relevance to the Royal Commission are protected and available for the purposes of the Royal Commission and any subsequent actions involving the South Australian Government as well as for future reference and accountability purposes and to protect the rights and entitlements of stakeholders.

The CTP Insurance Regulator must ensure that all destruction is secure and confidential and that a certificate confirming destruction is provided by private contractors.

Standard methods for destruction of paper are shredding, pulping or other means that are environmentally friendly.

Records in electronic format must only be destroyed by reformatting or rewriting to ensure that the data and any "pointers" in the system are destroyed. "Delete" instructions do not offer adequate security as data may be restored or recovered.

The CTP Insurance Regulator should keep their own record of all records destroyed, noting the relevant disposal authority. Proof of destruction may be required for legal purposes, or in response to FOI applications. When records are destroyed systems that control them should also be updated by inputting destruction dates and relevant disposal authorities.



## Compulsory Third Party (CTP) Insurance Regulator

### Review

State Records' disposal schedules apply for a period of ten years. Either the CTP Insurance Regulator or State Records may propose a review of the Schedule at an earlier time, in the event of changes to functions or procedures that affect the value of the records covered by the disposal authority. Reviews are especially necessary if there is vast administrative change that affects the currency and use of the records and/or the records are dispersed to other agencies.

The State Records Council needs to approve all amendments to the Schedule. Officers using the Schedule should advise State Records of any necessary changes.



## Compulsory Third Party (CTP) Insurance Regulator

### Context Statement

#### Context of the Agency Covered by the Schedule

##### The CTP Insurance Regulator History and Background

The Compulsory Third Party (CTP) Insurance Regulator (the CTP Insurance Regulator) was established as an independent statutory authority under the *Compulsory Third Party Insurance Regulation Act 2016* (CTPIR Act).

In its 2014-15 State Budget, the South Australian Government announced that from 30 June 2016, the Motor Accident Commission (MAC) would cease its statutory role as the sole provider of Compulsory Third Party Insurance in South Australia in favour of a market-based model for the private sector to provide compulsory third-party insurance. On 1 July 2016, the administrative and financial responsibility of the Motor Accident Injury Assessment Scheme (MAIAS) also was transitioned from MAC to the new CTP Insurance Regulator.

Under the new arrangements, four private CTP Insurers (AAMI, Allianz, QBE and SGIC) have been approved to underwrite CTP Insurance Policies in South Australia since 1 July 2016. The CTP Insurance Regulator was established on 1 July 2016 to oversee and regulate the CTP Insurance Market in South Australia. This arrangement may not be limited to the above-named four CTP Insurers in the future.

The CTP Insurance Regulator is responsible for the oversight, monitoring and reporting of approved CTP Insurer activities in the South Australian market. The CTP Insurance Regulator's role is to ensure that a fair and affordable CTP Insurance Scheme (CTP Scheme) is maintained, continues to provide improved outcomes for injured persons, and has oversight of the CTP insurance premium setting process.<sup>1</sup>

The CTP Insurance Regulator also deals with Nominal Defendant claims, which arise where the at-fault vehicle is either uninsured or unidentified. From 1 July 2016, the Regulator began allocating Nominal Defendant claims to Approved Insurers, and from 1 January 2017 assumed full responsibility for these claims from MAC as part of its functions in Part 4 of the Motor Vehicles Act 1959. CTP Insurance Regulator has access to MAC's claims database, through the PIR system, to retrieve any information for claims prior to July 2016. MAC continues to manage all claims prior to 1 July 2016 in its database called Backbook.

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<sup>1</sup> Compulsory Third Party (CTP) Insurance Regulator Annual Report 2016-2017



## Compulsory Third Party (CTP) Insurance Regulator

The CTP Insurance Regulator is undertaking a Competition Model Project, to develop and implement the Competition Scheme Model.

The Competition Scheme will come into effect on 1 July 2019, as the Regulator was given 3 years transition period to introduce the new Scheme where motorists will be able to choose their preferred CTP Insurer, compared to the current system of auto-allocation of insurance policies. Records in CTPIR or RDS may be impacted if there are any further legislative changes

Australian Prudential Regulation is a federal regulatory body and is an independent statutory authority that supervises institutions across banking, insurance and superannuation and promotes financial system stability in Australia. CTP Insurance Regulator has entered into a MoAA for sharing of information regarding CTP Approved Insurers.

### CTP Insurance Regulator Role and Function

The CTP Insurance Regulator is a CTP insurance industry specific body with the capacity to engage with key stakeholders to design and implement the preferred CTP Competition Model and to provide ongoing regulation of the CTP Scheme.

The functions of the Regulator are to:

- regulate the Approved Insurers;
- determine the premium amounts payable for CTP insurance policies;
- monitor, audits and review the operation and efficiency of the CTP Scheme;
- provide information to consumers about the CTP insurance business and Approved Insurers;
- to manage and prevent fraud by the Authorised Insurers and staff of the CTP Insurance Regulator, and deal with complaints, incidence of fraud, including claim farming;
- develop, monitor and reviews the operation of the rules and guidelines of Approved Insurers relating to:
  - determination of premiums
  - management of claims
  - dispute resolution
  - provision of information to consumers
- make recommendations to the Minister for Transport, Infrastructure and Local Government in relation to:
  - the eligibility criteria for insurers seeking approval under part 4 of the *Motor Vehicles Act 1959*;
  - the terms and conditions of any agreement or contract entered into between the Minister and the Approved Insurer; and the assessment of an application from an insurer under part 4 of the *Motor Vehicles Act 1959*.



## Compulsory Third Party (CTP) Insurance Regulator

The Regulator also assists claimants and motor vehicle owners with:

- understanding the CTP Scheme;
- identifying the Approved Insurer of the reported at-fault vehicle; and
- outlining the process to lodge a claim.<sup>2</sup>

The Motor Accident Injury Assessment Scheme (MAIAS) also operates within the CTP Insurance Regulator.

Under section 76 (2) of the Civil Liability Act (1936) the designated Minister, Attorney-General John Rau, has established the MAIAS Accreditation Panel to accredit Health Professionals for the purpose of undertaking assessments (ISV Medical Assessments) to assist in determining an injured person's entitlement to compensation.

Panel members are comprised of nominees of the designated Minister; the Australian Medical Association (SA), the Law Society (SA) and the CTP Insurance Regulator. The CTP Accreditation Panel will implement and administer the Scheme. Their responsibilities include but are not limited to:

- prescribing the processes and documentation of the MAIAS;
- prescribing accreditation training courses and overseeing their implementation;
- make recommendations to the Minister for approval of applicants who meet the accreditation criteria;
- monitoring the performance of Accredited Medical Practitioners to ensure conformity with accreditation obligations;
- conducting investigations into alleged breaches of these conditions and imposing sanctions authorised by the MAIAS;
- maintaining and keep an up to date register of all Accredited Medical Practitioners; and
- ensuring continuing oversight of the MAIAS

The CTP Accreditation Panel includes a nominee of the Attorney-General.

### CTP Insurance Regulator Structure Description

The CTP Regulator is an instrumentality of the Crown and a not for profit statutory authority of the South Australian Government. It is managed by the Compulsory Third Party Insurance Regulator Governance Committee which is an internal committee responsible for management and review of the governance practices of the CTP Regulator.

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<sup>2</sup> Compulsory Third Party (CTP) Insurance Regulator Annual Report 2016-2017



## Compulsory Third Party (CTP) Insurance Regulator

The CTP Insurance Regulator operates under three Directorates as follows:

- Scheme Performance

This directorate is responsible for claims performance, injury recovery and support services, policy and maintains the enquiries line

- Data Analytics and Finance

This directorate is responsible for data analytics, systems, premiums and finance.

