



## **Records Disposal Schedule**

# **Records Disposal Schedule Work Health Authority Department of Business**

**Disposal Schedule No. 2014/2**

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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 so<sup>1</sup>. 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](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.

### Structure of a Records Disposal Schedule

Records disposal schedules set out minimum requirements for the creation, maintenance, retention or destruction actions to be taken in relation to existing or future records described in each class. Records disposal schedules specify

- a) whether a class of record has temporary or permanent status;
- b) the retention period for a temporary class of record;
- c) authorised disposal actions for a class of record.<sup>2</sup>

Each class of records created by an agency is described using classifications based on business analysis.

Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

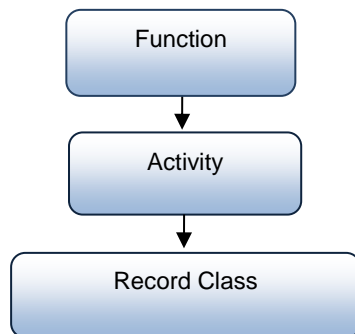
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<sup>1</sup> S.145 *Information Act*

<sup>2</sup> S.136A(3) *Information Act*

Within the schedule, functions are documented as the highest level terms and business activities under the functions, followed by record classes, as shown in diagram 1.

Diagram 1



## Function

The function or keyword is the highest level in the classification scheme in this disposal schedule. The function is indicated at the start of each section and a description (scope note) provided.

## Activity

Activities are the processes or operations that make up the business function. This is the second level in the classification scheme in this disposal schedule. The description (scope note) provides details of the transactions that take place in relation to the activity, for example, REPORTING or POLICY.

## Record Class

A record class is a group of records that relate to the same activity, function or subject and require the same disposal action. The descriptions can relate to one record (such as a register) or a group of records documenting a particular set of business transactions.

## 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 NT Archives Service for their preservation and eventual public access.

The retention period for permanent records is the maximum period before the records must be transferred to the NT Archives Service. Permanent records must be transferred no later than 30 years after creation in accordance with the Information Act, unless exemption has been granted (see Archives Management Standards Transfer of Archives, and Exemption from Compulsory Transfer of Permanent Records to the NT Archives Service). An Application to Transfer Records form must be submitted to the NT Archives Service before records will be accepted for transfer.

**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

The purpose of this Records Disposal Schedule is to enable regular, planned and authorised disposal of records of Work Health Authority of the Department of Business.

### Scope

Application of this Records Disposal Schedule is mandatory for Work Health Authority records of the Department of Business.

This Records Disposal Schedule applies to Work Health Authority records in all formats.

### Responsibility

The Chief Executive of the Department of Business is responsible for the 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. 2014/2 was approved by the Director of the NT Archives Service (The Archives Service), Director of Information Strategy (The Records Service), and the Chief Executive of the Department of Business on 8 May 2014 and is effective immediately.

### Superseded Records Disposal Schedules

This schedule supersedes the following records disposal schedule which can no longer be used to sentence records:

- Northern Territory Work Health Authority – Disposal Authority 2000/3 (WHA)

### Regulatory Framework

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

- *Work Health and Safety (National Uniform Legislation) Act*
- *Workplace Health and Safety Act*
- *Workers Rehabilitation and Compensation Act*
- *Transport of Dangerous Goods by Road and Rail (National Uniform Legislation) Act*
- *Dangerous Goods Act*
- *Radioactive Ores and Concentrates (Packaging and Transport) Act*
- *Electricity Reform Act*
- *Building Act*
- *Information Act*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489:2002-Records Management



## Related Documents

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

- NT Government Records Management Standard – Records Disposal
- current authorised disposal schedules for NT Government
- policies and procedures of the Department of Business
- current authorised disposal schedules for Department of Business

## 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 (e.g. 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.

## Acknowledgement

The NT Archives Service and the NT Records Service acknowledge that material produced by National Archives of Australia, State Records Authority of New South Wales, State Records of South Australia, Public Records Office of Victoria, Territory Records Office and Standards Australia was used in the development of this schedule.

