



Records disposal schedule

Records Disposal Schedule Food Safety Regulation Department of Health

Disposal Schedule No. 2014/23

October 2014

For information and advice, please contact
NT Records Service
Department of Corporate and Information Services
GPO Box 2391
Darwin NT 0801

Email: NTG.RecordsPolicy@nt.gov.au
Telephone: (08) 8924 3847
Facsimile: (08) 8924 3880
Website: http://www.nt.gov.au/dcis/info_tech/records_policy_standards/index.shtml

Table of contents

Preamble	i
Introduction.....	i
Structure of a Records Disposal Schedule	i
Function.....	ii
Activity	ii
Record Class	ii
Status and Disposal Action	ii
About this Records Disposal Schedule	iv
Purpose	iv
Scope	iv
Responsibility	iv
Authority	iv
Regulatory Framework.....	iv
Related Documents	iv
Normal Administrative Practice	iv
Notification of Destruction	v
Acknowledgement	v
Compliance Checklist	vi
Disposal Schedule	1
1. Food Safety Regulation	1
1.1 Advice.....	1
1.2 Authorisation.....	3
1.3 Claims.....	5
1.4 Committees.....	6
1.5 Compliance.....	7
1.6 Control	8
1.7 Evaluation	9
1.8 Policy	10
1.9 Training.....	11

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.

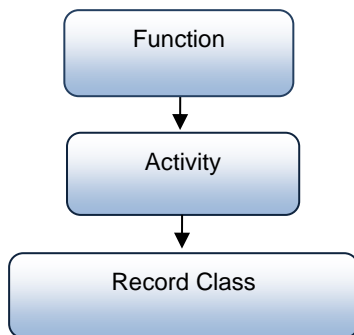
Disposal schedules are developed using the functional structure based on the business classification scheme of the *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW and modified for use by NT Government public sector organisations.

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 Food Safety Regulation of the Department of Health.

Scope

Application of this Records Disposal Schedule is mandatory for Food Safety Regulation of the Department of Health.

This Records Disposal Schedule applies to Food Safety 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. 2014/23 was approved by the Director of the NT Archives Service (The Archives Service), Senior Director of Policy and Governance (The Records Service), and the Chief Executive of the Department of Health on 28 October 2014 and is effective immediately.

Regulatory Framework

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

- *Food Act*
- *Food 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

- 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, eg. preservation in original form, migration to new systems, and conversion to long term medium
- Dispose of all records sentenced according to this schedule in all formats including electronic records and records in business systems, copies of records and parts of records
- Transfer records of permanent value to the NT Archives Service for retention as archives not later than 30 years after creation
- Inactive records can be transferred to offsite service providers providing they have been sentenced
- Destroy time expired temporary records in a secure manner that ensures complete deletion/destruction beyond any possible reconstruction
- Notify the NT Records Service of destruction of all records
- 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. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

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 the publication of gazette notices detailing persons found guilty in relation to unsafe handling or selling of food by the Chief Health Officer under the Act.	Permanent Transfer to NT Archives Service 10 years after action completed
1.1.2	Records documenting formal advice to and from the Minister where a detailed response has been provided in relation to food safety regulation such as recommendations or amendments to the Australia New Zealand Food Standards Code. Includes drafts, ministerial and consultation notes.	Permanent Transfer to NT Archives Service 10 years after action completed
1.1.3	Records documenting emergency recall orders issued by the Chief Health Officer. Includes reasons, particular food or type of food, procedures for disposing of food. Also includes confirmation from persons that the recall is completed, and copies of certificates.	Permanent Transfer to NT Archives Service 10 years after action completed
1.1.4	Records documenting standard recall orders issued by Food Standards Australia New Zealand.	Temporary Destroy 7 years after action completed
1.1.5	Records documenting recommendations on development applications for	Temporary Destroy 5 years after action

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

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
	<p>developers who want a food activity in their building.</p> <p>Includes applications, and agency responses.</p>	completed
1.1.6	<p>Records documenting routine food advice such as food safety standards, registration requirements, food labelling, food surveillance, building premises and dietary advice.</p> <p>Includes fact sheets.</p>	<p>Temporary</p> <p>Destroy 3 years after action completed</p>

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

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	<p>Records documenting appointments of enforcement agencies such as the Environmental Health Branch.</p> <p>Includes gazette notices, legal instruments of appointments, terms and conditions, and recommendation reports by enforcement agencies to the Chief Health Officer.</p>	<p>Permanent</p> <p>Transfer to NT Archives Service 10 years after action completed</p>
1.2.2	<p>Records documenting the granting and renewal of food business registrations, including variations, refusals and exemption certificates.</p> <p>Includes applications, written notices of decisions, terms and conditions, change of name notifications, comments on building premises design and construction plans and drawings, photos and file notes.</p> <p>May include review of decisions, court orders, final decisions and supporting documentation.</p>	<p>Temporary</p> <p>Destroy 7 years after registration expires, is withdrawn, cancelled, suspended or action completed</p>
1.2.3	<p>Records documenting the approval and renewal of persons to carry out analyses under the Act by the Chief Health Officer, including suspensions and cancellations.</p> <p>Includes applications, receipts of prescribed fees, written notices of decisions, terms and conditions.</p> <p>May include records of conflicts of interest and review of decisions.</p>	<p>Temporary</p> <p>Destroy 7 years after appointment ceases</p>

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

1.2 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
1.2.4	Records documenting unsuccessful applications for persons to carry out analyses under the Act. Includes written notices of decisions and appeals to the local court.	Temporary 3 years after action completed
1.2.5	Records documenting appointments of authorised officers by the Chief Health Officer. Includes evidence of relevant qualifications and experience. May include returned identity cards where the authorised officer has ceased in the position.	Temporary Destroy 7 years after appointment ceases

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

1.3 Claims

The process of 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.

