

**Records Disposal Schedule  
Veterinary Regulation Records**

**Veterinary Board of the Northern  
Territory**

**Department of Primary Industry,  
Fisheries and Mines**

**Disposal Schedule No 2007/11**

**May 2007**

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## ABOUT THIS DISPOSAL SCHEDULE

### Purpose

The purpose of this Disposal Schedule is to enable regular, planned and authorised disposal of Veterinary Regulation records of the Veterinary Board of the Northern Territory.

### Scope

Application of this Disposal Schedule is mandatory for Veterinary Regulation records of Department of Primary Industry and Fisheries relating to the function of Veterinary Regulation performed by the Veterinary Board of the Northern Territory.

This Disposal Schedule applies to Veterinary Regulation records in all formats, including electronic records and records in business systems, copies of records and parts of records of the Northern Territory Government.

### Regulatory Framework

The regulatory basis for this Disposal Schedule is defined in:

- ▶ Veterinarians Act 2001
- ▶ Veterinarians Regulations 2005
- ▶ Information Act 2002
- ▶ Australian Standards AS ISO 15489:2002-Records Management

## Related Documents

This Disposal Schedule is to be read in conjunction with:

- ▶ NT Government Records Management Standard – Records Disposal
- ▶ policies and procedures of the Veterinary Board of the Northern Territory.
- ▶ \* Disposal Schedule for Administrative Records of the Northern Territory Government – Disposal Schedule No. 2000/8 (ADMIN).

\* Note that section 6 of this schedule (Information Management) has been superseded by the Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).

- ▶ Disposal Schedule for Information Management Records of the Northern Territory Government – Disposal Schedule No 2003/2 (IM).
- ▶ Disposal Schedule for the Financial Management Records of the Northern Territory Government – Disposal Schedule No. 2001/2 (FM).
- ▶ Disposal Schedule for the Human Resource Management Records of the Northern Territory Government – Disposal Schedule No. 2001/6 (HRM).
- ▶ Disposal Schedule for Records of Short Term Value – Disposal Schedule No. 2003/10
- ▶ NT Archives Service Guidelines on Normal Administrative Practice for Records Disposal



## Responsibility

The Chief Executive of the Department of Primary Industry, Fisheries and Mines is responsible for the content and implementation of this Disposal Schedule including the provision of advice and training, and for monitoring compliance.

## Authority

This Disposal Schedule was approved by the Director of the NT Archives Service and the Chief Executive of the Department of Primary Industry, Fisheries and Mines May 2007 and is effective immediately.

## Explanation

This schedule has been 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.

Records disposal schedules are policy documents that describe each class of records held, using thesaurus classifications based on business analysis. The 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.

Either permanent or temporary status is assigned to each class of records. Records appraised with permanent status have been identified as archives and must be transferred to the NT Archives Service not later than 30 years after creation. Temporary records will be destroyed at an appropriate time determined by the disposal action identified in the schedule and by consultation with relevant operational business employees responsible for the records.

## NT Government Disposal Schedules

There are two types of records disposal schedules:

- ▶ “general” disposal schedules that apply to records common to most or all NT Government public sector organisations, and
- ▶ records disposal schedules specific to an NT Government public sector organisation or function.

There are presently five disposal schedules which provide disposal coverage for records common to most or all NT Government public sector organisations –the General Disposal Schedule for Financial Management Records, the General Disposal Schedule for Human Resource Management Records, the General Disposal for Administrative Records, the General Disposal Schedule for Information Management Records and the Disposal Schedule for Records of Short term Value. These can be used by all NT Government public sector organisations to assist with the disposal of administrative records.

## Sentencing Records

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

- ▶ Determine the appropriate function and activity of the records. This can be done by examining an existing record or when creating a new record.
- ▶ Identify the disposal class.
- ▶ 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.
- ▶ If the trigger event has already occurred (such as action is completed), confirm and implement the disposal action.
- ▶ If the trigger event has not occurred (eg. the record is still in active use), set a review date for the future.



