

Records disposal schedule

Allied Health Care Services

Charles Darwin University

Disposal Schedule No. 2021/002

May 2021

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Preamble

Introduction

The *Information Act 2002* 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, 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.

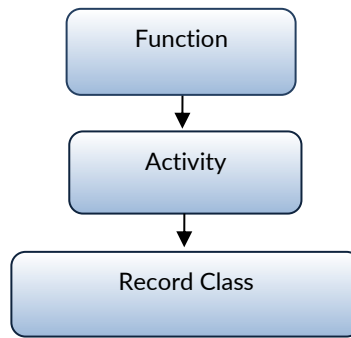
Disposal schedules are developed using the functional structure based on the classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

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.

¹ S.145 Information Act 2002

² S.136A(3) Information Act 2002

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 Archives Service. Permanent records must be transferred no later than 30 years after creation in accordance with the Information Act 2002, 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 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 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 Allied Health Care Services of the Charles Darwin University.

Scope

Application of this Records Disposal Schedule is mandatory for Allied Health Care Services records of the Charles Darwin University.

This Records Disposal Schedule applies to Allied Health Care Services records in all formats.

Responsibility

The Vice-Chancellor of the Charles Darwin University 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 2002*.

Disposal Schedule No. 2021/002 was approved by the Senior Director of Library & Archives NT (the Archives Service), Director Digital Policy and Data Strategy (the Records Service), and the Vice-Chancellor of the Charles Darwin University on 14 May 2021 and is effective immediately.

Regulatory framework

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

- *Charles Darwin University Act 2003*
- *Health Practitioner Regulation (National Uniform) Act 2010*
- *Health Practitioner Regulation National Law Act 2009*
- *Information Act 2002*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489:Records Management.
- 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
- policies and procedures of the Charles Darwin University
- current authorised disposal schedules for Charles Darwin Univeristy
- current authorised general disposal schedules.

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.

Acknowledgement

The Archives Service and the 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 Archives Service. Requests and enquiries concerning reproduction and rights should be directed to the Director, Archives Service. The terms in the 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

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

Disposal Schedule

1. Allied Health Care Services

The function of providing allied health care services to the community through the Wellness Centre of the University. Includes services such as, psychology, counselling, social work, occupational therapy, nutrition, exercise and sport, and speech and language therapy. Includes management of client files, policy and procedural guidelines.

1.1 Client Care and Treatment

The activities associated with the provision of diagnostic, technical, therapeutic and support services in connection with health care to individual clients.

Class No.	Description of Records	Status and Disposal Action
1.1.1	<p>Records documenting the care and treatment provided to clients of the Wellness Centre that are not minors.</p> <p>Includes:</p> <ul style="list-style-type: none"> - Pre-intake forms - Client details - Intake forms - Client notes - Assessments and clinical tests - Treatment plans - Consent forms - Phone logs - Related Correspondence with local support services and public health services. <p>May include records in relation to psychometric testing and audit checklists.</p>	<p>TEMPORARY</p> <p>Destroy 15 years from date of last access</p>
1.1.2	<p>Records documenting the care and treatment provided to clients of the Wellness Centre who are minors.</p> <p>Includes:</p> <ul style="list-style-type: none"> - Pre-intake forms - Client details - Intake forms - Client notes - Assessments and clinical tests - Treatment plans - Consent forms - Phone logs 	<p>TEMPORARY</p> <p>Destroy 45 years from date of birth, or 7 years after last access, whichever is the later</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Allied Health Care Services

The function of providing allied health care services to the community through the Wellness Centre of the University. Includes services such as, psychology, counselling, social work, occupational therapy, nutrition, exercise and sport, and speech and language therapy. Includes management of client files, policy and procedural guidelines.

1.1 Client Care and Treatment

The activities associated with the provision of diagnostic, technical, therapeutic and support services in connection with health care to individual clients.

Class No.	Description of Records	Status and Disposal Action
	<ul style="list-style-type: none"> - Related Correspondence with local support services and public health services. <p>May include records in relation to psychometric testing and audit checklists.</p>	
	Use 2017/17 - Higher Education Teaching and Learning – Student Practicum for records documenting the management of student work experience placements for students participating in courses.	
	Use 2016/4 – Charles Darwin University Governance – Client Services for records documenting complaints received from students, staff of the University or members of the public.	

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Allied Health Care Services

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1.2 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.

Class No.	Description of Records	Status and Disposal Action
1.2.1	Master set of policies in relation to Allied Health Care Services.	PERMANENT Transfer to the Archives Service 10 years after action completed
1.2.2	Records documenting the development and review of policies in relation to the Allied Health Care Services. Includes draft versions, background research and consultation notes.	TEMPORARY Destroy 5 years after action completed

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Allied Health Care Services

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1.3 Procedures

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

Class No.	Description of Records	Status and Disposal Action
1.3.1	<p>Master set of procedures and guidelines in relation to Allied Health Care Services.</p> <p>Includes business recommendations and implementation guidelines.</p>	<p>PERMANENT</p> <p>Transfer to the Archives Service 10 years after action completed</p>
1.3.2	<p>Records documenting the development of procedures and guidelines in relation to Allied Health Care Services.</p> <p>Includes draft versions and consultation notes.</p>	<p>TEMPORARY</p> <p>Destroy 5 years after action completed</p>

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.

1. Allied Health Care Services

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1.4 Surveillance

The activities associated with surveillance of facilities using closed circuit television (CCTV).

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records documenting surveillance footage of client sessions in relation to the Wellness Centre allied health care services where the purpose is for student training and development.	Temporary Destroy 30 days from date of last access

Note: All entries apply to records in any format, including electronic media, unless otherwise specified. It is the responsibility of all public sector organisations to ensure that all records are readily accessible for the retention periods specified.