- Scheme Implementation

This directorate is responsible for communications and stakeholder engagement, compliance and corporate functions.

The current structure of the organisation is shown in Appendix 1.

### Predecessor Agencies

The Motor Accident Commission (MAC) was responsible for CTP, but with a change in legislation CTP Insurance Regulator now regulate the service. No records were transferred from MAC at the commencement of CTP Insurance Regulator.

### Successor Agencies

There are no successor agencies.

### Legislation

Legislation administered by CTP Insurance Regulator

- *Compulsory Third Party Insurance Regulation Act 2016*
- *Civil Liability Act 1936*

Legislation not administered by CTP Insurance Regulator

- *Motor Vehicles Act 1959.*
- *Electronic Communications Act 2000*
- *Freedom of Information Act 1991*
- *Motor Vehicle Accidents (Lifetime Support Scheme) Act 2013*
- *Public Sector Act 2009*
- *Public Sector (Data Sharing) Act 2016*
- *Public Sector (Honesty and Accountability) Act 1995*
- *State Records Act 1997*



## Compulsory Third Party (CTP) Insurance Regulator

### Context of the Records Covered by the Schedule

#### Coverage of RDS 2019/03

This RDS provides comprehensive coverage to closed and current operational records created by business units within the CTP Insurance Regulator.

#### Related Series Affected by RDS 2019/03

There are no related series affected by this RDS.

#### Complementary Schedules to RDS 2019/03

There are no complementary Disposal Schedules to use with this RDS.

#### Existing Disposal Schedules Superseded by RDS 2019/03

There are no existing Disposal Schedules superseded by this RDS.

#### Records Structure within CTP Insurance Regulator

The CTP Insurance Regulator uses a business classification scheme hierarchy and files in its Electronic Document and Records Management System (Objective) to manage their records. This system is centralised.

#### Broad Description and Purpose of the Records

These records cover the oversight, monitoring and reporting of the CTP Approved Insurer activities in the South Australian market to:

- ensure that a fair and affordable CTP Insurance Scheme (Scheme) is maintained;
- continue to improve the CTP Scheme's outcomes for the injured;
- have oversight of the CTP insurance premium setting process; and;
- respond to enquiries from the public, clients or stakeholders.

The records cover the various activities as listed in this Schedule and summarised as follows:

- Monitoring of CTP Scheme;
- Activities associated with CTP Premium determination;



## Compulsory Third Party (CTP) Insurance Regulator

- Advice to the Minister or other bodies on policy issues or specific matters affecting the CTP Insurance Regulator responsibilities, enquiries from the public or other insurance scheme related organisations;
- Develop and administer compliance frameworks and systems to ensure the documentation of activities, results, auditing, accreditation, maintenance or other responsibilities are upheld; and
- Management of the MAIAS Accreditation Panel and Scheme.

### Functions and Activities Documented by the Records

The terms used in the RDS are based on the CTP Insurance Regulator's Business Classification Scheme and the records document the main functional responsibilities of the Regulator. The functions and activities include:

- BUSINESS INTELLIGENCE AND DATA QUALITY MANAGEMENT
  - Data Quality
  - Data Requests
  - Evaluation and Review
- COMPETITION MODEL (CTP)
  - Advice
  - Evaluation and Review
  - Implementation
  - Premium Regulation
  - Research (Scheme)
- COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT
  - Advice
  - Claim Management
  - Claim Performance
  - Complaints (Scheme)
  - Compliance (Scheme)





### **Compulsory Third Party (CTP) Insurance Regulator**

- Contracts Deeds and Agreements
- Enquiries (CTPIR)
- Framework (H&IR)
- Fraud Management
- Insurer Management
- Nominal Defendant Management
- Policy
- Premium Regulation
- Prudential Supervision
- Research (Scheme)
- Scheme Performance
- Training and Education
- **MOTOR ACCIDENT INJURY ASSESSMENT SCHEME (MAIAS)**
  - Accreditation Panel
  - Accreditation Scheme
  - Advice
  - Complaints (Scheme)
  - Injury Scale Value (ISV) Medical Assessments
  - Liaison
  - Quality Assurance
  - Training and Education
- **STRATEGIC MANAGEMENT (CTPIR)**
  - Committees, Forums and Meetings
  - Conference Organisation
  - Consultation



## Compulsory Third Party (CTP) Insurance Regulator

- Project Management
- Reporting

### Arrangement of the Records

The office of the CTP Insurance Regulator manages its records in the Objective Electronic Document and Records Management System. All records were migrated from shared/network drives into Objective as part of the system's implementation in 2017.

The Personal Injury Register (PIR) is a central register of claims and is maintained by the Regulator. The PIR records claims data and the database of claims statistics is a key tool used by the CTP Insurance Regulator to monitor the CTP Scheme and ensure compliance by Approved Insurers with their legislative and contractual obligations.

The system of arrangement for Objective files is a file number with an annual single number e.g. Numbering pattern CTPIRYYYY/GGGG - (Example CTPIR18/295).

### Agency Creating the Records

The CTP Insurance Regulator that administers the records covered by this RDS also created them.

### Agency Owning or Controlling the Records

The CTP Insurance Regulator administers the records covered by this RDS and also controls or owns them.

### Date Range of the Records

Records Date Range: 1 July 2016 to Ongoing

### Volume of the Records

The CTP Insurance Regulator currently has approximately 27 gigabytes of digital records. The accumulation rate for digital records is approximately 15 gigabytes per annum.

The Regulator currently has 1 linear metre of hard copy records in storage. The rate of accumulation is expected to be minimal, if at all.

### Special Custody Requirements

There are no special custody requirements.

### Special Storage Requirements

There are no special storage requirements.



## Compulsory Third Party (CTP) Insurance Regulator

### Issues Not Mentioned Previously

There are no issues that have not already been mentioned.

### Comments Regarding Disposal Recommendations

#### Permanent Records Rationale

Records deemed as permanent are those which have a continuing value to the State or are of national significance. The appraisal objectives adopted by State Records of South Australia for identifying records of permanent value relevant to the records covered by this schedule are:

Objective 1 - To identify and preserve official records providing evidence of the source of authority, foundation and machinery of the South Australian Government and public sector bodies.

CTP Insurance Regulator records that meet this objective include items: agreements and contracts (3.14.1), (agreements between governments such as contracts, complementary legislation, policy and funding initiatives.) and development establishment and reporting for frameworks and models (4.2.1). (formal instruments or authorities establishing the functions, jurisdictions, boundaries and operations)

The records covered by these items meet this objective as they are evidence of the source of authority, foundation and machinery of SA Government.

Objective 2 - To identify and preserve official records providing evidence of the deliberations, decisions and actions of the South Australian Government and public sector bodies relating to key functions and programs and significant issues faced in governing the State of South Australia.

CTP Insurance Regulator records that meet this objective include items: evaluation and reviews (2.2.1), (the monitoring, analysis and review of policy); implementation records (2.3.1, 2.3.3, 2.3.4, 2.3.5, (the formulation, determination and implementation of high level policy and strategic management decisions within and across government strata, and between the public and private sectors) and research records (2.4.1) (the monitoring, analysis and review of policy affecting key government functions) Framework records (3.8.1) scheme performance (3.18.1) advice (4.3.1, 5.1.1) development establishment and reporting for frameworks and models (4.2.1, 4.5.1) .

The records covered by these items meet this objective as they are evidence of key decisions and activities influencing the administration of government and the people of South Australia. This include records documenting the background, basis, and outcomes of those decisions and activities.

Objective 3 - To identify and preserve official records providing evidence of the legal status and fundamental rights and entitlements of individuals and groups.



