

# Territory Records (Records Disposal Schedule – Public Health Protection Records) Approval 2019 (No 1)

Notifiable instrument NI2019—161

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

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## 1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Public Health Protection Records) Approval 2019 (No 1)

## 2. Commencement

This instrument commences on the day after notification.

## 3. Approval

I approve the Records Disposal Schedule – Public Health Protection Records.

## 4 Revocation

This instrument revokes *Territory Records (Records Disposal Schedule – Public Health Protection Records) Approval 2016 (No 1) NI2016-423*.

This instrument revokes *Territory Records (Records Disposal Schedule – Parenting Services Records) Approval 2006 (No 1) NI2006-349*.

Danielle Wickman  
Director of Territory Records  
26 March 2019



# **Records Disposal Schedule**

## **Public Health Protection Records**

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## **INTRODUCTION**

The *Records Disposal Schedule - Public Health Protection Records* is the official authority for the disposal of these ACT Government Records.

It is one of a series of Whole of Government Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with other Territory Records Disposal Schedules.

## **PURPOSE**

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of records created or maintained by ACT Government Agencies.

## **SCOPE**

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

## **AUTHORITY**

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

## **STRUCTURE AND RELATIONSHIP TO THE WHOLE OF GOVERNMENT THESAURUS**

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must take all reasonable steps to ensure that no legal action is contemplated in relation to its records and must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence or if there is a current records disposal freeze in effect.**

The *Records Disposal Schedule - Public Health Protection Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Whole of Government Thesaurus. The Records Disposal Schedule is designed to be applicable to all records relating to the function described in this schedule regardless of titling conventions used, so that records, which have not been classified and titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

### ***Whole of Government Thesaurus***

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the former Territory Version of Keyword AAA (TVKAAA) (2010). In the Whole of Government Thesaurus all functions are considered to be functions performed by the ACT Government and have been included following consultation with stakeholder agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the Director of Territory Records for use by all ACT Government agencies as part of classifying and titling of their paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 - Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Whole of Government Thesaurus. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

## **GUIDELINES FOR USE**

### ***Coverage of authority***

The *Records Disposal Schedule - Public Health Protection Records*:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Whole of Government Records Disposal Schedules;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

## ***Layout of the schedule***

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

### **Function.**

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

### **Activity.**

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

### **Entry No.**

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

### **Description of Records.**

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

### **Disposal Action.**

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

## **FORMAT OF RECORD**

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

### ***Electronic records***

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

## **DESTRUCTION OF RECORDS**

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

## **UPDATING THE RECORDS DISPOSAL SCHEDULE**

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

## **ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE**

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.



## **RELATED LEGISLATION**

The following legislation is related to the records classes covered by this Records Disposal Schedule:

*Coroners Act 1997*

*Criminal Code 2002*

*Drugs of Dependence Act 1989, except section 123 and section 140*

*Epidemiological Studies (Confidentiality) Act 1992*

*Evidence (Miscellaneous Provisions) Act 1991*

*Evidence Act 2011*

*Freedom of Information Act 1989*

*Food Act 2001*

*Health Act 1993*

*Health Records (Privacy and Access) Act 1997*

*Information Privacy Act 2014*

*Intoxicated People (Care and Protection) Act 1994*

*Medicines, Poisons and Therapeutic Goods Act 2008*

*Public Health Act 1997*

*Radiation Protection Act 2006*

*Road Transport (Alcohol and Drugs) Act 1977*

*Smoke-Free Public Places Act 2003*

*Supervised Injecting Place Trial Act 1999, except section 7, section 8 and section 13*

*Territory Records Act 2002*

*Tobacco Act 1927*

## **DEFINITIONS**

### ***Agency***

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

### ***Appraisal***

The process of evaluating business activities to:

- determine which records need to be created and captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

### ***Business Classification Scheme***

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

### ***Principal Officer***

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

### ***Records***

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

### ***Records of an Agency***

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

### ***Records Disposal Schedule***

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

### ***Records Management Program***

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

### ***Recordkeeping Systems***

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

### ***Scope Note***

An explanation of terms used in describing the records and the context in which they were made and used.