### **Normal Administrative Practice**

Some records and ephemeral documents can be destroyed as a normal administrative practice if they are:

- ▶ duplicate (eg information or reference copy)
- ▶ obviously unimportant (eg telephone message slips)
- ▶ of short term facilitative value (eg 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. The reason for destruction of all records must be recorded in full on the relevant control records. Normal administrative practice can be applied to electronic records as well as paper records (eg information on word processing systems where a hard copy has been captured into a recordkeeping system)

### **Notification of Destruction**

Provide formal notification of destruction of all records to the NT Archives Service.

### **Acknowledgment**

The NT Archives Service wishes to acknowledge the use of material produced by National Archives of Australia, State Records Authority of New South Wales and Standards Australia were used in the development of this schedule.

The schedule was drafted principally by the Department of Primary Industry, Fisheries and Mines in consultation with the NT Archives Service.

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

### 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
- 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
- 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 electronic recordkeeping systems to ensure disposal actions are implemented correctly.
- Identify records series that require re-sentencing
- 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
- Select and implement an appropriate and approved strategy for retention of records of continuing value, eg. preservation in original form migration to new systems 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 not later than 30 years after creation for retention as archives
- 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 Archives Service of destruction of all records
- Do not destroy records that are not described in an authorised records disposal schedule unless they are ephemeral documents that are obviously duplicate and/or unimportant



## 1. VETERINARY REGULATION

The function of registering veterinarians and veterinary specialists and regulating the provision of veterinary services in the Northern Territory. Includes determining applications for registration, promoting high standards of professional conduct, providing advice, issuing guidelines, exercising disciplinary powers, investigating complaints and prosecuting offences.

### 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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.1.1	Records relating to advice and opinions given or received in relation to the functions and powers of the Veterinary Board of the Northern Territory that lead to significant changes in policies or sets a major precedent.	PERMANENT Transfer to NT Archives Service 4 years after action completed
1.1.2	Records relating to routine advice and opinions given or received by the Veterinary Board of the Northern Territory that lead to no significant policy changes or sets no major precedent.	TEMPORARY Destroy 2 years after action completed

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### 1.2 AUTHORISATION

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

1.2.1	Records relating to applications for full, limited and interim registration of veterinarians and veterinary specialists where the applications are approved. Includes cancellations, suspensions and renewals of licences, changes to conditions of registration, changes of names, addresses and qualifications and details of reprimands and fines incurred due to inquiries conducted by the board. Also includes application forms with required attachments such as copies of qualifications, evidence of payment of fees, copies of certificates of registration, copies of insurance documentation relating to professional indemnity and copies of orders issued by the local court in relation to appeals.	TEMPORARY Destroy 85 years after date of registration
1.2.2	Records relating to applications for full, limited and interim registration of veterinarians and veterinary specialists where the applications are not approved. Includes application forms with required attachments such as copies of qualifications. Also includes orders issued by the local court that uphold the board's decisions to refuse registrations.	TEMPORARY Destroy 7 years after action completed
1.2.3	Records relating to withdrawn, incomplete or cancelled applications for registration.	TEMPORARY Destroy one year after application withdrawn or cancelled
1.2.4	Records relating to the appointment of an inspector or inspectors for the purpose of enforcing the Veterinarians Act. Includes copy of the identity card, copy of the statement verifying entitlement to exercise powers conferred and also surrender documents if an appointment has ceased.	TEMPORARY Destroy 7 years after appointment ceases

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### 1.3 COMMITTEES

The activities associated with the management of committees, boards and task forces (internal and external, private, local, state, Commonwealth etc.). Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.3.1	Records relating to the establishment of the Veterinary Board. Includes appointment, resignations and dismissal of members of the Board.	PERMANENT Transfer to NT Archives Service 4 years after action completed
1.3.2	Records relating to meetings held by the Veterinary Board. Includes agenda, appointments, attendance, briefing and discussion papers, minutes, reports and submissions, decisions and recommendations.	PERMANENT Transfer to the NT Archives Service 4 years after action completed
1.3.3	Records relating to the administration of the Veterinary Board. Includes travel arrangements, organisation of venue, distribution lists and invitations to attend.	TEMPORARY Destroy 5 years after action completed