The schedule was drafted principally by the [name of public sector organisation] in consultation with the NT Records Service.

This work is copyright. Apart from any use as permitted under the Copyright Act 1968, no part may be reproduced by any process without prior written permission of the NT Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, NT Archives Service. The terms in the business classification scheme are based on the Keyword AAA: A Thesaurus of General Terms (Government of New South Wales, 1998), and are produced under a licence agreement between the NT Archives Service and the State Records Authority of New South Wales.

## 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
- 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
- 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, e.g. 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
- 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

## Disposal Schedule

### 1. WORK HEALTH AND SAFETY MANAGEMENT

The function of ensuring safe workplaces and work practices Territory-wide through a proactive advisory, prevention and compliance framework.

Includes administration of permissioning systems and the regulation of electrical safety and dangerous goods towards nationally consistent laws and standards.

#### 1.1 ADVICE

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

Class No.	Description of Records	Status and Disposal Action
1.1.1	<p>Records documenting the provision of advice to the portfolio Minister concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities in regard to work health and safety where a detailed response has been provided.</p> <p>Includes briefing notes and minutes providing advice to the Minister.</p>	<p>PERMANENT</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.1.2	<p>Records documenting provision and receipt of advice to and from other agencies, governments, business, industry, community organisations and/or individuals regarding the functions of the organisation or other organisations, or advice to the portfolio Minister in regard to work health and safety where a detailed response has not been provided.</p> <p>Includes records documenting responses to individuals and business that did not require in-depth technical research of high level sign off.</p>	<p>TEMPORARY</p> <p>Destroy 5 years after action completed</p>

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### 1.2 AGREEMENTS

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards and/or exchange of letters between parties, as well as informal agreements.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.2.1	<p>Final versions of high-level agreements.</p> <p>Includes inter-government agencies and agreements of major significance to the Northern Territory.</p> <p>Includes agreements with Heads of Workplace Safety Authorities (HWSA) to adopt national uniform laws and standards.</p>	<p>PERMANENT</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.2.2	<p>Records documenting minor agreements.</p> <p>Includes agreements with NTG agencies on service delivery such as Territory Business Centre (TBC) to process licensing fees and charges.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after expiry or termination of agreement</p>

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### 1.3 AUTHORISATION

The process of seeking and granting permission to undertake requested action.

Note: Includes licence, permit, registration, accreditation, notification and approval activities.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records documenting appointments and delegations of powers given in accordance with legislative responsibilities by the Minister to the Work Health Authority.  Includes ministerial and copies of gazettal notices.	PERMANENT  Transfer to the NT Archives Service 10 years after action completed
1.3.2	Records documenting written consent to prosecute under the <i>Dangerous Goods Act</i> .  Includes records relating to approvals and denials of consent.	TEMPORARY  Destroy 25 years after action completed
1.3.3	Records documenting applications to a Justice for a warrant authorising a workplace safety officer to enter a workplace to carry out an authorised investigation.  Includes warrants.	TEMPORARY  Destroy 3 years after authorisation expires/is withdrawn
1.3.4	Records documenting types of work required to be notified such as Asbestos Removal, Asbestos Fibre Levels, Abandoned Tanks, Pipelines and Hazardous Chemicals.	TEMPORARY  Destroy 10 years after action completed
1.3.5	Records documenting applications for consent to use, handle or store carcinogenic substances.	TEMPORARY  Destroy 10 years after consent ceases

