



Records disposal schedule

Records Disposal Schedule National Registration and Accreditation Scheme for Health Practitioners

Disposal Schedule 2018/6

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Preamble

Introduction

The *Information Act* states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so¹. Disposal of records is permitted through the use of records disposal schedules and enable regular, planned and authorised disposal of records controlled by an agency.

Records retention decisions are based on:

- the current and future business needs of the organisation
- compliance with legal and governance requirements of the organisation
- the current and future needs of internal and external stakeholders, including the wider community.

Records disposal schedules provide continuing authorisation for the legal disposal of records and are authorised by the records service, archives service and chief executive officer of the public sector organisation responsible for the schedule.

Records disposal schedules apply to records created and maintained in any format, including electronic records, records in business systems, and parts of records.

In the Northern Territory government there are two types of records disposal schedules:

- General records disposal schedules that apply to records common to most or all NT Government public sector organisations (http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records_disposal), and
- Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

Functional records disposal schedules should be used in conjunction with general records disposal schedules.

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¹ S.145 *Information Act*

Status and Disposal Action

The appraisal status of a record class is assigned as either permanent or temporary.

Permanent Records: Records appraised with permanent status have been identified as archives and must be transferred to the Public Record Office of Victoria (PROV) for their preservation and eventual public access.

The retention period for permanent records is the maximum period before the records must be transferred to PROV. See <https://www.prov.vic.gov.au/recordkeeping-government/about-standards-framework-policies/disposal-standard> for further information.

Temporary records: The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal trigger such as 'date of action completed', 'date of audit' or 'date of birth'. Destruction should be done following consultation with relevant operational business employees responsible for the records.

Retention periods for temporary records in a records disposal schedule are minimum periods only and agencies may keep records for a longer period if considered necessary for business requirements.

Reasons for longer retention could include,

- administrative need or agency directives,
- legal requirements such as current or pending legal action,
- relevance to an investigation or inquiry which is in progress,
- is subject to an Information Access application, or
- subject to a disposal freeze.

Records created prior to 1 July 1978 must not be disposed of without the authorisation of the NT Archives Service in accordance with Archives Management Standard Records Created Prior to 1978, unless specified in a schedule.

Sentence records with this records disposal schedule using the following five steps:

1. Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
2. Identify the disposal class.
3. From the disposal action in the class, identify the trigger event and a date when the record can be disposed of, alternately, identify that the record is to be retained permanently as archives.
4. If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
5. If the trigger event has not occurred (e.g. the record is still in active use), set a review date for the future.

About this Records Disposal Schedule

Purpose

This Retention and Disposal Authority (the Authority) has been developed in accordance with Council of Australasian Archives and Records Authorities (CAARA) Policy 11 – Guidelines for the Treatment of Records of Inter-Governmental Agencies.

Its purpose is to provide an agreed set of function based disposal classes with corresponding disposal actions and retention periods for adoption by the State and Territory members of CAARA; facilitating consistent retention and disposal requirements for records across all States and Territories. The equivalent term in the Northern Territory is “Records Disposal Schedule.”

National bodies are established under national schemes where Constitutional powers rest with States and Territories, and not the Commonwealth, and where the bodies concerned are not otherwise Commonwealth bodies. National bodies may be subject to the records and archives laws of multiple State and Territory jurisdictions.

The Authority applies to the records of the National Scheme for registration and accreditation of health practitioners as administered by the 14 National Boards and the National Agency that supports them – the Australian Health Practitioner Regulation Agency (AHPRA).

The Authority has been developed by AHPRA and contractors on their behalf with regular reviews of the draft by the CAARA National Bodies Working Group representing all the Australian State and Territory members of CAARA.

Formal disposal instruments issued under the authority of each jurisdiction’s archives and records legislation are to follow CAARA endorsement to provide the legal basis for records disposal by the national bodies in each State and Territory. The principle of a nominated archival host and one regulatory framework for the management and disposal of records of the National Boards and AHPRA has also been agreed to with formal instruments also still to follow.

The development of this Retention and Disposal Authority follows the General Retention and Disposal Authority for the Administrative Records of National Bodies, which was issued in all States and Territories during 2014. It covers records of common administrative functions and is for the use of all national bodies including bodies comprising the National Scheme.

Scope

This Retention and Disposal Authority covers the records of the unique functions of the National Scheme, such as the registration and regulation of health practitioners, the accreditation of programs of study and the development and setting of national standards for health practitioners.

Records created by the national bodies’ predecessor agencies are not covered by this authority. Records created by predecessor agencies must be sentenced in accordance with instruments

issued by the relevant State or Territory archival authority for the predecessor agency for the corresponding time period.

This Records Disposal Schedule applies to National Registration and Accreditation Scheme for Health Practitioners records in all formats.

