



Records disposal schedule

Records Disposal Schedule Public and Environmental Health Regulation Department of Health

Disposal Schedule No. 2015/1

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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.

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.²

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

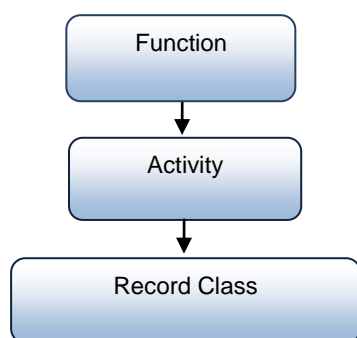
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

¹ S.145 *Information Act*

² 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 Public and Environmental Health Regulation of the Department of Health.

Scope

Application of this Records Disposal Schedule is mandatory for Public and Environmental Health Regulation records of the Department of Health.

This Records Disposal Schedule applies to Public and Environmental Health Regulation records in all formats.

Responsibility

The Chief Executive of the Department of Health 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. 2015/1 was approved 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 of the Department of Health on 8 January 2015 and is effective immediately.

Regulatory Framework

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

- *Public and Environmental Health Act*
- *Public and Environmental Health Regulations*
- *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
- policies and procedures of the Department of Health
- current authorised disposal schedules for Department of Health

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.

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.

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			
<input type="checkbox"/>	Implement a records disposal program to ensure regular appraisal, sentencing, destruction and transfer of all records	<input type="checkbox"/>	Stop applying sentences from previous schedules that have been revoked or amended
<input type="checkbox"/>	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	<input type="checkbox"/>	Retain all records in good order and condition to be available for retrieval during the retention period.
		<input type="checkbox"/>	Identify and update control records so that you can demonstrate what happened to each record, whether paper or electronic
<input type="checkbox"/>	Familiarise all employees of the organisation with the authorised records disposal schedules relevant to the organisation's records	<input type="checkbox"/>	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
<input type="checkbox"/>	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	<input type="checkbox"/>	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
<input type="checkbox"/>	Ensure all copies of temporary records are destroyed in any format (including backups), unless otherwise stated in a disposal schedule	<input type="checkbox"/>	Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
<input type="checkbox"/>	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	<input type="checkbox"/>	Inactive records can be transferred to offsite service providers providing they have been sentenced
<input type="checkbox"/>	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	<input type="checkbox"/>	Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
<input type="checkbox"/>	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	<input type="checkbox"/>	Notify the NT Records Service of destruction of all records
<input type="checkbox"/>	Implement review or quality control procedures in recordkeeping systems to ensure disposal actions are implemented correctly	<input type="checkbox"/>	Do not destroy records that are not described in an authorised records disposal schedule.
<input type="checkbox"/>	Identify records that require re-sentencing where a previous disposal schedule has been superseded	<input type="checkbox"/>	Do not destroy any records created prior to 1 July 1978 without specific authorisation from the NT Archives Service

Disposal Schedule

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Public and Environmental Health Act* and the *Public and Environmental Health Regulations*.

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	Records documenting formal advice to and from the Minister where a detailed response has been provided in relation to public and environmental health. Includes drafts, ministerial and consultation notes.	Permanent Transfer to NT Archives Service 10 years after action completed
1.1.2	Records documenting routine public and environmental health advice such as codes, standards, guidelines, factsheets, registration processes, and legislation requirements.	Temporary Destroy 7 years after action completed

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Public and Environmental Health Act* and the *Public and Environmental Health Regulations*.

1.2 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
1.2.1	Records documenting the delegation of powers and functions under the <i>Public and Environmental Health Act</i> to the Chief Health Officer by the Minister, including authorised persons by the Chief Health Officer. Includes revoked delegations.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.2	Records documenting declarations by the Minister of activities deemed to be a public health risk which could result in transmission of diseases.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.3	Records documenting written declarations by the Minister of a public health emergency. Includes the appointment of authorised officers during the public health emergency, terms and conditions, records of actions taken by the Chief Health Officer, reports to the Minister, extensions of emergency declaration periods, gazette notices and copies of newspaper notices.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.4	Records documenting the appointment of the Chief Health Officer by the Minister. Includes gazette notices, terms and conditions and relevant qualifications as a medical practitioner.	Permanent Transfer to the NT Archives Service 10 years after action completed

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Public and Environmental Health Act* and the *Public and Environmental Health Regulations*.

1.2 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
1.2.5	Records documenting the appointment by the Chief Health Officer of a person or body to be an enforcement agency under the Act. Includes gazette notices, written notices of appointed authorised officers, and delegations of powers and functions. May include records relating to the failure by the enforcement agency to act as required under the act.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.6	Records documenting applications for exemption from a regulated activity under the Act. Includes written applications, written notices of decisions and gazette notices.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.7	Records documenting the publication of names of offenders in relation to public and environmental health and other information relating to a public health risk or public health nuisance. Includes copies of gazette notices and newspaper articles.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.8	Records documenting requests made by the Chief Health Officer for health information from persons for the purpose of monitoring, protecting, maintaining or promoting public health, such as population health monitoring and lifestyle factors. Includes written notices to persons, directions to health practitioners, health service providers or authorised officers.	Permanent Transfer to the NT Archives Service 10 years after action completed

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Public and Environmental Health Act* and the *Public and Environmental Health Regulations*.