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<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.3.6	Records documenting decisions of the regulator to refuse, suspend and revoke a licence, authorisation or registration.  Includes authorised exemptions.	TEMPORARY  Destroy 10 years after action completed
1.3.7	Records documenting scheduled plant items registrations such as tower cranes, mobile cranes, amusements rides and devices.	TEMPORARY  Destroy 10 years after action completed or 2 years after business ceases whichever is the earlier
1.3.8	Records documenting delegations of powers to staff to authorise administrative action relating to workplace safety regulations.  Includes delegations, instruments of appointments, gazettal notices.	TEMPORARY  Destroy 7 years after authorisation expires/is withdrawn
1.3.9	Records documenting registrations of plant designs and alterations such as pressure vessel equipment, design, vehicle hoist design and elevated work platform design.  Includes Microfiche.	TEMPORARY  Destroy 7 years after plant decommissioned

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### 1.3 AUTHORISATION

The process of seeking and granting permission to undertake requested action.

Note: Includes licence, permit, registration, accreditation, notification and approval activities.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.3.10	<p>Records documenting applications for authorisation and appointment of work health and safety union representatives.</p> <p>Includes terms, limitations and conditions specified in the authorisation. Also includes documentation relating to the issuing of identity cards, including person's name, photograph and returned identity cards.</p> <p>May also include reappointments for another term, unsuccessful applications and any records of referral to internal review and appeal processes.</p>	<p>TEMPORARY</p> <p>Destroy 5 years after approval ceases or card returned, whichever is the later</p>
1.3.11	<p>Records documenting applications for accreditation as a high risk work licensing assessor.</p> <p>Includes successful and unsuccessful applications, authorisation renewal applications, and extensions-to-scope applications.</p>	<p>TEMPORARY</p> <p>Destroy 5 years after approval ceases or is withdrawn.</p>

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### 1.3 AUTHORISATION

The process of seeking and granting permission to undertake requested action.

Note: Includes licence, permit, registration, accreditation, notification and approval activities.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.3.12	Records documenting applications for registration of a person or organisation to undertake inspections of a designated plant.  Includes successful and unsuccessful applications, authorisation renewal applications, and extensions to scope applications.	TEMPORARY  Destroy 2 years after approval ceases or is withdrawn
1.3.13	Records documenting dangerous goods licensing approvals and rejection.  May include revocations and variations.	TEMPORARY  Destroy 2 years after permission ceases
1.3.14	Records documenting occupational health and safety / high risk work licences such as rigging, scaffolding, asbestos removal etc.  Includes interstate confirmations of authorisations.	TEMPORARY  Destroy 2 years after permission ceases
1.3.15	Records documenting private supporting information relating to authorisations provided by the Authority to individuals to perform functions listed.  Includes proof of identity and criminal history checks.	TEMPORARY  Destroy after viewing and checking on application checklist



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### 1.4 COMMITTEES

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth etc). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agenda etc.

**Use WORK HEALTH AND SAFETY MANAGEMENT – ADVICE 1.1.1 - for high-level advice given to the Minister**

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.4.1	<p>Records documenting high level councils and sub-committees convened by the Work Health Authority to advise the relevant Minister on occupational health and safety in the Northern Territory, or where the organisation is the NT Government's main representative, eg inter-governmental committees.</p> <p>Includes agendas, appointments, attendance, briefing and discussion papers, minutes, reports and submissions.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after action completed</p>

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### 1.5 COMPLIANCE

The activities associated with complying with, or monitoring compliance with, mandatory or optional regulatory standards or requirements. Includes compliance with legislation and with national and international standards.

Class No.	Description of Records	Status and Disposal Action
1.5.1	<p>Records relating to individual workplace or work-related health and safety compliance inspections regarding electrical safety, mines safety, and major hazard facility activities.</p> <p>Includes routine visits or inquiry into or examination of a work-related accident or any other matter relevant to the administration of this Act or a related Act.</p> <p>Also includes authorised investigation assessments that may produce an inspection assessment containing statements, photos, maps, plans, training records and safe work method statements.</p>	<p>TEMPORARY</p> <p>Destroy 10 years after action completed or 2 years after business ceases, whichever is the earlier</p>
1.5.2	<p>Records documenting penalties on organisations or individuals found to be negligent or non-compliant in work health and safety.</p>	<p>TEMPORARY</p> <p>Destroy 10 years after action completed or 2 years after business ceases, whichever is the earlier</p>
1.5.3	<p>Records documenting the development and management of work health and safety compliance campaigns and programs.</p> <p>Includes national campaigns.</p>	<p>TEMPORARY</p> <p>Destroy 10 years after action completed</p>

