

**State Archives and Records Authority
of New South Wales**

**Functional Retention and Disposal
Authority: FA393**

This authority covers records of the National registration and accreditation scheme for health practitioners

This retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.

About the Functional Retention and Disposal Authority

Purpose of the authority

The purpose of this retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met.

The approval for disposal given by this authority is given under the provisions of the *State Records Act 1998* only and does not override any other obligations of an organisation to retain records.

Development of this authority

This retention and disposal authority has been developed for the National Registration and Accreditation Scheme for health practitioners established under the Health Practitioner Regulation National Law as enacted in each State and Territory. This retention and disposal authority has been developed in accordance with the Council of Australasian Archives and Records Authorities (CAARA) Policy 11 - *Guidelines for the Treatment of Records of Inter-Governmental Agencies* to provide consistent retention and disposal requirements for records of the National scheme across all States and Territories.

The Authority applies to the records of the bodies and agencies established under the National Law to administer the scheme.

Implementing the authority

This retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority should be implemented as part of the records management program of the organisation. Two primary objectives of this program are to ensure that records are kept for as long as they are of value to the organisation and its stakeholders and to enable the destruction or other disposal of records once they are no longer required for business or operational purposes.

The implementation process entails use of the authority to sentence records. Sentencing is the examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. For further advice see *Implementing a retention and disposal authority*.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see the *General Retention and Disposal Authority – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology dependent records is available for the periods prescribed.

Disposal action

Records required as State archives

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these

records should be transferred to State Archives and Records NSW when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Archives and Records NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Archives and Records NSW should be a routine and systematic part of a public office's records management program. If the records are more than 25 years old and are still in use for official purposes, then a 'still in use determination' should be made.

Records approved for destruction

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, government directives and changing social or community expectations. A public office **must not** dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, formal applications for access) where the records may be required as evidence.

Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded. See *Destruction of records: a practical guide*.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Archives and Records NSW recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office **must not** permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Archives and Records NSW.

Administrative change

This retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Archives and Records NSW for approval. However, when functions move from one public office to another the public

office that inherits the new function should contact State Archives and Records NSW to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

Amendment and review of this authority

State Archives and Records NSW must approve any amendment to this authority. Public offices that use the authority should advise State Archives and Records NSW of any proposed changes or amendments to the authority.

State Archives and Records NSW recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Archives and Records NSW may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements, procedures or to operating environments which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Archives and Records NSW and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

Contact Information

State Archives and Records NSW
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Functional Retention and Disposal Authority
National registration and accreditation scheme for health practitioners

Authority number: FA393

Dates of coverage: Open

No.	Description of records	Disposal action
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1.0 REGISTRATION AND ACCREDITATION STANDARDS, CODES, GUIDELINES AND PROCEDURES

The development and issue of:

- Registration standards
- Codes, guidelines and procedures
- Accreditation standards.

See **ACCREDITATION** for records of the accreditation of education and training.

See *General retention and disposal authority: Administrative records of national bodies* for records of policies, including those that guide and support the development of standards, codes, guidelines and procedures, or the operations of the National Agency.

See *General retention and disposal authority: Administrative records of national bodies* **BOARDS AND COMMITTEES** for Board papers including summaries of consultation and records of National Board consideration and decisions regarding standards, codes, guidelines and procedures.

1.1	Final approved: <ul style="list-style-type: none"> • registration standards • codes, guidelines and procedures • accreditation standards. 	Required as State archives
1.2	Drafts, background research, versions which were not approved and any other inputs to the development and approval of standards, codes and guidelines, and/or procedures.	Retain minimum of 7 years after superseded or development ceased (where no version approved), then destroy

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HEALTH PRACTITIONER REGISTRATION AND REGULATION

2.0 HEALTH PRACTITIONER REGISTRATION AND REGULATION

The registration and regulation of health practitioners.

Includes the assessment of eligibility for registration of practitioners, renewals of registration, notifications/complaints and their investigation, and compliance monitoring.

See *General retention and disposal authority: Administrative records of national bodies* for Board papers including the consideration of applications and renewals for registration.

2.1	<p>Summary record of applicants for registration and registered health practitioners.</p> <p>Includes summary information regarding applications (including those that do not proceed), renewals, notifications, restrictions and compliance monitoring.</p> <p>Includes all categories of registration, including general, specialist, provisional, limited, non-practicing, and student categories.</p> <p>Summary information consists of details about the applicant or health practitioner (name, date of birth, unique identifier etc.), and a high level description of the transactions taking place, and the outcomes, throughout the registration of the practitioner.</p>	Required as State archives
2.2	<p>Receipt and assessment of applications and renewals, including required supporting evidence, to register and regulate health practitioners.</p> <p>Includes, but not limited to:</p> <ul style="list-style-type: none">• supporting documents received as part of an application to register, or a renewal of registration• internal assessment and decision records• correspondence with applicants/practitioners• notifications and their investigation• decisions, including any submissions and appeals• ongoing monitoring and compliance• documents prepared for presentation to the Board on any matter concerning registration and/or regulation• documents prepared for presentation to a tribunal, or other external body, concerning registration and/or regulation• immediate action to suspend a health practitioner	Retain minimum of 99 years after date of birth, then destroy

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HEALTH PRACTITIONER REGISTRATION AND REGULATION

	<ul style="list-style-type: none">• incomplete or withdrawn applications• applications that are refused.	
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ACCREDITATION

3.0 ACCREDITATION

The assessment of applications for accreditation of programs of study. Includes the ongoing monitoring of programs.

See **REGISTRATION AND ACCREDITATION STANDARDS, CODES, GUIDELINES AND PROCEDURES** for records relating to the development and approval of accreditation standards

See *General retention and disposal authority: Administrative records of national bodies* **BOARDS AND COMMITTEES** for records of Board deliberations and decisions regarding accredited programs of study put forward for approval.

3.1	<p>Summary records of accredited programs of study for a health profession.</p> <p>The summary record includes the name of the education provider, the name of the program of study and the name/type of qualification obtained, which profession the course leads to, and what type of registration may be applied for (e.g. general, specialist, etc.)</p> <p>The summary record may also include checklists or summary notes of transactions, process steps completed or additional information requested by the National Board.</p>	Retain minimum of 30 years after accreditation expires or is revoked, then destroy
3.2	<p>Records documenting the assessment and ongoing monitoring of an education provider and its programs of study to ensure they meet accreditation standards. Includes:</p> <ul style="list-style-type: none"> • records of initial expressions of interest • applications and supporting documentation • assessment reports • accreditation decisions including details of any conditions and/or specific monitoring requirements • responses by education providers to conditions, evaluation of those responses and decisions on removal of conditions • reporting to the relevant National Board on program accreditation and monitoring • the receipt of complaints or concerns regarding an accredited program, their investigation and resolution. 	Retain minimum of 15 years after accreditation expires, then destroy
3.3	<p>Applications that are unsuccessful, incomplete or withdrawn.</p> <p>Includes applications that do not result in accreditation</p>	Retain minimum of 7 years after action completed, then

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ACCREDITATION

	and/or approval of the program of study, any supporting documentation received, any assessment reports, and any correspondence with the education provider. Includes any further submissions made by the education provider, and any appeal process entered into.	destroy
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