1.2 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
1.2.9	Records documenting the granting of approval for on-site wastewater systems. Includes variations and cancellations. Also includes application forms, technical specifications, receipts of prescribed fees and supporting documentation.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.2.10	Records documenting the granting and renewal of applications for registration of a business carrying out a regulated activity under the Act, such as commercial visitor accommodation, hairdressing, beauty therapy and body art businesses, including variations and exemptions to registration conditions. Includes applications, plans, specifications, copies of the registration notices, written notices, terms and conditions, notifications of a sale or disposal of a business and other related supporting documentation. May include requests to review decisions addressed to the Chief Health Officer, written decisions, court orders and other supporting documentation.	Temporary Destroy 10 years after business ceases trading
1.2.11	Records documenting applications for registration of a business carrying out a regulated activity under the Act that have been refused or withdrawn. Includes applications, plans, specifications, written notices of	Temporary Destroy 7 years after action completed

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Public and Environmental Health Act* and the *Public and Environmental Health Regulations*.

1.2 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
	decisions, requests for review of decision, local court orders and other supporting documentation.	
1.2.12	<p>Records documenting the granting of installation of wastewater systems, including variations, cancellations and withdrawals.</p> <p>Systems include:</p> <ul style="list-style-type: none"> - septic tanks - holding tanks - aerated wastewater treatment systems - biological treatment system - composting toilet system - hybrid toilet system - pit toilet - water recycling systems <p>Includes applications, notifications of installation and completion of a wastewater system to the Chief Health Officer, certification from plumbers, copies of plans, drawings and receipts of prescribed fees, inspections, terms and conditions.</p>	<p>Temporary</p> <p>Destroy 10 years after system has been decommissioned or action completed</p>
1.2.13	Records documenting the appointment of authorised officers by the Chief Health Officer under the Act.	<p>Temporary</p> <p>Destroy 7 years after end of appointment</p>

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the Public and Environmental Health Act and the Public and Environmental Health Regulations.

1.3 Compliance

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

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records documenting actions taken by the Chief Health Officer to reduce, remove or destroy a public health risk causing or threatening to cause an emergency, such as issuing emergency health warnings, isolating persons in a particular area, evacuating persons from a particular area, preventing persons from entering a particular place, controlling the movement of vehicles within an area, requesting medical examinations, seizure or destruction of a stated thing or requesting information from a person relating to the emergency.	Permanent Transfer to the NT Archives Service 10 years after action completed
1.3.2	Records documenting investigations into complaints against persons suspected of being the occupier of a place where an activity is being carried out, or is the source of a public health nuisance, or likely to be a public health risk that contravenes the Act, including incidents such as animals, refuse, dust, fumes, vapour, and ensuring places are not breeding grounds for mosquitos. Includes written letters addressed to the Department, file notes, infringement notices, photos, video footage, search warrants, notifications of seizure of goods, written notices issued by the Chief Health Officer, terms and conditions and public health orders.	Temporary Destroy 10 years after action completed

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the Public and Environmental Health Act and the Public and Environmental Health Regulations.

1.3 Compliance

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

Class No.	Description of Records	Status and Disposal Action
	<p>May include local court orders where persons have failed to comply with public health orders, extensions of compliance periods, show cause notices, cancellation of public health notices or orders authorised by the Chief Health Officer, applications for the return of seized goods to the local court, applications to cancel public health notices and orders, compensation claims on forfeited goods, receipts of refunds and related written notices to the applicant.</p>	

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the Public and Environmental Health Act and the Public and Environmental Health Regulations.

1.4 Control

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

Class No.	Description of Records	Status and Disposal Action
1.4.1	Register of health information maintained by the Chief Health Officer under the Act.	Permanent Retain in organisation (Manage and migrate data to new platform system during system upgrades) Transfer hardcopy register to the NT Archives Service 10 years after last entry
1.4.2	Registers required under the Public and Environmental Health Act. <ul style="list-style-type: none"> - declared activities - registered businesses - directions given to persons about things that are likely to threaten public health - enforcement agencies - authorised Officers - exemptions given under the Act Includes business names, details, dates or registration, terms and conditions, change of ownership, cancellations and exemptions.	Permanent Retain in organisation (Manage and migrate data to new platform system during system upgrades) Transfer hardcopy register to the NT Archives Service 10 years after last entry
1.4.3	Register of wastewater system products. Includes: <ul style="list-style-type: none"> - business name and details - product name - approval number - approval dates 	Permanent Retain in organisation (Manage and migrate data to new platform system during system upgrades) Transfer hardcopy register to the NT Archives Service 10 years after last entry

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the Public and Environmental Health Act and the Public and Environmental Health Regulations.

1.5 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, such as Royal Commissions, Parliamentary, Ombudsman's and Commissioner's inquiries. Includes the organisation's participation in the inquiry by providing evidence in the form of records, submissions or staff.

Class No.	Description of Records	Status and Disposal Action
1.5.1	<p>Records documenting inquiries where there is a public health concern of a serious nature, including the appointment of persons to conduct an inquiry.</p> <p>Includes appointed persons, terms and conditions, signed notices by the inquirer, photos of evidence, statements, document extracts, results of testing or examinations and final reports to the Minister.</p>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>

1. Public and Environmental Health Regulation

The function of regulating public and environmental health for the purpose of protecting and promoting the health of individuals and communities in the Territory. Includes the registration of a business carrying out regulated activities, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the Public and Environmental Health Act and the Public and Environmental Health Regulations.

1.6 Procedures

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

Class No.	Description of Records	Status and Disposal Action
1.6.1	<p>Master set of standard operational procedures, guidelines, internal procedures and standards in relation to public and environmental health.</p> <p>Includes gazette notices, consultation notes with the Minister and relevant stakeholders.</p>	<p>Permanent</p> <p>Transfer to the NT Archives Service 10 years after action completed</p>
1.6.2	<p>Records documenting the development of agency procedures and guidelines in relation to the public and environmental health function.</p> <p>Includes:</p> <ul style="list-style-type: none"> - background research - draft versions of procedures - notes on stakeholder consultation 	<p>Temporary</p> <p>Destroy 5 years after procedures superseded</p>