## Compulsory Third Party (CTP) Insurance Regulator

CTP Insurance Regulator records that meet this objective include items: agreements and contracts (3.6.1, 3.6.2) relate to legal status of approved insurers (All relate to establishing and protecting the fundamental rights and entitlements of individuals and groups)

The records covered by these items meet this objective as they are essential for establishing and protecting the fundamental rights and entitlements of individuals and groups within the community and the ongoing administration of the State. This includes records establishing the existence of individuals and groups, as well as their rights to participate in the affairs of the State and make claim to entitlements and protection provided by the State

Objective 4 - To identify and preserve official records substantially contributing to the knowledge and understanding of the society and communities of South Australia.

CTP Insurance Regulator records that meet this objective include items: education records (5.2.1), development establishment and reporting for frameworks and models (5.4.1) and implementation records (5.5.1) (contribute to the existing body of knowledge or understanding of aspects of the history, society, culture or people of South Australia.)

The records covered by these items meet this objective as they are essential for the contribution to the existing body of knowledge or understanding of aspects of the history, society, culture or people of South Australia.

Objective 5 - To identify and preserve official records that contribute to the protection and well-being of the community or provide substantial evidence of the condition of the State, its people and the environment, and the impact of government activities on them.

CTP Insurance Regulator records that meet this objective include items: consultation records (5.3.1). (collections and analyses of data to assist effective planning and decision making in relation to issues significantly affecting the community)

The records covered by these items meet this objective as they are essential for, or contributing to, the protection, physical well-being or social benefit of both current and future generations. They document the impact of government activities on the community and individuals.

### Temporary Records Rationale

Temporary records are those considered not to have continuing value to the CTP Insurance Regulator, the State Government nor to the community. Retention periods have been determined by assessing the legal, administrative, evidentiary and financial accountability requirements of the CTP Insurance Regulator. Records documenting core business activities in this schedule that are considered of temporary value have less than permanent terms of expiry. A representative sample of temporary records includes:

Administrative records (1.1.1, 1.2.2, 1.3.1, 1.4.1, 2.1.1, 2.2.1 4.6.5, 4.9.3, 4.18.2, 5.1.3, 6.1.4, 6.2.2), notifications/information from other organisations (4.2.7, 4.2.8, 4.10.5, 5.6.1), feedback and other supporting records (6.3.3, 6.3.7, 6.4.3, 6.5.4) and core business supporting



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records (4.6.3, 4.12.1, 5.2.2, 4.6.4, 4.6.5, 4.7.1, 4.9.1, 4.9.2, 4.10.2, 4.11.1, 4.12.1, 4.13.1, 4.13.3, 4.16.1, 4.18.1, 5.1.1, 5.1.2, 5.2.2, 5.2.3, 5.3.2, 5.4.1, 5.5.2, 5.7.1, 5.7.2).

### Other Disposal Considerations

There are no other considerations for or against the retention or destruction of records affected by this RDS.

### Disposal Recommendation Effect on Related Records

There are no related records affected by the disposal recommendations in this RDS.

### Alternative Record Formats

There are no alternative record formats.

### Impact on Native Title Claims

There is no discernible relevance to Native Title Claims.

### Indigenous Considerations

The determinations within *RDS 2019/03* are consistent with Recommendation 21 of the *National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from Their Families*.

The principles outlined in *GDS 16*, relating to Native Title claims, have also been considered in the development of this Schedule.

*RDS 2019/03* meets all cultural, historical, legal and administrative requirements.

All documents considered relevant to native title in South Australia must be checked for actual relevance with the Native Title Section of the Crown Solicitor's Office before being disposed of.



## Compulsory Third Party (CTP) Insurance Regulator

### Scope Note

#### Records Covered by this Schedule

This *RDS 2019/03* applies to the records of the CTP Insurance Regulator.

#### How to Apply this Schedule

##### Use in conjunction with GDS

This Schedule should be used in conjunction with *GDS 30*, as amended, or its successor. Cross-references to the *GDS 30* are included in this Schedule where appropriate.

To identify records that may be potentially relevant to native title claims, please refer to guideline *Identifying documents which may be relevant to Native Title* attached to *GDS 16*. Where records sentenced for temporary retention are identified as having potential relevance to a native title claim, they need to be retained until 31 December 2024.

To identify records that may be potentially relevant to *Legal Proceedings or Ex Gratia Applications Relating to Alleged Abuse of Former Children Whilst in State Care*, please refer to *GDS 27*. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2020.

To identify records that may be potentially relevant to the *Royal Commission into Institutional Responses to Child Sexual Abuse*, please refer to *GDS 32*. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2023.

##### Use in conjunction with, or complementary to, other RDS

This Records Disposal Schedule does not complement any existing schedules.

##### Other RDS superseded by RDS 2019/03

This RDS does not supersede any existing schedules.

##### Re-sentencing of records where schedules are superseded or particular entries within a schedule are superseded

In this instance, the re-sentencing of records is not required.

##### Records excluded from RDS 2019/03

There are no records excluded from cover by this RDS.



## Compulsory Third Party (CTP) Insurance Regulator

### Application to records in all formats

*RDS 2019/03* applies to records in all formats, including databases and other electronic records. The CTP Insurance Regulator is required to ensure that the records remain accessible for the duration of the designated retention periods.

### Interpretation of the Schedule

#### Minimum retention periods

Retention periods for temporary records shown in *RDS 2019/03* are minimum retention periods for which records need to be retained. It is at the discretion of the CTP Insurance Regulator as to whether records are kept for longer than the minimum period.

#### Acronyms

- AIS - Abbreviated Injury Scale
- APRA - Australian Prudential Regulation
- CTP - Compulsory Third Party
- CTPIR - Compulsory Third Party Insurance Regulator
- DPTI – Department of Planning Transport & Infrastructure
- H&IR – Health and Injury Recovery
- ISV - Injury Scale Value
- MAIAS – Motor Accident Injury Assessment Scheme
- MOAA – Memorandum of Administrative Arrangements
- PIR - Personal Injury Register
- RTWSA – Return to Work South Australia
- SAPOL – South Australian Police
- TRUMPS - Transport Regulation User Management Processing System

#### Definitions of terms specific to RDS 2019/03

- Accredited Health Professional – a medical treatment provider who is accredited under the Motor Accident and Injury Assessment Scheme and the RTWSA Scheme.
- Accreditation Panel – Panel which accredits the treatment providers under the Motor Accident Injury Assessment Scheme.
- Approved Insurers – Private insurers (currently AAMI, Allianz, QBE and SGIC) who were approved by the South Australian Government to provide CTP insurance.
- Claim Farming – Fraudulent contact made to people who have been involved in a car accident seeking personal information and accident details.
- Competition Model – see CTP Competition Model
- Competition Model Project – A project undertaken to develop and implement CTP Competition Model.