Class No.	Description of Records	Status and Disposal Action
1.3.1	<p>Records documenting compensation claims made by persons in relation to emergency orders where a person has suffered loss, or considers that there were insufficient grounds for the emergency order.</p> <p>Includes written notices, receipts of money refunded and related correspondence.</p> <p>May include notifications of appeals to the local court to review a compensation claim that has been refused by the Chief Health Officer. Includes written notices, court orders, and supporting documentation.</p>	<p>Temporary</p> <p>Destroy 7 years after action completed</p>
	<p>Use LEGAL SERVICES – LITIGATION for records that document legal claims under the Act.</p>	

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

1.4 Committees

The activities associated with the management of committees, sub committees, councils, forums, working groups, boards and task forces (internal and external, private community, local, state, national, international, etc.). Includes the committees establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

Class No.	Description of Records	Status and Disposal Action
1.4.1	Records documenting high-level committees where the agency is the NT Government's main representative in relation to food safety regulation, such as the Food Regulation Standing Committee and the Implementation Sub-Committee on Food Regulation. Includes notifications of meetings, agendas, minutes and discussion papers.	Permanent Transfer to NT Archives Service 10 years after action completed
1.4.2	Records documenting working groups in relation to food safety regulation such as the Mandatory Fortification Working Group, and the Food Safety Management Working Group. Includes notifications of meetings, agendas, minutes and discussion papers.	Temporary Destroy 7 years after action completed

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

1.5 Compliance

The activities associated with complying with, or monitoring compliance with, mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements.

Class No.	Description of Records	Status and Disposal Action
1.5.1	<p>Records documenting inspections, complaints and investigations into registered and non-registered businesses and individuals suspected of contravening the Act.</p> <p>Includes inspection reports, improvement notices, receipts of seizures of food, prohibition orders, search warrants, witness statements, photos, certificates of analysis, and copies of certificates of clearances.</p> <p>May include appeals to the local court for review of a decision, court orders and final decisions. cancellations and suspensions.</p>	<p>Temporary</p> <p>Destroy 7 years after registration is cancelled, suspended or action completed</p>

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

1.6 Control

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

Class No.	Description of Records	Status and Disposal Action
1.6.1	<p>Database of registered food businesses.</p> <p>Details include:</p> <ul style="list-style-type: none"> - name and principal address - registration date - conditions - ownership changes 	<p>Permanent</p> <p>Retain in organisation</p>
1.6.2	Register of approved analysts under the Act.	<p>Permanent</p> <p>Retain in organisation</p>

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

1.7 Evaluation

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

Class No.	Description of Records	Status and Disposal Action
1.7.1	<p>Records documenting the monitoring of the manufacture, retail and distribution of food for the purpose of improving standards.</p> <p>Includes surveys, file notes, statistics, research material, and copies of final reports to the Chief Health Officer or the Minister.</p>	<p>Temporary</p> <p>Destroy 7 years after action completed</p>
	<p>Use 0.14.1 – REPORTING for managing final versions of evaluation reports.</p>	

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

1.8 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
1.8.1	Master set of policies in relation to food safety regulation such as the Enforcement Policy. May include standard operating procedures.	Permanent Transfer to NT Archives Service 10 years after action completed
1.8.2	Records documenting draft policies, research, copies of legal opinions, results of consultations and other supporting documents.	Temporary Destroy 7 years after policy is superseded

1. Food Safety Regulation

The function of regulating food manufacturing, retailing, and catering distribution within the Northern Territory for the purposes of food safety and suitability of food for human consumption. Includes the registration of food businesses, investigations into complaints, routine inspections of premises, responses to outbreaks and maintaining registers under the *Food Act*.

1.9 Training

The activities associated with all aspects of training.

Class No.	Description of Records	Status and Disposal Action
1.9.1	Final set of training material such as the Food Handler Training Package. Includes DVD's, manuals and fact sheets.	Temporary Destroy 7 years after action completed
1.9.2	Records documenting the development of training packages in relation to food safety regulation. Includes drafts, file notes, stakeholder consultation, lesson plans, and delivery plans.	Temporary Destroy 7 years after action completed
1.9.3	Records documenting the delivery of training in relation to food safety regulation to the community such as childcare and healthcare workers. Includes attendance sheets, copies of certificates of participation, training schedules and feedback forms.	Temporary Destroy 7 years after action completed