Responsibility

The Chief Executive Officer of the Australian Health Practitioner Regulation Agency is responsible for the content and implementation of this Records Disposal Schedule including the provision of advice and training, and for monitoring compliance.

Authority

This Records Disposal Schedule is authorised in accordance with S. 136B of the *Information Act*.

Disposal Schedule No. 2018/6 was approved for use in the Northern Territory by the Director of the NT Archives Service (The Archives Service), Senior Director of ICT Policy and Governance (The Records Service), and the Chief Executive Officer of the Australian Health Practitioner Regulation Agency on 7 August 2018 and is effective immediately.

Retention of Records

All of the retention periods in this Authority are the minimum period for which the sentence 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 there is any other law or policy requiring that the public record be retained.

Authority layout

This Retention and Disposal Authority has a 'rolled up' structure, with broadly defined functions followed directly by a minimal number of disposal classes per function.

Regulatory Framework

The regulatory basis for this Records Disposal Schedule is defined in:

- National Registration and Accreditation Scheme for Health Practitioners
- *Health Practitioner Regulation (National Uniform Legislation) Act*
- *Information Act*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489-Records Management

Related Documents

This Records Disposal Schedule is to be read in conjunction with:

- NT Government Records Management Standard – Records Disposal

Normal Administrative Practice

Public sector organisations are permitted to dispose of some short term or ephemeral documents under the authority of the Disposal Schedule for Short Term Value Records. These include:

- duplicate (eg information or reference copy)
- obviously unimportant (e.g. telephone message slips)
- of short term facilitative value (e.g. compliment slips)
- a combination of these

The guiding principle is that organisations should be sure that destroying these records will not destroy evidence that might be needed.

Records that have been captured into a recordkeeping system should be destroyed using the Disposal Schedule for Short Term Value Records unless the class of records has been identified in a specific disposal schedule.

Notification of Destruction

Provide formal notification of destruction of all records to the NT Records Service.

Note: In the case of the Disposal Schedule for Records of Short Term Value (Disposal Schedule No. 2003/10), notification is only required for the destruction of records described in Disposal Class No. 1.10.1.

Compliance Checklist

- Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records
- Assign responsibility for the management and application of regular records disposal action using authorised records disposal schedules, to an appropriately skilled records manager who consults with the NT Archives Service and NT Records Service
- Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records
- Identify and sentence all records described in this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule
- Apply this records disposal schedule to records in the organisation's records management systems, including systems for the management of paper records, electronic records, or records in any other format
- Apply this records disposal schedule to records in the organisation's business systems, either directly or by linking the business system to a records management system
- Implement quality assurance mechanisms to periodically check that the disposal class originally assigned at the creation of the records is still applicable at the time of sentencing of the record
- Stop applying sentences from previous schedules that have been revoked or amended
- Retain all records in good order and condition to be available for retrieval during the retention period.
- Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
- Implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form, migration to new systems, and conversion to long term medium
- Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
- Inactive records can be transferred to offsite service providers providing they have been sentenced
- Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
- Notify the NT Records Service of destruction of all records

Compliance Checklist

- Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly
- Identify records that require re-sentencing where a previous disposal schedule has been superseded
- Do not destroy records that are not described in an authorised records disposal schedule.
- Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

No	Function/Description	Status	Disposal Action
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Retention and Disposal Authority

	<p>Registration and Accreditation Standards, Codes, Guidelines and Procedures</p> <p>The development and issue of:</p> <ul style="list-style-type: none"> • Registration standards developed by National Boards for approval by the Ministerial Council. • Codes, guidelines and procedures developed and approved by National Boards to provide guidance to the professions they regulate. • Accreditation standards developed for education providers by an Accreditation Authority and approved by a National Board <p>An Accreditation Authority is appointed by the National Board to administer the receipt and assessment of applications for the accreditation of programs of study which lead to an approved qualification for registration as a health practitioner.</p> <p>For records of Accreditation of education and training, see 3.0.</p> <p>See <i>GDA for Administrative Records of National Bodies</i> for records of policies, including those that guide and support the development of standards, codes, guidelines and procedures, or the operations of the National Agency.</p> <p>See <i>GDA for Administrative Records of National Bodies</i> for Board papers including summaries of consultation and records of National Board consideration and decisions regarding standards, codes, guidelines and procedures.</p>		
1.1	<p>Final Approved</p> <p>Final approved:</p> <ul style="list-style-type: none"> • registration standards • codes, guidelines and procedures • accreditation standards. <p>These are released by the Boards:</p> <ul style="list-style-type: none"> • for implementation to govern administrative processes for the registration and regulation of health practitioners • for publication for access by the general public. 	Permanent	Retain as State Archives, Transfer to PROV