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The activities associated with complying with, or monitoring compliance with, mandatory or optional regulatory standards or requirements. Includes compliance with legislation and with national and international standards.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.5.4	Records documenting Contractor Accreditation Ltd (CAL) accreditations.  Includes requests for compliance history checks for <i>Building Act</i> applications.	TEMPORARY  Destroy 10 years after action completed
1.5.5	Records documenting reported events in relation to work health and safety management.  Includes requests for statutory intervention and complaints.	TEMPORARY  Destroy 2 years after action completed

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### 1.6 CONTROL

The activities associated with creating, maintaining and evaluating control mechanisms.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.6.1	Data entered into the WorkSafe information management system database.  Includes all data entered from approved service provider reporting and person and business event reporting and authorisations, for statistical purposes and compliance auditing.	TEMPORARY Destroy data 10 years after reporting period concluded
1.6.2	Records held in manual registers, and captured in database or file facilities.	TEMPORARY Destroy 6 years after action completed

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### 1.7 ENQUIRIES

The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.7.1	Records documenting responses to enquiries relating to work health and safety management, which do not require in-depth technical research or high level sign off.	TEMPORARY Destroy 5 years after action completed

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### 1.8 EVALUATION

The process of determining the suitability of potential or existing personnel, programs, items of equipment, systems or services in relation to meeting the needs of the given situation. May include detailed analyst and/or ongoing monitoring.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.8.1	Records documenting approved work health and safety training courses and training providers.  Includes unsuccessful applications.	TEMPORARY  Destroy 5 years after approval ceases

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### 1.9 INQUIRIES

The activities associated with liaising with bodies carrying out inquiries, and participating in them. Inquiries are investigations carried out by persons or bodies who have been empowered to inquire and report on a subject. Includes the organisation's participation in the inquiry by providing evidence in the form of records, submissions or staff.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.9.1	<p>Records documenting the processes associated with requests to a higher authority to alter a decision made at a lower level in relation to work health and safety.</p> <p>Includes records relating to objections and appeals against decisions, objections to prohibition and improvement notices.</p>	<p>TEMPORARY</p> <p>Destroy 10 years after action completed</p>

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### 1.10 INVESTIGATIONS

The acts and processes involved in ascertaining facts by inquiry or examination.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.10.1	Records documenting comprehensive investigations reports generated of workplace accidents, occurrences, dangerous goods incidents that do not include legal advice.	TEMPORARY Destroy 10 years after action completed
1.10.2	Records documenting investigations for possible prosecutions in relation to work health and safety duties of care.  Includes statements, statutory declarations, photographs, sample evidence collected, technical advice, expert and witness reports.	TEMPORARY Destroy immediately after time limit for prosecution expires



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### 1.11 LEGISLATION

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.11.1	Records documenting proposals for new legislation or amendments to existing legislation specific to the Northern Territory regarding work health and safety, electrical safety and dangerous goods.  Includes comments on draft legislation, submissions and working papers to the Minister.	PERMANENT  Transfer to the NT Archives Service 10 years after action completed
1.11.2	Records documenting notices published in the Government Gazette by the Minister, the Work Health Authority or the Competent Authority.	TEMPORARY  Destroy 10 years after action completed
1.11.3	Records documenting implementation of National standards.  Includes records relating to the harmonisation of work health and safety laws.	TEMPORARY  Destroy 5 years after action completed

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Includes administration of permissioning systems and the regulation of electrical safety and dangerous goods towards nationally consistent laws and standards.