### ***Sentencing***

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

### ***Territory Archives***

Records preserved for the benefit of present and future generations.

## **BUSINESS CLASSIFICATION SCHEME**

## ***PUBLIC HEALTH PROTECTION***

The function of managing risks to public health through regulation, scientific analysis, and the implementation of strategies for the prevention of, and timely response to, public health risks and events. This function includes regulatory and policy activities relating to food safety, communicable disease control, environmental health, health emergency management, pharmaceutical products and radiation sources. Regulatory activities involve licensing and registration of services, activities, persons or equipment that can affect public health, inspections and audits, disease surveillance, and the provision of advice and guidance materials. Also includes monitoring, reporting and policy development in regard to public health issues, the use of radiation sources, pharmaceutical drugs and poisons and the control of tobacco products and smoking. Analytical scientific services associated with risks to the health of the public are also included in this function, such as the monitoring of air quality and the testing of food and water (potable and recreational), scientific services for coronial matters, and matters pertaining to police requests and investigations, such as illicit drug analysis.

*[For programs and health services for the population, strategic health care planning and programs and strategies for controlling disease outbreaks, use POPULATION HEALTH CARE MANAGEMENT AND CONTROL.]*

### ***Acquisition***

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

### ***Advice***

The activities associated with offering formal opinions and advice as to an action, judgement or topic. Includes legal advice, legislative drafting advice, publishing and public access to legislation advice and formal advices required by legislation.

### ***Analytical testing***

The activities associated with providing analytical services to support forensic, toxicological, chemical and microbiological investigations.

### ***Audit***

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of an agency, company or other organisation in a specified period. Includes food safety program audits, compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

### ***Authorisation & Delegation***

The activities associated with delegating power to authorise an action and the seeking or granting permission to undertake a requested action.

*Note: For routine approvals supporting a more specific process, (e.g. Budgeting for budget approvals; or Acquisition for approvals to purchase goods or services), use the relevant activity.*

### ***Compliance***

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

### ***Contract Management***

The activities associated with managing the performance of work or the provision of services by external consultants and contractors following their initial engagement. Includes instructions to contracted personnel, progress reports, monitoring of expenditure against budgets, and performance reviews.

### ***Customer Service***

The activities associated with providing services of the organisation to meet the needs of customers by providing and delivering professional, helpful, high quality service and assistance before, during, and after the customer's requirements are met. Includes providing assistance and support, receiving and responding to complaints, enquiries, requests, feedback, suggestions, customer greetings, the preparation of customer service plans and charters and conducting customer research and surveys.

### ***Disposal***

The activities associated with the disposal of government assets, including vehicles, equipment and property, and materials, specimens or samples used or collected for environmental, toxicology, forensic chemistry or microbiology purposes no longer required, by sale, auction, transfer, destruction, decommissioning or other means. Includes disposal plans, assessments and investigations, approvals, disposal agreements and arrangements and destruction or transfer of semi-active and inactive records and information.

### ***Enforcement***

The activities associated with ensuring organisations, businesses and industries adherence to mandatory accountability, fiscal, legal, regulatory or quality standards or requirements and corrective measures taken to rectify non-compliance. Includes compliance with legislation and with ACT, national and international standards.

### ***Fees and Charges Determination***

The activities associated with determining fees and charges.

### ***Investigations***

The activities involved in a formal search, examination and/or scrutiny undertaken as result of an accident, an incident, a complaint, an observation, a breach or non-compliance. Includes evidence collected, produced documents, photographs, statements, notes, decisions and final reports.

### ***Partnerships & Collaboration***

The activities associated with establishing and managing partnerships, joint ventures or similar collaborative arrangements where there is joint contribution of funds and/or time. Includes private sector ventures with public sector organisations.