## Compulsory Third Party (CTP) Insurance Regulator

- CTP Competition Model – The Regulator was given 3 years transition period to introduce a new Scheme where motorists will be able to choose their preferred CTP Insurer, compared to the current system of auto-allocation of insurance policies. The Regulator has developed a model for this purpose which is known as the CTP Competition Model.
- District 1 Boundary – The insurance premiums are calculated based on the geographic home location of the vehicles, which is divided into two districts, namely Districts 1 & 2. A map does not exist for this as it goes by suburbs. Generally anything more than 40kms from CBD Business Centre is technically a district 2 area.
- Health and Injury Stakeholders – the parties involved in providing advice to the Regulator; Providers of treatment to injured people involved in motor vehicle accidents; Organisations involved in the health and injury recovery processes.
- Injury Coding – the coding used to identify the area, type and result of injuries sustained from vehicle accidents.
- Injury Scale Value - a measure of injury severity for a person who is injured in a motor vehicle accident.
- Major Crash Investigation Service – A service provided by the Major Crash Investigation Unit, in coordination with SAPOL to provide a report on the accident.
- Nominal Defendant Claims - Claims where the vehicle is unregistered or uninsured or unknown. The Regulator is appointed as the Nominal Defendant under Part 4 of the Motor Vehicles Act 1959 The Regulator assigns Nominal Defendant claims to the CTP Insurers in line with their contractual agreements with the State
- Physical Assessors – Accredited Health Professionals who undertake Quality Assurance Reviews on the MAIAS Injury Scale Value Medical Assessments.
- Public Regulator Rules - Rules published for the public that govern the responsibilities of the Approved Insurers.
- Pure Psychiatric Reports – Reports produced by Accredited Health Professionals who undertake the Quality Assurance Reviews on the MAIAS Injury Scale Value Medical Assessments.
- Regulator – the Compulsory Third Party Insurance Regulator for the South Australian CTP Insurance Scheme
- Scheme Entrants – potential insurers who are approved to join the SA CTP Scheme.





## Compulsory Third Party (CTP) Insurance Regulator

### Legal Deposit

Legal deposit refers to statutory provisions that oblige publishers to deposit copies of their publications in libraries in the country in which they are published. Under the Commonwealth *Copyright Act 1968* and various Australian state Acts, a copy of any work published in Australia must be deposited with (a) the National Library of Australia and (b) the appropriate State Library. Legal deposit extends not only to commercial publishers but also to private individuals, clubs, churches, societies and organisations.

In South Australia, one copy of publications produced for external use should be deposited with the State Library and the Parliamentary Library (section 35, *Libraries Act 1982*). Publications include books, newspapers, magazines, journals, pamphlets, maps, plans, charts, printed music, records, cassettes, films, video or audio tapes, computer software CD-ROMS, compact discs and other items made available to the public.

### Records and Litigation

Where the CTP Insurance Regulator is aware that records may be required for use in litigation, for use in a government enquiry or the consideration of the Ombudsman, the records must not be destroyed. In such circumstances the records must be retained until two years after all cases and enquiries are complete (including appeals) and then have the original retention period applied to the records.

### Pre-1901 Records

All pre-1901 records are required to be **retained permanently** in accordance with a motion approved by the State Records Council on 19 February 2008.

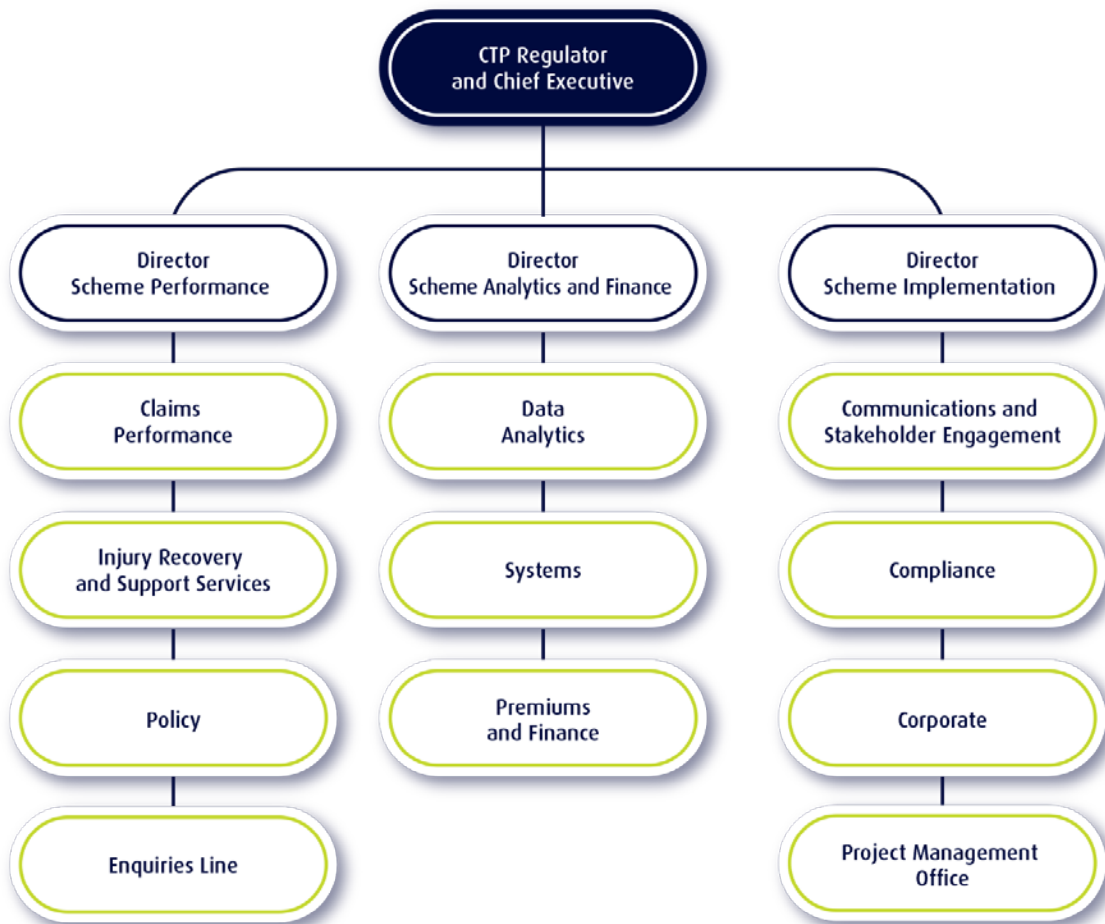
In this instance, this RDS does **NOT** apply to pre-1901 records.



### Compulsory Third Party (CTP) Insurance Regulator

## Appendix 1

The structure of CTP Insurance Regulator’s Directorates and the various functions performed.