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## 1. VETERINARY REGULATION

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### 1.4 CONTROL

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.4.1	Register of veterinarians and veterinary specialists in the Northern Territory. Includes name, address, qualifications, date issued and type of certification.	PERMANENT Transfer to NT Archives Service 4 years after last entry

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### 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 and 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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.5.1	Records relating to hearings conducted by the Veterinary Board. Includes notices of hearings, complaints and findings. May include copies of orders issued by the local court in relation to appeals.	TEMPORARY Destroy 85 years after date of registration

Use VETERINARY REGULATION – INVESTIGATION for investigations into complaints about veterinarians or veterinary specialists.

## 1. VETERINARY REGULATION

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### 1.6 INVESTIGATIONS

The acts and processes involved in ascertaining facts by enquiry or examination.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.6.1	Records relating to investigations that proceed to a hearing or result in a reprimand or caution. May include copies of complaints, notices of investigations, hearings and decisions.	TEMPORARY Destroy 85 years after date of registration
1.6.2	Records relating to investigations that do not proceed to a hearing or result in a reprimand or caution. May include copies of complaints, notices of investigations and decisions.	TEMPORARY Destroy 10 years after action completed

Use VETERINARY REGULATION – INQUIRIES for hearings.

## 1. VETERINARY REGULATION

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### 1.7 LIAISON

The activities associated with maintaining regular general contact between the organisation and others, including: professional associations; professionals in related fields; private sector organisations; community groups; and individuals. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.7.1	Records relating to contact with professional associations, other government agencies, private sector organisations, community groups and the public in regard to veterinary regulation in the Northern Territory. Includes the sharing of informal advice, information, newsletters and membership of professional associations such as The Australian Veterinary Association Ltd, Veterinary Surgeons Board.	TEMPORARY Destroy 5 years after action completed

## 1. VETERINARY REGULATION

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### 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.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.8.1	Records relating to endorsed policies in relation to powers and functions of the Veterinary Board. Includes consultation papers, drafts, policy proposals, reports, research papers and master copies of policies.	PERMANENT Transfer to NT Archives Service 4 years after policy is superseded
1.8.2	Working papers, drafts and duplicate copies of policy documents in relation to the Veterinary Board functions.	TEMPORARY Destroy when reference ceases

## 1. VETERINARY REGULATION

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### 1.9 PROCEDURES

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

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.9.1	Master set of procedures and guidelines documenting the method undertaken to perform all the functions of the Veterinary Board. Includes directives endorsed procedure and guidelines, manuals, handbooks and legislative regulations.	PERMANENT Transfer to the NT Archives Service 4 years after action completed
1.9.2	Copies of operating procedures and guidelines including manuals, handbooks and directives.	TEMPORARY Destroy when reference ceases

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## 1. VETERINARY REGULATION

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### 1.10 REVIEWING

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.10.1	Records relating to reviews conducted into the qualifications required by veterinarians or veterinary specialists to become registered. Includes research conducted into other jurisdictions and correspondence with the national body.	TEMPORARY Destroy 10 years after action completed

## 1. VETERINARY REGULATION

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### 1.11 STANDARDS

The process of developing and reviewing of industry or whole of government benchmarks to improve and enhance an organisations processes and/or services.

<b>Class No.</b>	<b>Description of Records</b>	<b>Status and Disposal Action</b>
1.11.1	Records relating to the development and issue of guidelines in relation to standards to be observed by registered veterinarians and veterinary specialists in, and in connection with, the provision of veterinary services.	PERMANENT Transfer to NT Archives Service 4 years after action completed
1.11.2	Copies of national competency standards.	TEMPORARY Destroy once superseded

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