No	Function/Description	Status	Disposal Action
1.2	<p>Working Papers</p> <p>Drafts, background research, versions which were not approved and any other inputs to the development and approval of standards, codes and guidelines, and/or procedures.</p>	Temporary	<p>Destroy 7 years after superseded or development ceased (where no version approved).</p>

No	Function/Description	Status	Disposal Action
	<p>Health Practitioner Registration and Regulation</p> <p>The registration and regulation of health practitioners.</p> <p>Includes the assessment of eligibility for registration of practitioners, renewals of registration, notifications/complaints and their investigation, and compliance monitoring.</p> <p>See <i>GDA for Administrative Records of National Bodies</i> for Board papers including the consideration of applications and renewals for registration.</p>		
2.1	<p>Summary Record of Applications, Registrations and Regulatory Actions</p> <p>The summary record of applicants for registration and registered health practitioners.</p> <p>Includes summary information regarding applications (including those that do not proceed), renewals, notifications, restrictions and compliance monitoring.</p> <p>The summary information consists of details about the applicant or health practitioner (name, date of birth, unique identifier etc), and a high level description of the transactions taking place, and the outcomes, throughout the registration of the practitioner.</p> <p>Includes all categories of registration, including general, specialist, provisional, limited, non-practicing, and student categories.</p>	Permanent	Retain as State Archives, Transfer to PROV
2.2	<p>Applications, Registrations and Regulation of Health Practitioners</p> <p>Receipt and assessment of applications and renewals, including required supporting evidence, to register and regulate health practitioners.</p> <p>Includes, but not limited to:</p> <ul style="list-style-type: none"> • supporting documents received as part of an application to register, or a renewal of registration • internal assessment and decision records • correspondence with applicants/practitioners • notifications and their investigation • decisions, including any submissions and appeals 	Temporary	Destroy 99 years after date of birth.

No	Function/Description	Status	Disposal Action
	<ul style="list-style-type: none"> • ongoing monitoring and compliance • documents prepared for presentation to the Board on any matter concerning registration and/or regulation • documents prepared for presentation to a tribunal, or other external body, concerning registration and/or regulation • immediate action to suspend a health practitioner • incomplete or withdrawn applications • applications that are refused. 		

No	Function/Description	Status	Disposal Action
	<p>Accreditation</p> <p>The assessment of applications from education providers for accreditation of their programs of study by an Accreditation Authority (appointed by the National Board for the profession). Includes the ongoing monitoring of programs.</p> <p>For records of the development and approval of accreditation standards, see 1.0.</p> <p>See <i>GDA for Administrative Records of National Bodies</i> Boards and Committees for records of Board deliberations and decisions regarding accredited programs of study put forward for approval.</p>		
3.1	<p>Summary Record of Program Accreditation and Monitoring</p> <p>The summary record of programs of study accredited and monitored by an Accreditation Authority appointed by the National Board for a health profession.</p> <p>The summary record includes the name of the education provider, the name of the program of study and the name/type of qualification obtained, which profession the course leads to, and what type of registration may be applied for (e.g. general, specialist etc.)</p> <p>The summary record may also include checklists or summary notes of transactions, process steps completed or additional information requested by the National Board.</p> <p>When a program of study has been recommended to the National Board for approval as an accredited program of study by an accreditation authority, the relevant National Board considers whether it will approve, or refuse to approve, that program of study.</p> <p>Only graduates of approved programs are eligible to apply for registration.</p>	Temporary	Destroy 30 years after accreditation expires or is revoked.
3.2	<p>Program Assessment and Monitoring</p> <p>Records documenting the assessment and ongoing monitoring of an education provider and its programs of study to ensure they meet accreditation standards. Includes:</p> <ul style="list-style-type: none"> • records of initial expressions of interest, 	Temporary	Destroy 15 years after accreditation expires.

No	Function/Description	Status	Disposal Action
	<ul style="list-style-type: none"> • applications and supporting documentation, • assessment reports, • accreditation decisions including details of any conditions and/or specific monitoring requirements, • responses by education providers to conditions, evaluation of those responses and decisions on removal of conditions, • reporting to the relevant National Board on program accreditation and monitoring, • the receipt of complaints or concerns regarding an accredited program, their investigation and resolution. 		
3.3	<p>Applications that are Unsuccessful, Incomplete or Withdrawn</p> <p>Applications that do not result in accreditation and/or approval of the program of study. Includes any supporting documentation received, any assessment reports, and any correspondence with the education provider.</p> <p>Includes any further submissions made by the education provider, and any appeal process entered into.</p> <p>Also includes applications that are incomplete or withdrawn by the applicant.</p>	Temporary	Destroy 7 years after action completed.