**Compulsory Third Party (CTP) Insurance Regulator**

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**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>BUSINESS INTELLIGENCE AND DATA QUALITY MANAGEMENT</b>			
<b>1</b>	<b>BUSINESS INTELLIGENCE AND DATA QUALITY MANAGEMENT</b>	<b>The function of the collection, manipulation, benchmarking and reporting on data relating to scheme performance.</b>	
<b>1.1</b>	<b>Advice (Data Quality)</b>	<i>The activities associated with CTPIR receiving advice from Approved Insurers, persons or agencies, as to an action or judgment. Also includes the CTPIR offering opinions or advice to others relating to Data Quality.</i>	
1.1.1	Advice (Data Quality)	Records relating to the receipt and issuing of Data Quality advice.	<b>TEMPORARY</b> Destroy 10 years after action completed
<b>1.2</b>	<b>Data Quality</b>	<i>The activities associated with ensuring the quality of data collected and managed by the Approved Insurers. This includes the conducting of monthly meetings with the Approved Insurers.</i>	
1.2.1	Data Quality	Records relating to the Personal Injury Register (PIR).	<b>PERMENENT</b>
1.2.2	Data Quality	Master records relating to internal meetings and external Data Quality meetings with Approved Insurers. Includes agendas, minutes and actions.	<b>TEMPORARY</b> Destroy 100 years after action completed
<b>1.3</b>	<b>Data Requests</b>	<i>The activities associated with requests for business intelligence and data information relating to CTP Scheme performance.</i>	
1.3.1	Data Requests	Records relating to data requests from the approved insurers.	<b>TEMPORARY</b> Destroy 10 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>BUSINESS INTELLIGENCE AND DATA QUALITY MANAGEMENT</b>			
<b>1.4</b>	<b>Evaluation and Review</b>	<i>The process of determining the suitability of potential or existing programs, projects, assets, systems or services in relation to meeting the needs of the given situation. Includes review and ongoing monitoring. Includes recommendations resulting from these activities.</i>	
1.4.1	Evaluation and Review	Records relating to the review of Business Intelligence and Data Quality Management processes.	<b>TEMPORARY</b> Destroy 10 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>2 COMPETITION MODEL MANAGEMENT</b>			
<b>2</b>	<b>COMPETITION MODEL MANAGEMENT</b>	<b>The function of the development and implementation of the CTP Insurance Scheme’s Competition Model Project including stakeholder relations, legislative changes, operational implementation, motorist market research, and internal and external communications.</b>	
<b>2.1</b>	<b>Advice</b>	<i>The activities associated with the CTPIR receiving advice from other organisations, persons or agencies, as to an action or judgement. Also includes the CTPIR offering opinions or advice to others.</i>	
2.1.1	Advice	Records relating to the issuing of Regulatory Framework and advice relating to the CTP Scheme’s Competition Model.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>2.2</b>	<b>Evaluation and Review</b>	<i>The process of determining the suitability of potential or existing programs, projects, assets, systems or services in relation to meeting the needs of the given situation. Includes review and ongoing monitoring. Also includes recommendations resulting from these activities.</i>	
2.2.1	Evaluation and Review	Records and reports relating to the review of the CTP Insurance Scheme’s Competition Model. Includes the consultation with stakeholders.	<b>PERMANENT</b>
2.2.2	Evaluation and Review	Summary records relating to the review of the CTP Insurance Scheme’s Competition Model. Includes the consultation with stakeholders.	<b>TEMPORARY</b> Destroy 10 years after action completed
<b>2.3</b>	<b>Implementation</b>	<i>The process of implementing and undertaking major projects, systems or services in relation to meeting the needs of the given situation.</i>	



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>2 COMPETITION MODEL MANAGEMENT</b>			
2.3.1	Implementation	Records relating to the establishment, project charters, working papers for the Competition Model Communications and Customer Service Working Groups. Includes the Portfolio Steering Committee, the Premium Regulation Working Group and the Regulatory Framework Working Group.	<b>PERMANENT</b>
2.3.2	Implementation	Records relating to working papers and support records for the Competition Model Working Groups.	<b>TEMPORARY</b> Destroy 10 years after action completed
2.3.3	Implementation	Records relating to the planning, development and implementation of the Competition Scheme for 1 July 2019, including all significant decisions and actions taken (previously referred to as Decision Register). Includes Engagement Strategy and Stakeholder Engagement Project plans.	<b>PERMANENT</b>
2.3.4	Implementation	Records relating to project charters, establishment documents, working papers for the Legislative and Contracts Working Group.	<b>PERMANENT</b>
2.3.5	Implementation	Records relating to the implementation and delivery of major systems or services relating to the Competition Model.	<b>PERMANENT</b>
2.3.6	Implementation	Records relating to working papers and supporting records for the implementation and delivery of major systems or services relating to the Competition Model.	<b>TEMPORARY</b> Destroy 10 years after action completed
2.3.7	Implementation	Records relating to Competition Model implementation workshops with the Approved Insurers.	<b>TEMPORARY</b> Destroy 20 years after action completed





**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>2 COMPETITION MODEL MANAGEMENT</b>			
<b>2.4</b>	<b>Research (Scheme)</b>	<i>The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support scheme management, including development of policy, standards or guidelines for the scheme. Includes following up enquiries relating to agency programs, projects, working papers, literature searches, etc.</i>	
		<b>See Also: GDS30 v1.1: 13.23 STRATEGIC MANAGEMENT - Research for research records into other operations of the CTPIR</b>	
2.4.1	Research (Scheme)	Records relating to summaries and reports of research results, including emerging trends into the development, implementation and ongoing management of the Competition Model, including Premium Setting and market research.	<b>PERMANENT</b>
2.4.2	Research (Scheme)	Records relating to the conducting of research, including the data gathered to develop reports and summaries.	<b>TEMPORARY</b> Destroy 20 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
<b>3</b>	<b>COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>	The function of managing the oversight, monitoring and reporting of Approved Insurer activities, and ensuring that a fair and affordable CTP Scheme is maintained. Includes providing a framework of best practice to guide the public and insurers on health and injury recovery. Includes the conducting of research and consultation, developing and issuing of advice, reports and publications, managing projects, receiving and handling enquiries and complaints and the arranging of conferences. Includes the development and issuing of scheme rules to the Approved Insurers.	
<b>3.1</b>	<b>Advice</b>	<i>The activities associated with the CTPIR receiving advice from other organisations, persons or agencies, as to an action or judgement. Also includes the CTPIR offering opinions or advice to others.</i>	
3.1.1	Advice	Records relating to the provision of advice and guidance to the Approved Insurers, the Taxi Council and other stakeholders in relation to the CTP Insurance Scheme. Includes the issuing and receiving of advice on health and injury recovery.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.1.2	Advice	Records relating to advice and recommendations to enable the Department of Planning, Transport and Infrastructure to respond to enquiries that it receives from the public.	<b>TEMPORARY</b> Destroy 10 years after action completed
<b>3.2</b>	<b>Claim Management</b>	<i>The activities associated with the management of CTP injury claims.</i>	
3.2.1	Claim Management	Records relating to register of notable and sensitive claims for adults.	<b>PERMANENT</b>
3.2.2	Claim Management	Records relating to insurer advice relating to notable and sensitive claims for adults.	<b>TEMPORARY</b> Destroy 20 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
3.2.3	Claim Management	Register of notable and sensitive claims for minors and claimants under a legal disability.	<b>PERMANENT</b>
3.2.4	Claim Management	Records relating to insurer advice relating to notable and sensitive claims for minors and claimants under a legal disability.	<b>TEMPORARY</b> Destroy 30 years after action completed
3.2.5	Claim Management	Records relating to claims received from adults prior to 1 July 2019 (changes to the scheme - Competition Model) and allocated to Approved Insurers.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.2.6	Claim Management	Records relating to claims received from minors and claimants under a legal disability prior to 1 July 2019 (changes to the scheme - Competition Model) and allocated to Approved Insurers.	<b>TEMPORARY</b> Destroy 30 years after action completed
3.2.7	Claim Management	Records relating to the Early Notification claim process.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.2.8	Claim Management	Records relating to Injury Scale Value (ISV), voluntary services and future economic loss calculator.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.2.9	Claim Management	Records relating to the reconciliation of outstanding SA Police requests.	<b>TEMPORARY</b> Destroy 10 years after action completed
3.2.10	Claim Management	Records relating to SA Police reports for accidents.	<b>TEMPORARY</b> Destroy 5 years after action completed
<b>3.3</b>	<b>Claim Performance</b>	<i>The activities associated with managing and monitoring the performance of the CTP Insurance Scheme.</i>	