### ***Planning***

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

### ***Policies & Procedures***

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

## **RECORDS DISPOSAL SCHEDULE**





health protection monitoring and regulatory services.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
028.003.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting other agreements made to support the provision of public health protection regulatory services. Includes funding agreements, service contracts, negotiations, establishment, maintenance and review of agreements relating to the provision of public health protection monitoring and regulatory services.	Destroy 7 years after expiry or other termination of agreement

***Advice***

The activities associated with offering formal opinions and advice as to an action, judgement or topic. Includes legal advice, legislative drafting advice, publishing and public access to legislation advice and formal advices required by legislation.

*[For the provision of advice to the Minister or Chief Minister, use GOVERNMENT AND STAKEHOLDER RELATIONS - Government and Assembly Matters.*

*[For legal advice, use SOLICITOR AND LEGAL SERVICES - Advice.]*

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
028.005.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the receipt and provision of advice that resulted in major changes to policy, procedures or to the operations of the agency. Includes advice relating to food safety, radiation safety, environmental health, communicable disease and immunisation issues and other public health protection monitoring and regulatory services matters.	Retain as Territory Archives
028.005.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the receipt and provision of routine advice relating to public health protection monitoring and regulatory matters and advice that did not result in major changes to policy, procedures or to the operations of the agency. Includes advice provided by consultants.	Destroy 2 years after last action

### **Analytical testing**

The activities associated with providing analytical services to support forensic, toxicological, chemical and microbiological investigations.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
028.274.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting analytical toxicology and chemistry testing for coronial, forensic, Work Health and Safety investigations and microbiological analysis testing resulting in non-compliance by organisations, businesses or industries, including investigations into complaints or allegations relating to the provision of public health protection services that result in new or significant changes to policies or procedures, or result in a precedent or generate significant public and political interest.	Retain as Territory Archives
028.274.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting analysis testing for compliance by organisations, businesses or industries, including investigations into complaints or allegations relating to the provision of public health protection services that are routine or minor in nature.	Destroy 10 years after last action

### **Audit**

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of an agency, company or other organisation in a specified period. Includes food safety program audits, compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
028.013.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the planning and conduct of internal and external audits on public health protection monitoring and regulatory services and strategies that result in substantial changes to policy or have a significant impact on operations. Includes: <ul style="list-style-type: none"><li>• liaison with the auditing body</li><li>• notes taken at opening and exit interviews</li><li>• draft reports</li><li>• final internal and external audit reports</li><li>• comments.</li></ul>	Retain as Territory Archives



### ***Authorisation & Delegation***

The activities associated with delegating power to authorise an action and the seeking or granting permission to undertake a requested action.

**Note:** For routine approvals supporting a more specific process, (e.g. Budgeting for budget approvals; or Acquisition for approvals to purchase goods or services), use the relevant activity.

*[For routine inspections of health facilities, businesses and industry e.g. boarding houses or restaurants - use PUBLIC HEALTH PROTECTION – Compliance.*

*[For enforcing quarantines, forced closures or issuing of fines associated with businesses and industry such as boarding houses or restaurants etc. - use PUBLIC HEALTH PROTECTION – Enforcement.]*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
028.290.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the delegation of powers and functions to organisation employees, including authorisations to undertake a requested action, relating to public health protection monitoring and regulatory services and strategies.	Destroy 7 years after last action
028.290.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the issue of licences, registrations and permits authorising individuals, organisations or businesses to lawfully carry out their activities, provide services or to operate a business, (e.g. food businesses, infection control activities, health care facilities, etc.).	Destroy 7 years after licence expiry/cancellation
028.290.003 ■■■■■■■■■■■■■■■■■■■■	Records documenting the authorisation of the use of systems and facilities, (e.g. cooling towers and warm waters systems, etc.).	Destroy 7 years after last action





***Customer Service (Continued)***

The activities associated with providing services of the organisation to meet the needs of customers by providing and delivering professional, helpful, high quality service and assistance before, during, and after the customer's requirements are met. Includes providing assistance and support, receiving and responding to complaints, enquiries, requests, feedback, suggestions, customer greetings, the preparation of customer service plans and charters and conducting customer research and surveys.

