



DA 2017-018

**Retention and Disposal Authority for Records of
the National Registration and Accreditation
Scheme for Health Practitioners**

DA Type: Functional

Retention and Disposal Authority for Records of the National Registration and Accreditation Scheme for Health Practitioners

Disposal Authority No	2017-018
Disposal Authority Type	Functional
Organisation/s	Australian Health Practitioner Regulation Agency (AHPRA)
Disposal Authority Scope	Retention and Disposal Authority for functional records of the National Scheme for registration and accreditation of health practitioners
Disposal Authority Status	Approved by SRC
Status Date	8/12/2017

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INTRODUCTION

1. ABOUT THIS DISPOSAL AUTHORITY

1.1 Important Note

This Retention and Disposal Authority (Authority) will be used in combination with the *General Retention and Disposal Authority for Administrative Records of National Bodies* which covers records of common administrative functions and is for the use of all national bodies including bodies comprising the National Scheme.

The State Records Office guideline *Records Retention and Disposal Instructions* will be consulted before any disposal of records is conducted, whether as part of a formal / regular disposal program or on an ad hoc basis.

1.2 Organisation Background

In 2008 the Council of Australian Governments decided to establish a single National Registration and Accreditation Scheme (the **National Scheme**) for health practitioners.

The National Scheme commenced in 2010. On 1 July 2010 (18 October for Western Australia), 10 health professions became nationally regulated by a corresponding National Board. A further four health professions joined the scheme from 1 July 2012. As at July 2017, the 14 National Boards with national regulation are:

- Aboriginal and Torres Strait Islander Health Practice Board of Australia
- Chinese Medicine Board of Australia
- Chiropractic Board of Australia
- Dental Board of Australia

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- Medical Board of Australia
- Medical Radiation Practice Board of Australia
- Nursing and Midwifery Board of Australia
- Occupational Therapy Board of Australia
- Optometry Board of Australia
- Osteopathy Board of Australia
- Pharmacy Board of Australia
- Physiotherapy Board of Australia
- Podiatry Board of Australia
- Psychology Board of Australia

The 14 National Boards consist of members appointed by a Ministerial Council of all State, Territory and Commonwealth Health Ministers. Each Board may establish whichever committee structure it chooses in order to deliver its responsibilities.

The **National Agency** that supports the Boards and the National Scheme is the Australian Health Practitioner Regulation Agency (hereafter referred to as AHPRA). AHPRA has offices in each State and Territory, with the national office in Melbourne.

The National Scheme has been established under the Health Practitioner Regulation National Law Act (the National Law), in place in each State and Territory. The main purpose of the National Boards is to protect the public by registering suitably qualified, safe and competent practitioners, and considering notifications about the health, conduct and/or performance of registered practitioners.

Each National Board consists of practitioners in the relevant profession and community members. The National Law provides that a board must act in the interests of the public, not the profession.

The National Law is enacted in each state and territory by the following Acts:

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Queensland Health Practitioner Regulation National Law Act 2009

New South Wales Health Practitioner Regulation National Law (NSW) No 86a

Victoria Health Practitioner Regulation National Law (Victoria) Act 2009

Australian Capital Territory Health Practitioner Regulation National Law (ACT) Act 2010

Northern Territory Health Practitioner Regulation (National Uniform Legislation) Act 2010

Tasmania Health Practitioner Regulation National Law (Tasmania) Act 2010

South Australia Health Practitioner Regulation National Law (South Australia) Act 2010

Western Australia Health Practitioner Regulation National Law (WA) Act 2010.

1.3 Purpose of this Schedule

This Authority has been developed to form part of the Recordkeeping Plan of the Australian Health Practitioner Regulation Agency (AHPRA), as required under section 16(3)(a-c) of the *State Records Act 2000*.

The Authority has been developed by AHPRA and contractors on their behalf with regular reviews of the draft by the Council of Australasian Archives and Records Authorities (CAARA) National Bodies Working Group representing all the Australian State and Territory members of CAARA. The CAARA National Bodies Working Group also developed the *General Retention and Disposal Authority for the Administrative Records of National Bodies*, which was issued in all States and Territories during 2014. That Authority covers records of common administrative functions and is for the use of all National Bodies including bodies comprising the National Scheme.

This Authority has been developed in accordance with CAARA Policy 11 - Guidelines for the Treatment of Records of Inter-Governmental Agencies.

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Its purpose is to provide an agreed set of function based disposal classes with corresponding disposal actions and retention periods for adoption by the State and Territory members of CAARA; facilitating consistent retention and disposal requirements for records across all States and Territories.

National bodies are established under national schemes where Constitutional powers rest with States and Territories, and not the Commonwealth, and where the bodies concerned are not otherwise Commonwealth bodies. National bodies may be subject to the records and archives laws of multiple State and Territory jurisdictions.

The Authority applies to the records of the National Scheme for registration and accreditation of health practitioners as administered by the 14 National Boards and the National Agency that supports them - the Australian Health Practitioner Regulation Agency (AHPRA).

1.4 Scope and Implementation of this Schedule

This Authority covers the records of the unique functions of the National Scheme, such as the registration and regulation of health practitioners, the accreditation of programs of study and the development and setting of national standards for health practitioners.

Records created by the national bodies predecessor agencies are not covered by this authority. Records created by predecessor agencies must be sentenced in accordance with instruments issued by the relevant State or Territory archival authority for the predecessor agency for the corresponding time period.

This Authority applies to records in all formats.

Before any records covered in this Authority are destroyed or transferred to the Public Records Office of Victoria (PROV) as State archives, they will be reviewed by the and authorised for destruction or transfer. (Refer to section 2.1 for information on the nominated archival host).

