



## **Records disposal schedule**

# **Records Disposal Schedule Medicines and Poisons Control Department of Health**

**Disposal Schedule No. 2014/24**

**October 2014**

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## Preamble

### Introduction

The *Information Act* states that public sector organisations must safeguard their records and must not delete or otherwise dispose of a record unless authorised to do so<sup>1</sup>. Disposal of records is permitted through the use of records disposal schedules and enable regular, planned and authorised disposal of records controlled by an agency.

Records retention decisions are based on:

- the current and future business needs of the organisation
- compliance with legal and governance requirements of the organisation
- the current and future needs of internal and external stakeholders, including the wider community.

Records disposal schedules provide continuing authorisation for the legal disposal of records and are authorised by the records service, archives service and chief executive officer of the public sector organisation responsible for the schedule.

Records disposal schedules apply to records created and maintained in any format, including electronic records, records in business systems, and parts of records.

In the Northern Territory government there are two types of records disposal schedules:

- General records disposal schedules that apply to records common to most or all NT Government public sector organisations ([http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records\\_disposal](http://www.nretas.nt.gov.au/knowledge-and-history/ntas/records/records_disposal)), and
- Functional records disposal schedules that apply to records specific to an NT Government public sector organisation or function.

Functional records disposal schedules should be used in conjunction with general records disposal schedules.

### Structure of a Records Disposal Schedule

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

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

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

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

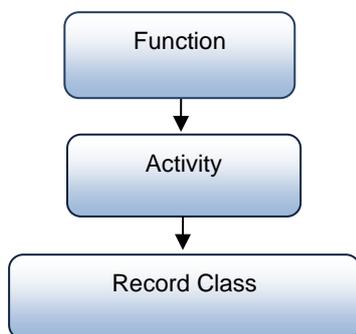
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<sup>1</sup> S.145 *Information Act*

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

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

Diagram 1



## Function

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

## Activity

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

## Record Class

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

## Status and Disposal Action

The appraisal status of a record class is assigned as either permanent or temporary.

**Permanent Records:** Records appraised with permanent status have been identified as archives and must be transferred to the NT Archives Service for their preservation and eventual public access.

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

**Temporary records:** The retention period for temporary records is the minimum period before the records can legally be destroyed. The retention period is calculated after an event or a disposal trigger such as 'date of action completed', 'date of audit' or 'date of birth'. Destruction should be done following consultation with relevant operational business employees responsible for the records.

Retention periods for temporary records in a records disposal schedule are minimum periods only and agencies may keep records for a longer period if considered necessary for business requirements.

Reasons for longer retention could include,

- administrative need or agency directives,
- legal requirements such as current or pending legal action,
- relevance to an investigation or inquiry which is in progress,
- is subject to an Information Access application, or
- subject to a disposal freeze.

Records created prior to 1 July 1978 must not be disposed of without the authorisation of the NT Archives Service in accordance with Archives Management Standard Records Created Prior to 1978, unless specified in a schedule.

Sentence records with this records disposal schedule using the following five steps:

1. Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
2. Identify the disposal class.
3. From the disposal action in the class, identify the trigger event and a date when the record can be disposed of, alternately, identify that the record is to be retained permanently as archives.
4. If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
5. If the trigger event has not occurred (e.g. the record is still in active use), set a review date for the future.

## About this Records Disposal Schedule

### Purpose

The purpose of this Records Disposal Schedule is to enable regular, planned and authorised disposal of records of Medicines and Poisons Control of the Department of Health.

### Scope

Application of this Records Disposal Schedule is mandatory for Medicines and Poisons Control records of the Department of Health.

This Records Disposal Schedule applies to Medicines and Poisons Control 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. 2014/24 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 31 October 2014 and is effective immediately.

### Regulatory Framework

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

- *Medicines, Poisons and Therapeutic Goods Act*
- *Medicines, Poisons and Therapeutic Goods Regulations*
- *Private Hospitals Act*
- *Health Practitioners Act*
- *Information Act*
- NT Government Records Management Standards
- NT Government Archives Management Standards
- Australian Standards AS ISO 15489:2002-Records Management

### Related Documents

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

- NT Government Records Management Standard – Records Disposal
- 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. Medicines and Poisons Control

The function of regulating the supply and use of medicines, poisons and therapeutic goods in the Northern Territory for the purpose of promoting public health and safety. Includes granting of licences, registrations and authorisations, compliance inspections, monitoring schedule 8 poisons and providing secretariat support to statutory committees under the *Medicines, Poisons and Therapeutic Goods Act* and other acts.