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
3.3.1	Claim Performance	Records relating to the reporting and summaries into the review and audits of Injury Claim Performance. This includes the audit on the arrangements for Accredited Health Professional examinations and ISV assessments.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.3.2	Claim Performance	Records relating to the management of the performance of the CTP Insurance Scheme.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>3.4</b>	<b>Complaints (Scheme)</b>	<i>The activities associated with the receipt and management of complaints relating to claims, performance of the insurers, claim farming, injury recovery and MAIAS injury management.</i>	
3.4.1	Complaints (Scheme)	Register of complaints.	<b>PERMANENT</b>
3.4.2	Complaints (Scheme)	Records relating to the register of all complaints received by the Regulator, including the status of the complaint	<b>TEMPORARY</b> Destroy 20 years after action completed
3.4.3	Complaints (Scheme)	Records relating to the receipt and management of complaints relating to claims, performance of insurers and claims farming..	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>3.5</b>	<b>Compliance (Scheme)</b>	<i>The activities associated with ensuring the compliance with requirements of the CTP Scheme by Approved Insurers. Includes maintaining the Breach Register, the establishment and review of the Compliance Framework and the audit scope and criteria.</i>	
3.5.1	Compliance (Scheme)	Register of breaches.	<b>PERMANENT</b>
3.5.2	Compliance (Scheme)	Records relating to breaches by an Approved Insurer of their contractual requirements.	<b>TEMPORARY</b> Destroy 30 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
3.5.3	Compliance (Scheme)	Register of Approved Insurers audits.	<b>PERMANENT</b>
3.5.4	Compliance (Scheme)	Records relating to audits into Approved Insurers meeting their requirements under the CTP Insurance Scheme. Includes audits conducted on Approved Insurers' business plans, website and contact audits, complaints and internal dispute resolution, data quality compliance, internal audit plans and audit results.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.5.5	Compliance (Scheme)	Records relating to the establishment and management of the Compliance and Audit Framework, including the Compliance Schedule. Includes records relating to the Annual Declaration Audit and Value Adds.	<b>TEMPORARY</b> Destroy 20 years after action completed
		<b>See Also: GDS30 v1.1: 13.22 STRATEGIC MANAGEMENT-Reporting for external surveys completed by the CTPIR</b>	
<b>3.6</b>	<b>Contracts, Deeds, Rules and Agreements</b>	<i>The processes associated with the establishment, maintenance, review and negotiation of deeds, contracts, rules and agreements with stakeholders, including Memoranda of Administrative Arrangements (MOAA).</i>	
3.6.1	Contracts, Deeds, Rules and Agreements	Records relating to contracts, deeds and agreements with the Approved Insurers.	<b>PERMANENT</b>
3.6.2	Contracts, Deeds, Rules and Agreements	Records relating to directions and rules issued to the Approved Insurers by the CTPIR regarding meeting the requirements of contracts.	<b>PERMANENT</b>
3.6.3	Contracts, Deeds, Rules and Agreements	Records relating to the contract/Memorandum of Understanding with the Australian Prudential Regulation Authority (APRA).	<b>TEMPORARY</b> Destroy 50 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
3.6.4	Contracts, Deeds, Rules and Agreements	Records relating to the establishment, maintenance, review and negotiation of deeds and agreements with the Approved Insurers. Includes records relating to commercial and scheme rules for Approved Insurers. Includes working papers.	<b>TEMPORARY</b> Destroy 50 years after action completed
3.6.5	Contracts, Deeds, Rules and Agreements	Records relating to the development and finalisation of agreements (MOAAs) with stakeholders, and other payment processes associated with the administrative expense component of CTP insurance premiums.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>3.7</b>	<b>Enquiries (CTPIR)</b>	<i>The activities associated with the handling of requests for information about CTPIR and its services, by the general public or another agency or organisation.</i>	
3.7.1	Enquiries (CTPIR)	Records relating to enquiries received from the Approved Insurers, the general public and the media regarding the CTP Insurance Scheme. This includes enquiries relating to health and injury recovery.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.7.2	Enquiries (CTPIR)	Records relating to the development of Frequently Asked Questions and scripts for the CTPIR and Services SA staff to respond to enquiries.	<b>TEMPORARY</b> Destroy 10 years after action completed
3.7.3	Enquiries (CTPIR)	Records relating to enquiries received from the general public and the media regarding the CTP Insurance Scheme.	<b>TEMPORARY</b> Destroy 8 years after action completed
<b>3.8</b>	<b>Framework (H&amp;IR)</b>	<i>The activities associated with the development, implementation and ongoing maintenance of the H&amp;IR framework for use internally and externally to the CTPIR.</i>	
3.8.1	Framework (H&IR)	Records relating to the development of the Injury Recovery and Early Intervention Framework and the assessment tool.	<b>PERMANENT</b>





**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
<b>3.9</b>	<b>Fraud Management</b>	<i>The activities associated with the reporting, investigation and management of the incidence of fraud. This includes fraudulent activity of claimants or Approved Insurers.</i>	
3.9.1	Fraud Management	Approved Insurer Claim Farming Registers.	<b>PERMANENT</b>
3.9.2	Fraud Management	Records relating to Approved Insurer fraud management. Includes records related to reported incidences of fraud at an Approved Insurer.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.9.3	Fraud Management	Records relating to the management of Claims Farming.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.9.4	Fraud Management	Records relating working papers and research for the management of fraud and Claims Farming.	<b>TEMPORARY</b> Destroy 10 years after action completed
<b>3.10</b>	<b>Injury Coding</b>	<i>The activities associated with Injuring Coding of the area, type and result of injuries sustained from vehicle accidents. These codes are used for the collection and use of Traffic Accident Insurance Data and Approved Insurers' reporting of injury data to the CTPIR in the format of either Abbreviated Injury Scale (AIS) 2005 injury codes or Non-AIS injury codes.</i>	



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
3.10.1	Injury Coding	Records relating to Injury Coding, including the CTPIR’s CTP Injury Coding Guideline and the provision of guidance to the Approved Insurers regarding their obligations to report injury data in an accurate and timely manner.  Includes the CTPIR’s Injury Coding Audit Plan, Injury Coding Audit Reports for the CTP Insurers, and the internal report for the CTPIR.  Includes records of each Approved Insurer’s proof of Abbreviated Injury Scale (AIS) 2005 injury coding training certificates for their injury coders.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>3.11</b>	<b>Insurer Management</b>	<i>Activities associated with the management of the Approved Insurers including business plans, liaison of contact details, revocation etc.</i>	
3.11.1	Insurer Management	Records relating to the development of the CTP management business models by the Approved Insurers which they are required to submit to the CTP Insurance Regulator.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.11.2	Insurer Management	Records relating to the management of Approved Insurer’s business plans.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.11.3	Insurer Management	Records relating to the Major Crash Investigations Service.	<b>TEMPORARY</b> Destroy 10 years after action completed
3.11.4	Insurer Management	Records relating to the change of insurer requests.	<b>TEMPORARY</b> Destroy 10 years after action completed





**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
3.11.5	Insurer Management	Records relating to liaison with Approved Insurers including liaison regarding contact details. Includes Return to Work SA's (RTWSA) gazetted fees.	<b>TEMPORARY</b> Destroy 5 years after action completed
<b>3.12</b>	<b>Liaison</b>	<i>The activities associated with maintaining regular general contact between the CTPIR and organisations and individuals in related fields, private sector organisations and community groups.</i>	
		<b>See Also: 4.6 Motor Accident Injury Assessment Scheme – Liaison for records relating to relationship management between the CTPIR and RTWSA regarding the MAIAS</b>	
3.12.1	Liaison	Records relating to the outcomes of liaison with stakeholders such as the taxi industry and health and injury recovery stakeholders. Includes agendas, minutes and file notes.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>3.13</b>	<b>Nominal Defendant Management</b>	<i>The activities associated with the management of claims where the vehicle is unregistered and or uninsured, or is unknown.</i>	
3.13.1	Nominal Defendant Management	Records relating to the management of Nominal Defendant Claims. Includes records relating to managing the Nominal Defendant process.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>3.14</b>	<b>Policy</b>	<i>The activities associated with developing and establishing decisions, directions and precedents that act as a reference for future decision making as the basis from which the CTPIR's operating work instructions are determined.</i>	
3.14.1	Policy	Records relating to the development of the CTP Insurance Scheme's policy position.	<b>PERMANENT</b>
<b>3.15</b>	<b>Premium Regulation</b>	<i>The activities associated with the determination of premiums in respect of CTP insurance policies. Reports / activities related to guiding the Approved Insurers on premiums, including Agreements with Stakeholders.</i>	