### 1.12 MEETINGS

The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisations as a whole. Includes arrangements, agenda, taking of minutes, etc. May be used for staff meetings. Also includes meetings with external parties.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.12.1	Records documenting meetings and forums involving the Authority. May include records of staff, officer and inspector internal meetings.	TEMPORARY Destroy 5 years after action completed

## 1. WORK HEALTH AND SAFETY MANAGEMENT

The function of ensuring safe workplaces and work practices Territory-wide through a proactive advisory, prevention and compliance framework.

Includes administration of permissioning systems and the regulation of electrical safety and dangerous goods towards nationally consistent laws and standards.

### 1.13 POLICY

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined. Add as a descriptor under either a functional or an administrative keyword to document the formulation, research, drafting, reviewing, amending, adoption and implementation of organisational policy.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.13.1	Master set of Authority division level internal policy directives such as Events Triaging Policy, Officer Uniform, Personal Protection Equipment Policy and Remote or Long Distance Driving Policy.	TEMPORARY Destroy 7 years after policy is superseded

## 1. WORK HEALTH AND SAFETY MANAGEMENT

The function of ensuring safe workplaces and work practices Territory-wide through a proactive advisory, prevention and compliance framework.

Includes administration of permissioning systems and the regulation of electrical safety and dangerous goods towards nationally consistent laws and standards.

### 1.14 PRESENTATIONS

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches, multi-media presentations, and presentation or conferring of honours or prizes. Add the title of the presentation as free text.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.14.1	Records documenting information session presentations.  Includes work health and safety compliance awareness, stakeholder consultation and education campaign presentations.	TEMPORARY  Destroy 10 years after action completed

## 1. WORK HEALTH AND SAFETY MANAGEMENT

The function of ensuring safe workplaces and work practices Territory-wide through a proactive advisory, prevention and compliance framework.

Includes administration of permissioning systems and the regulation of electrical safety and dangerous goods towards nationally consistent laws and standards.

### 1.15 PROCEDURES

Standard methods of operating laid down by an organisation according to formulated policy.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.15.1	Master set of Authority procedures found in manuals, handbooks and directives etc. detailing procedures that require senior management endorsement.	TEMPORARY Destroy 5 years after procedure superseded

## 1. WORK HEALTH AND SAFETY MANAGEMENT

The function of ensuring safe workplaces and work practices Territory-wide through a proactive advisory, prevention and compliance framework.

Includes administration of permissioning systems and the regulation of electrical safety and dangerous goods towards nationally consistent laws and standards.

### 1.16 REPORTING

The process 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 of findings of the results of the examination or investigation. Includes agenda, briefing, business discussion papers, proposals, reports, reviews and returns.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.16.1	Records documenting approved work health and safety service providers compliance reporting.	TEMPORARY Destroy as soon as entered into government-approved WorkSafe information management system database

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.1 ADVICE

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.1.1	Records documenting the provision of advice to the portfolio Minister concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities in regard to workers rehabilitation and compensation regulation where a detailed response has been provided.  Includes briefing notes and ministerial.	PERMANENT  Transfer to the NT Archives Service 10 years after action completed
2.1.2	Records documenting provision and receipt of advice to and from other agencies, governments, business, industry, community organisations and/or individuals regarding the functions of the organisation or other organisations, or advice to the portfolio Minister in regard to workers rehabilitation and compensation regulation where a detailed response has not been provided.  Includes records documenting responses to individuals and businesses that did not require in-depth technical research or high level sign off.	TEMPORARY  Destroy 5 years after action completed

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.2 AGREEMENTS

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes formal agreements such as industrial awards and/or exchange of letters between parties, as well as informal agreements.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.2.1	Records documenting minor and informal agreements.  Includes agreements with approved workers rehabilitation and compensation service providers on best practice guidelines.	TEMPORARY  Destroy 7 years after expiry or termination of agreement



## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.3 CLAIMS

The processes administering and managing claims, including: claims demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property; claims made in respect of rights and ownership; recompense sought for stolen or lost property; industrial relations claims; or, superannuation claims.