#### 1.1 Advice

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

Class No.	Description of Records	Status and Disposal Action
1.1.1	<p>Records documenting formal advice to and from the Minister and other government bodies and organisations in relation to medicines and poisons control.</p> <p>Includes gazette notices, guidelines and codes of practice, stakeholder consultation notes, ministerial and briefings.</p>	<p>Permanent</p> <p>Transfer to NT Archives Service 10 years after action completed</p>
1.1.2	<p>Records documenting declarations by the Chief Health Officer in relation to the Act.</p> <p>Declarations include:</p> <ul style="list-style-type: none"> <li>- restricted and unrestricted substances to be included in the national schedules.</li> <li>- medical conditions where amphetamine can be used for therapeutic use for certain conditions</li> <li>- persons or class of persons to be excluded persons and disregarded from the number of persons to whom the health practitioner may supply an unrestricted substance for therapeutic use.</li> <li>- conditions for dental therapists, dental hygienists or oral health therapists to possess or administer</li> </ul>	<p>Permanent</p> <p>Transfer to NT Archives Service 10 years after action completed</p>

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### 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>unrestricted substances</p> <ul style="list-style-type: none"> <li>- persons such as nurses, midwives, Aboriginal and Torres Strait Islander Health Practitioners and ambulance officers to deal with prescribed substances</li> <li>- persons as authorised persons to be allowed emergency authorisation for possessing, supplying and administering substances</li> <li>- places such as health centres or clinics for storage of regulated substances</li> </ul> <p>Includes gazette notices, stakeholder consultation, recommendations from the Scheduled Substances Clinical Advisory Committee, and memoranda to the Chief Health Officer, written notices, terms and conditions.</p>	
1.1.3	<p>Records documenting routine advice in relation to medicines and poisons control such as advice on legislation requirements, disposal of unwanted medicines, buying medicines online and licensing requirements.</p> <p>Includes fact sheets and letters to retailers, health practitioners and veterinarians advising of legislative changes.</p>	<p>Temporary</p> <p>Destroy 3 years after action completed</p>

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### 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 relating to the <i>Medicines, Poisons and Therapeutic Goods Act</i> by the Chief Health Officer to authorised persons, including public sector employees and health practitioners.  Includes revoked delegations.	Permanent  Transfer to the NT Archives Service 10 years after action completed
1.2.2	Records documenting approved authorisations by the Chief Health Officer under the Act such as: <ul style="list-style-type: none"> <li>- exemptions for classes of authorised health practitioners</li> <li>- temporary prohibition on dealing with substances</li> <li>- prohibition of health practitioners or veterinarians dealing with substances as prescribed under the Act</li> </ul> Includes recommendations from the Scheduled Substances Clinical Advisory Committee, gazette notices, written notices, prohibition notices, terms and conditions to health practitioners and veterinarians  May include written objections to the Chief Health Officer by health practitioners and veterinarians.	Permanent  Transfer to the NT Archives Service 10 years after action completed
1.2.3	Records documenting approvals for regulated substance treatment protocols for possession, supply and administering in hospitals, wards of a hospital, residential facility, declared	Permanent  Transfer to the NT Archives Service 10 years after action completed

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### 1.2 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
	places, doctor's surgery or consultation room, pharmacy or other places specified.  Includes gazette notices and legal instruments.	
1.2.4	Records documenting authorities issued to deal with regulated restricted substances under the Code of Practice Schedule 8 Substances for the supply, administration of substances, and the issue of a prescription for the supply of substances in prohibited circumstances.  Includes applications, final decisions by the Chief Health Officer, Pharmacy Premises Committee and recommendations by the Scheduled Substances Clinical Advisory Committee.	Permanent  Transfer to the NT Archives Service 10 years after action completed
1.2.5	Records documenting authorisation of persons by the Chief Health Officer to be given or disclose substance information, such as pharmacists, public sector employees and health practitioners.  Includes gazette notices.	Permanent  Transfer to the NT Archives Service 10 years after action completed
1.2.6	Records documenting the granting, renewal or transfer of authorities issued to persons or bodies corporate to deal with regulated substances as prescribed under the Act such as manufacturers' certificate of registration, wholesalers' certificate of registration, retail licences, pest management technician licences,	Temporary  Destroy 7 years after authority expires, is cancelled, suspended or surrendered