*[For customer service policies and procedures, use Policies & Procedures.]*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
028.030.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the management of customer services provided to the public. Includes planning, monitoring and evaluation of services and strategies (e.g. carrying out customer surveys) and enquiries about the programs and services provided to ensure the safety and health of the public, including general enquiries about Communicable Disease Control, Community Health, Aboriginal People and Torres Strait Islander People, Memoranda of Understanding (MOU's), pharmaceutical services, food safety, radiation safety, toxicology and forensic chemistry, therapeutic goods, etc.	Destroy 7 years after last action





## ***Enforcement***

The activities associated with ensuring organisations, businesses and industries adherence to mandatory accountability, fiscal, legal, regulatory or quality standards or requirements and corrective measures taken to rectify non-compliance. Includes compliance with legislation and with ACT, national and international standards.

*[For records documenting compliance with standards or requirements, for example routine inspections of health facilities, businesses and industry e.g. boarding houses or restaurants use PUBLIC HEALTH PROTECTION – Compliance.]*

*[For the issuing of licences, registrations and permits authorising individuals, organisations or businesses to lawfully carry out their activities, provide services or to operate a business – use PUBLIC HEALTH PROTECTION – Authorisation and Delegation.]*

*For the destruction or disposal of therapeutic goods, medicines and poisons - use PUBLIC HEALTH PROTECTION – Disposal.]*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
028.272.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting corrective measures taken to rectify non-compliance by organisations, businesses or industries, including investigations into complaints or allegations relating to the provision of public health protection services that detected serious offences that carry substantial penalties such as jail sentences, prohibition orders or substantial fines, etc.	Retain as Territory Archives
028.272.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting corrective measures taken to rectify non-compliance by organisations, businesses or industries, including investigations into complaints or allegations relating to the provision of health protection services that are routine or minor in nature.	Destroy 10 years after last action

## ***Fees and Charges Determination***

The activities associated with determining fees and charges.

*[For the payment or collection of fees and charges, use FINANCIAL MANAGEMENT]*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
028.201.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the determination and authorisation of fees and charges applied to licences and permits issued under public health protection monitoring and regulatory services and strategies.	Destroy 7 years after last action










- supporting reports
- major drafts.

028.273.003 	Records documenting the development of procedures to support the implementation of public health protection monitoring and regulatory services and strategies, including comments received from stakeholders.	Destroy 3 years after promulgation of new procedure
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**RETAIN AS TERRITORY ARCHIVES**



## ***PUBLIC HEALTH PROTECTION***

The function of managing risks to public health through regulation, scientific analysis, and the implementation of strategies for the prevention of, and timely response to, public health risks and events. This function includes regulatory and policy activities relating to food safety, communicable disease control, environmental health, health emergency management, pharmaceutical products, radiation sources. Regulatory activities involves licensing and registration of services, activities, persons or equipment that can affect public health, inspections and audits, disease surveillance, and the provision of advice and guidance materials. Also includes monitoring, reporting and policy development in regard to public health issues, the use of radiation sources, pharmaceutical drugs and poisons and the control of tobacco products and smoking. Analytical scientific services associated with risks to the health of the public are also included in this function, such as the monitoring of air quality and the testing of food and water (potable and recreational), scientific services for coronial matters, and matters pertaining to police requests and investigations, such as illicit drug analysis.