Note: includes that activities associated with workers compensation claims under the *Workers Rehabilitation and Compensation Act*.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.3.1	Source records documenting insurer and self insurer progress reports. Includes monthly and annual updated reports on worker's compensation claims.	TEMPORARY Destroy 1 year after data entry (for data validation purposes)
2.3.2	Source records documenting compensation claims coded into the national workplace information management system as per Australian New Zealand Standard Industrial Classification, Australian Standard Classification of Occupations (ASCO) and Type of Occurrence Classification System (TOOCS) requirements.  Includes copies of compensation claim forms and medical certificate copies.	TEMPORARY Destroy immediately after claim coded into the Workplace Information Management System (WIMS) database

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.4 COMMITTEES

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth etc). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agenda etc.

#### Use WORKERS REHABILITATION AND COMPENSATION REGULATION – ADVICE 2.1.1 - for high-level advice given to the Minister

Class No.	Description of Records	Status and Disposal Action
2.4.1	<p>Records documenting high level councils and sub-committees convened by the Work Health Authority to advise the relevant Minister on workers rehabilitation and compensation regulation in the Northern Territory.</p> <p>Includes agendas, appointments, attendance, briefing and discussion papers, minutes, reports and submissions.</p>	<p>TEMPORARY</p> <p>Destroy 7 years after action completed</p>

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.5 COMPLIANCE

The activities associated with complying with, or monitoring compliance with, mandatory or optional regulatory standards or requirements. Includes compliance with legislation and with national and international standards.

Class No.	Description of Records	Status and Disposal Action
2.5.1	Records documenting the development and management of workers rehabilitation and compensation compliance campaigns and programs.  Includes national campaigns.	TEMPORARY  Destroy 10 years after action completed
2.5.2	Records documenting the planning and audit of appointed service providers for compliance with their obligations under the <i>Workers Rehabilitation and Compensation Act</i> and Regulations that they were appointed under.  Includes workers compensation Insurers and Self Insurers.	TEMPORARY  Destroy 10 years after action completed
2.5.3	Records documenting employer and employee compliance including compliance and enforcement activities associated with the <i>Workers Rehabilitation and Compensation Act</i> and Regulations.  Includes investigations, prosecutions over false insurance claims and service provider offences and premium evasions.	TEMPORARY  Destroy 10 years after action completed

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.5 COMPLIANCE

The activities associated with complying with, or monitoring compliance with, mandatory or optional regulatory standards or requirements. Includes compliance with legislation and with national and international standards.

Class No.	Description of Records	Status and Disposal Action
2.5.4	Records documenting reported events relating to workers rehabilitation and compensation regulation.  Includes requests for statutory intervention, complaints and notifications.	TEMPORARY  Destroy 2 years after action completed

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.6 CONTROL

The activities associated with creating, maintaining and evaluating control mechanisms.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.6.1	Data entered into the WorkSafe information management system.  Includes all data entered from workers compensation claims and approved service provider reporting for statistical purposes and compliance auditing.	TEMPORARY  Destroy data 10 years after reporting period concluded

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.7 ENQUIRIES

The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.7.1	Records documenting requests from workers or Centrelink regarding compensation claim process and information.	TEMPORARY Destroy 5 years after action completed

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.8 IMPAIRMENT REASSESSMENT

The activities associated with permanent impairment reassessments under the provisions of the *Workers Rehabilitation and Compensation Act*.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.8.1	<p>Records documenting applications for reassessment of impairment percentages evaluation of permanent impairment (PI).</p> <p>Includes records relating to medical reports submitted in relation to the application for the evaluation of permanent impairment reassessment and records relating to arranging medical panel appointments.</p> <p>Also includes issues arising from the PI Process.</p>	<p>TEMPORARY</p> <p>Destroy 2 years after permanent impairment reassessment process concludes</p>

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.9 INSURANCE

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or whilst engaged during employment.