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### 1.2 Authorisation

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

Class No.	Description of Records	Status and Disposal Action
	<p>prohibited restricted and unrestricted authorisations, including refusals, variations, suspensions, surrenders, cancellations and replacements.</p> <p>Includes applications, terms and conditions, medical examinations, change in particulars of the holder of the authority.</p> <p>May include requests for review of decisions, including written applications to the Chief Health Officer, copies of review notices and court orders.</p>	
1.2.7	<p>Records documenting the appointment of authorised officers under the Act.</p> <p>Includes photo identification, copies of qualifications or experience, terms and conditions and returned identity cards.</p>	<p>Temporary</p> <p>Destroy 7 years after end of appointment</p>

## 1. Medicines and Poisons Control

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### 1.3 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 committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

Class No.	Description of Records	Status and Disposal Action
1.3.1	Records documenting the establishment of the Scheduled Substances Clinical Advisory Committee.  Includes appointment of members, chairpersons, deputy chairpersons, resignations, copies of qualifications, terms and conditions.	Permanent  Transfer to the NT Archives Service 10 years after action completed
1.3.2	Records documenting high-level committee meetings such as the Scheduled Substances Clinical Advisory Committee formed to address matters in relation to medicines and poisons control.  Includes final minutes and agendas, discussion papers, action items and decision registers, disclosure of interests.	Permanent  Transfer to the NT Archives Service 10 years after action completed
1.3.3	Records documenting the medicines and poisons administrative committees, or inter-departmental formal committees, where the agency is not the NT Governments main representative.	Temporary  Destroy 5 years after action completed
1.3.4	Working papers documenting the conduct and administration of committees.  Includes draft agendas and notices of meetings.	Temporary  Destroy when reference ceases

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### 1.4 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
1.4.1	<p>Records documenting investigations into persons suspected of contravening the Act where a serious breach is committed such as causing loss of life or persons becoming seriously ill.</p> <p>Includes file notes, show cause notices, committee recommendations, search warrants, court orders, receipts of seized goods, photos, video footage, copies of extracts of documents, written notices, compliance notices, witness statements, receipts for destruction or disposals of forfeited goods, compensation payments and returned authorities.</p> <p>May include requests for review of decisions, including written applications to the Chief Health Officer, copies of review notices and local court orders.</p>	<p>Permanent</p> <p>Transfer to NT Archives Service 10 years after action completed</p>
1.4.2	<p>Records documenting investigations into persons suspected of contravening the Act where a breach is committed but has not caused a loss of life or serious illness.</p> <p>Includes file notes, show cause notices, committee recommendations, search warrants, court orders, receipts of seized goods, photos, video footage, copies of extracts of documents, written notices, compliance notices, witness statements, receipts for destruction or disposals of forfeited goods, compensation payments and returned authorities.</p>	<p>Temporary</p> <p>Destroy 7 years after licence expires, is cancelled, suspended or surrendered</p>

## 1. Medicines and Poisons Control

The function of regulating the supply and use of medicines, poisons and therapeutic goods in the Northern Territory for the purpose of promoting public health and safety. Includes granting of licences, registrations and authorisations, compliance inspections, monitoring schedule 8 poisons and providing secretariat support to statutory committees under the *Medicines, Poisons and Therapeutic Goods Act* and other acts.

### 1.4 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
	May include requests for review of decisions, including written applications to the Chief Health Officer, copies of review notices and court orders.	
1.4.3	Records of recalled therapeutic goods alerts from the Therapeutic Goods Administration.  Includes copies given to Northern Territory hospitals and clinics for information.	Temporary  Destroy 3 years after date of issue
1.4.4	Records of the supply by a Pharmacist or other persons of a scheduled substance under the Act.  Includes copies of prescriptions, copies of authorities and copies of cancelled prescriptions.	Temporary  Destroy 2 years after date of prescription

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### 1.5 Control

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

Tip: Includes classification, indexing, registration, forms design, etc. to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Class No.	Description of Records	Status and Disposal Action
1.5.1	<p>Register of authorities as required under the Act:</p> <ul style="list-style-type: none"> <li>- manufacturer certificate of registrations</li> <li>- wholesaler certificate of registrations</li> <li>- retailer licenses</li> <li>- Schedule 4 authorisations</li> <li>- Schedule 7 authorisations</li> <li>- pest management technician licences</li> <li>- Schedule 8 authorisations</li> <li>- prohibited substance of authorisations</li> <li>- research authorisations</li> <li>- medical kit authorisations</li> </ul> <p>Includes full name and contact details, authority type, requests from members of the public for inspections of certificates of registration, retailer licences and pest management technician licences.</p>	<p>Permanent</p> <p>Retain in organisation (manage and migrate data to new platform system during system upgrades)</p>