A record of destroyed records and, where destruction is performed by an external contractor, certificates of destruction, provided by the contractor to the organisation's authorised officer, will be retained in accordance with the *General Retention and Disposal Authority for Administrative Records of National Bodies*.

The value of records may change over time. In assessing records that have reached their minimum retention period and are due for destruction, officers should consider those that may have potential business or historical value, for ongoing retention or archiving if warranted.

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Any records due for destruction that on re-assessment may have archival value should be referred to the State Records Office for further evaluation.

1.5 Investigations, Inquiries and Freedom of information

If an Investigation or Inquiry is in progress (or likely or imminent), or if a request for access to information under the *Freedom of Information Act 1992* has been lodged, all records relevant or subject to the Investigation / Inquiry / FOI request must be identified and retained until the action and any subsequent actions are completed. This applies regardless of whether the records in question are due for destruction.

1.6 Retention of Records

All of the retention periods in this Authority are the minimum period for which the sentenced records must be maintained. Public records cannot be disposed of prior to the expiration of the appropriate retention period. However, there is no requirement for public records to be destroyed at the expiration of a minimum retention period. Public records must be retained for longer if there is any other law or policy requiring that the public record be retained.

2. SPECIFIC MATTERS

2.1 CAARA Endorsement

This Authority was endorsed by CAARA a a meeting held on 3 November 2017.

Formal disposal instruments issued under the authority of each jurisdictions archives and records legislation are to follow CAARA endorsement to provide the legal basis for records disposal by the national bodies in each State and Territory.

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The principle of a nominated archival host and one regulatory framework for the management and disposal of records of the National Boards and AHPRA has also been agreed to with formal instruments also still to follow. In June 2017, CAARA endorsed Public Record Office Victoria (PROV) as the archival host for AHPRA and the National Boards.

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No	Function/Activity	Description	Disposal Action	Custody
1	<p>Registration and Accreditation Standards, Codes, Guidelines and Procedures</p>	<p>The development and issue of:</p> <ul style="list-style-type: none"> • Registration standards developed by National Boards for approval by the Ministerial Council. • Codes, guidelines and procedures developed and approved by National Boards to provide guidance to the professions they regulate. • Accreditation standards developed for education providers by an Accreditation Authority and approved by a National Board. <p>An Accreditation Authority is appointed by the National Board to administer the receipt and assessment of applications for the accreditation of programs of study which lead to an approved qualification for registration as a health practitioner.</p> <p>See 3. Accreditation for records of Accreditation of education and training.</p> <p>See <i>GDA for Administrative Records of National Bodies</i> 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.</p> <p>See <i>GDA for Administrative Records of National Bodies</i> for Board papers including summaries of consultation and records of National Board</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>Registration and Accreditation Standards, Codes, Guidelines and Procedures</i>				
		consideration and decisions regarding standards, codes, guidelines and procedures.		
1.1	Final Approved	Final approved: <ul style="list-style-type: none"> • registration standards • codes, guidelines and procedures • accreditation standards. These are released by the Boards: <ul style="list-style-type: none"> • for implementation to govern administrative processes for the registration and regulation of health practitioners • for publication for access by the general public. 	Permanent	Retain as State Archives, Transfer to PROV
1.2	Working Papers	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.	Temporary	Destroy 7 years after superseded or development ceased (where no version approved).
2	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.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>Health Practitioner Registration and Regulation</i>				
		See GDA for Administrative Records of National Bodies for Board papers including the consideration of applications and renewals for registration.		
2.1	Summary Record of Applications, Registrations and Regulatory Actions	<p>The 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>The 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> <p>Includes all categories of registration, including general, specialist, provisional, limited, non-practicing, and student categories.</p>	Permanent	Retain as State Archives, Transfer to PROV
2.2	Applications, Registrations and Regulation of Health Practitioners	<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 	Temporary	Destroy 99 years after date of birth.

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No	Function/Activity	Description	Disposal Action	Custody
<i>Accreditation</i>				
		<ul style="list-style-type: none"> • 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 • incomplete or withdrawn applications • applications that are refused. 		
3	Accreditation	The assessment of applications from education providers for accreditation of their programs of study by an Accreditation Authority (appointed by the National Board for the profession). Includes the ongoing monitoring of programs.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>Accreditation</i>				
		<p>See 1. Registration and Accreditation Standards, Codes, Guidelines and Procedures for records of the development and approval of accreditation standards</p> <p>See <i>GDA for Administrative Records of National Bodies</i> Boards and Committees for records of Board deliberations and decisions regarding accredited programs of study put forward for approval.</p>		
3.1	<p>Summary Record of Program Accreditation and Monitoring</p>	<p>The summary record of programs of study accredited and monitored by an Accreditation Authority appointed by the National Board 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> <p>When a program of study has been recommended to the National Board for approval as an accredited program of study by an accreditation authority, the relevant National Board considers whether it will</p>	Temporary	Destroy 30 years after accreditation expires or is revoked.

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Accreditation

		<p>approve, or refuse to approve, that program of study.</p> <p>Only graduates of approved programs are eligible to apply for registration.</p>		
3.2	<p>Program Assessment and Monitoring</p>	<p>Records documenting the assessment and ongoing monitoring of an education provider and its programs of study to ensure they meet accreditation standards.</p> <p>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 	Temporary	Destroy 15 years after accreditation expires.

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No	Function/Activity	Description	Disposal Action	Custody
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Accreditation

		resolution.		
3.3	Applications that are Unsuccessful, Incomplete or Withdrawn	<p>Applications that do not result in accreditation and/or approval of the program of study. Includes any supporting documentation received, any assessment reports, and any correspondence with the education provider.</p> <p>Includes any further submissions made by the education provider, and any appeal process entered into.</p> <p>Also includes applications that are incomplete or withdrawn by the applicant.</p>	Temporary	Destroy 7 years after actions completed.