Note: Includes the activities associated with Division 7 Insurance of the *Workers Rehabilitation and Compensation Act*.

Class No.	Description of Records	Status and Disposal Action
2.9.1	Records documenting workers rehabilitation and compensation regulation Insurer / Self Insurer statutory approvals, regulation and ongoing compliance associated with approval status.	TEMPORARY Destroy 10 years after action completed
2.9.2	Records documenting nominal insurers for the workers rehabilitation and compensation regulation committee appointments.	TEMPORARY Destroy 4 years after action completed



## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.10 LEGISLATION

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.10.1	Records documenting proposals for new / amendments to existing workers rehabilitation and compensation legislation.  Includes draft legislation, parliamentary speeches, submissions and working papers to the Minister.	PERMANENT  Transfer to the NT Archives Service 10 years after action completed
2.10.2	Records documenting copies of government gazettal notices by the Minister or the Work Health Authority.	TEMPORARY  Destroy 10 years after action completed

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.11 MEDIATION

The activities involved in mediating between parties, aiming to effect an agreement or reconciliation.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.11.1	Records documenting mediator statutory appointments and rejections of mediator expressions of interest in appointment.  Includes complaints regarding approved mediators and/or the process.	TEMPORARY Destroy 5 years after appointment ceases
2.11.2	Records documenting the conclusion of the mediation process.  Includes cover letter and certificate of mediation	TEMPORARY Destroy 1 year after mediation concluded
2.11.3	Records documenting the coordination of the mediation process arising from disputes over employer insurer's decision regarding the worker's compensation claim.	TEMPORARY Destroy when reference ceases

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.12 MEETINGS

The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisations as a whole. Includes arrangements, agenda, taking of minutes, etc. May be used for staff meetings. Also includes meeting with external parties.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.12.1	Records documenting meeting and forums involving the Authority. May include records of staff, officer and inspector internal meetings.	TEMPORARY Destroy 5 years after action completed

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.13 PRESENTATIONS

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches, multi-media presentations, and presentation or conferring of house or prizes. Add the title of the presentation as free text.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.13.1	Records documenting workers rehabilitation and compensation information session presentations.  Includes satisfaction survey data and attendance numbers.	TEMPORARY  Destroy 10 years after action completed

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.14 PROCEDURES

Standard methods of operating laid down by an organisation according to formulated policy.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.14.1	Master set of Authority procedures found in manuals, handbooks and directives etc detailing procedures that require senior management endorsement.	TEMPORARY Destroy 5 years after procedure superseded

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.15 REHABILITATION

The process of managing programs designed to restore the injured worker to the fullest physical, psychological, social, vocational and economic usefulness of which they are capable – consistent with pre-injury status. Includes early intervention with appropriate, adequate and timely services through the use of a Rehabilitation Co-ordinator.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.15.1	Records documenting vocational rehabilitation providers' statutory appointments or rejections of expressions of interest in appointment.  Includes any issues regarding approved providers and/or rehabilitation process and performance audits.	TEMPORARY  Destroy 5 years after appointment ceases

## 2. WORKERS REHABILITATION AND COMPENSATION REGULATION

The function of developing, regulating and monitoring the Northern Territory workers' compensation scheme. Includes regulating organisations that seek or have been approved by the Work Health Authority to provide insurance and injury management services under the *Workers Rehabilitation and Compensation Act*.

### 2.16 REPORTING

The processes 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 for findings of the results of the examination or investigation. Includes agenda, briefing, business discussion papers, proposals, reports, reviews and returns.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
2.16.1	Records documenting NT Workers Compensation Scheme reporting.	TEMPORARY Destroy 10 years after action completed