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
		<b>See Also: 3.6 Compulsory Third Party (CTP) Insurance Scheme Management - Contracts Deeds and Agreements for records relating to agreements (MOAAs) with stakeholders, and other payment processes associated with the administrative expense component of CTP insurance premiums.</b>	
3.15.1	Premium Regulation	Records relating to the determination of premiums and the setting of CTP insurance premiums.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.15.2	Premium Regulation	Records relating to working papers for the determination of premiums prior to the Competition Model. Includes reports regarding other jurisdictions premium pricing and premium relativities relating to pricing.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.15.3	Premium Regulation	Records relating to Approved Insurer expenses.	<b>TEMPORARY</b> Destroy 20 years after action completed
3.15.4	Premium Regulation	Records relating to the review of the District 1 boundary. District being the area in SA where the vehicle is garaged.	<b>TEMPORARY</b> Destroy 10 years after action completed
<b>3.16</b>	<b>Prudential Supervision</b>	<i>The processes associated with the Australian Prudential Regulation Authority (APRA) or any regulatory body providing information regarding the insurers and information sharing between regulators.</i>	
3.16.1	Prudential Supervision	Records relating to Insurance industry monitoring, including trends and Approved Insurer results, etc. Includes APRA Insurer Briefings.	<b>TEMPORARY</b> Destroy 10 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
<b>3.17</b>	<b>Research (Scheme and H&amp;IR)</b>	<i>The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. and used to support the CTP Insurance Scheme’s management, including development of policy, standards or guidelines for the CTP Insurance Scheme. Includes following up on enquiries relating to agency programs, projects, working papers, literature searches, etc.</i>	
3.17.1	Research (Scheme and H&IR)	Records related to the CTP Insurance Scheme and Health and Injury Recovery (H&IR) research.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>3.18</b>	<b>Scheme Performance</b>	<i>The activities associated with monitoring and determining the performance of the CTP Insurance Scheme. Includes agendas, briefings, business, discussion papers, proposals, reviews and returns.</i>	
3.18.1	Scheme Performance	Records relating to the monitoring and determining the performance of the CTP Insurance Scheme. Includes briefings, discussion papers, proposals and reviews.	<b>PERMANENT</b>
3.18.2	Scheme Performance	Working papers and support records relating to monitoring and determining the performance of the CTP Insurance Scheme.	<b>TEMPORARY</b> Destroy 10 years after action completed
<b>3.19</b>	<b>Training and Education</b>	<i>The activities involved in arranging and/or attending training and education relating to the CTP Insurance Scheme or Motor Accident Assessment Scheme (MAIAS). Includes bookings, registrations, publicity, presentations, reports of participants, etc.</i>	
3.19.1	Training and Education	Records relating to the provision of training to the Approved Insurers in relation to health and injury recovery.	<b>TEMPORARY</b> Destroy 20 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>3 COMPULSORY THIRD PARTY (CTP) INSURANCE SCHEME MANAGEMENT</b>			
3.19.2	Training and Education	Records relating to the arrangements for the provision of training. Includes arrangements and booking of the venue, catering etc.	<b>TEMPORARY</b> Destroy 2 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>4 MOTOR ACCIDENT INJURY ASSESSMENT SCHEME (MAIAS)</b>			
<b>4</b>	<b>MOTOR ACCIDENT INJURY ASSESSMENT SCHEME (MAIAS)</b>	The function of managing the Motor Accident Injury Assessment Scheme (MAIAS) in the accreditation of medical practitioners (general and specialist) to undertake ISV Medical Assessments, comprising of a whole person impairment assessment and allocation of an Injury Scale Value (ISV). This also includes the management of the Accreditation Panel.	
<b>4.1</b>	<b>Accreditation Panel</b>	<i>The activities associated with managing the Accreditation Panel. This includes meetings and Accreditation Panel member management.</i>	
4.1.1	Accreditation Panel	Records relating to the Accreditation Panel's agreements, including the terms of reference.	<b>TEMPORARY</b> Destroy 20 years after action completed
4.1.2	Accreditation Panel	Records relating to the quarterly Accreditation Panel Meetings. Includes agendas, minutes and reports. Includes records relating to consultation with internal/external stakeholders of the Accreditation Panel in relation to panel matters. Includes records relating to the management of the Accreditation Panel members. Including remuneration, member's biography and contact details.	<b>TEMPORARY</b> Destroy 30 years after action completed
4.1.3	Accreditation Panel	Records relating to the administrative arrangements for the quarterly Accreditation Panel meetings, including contact lists, venue bookings, catering records etc.	<b>TEMPORARY</b> Destroy 2 years after action completed
<b>4.2</b>	<b>Accreditation Scheme</b>	<i>The activities associated with management of the accreditation of doctors to provide CTP insurance claims assessments, and the doctor's status. This includes the calculation of the Injury Scale Value (ISV), which determines compensation threshold.</i>	



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>4 MOTOR ACCIDENT INJURY ASSESSMENT SCHEME (MAIAS)</b>			
4.2.1	Accreditation Scheme	Records relating to the establishment of the MAIAS Scheme.	<b>PERMANENT</b>
4.2.2	Accreditation Scheme	Records relating to the register of accredited medical practitioners. Includes contact details.	<b>TEMPORARY</b> Destroy 50 years after action completed
4.2.3	Accreditation Scheme	Records relating to the receipt, assessment and accreditation of applications from medical professionals.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>4.3</b>	<b>Advice</b>	<i>The activities associated with the CTPIR receiving advice from other organisations, persons or agencies, as to an action or judgement. Includes the CTPIR offering opinions or advice to others.</i>	
4.3.1	Advice	Records relating to legal advice received from the Crown Solicitor's Office regarding the MAIAS. Includes meetings with the Crown Solicitor's Office in relation to advice.	<b>PERMANENT</b>
4.3.2	Advice	Records relating to court rulings that may impact on the operation of the MAIAS and the Accreditation Scheme.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>4.4</b>	<b>Complaints (MAIS)</b>	<i>The activities associated with the receipt and management of complaints relating to claims, performance of the insurers, claim farming and MAIAS injury management.</i>	
4.4.1	Complaints (MAIS)	Records relating to complaints relating to MAIAS operations. Includes the log of complaints.	<b>TEMPORARY</b> Destroy 20 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>4 MOTOR ACCIDENT INJURY ASSESSMENT SCHEME (MAIAS)</b>			
<b>4.5</b>	<b>Injury Scale Value (ISV) Medical Assessments</b>	<i>The activities associated with the management of the Injury Scale Value (ISV) process and the ISV Medical Assessment Table, which is used to determine an Injury Scale Value as a measure of injury severity for a person who is injured in a motor vehicle accident. This includes ISV data.</i>	
4.5.1	Injury Scale Value (ISV) Medical Assessments	Records relating to the publication of the ISV Medical Assessment tables.	<b>PERMANENT</b>
4.5.2	Injury Scale Value (ISV) Medical Assessments	Records relating to ISV data received from the Motor Accident Commission or Approved Insurers for the purpose of the MAIAS Quality Assurance Program.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>4.6</b>	<b>Liaison</b>	<i>The activities associated with maintaining regular general contact between the CTPIR and organisations and individuals in related fields, private sector organisations and community groups.</i>	
4.6.1	Liaison	Records relating to liaison between the MAIAS and Return to Work SA.	<b>TEMPORARY</b> Destroy 10 years after action completed
<b>4.7</b>	<b>Quality Assurance</b>	<i>The process of undertaking quality assurance on an accredited doctor's assessment of a patient. Includes recommendations and reports resulting from these activities. Quality assurance is based on a random selection of doctors/practitioners.</i>	
		<b>See Also: 5.5 STRATEGIC MANAGEMENT (CTPIR) – Reporting for reports relating to quality assurance</b>	