*[For programs and health services for the population, strategic health care planning and programs and strategies for controlling disease outbreaks, use POPULATION HEALTH CARE MANAGEMENT AND CONTROL.]*

### ***Acquisition***

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

*[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.*

*For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.*

*For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
028.003.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting inter-government agreements, including negotiations, establishment, maintenance and review of agreements, e.g. bilateral agreements between the Commonwealth and the ACT relating to the provision of public health protection monitoring and regulatory services.	Retain as Territory Archives



## **Audit**

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
028.013.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the planning and conduct of internal and external audits on public health protection monitoring and regulatory services and strategies that result in substantial changes to policy or have a significant impact on operations. Includes: <ul style="list-style-type: none"> <li>• liaison with the auditing body</li> <li>• notes taken at opening and exit interviews</li> <li>• draft reports</li> <li>• final internal and external audit reports</li> <li>• comments.</li> </ul>	Retain as Territory Archives

## **Compliance**

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

*[For enforcement of compliance, use PUBLIC HEALTH PROTECTION – Enforcement.]*

*[For enforcement action resulting from an inspection use PUBLIC HEALTH PROTECTION - Enforcement.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
028.021.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting inspections of businesses, service providers, products, chemicals and poisons, x-ray equipment of health care facilities and providers (e.g. Dentists, Veterinarians), hazardous substances, surveillance, Methadone Units, etc. that detected serious offences that carry substantial penalties such as jail sentences or substantial fines, etc.	Retain as Territory Archives



***Investigations***

The activities involved in a formal search, examination and/or scrutiny undertaken as result of an accident, an incident, a complaint, an observation, a breach or non-compliance. Includes evidence collected, produced documents, photographs, statements, notes, decisions and final reports.

*[For routine investigations associated with Notifiable Conditions cases as they are presented, including pathology results confirming an individual’s notifiable condition - use POPULATION HEALTH CARE MANAGEMENT AND CONTROL – Registration.*

*For enforcing quarantines, forced closures or issuing of fines associated with businesses and industry such as boarding houses or restaurants etc. - use PUBLIC HEALTH PROTECTION – Enforcement.*

*For routine inspections of health facilities, businesses and industry e.g. boarding houses or restaurants - use PUBLIC HEALTH PROTECTION – Compliance.*

*For activities associated with conducting analytical testing in regards to Food Chemistry, Environmental, forensic, toxicological, chemical and microbiological investigations – use PUBLIC HEALTH PROTECTION – Analytical Testing.*

*For the destruction or disposal of therapeutic goods, medicines and poisons - use PUBLIC HEALTH PROTECTION – Disposal.*

*For processes performed in relation to therapeutic goods, medicines and poisons recalls - use - PUBLIC HEALTH PROTECTION – Enforcement.]*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
028.202.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting investigations associated with communicable disease, environmental health, medicines and poisons cases in order to determine the cause of disease, infection or contamination and to determine what measures need to be taken in order to prevent further exposure to high risk groups or the population more broadly. Includes investigations: <ul style="list-style-type: none"> <li>• involving multiple individuals displaying similar symptoms within the same locality (cluster investigations).</li> <li>• carried out in relation to environmental health i.e. water, soil or air quality involving chemical waste and other hazardous materials.</li> </ul>	Retain as Territory Archives

## **Planning**

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

*[For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE - Planning.]*

**Note:** Use the relevant activity where strategies and plans are developed to support a more specific process, (e.g. use Maintenance for maintenance plans, or Risk Management & Insurance for risk management plans and strategies.)

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
028.079.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to high-level external (e.g. inter-governmental, inter-agency or industry committees) or internal committees formed to consider matters relating to the provision of public health protection monitoring and regulatory services. Includes: <ul style="list-style-type: none"><li>• agenda</li><li>• appointment of members</li><li>• documents establishing the committee</li><li>• terms of reference</li><li>• drafts of minutes</li><li>• minutes</li><li>• notice of minutes</li><li>• supporting documents such as briefing papers and discussion papers</li><li>• working papers.</li></ul>	Retain as Territory Archives

## **Policies & Procedures**

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
028.273.001 ■■■■■■■■■■■■■■■■■■■■	Final version of policies and master sets of agency manuals, handbooks and directives, etc. documenting procedures developed to support the implementation of public health protection monitoring and regulatory services and strategies.	Retain as Territory Archives