**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>4 MOTOR ACCIDENT INJURY ASSESSMENT SCHEME (MAIAS)</b>			
4.7.1	Quality Assurance	Records relating to MAIAS Quality Assurance reports. Includes Physical Assessors and Pure Psychiatric Reports.	<b>TEMPORARY</b> Destroy 20 years after action completed
4.7.2	Quality Assurance	Records relating to the development of MAIAS Quality Assurance Program. Includes the plan, scoping document and minutes.	<b>TEMPORARY</b> Destroy 20 years after action completed
<b>4.8</b>	<b>Training and Education</b>	<i>The activities involved in arranging and/or attending training and education relating to the CTP Insurance Scheme or Motor Accident Assessment Scheme (MAIAS). Includes bookings, registrations, publicity, presentations, reports of participants, etc.</i>	
4.8.1	Training and Education	Records relating to MAIAS Training sessions, includes assessment results.	<b>TEMPORARY</b> Destroy 20 years after action completed
4.8.2	Training and Education	Records relating to the arrangements for the provision of training. Includes arrangements and booking of the venue, catering etc.	<b>TEMPORARY</b> Destroy 2 years after action completed





**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>5 STRATEGIC MANAGEMENT (CTPIR)</b>			
<b>5</b>	<b>STRATEGIC MANAGEMENT (CTPIR)</b>	The function of applying broad systematic management planning for the CTPIR. Includes the activities involved with the development, monitoring, and reviewing of business plans, strategic plans, work plans, corporate plans, energy and waste management plans and other long-term organisational strategies. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation that provides the legislative basis for the CTPIR. Also includes publication, legal advice and litigation.	
<b>5.1</b>	<b>Committees, Forums &amp; Meetings</b>	<i>The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department or agency as a whole. Includes arrangements, agenda, taking of minutes, etc. (KAAA)</i>	
5.1.1	Committees, Forums and Meetings	Records relating to meetings with Approved Insurers regarding the Competition Model, Competition Model Working Groups and Steering Committee meetings. Includes the Legislative Changes Working Group. Includes agendas, minutes and actions.	<b>PERMANENT</b>
5.1.2	Committees Forums and Meetings	The activities associated with conducting forums or meetings with Approved Insurers. Includes agendas, minutes and tasks that result from the forums and meetings.	<b>TEMPORARY</b> Destroy 30 years after action completed
5.1.3	Committees Forums and Meetings	Records relating to internal data quality meetings and external data quality meetings with approved insurers. Includes meetings held with stakeholders relating to the CTP Insurance Scheme, including the MAIAS and Health and Injury Recovery. Includes forums with the Approved Insurers and CTP Scheme Actuary.	<b>TEMPORARY</b> Destroy 20 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>5 STRATEGIC MANAGEMENT (CTPIR)</b>			
5.1.4	Committees Forums and Meetings	Records relating to administrative arrangements for Data Quality meetings. Includes contact lists, venue booking, catering records etc.	<b>TEMPORARY</b> Destroy 2 years after action completed
<b>5.2</b>	<b>Conference Organisation</b>	<i>The activities involved in arranging and/or attending conferences or forums organised or convened by the CTPIR. Examples include the Health and Injury Recovery conference, MAIAS conference. Includes bookings, registrations, publicity, presentations, reports of participants, etc.</i>	
5.2.1	Conference Organisation	Records relating to Health and Injury Recovery Conferences and MAIAS Conferences convened by the CTPIR. Includes conference brochures, papers, speakers, registrations, attendees, publicity, participant reports etc.	<b>PERMANENT</b>
5.2.2	Conference Organisation	Records relating to the organisation of the Health and Injury Recovery Conferences. Includes arrangements and booking for the venue, catering etc.	<b>TEMPORARY</b> Destroy 5 years after action completed
<b>5.3</b>	<b>Consultation</b>	<i>The process of consulting with others to seek comment/feedback on a range of services and issues. This includes requests for consultation from organisations and individuals.</i>	
		<b>See Also: GDS30 v1.1: 13.22 STRATEGIC MANAGEMENT-Reporting for external surveys completed by the CTPIR</b>	
5.3.1	Consultation	Summary Records and master version of records relating to stakeholder engagement and communication plans. Includes consultation with stakeholders, reporting on consultation for the development of the CTPIR Competition Model and for legislative change. Includes the CTP Competition Model Communication Strategy.	<b>PERMANENT</b>



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>5 STRATEGIC MANAGEMENT (CTPIR)</b>			
5.3.2	Consultation	Records relating to the consultation for the CTP Insurance Scheme, including the Injury Recovery and Early Intervention Framework and designing processes for injury recovery. Includes consultation records for the CTPIR's Competition Model Development. Includes the seeking and receiving of feedback.	<b>TEMPORARY</b> Destroy 20 years after action completed
5.3.3	Consultation	Records relating to consultation with stakeholders on the topic of injury data.	<b>TEMPORARY</b> Destroy 20 years after action completed
5.3.4	Consultation	Records relating to consultation with other stakeholders, such as Approved Insurers and new CTP Insurance Scheme entrants.	<b>TEMPORARY</b> Destroy 10 years after action completed
5.3.5	Consultation	Records relating to the development and ongoing management of the communication strategy. Includes records relating to the development of stakeholder engagement and communication plans and support records.	<b>TEMPORARY</b> Destroy 10 years after action completed
<b>5.4</b>	<b>Project Management</b>	<i>The activities associated with managing a set of approved activities which are carried out according to a plan to achieve a definite outcome within a given time. Includes cost and quality parameters, with specific and temporarily allocated resources.</i>	
5.4.1	Project Management	Records relating to the development, implementation, review and closure of significant/major projects of the CTPIR.	<b>PERMANENT</b>
5.4.2	Project Management	Records relating to the development, implementation, review and closure of other projects.	<b>TEMPORARY</b> Destroy 20 years after action completed



**Compulsory Third Party (CTP) Insurance Regulator**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>5 STRATEGIC MANAGEMENT (CTPIR)</b>			
5.4.3	Project Management	Supplementary records relating to the planning and development of projects. E.g. feedback, ad hoc reports, research material and working papers.	<b>TEMPORARY</b> Destroy 10 years after action completed
<b>5.5</b>	<b>Reporting</b>	<i>The activities associated with initiating or providing 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.</i>	
5.5.1	Reporting	Records relating to reports related to all aspects of the Competition Model, including premium regulation, legislative change and the TRUMPS. Includes records relating to the MAIAS Accreditation Panel reporting to the Attorney-General's Department and the MAIAS quality assurance reports.	<b>PERMANENT</b>
5.5.2	Reporting	Records relating to reporting on business intelligence and data quality management. Includes compliance reports, including executive summaries, benchmarking reports and reports to the Governance Committee in relation to the CTP Insurance Scheme Performance and Approved Insurers.	<b>TEMPORARY</b> Destroy 20 years after action completed
5.5.3	Reporting	Records relating to Approved Insurer summaries for Health & Injury Recovery Reporting.	<b>TEMPORARY</b> Destroy 20 years after action completed
5.5.4	Reporting	Records relating to collection of data and information for the development of reports.	<b>TEMPORARY</b> Destroy 10 years after action completed
5.5.5	Reporting	Records relating to the formulation of reports, including Internal working papers.	<b>TEMPORARY</b> Destroy 10 years after action completed



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