

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

Authority number: PROS 18/01



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

Issued Date: 27/02/2018

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INTRODUCTION

Context

AHPRA Context Description

The RDA for Records of the National Registration and Accreditation Scheme for Health Practitioners was developed by the Council of Australasian Archives and Records Authorities (CAARA) National Bodies Working Group in accordance with CAARA Policy 11 – Guidelines for the Treatment of Records of Inter-Governmental Agencies.

This Retention and Disposal 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. This RDA applies to all bodies and boards included in the National Scheme, including those which join the scheme after the RDA is issued. It also covers the records of any national committee, state or territory board to which a National Board has delegated some of its decision making powers. These delegations are published on the Australian Health Practitioner Regulation Authority (AHPRA) website.

The Council of Australasian Archives and Records Authorities (CAARA) National Bodies Working Group developed the General Retention and Disposal Authority for the Administrative Records of National Bodies, which was issued in all States and Territories during 2014. The General Authority covers records of common administrative functions and is for the use of all National Bodies including bodies comprising the National Scheme.

National Bodies

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.

Records created by national bodies' predecessor agencies are not covered by this Authority. Records of common administrative functions created by agencies that are subject to the Public Records Act 1973 must be disposed of in accordance with PROS 07/01 General Disposal Authority for Records of Common Administrative Functions.

Records of legal proceedings are covered by PROS 13/07 Retention and Disposal Authority for Administrative Records of National Bodies, in particular class 11.8.0 Legal Services Litigation. Where there is a conflict between PROS 13/07 and this Authority, this Authority should take precedent with any queries being referred to Public Record Office Victoria for further advice.

The National Scheme

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

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

Authority number: PROS 18/01

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 January 2018, the 15 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
- 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
- Paramedicine Board of Australia
- Pharmacy Board of Australia
- Physiotherapy Board of Australia
- Podiatry Board of Australia
- Psychology Board of Australia.

The 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.

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

Authority number: PROS 18/01

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:

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*

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

Authority number: PROS 18/01

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

Authority number: PROS 18/01

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

Retention and Disposal Authority No	PROS 18/01
Scope	<p>This RDA provides agreed upon and consistent retention and disposal requirements across all Australian States and Territories for the records of unique functions of the National Registration and Accreditation Scheme for Health Practitioners, 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. Agencies covered by this RDA are:</p> <ul style="list-style-type: none">• The Australian Health Practitioners Regulation Agency (AHPRA)• All National Bodies and Boards included in the Scheme• Any national committee or state or territory board to which a National Board has delegated some of its decision making powers <p>For coverage for AHPRA's administrative records, see the General Retention and Disposal Authority for the Administrative Records of National Bodies.</p>
Status	Issued by Keeper
Issue Date	27/02/2018

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

Authority number: PROS 18/01

List of Functions and Activities covered

Reference	Function	Activity	Page
1	Registration and Accreditation Standards, Codes, Guidelines and Procedures		12
2	Health Practitioner Registration and Regulation		13
3	Accreditation		15

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

Authority number: PROS 18/01

Introduction

Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*. The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

Context of this Authority

Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from www.prov.vic.gov.au. These documents set out the procedures that must be followed by Victorian public offices.

Disposal of records identified in the Authority

Disposal of public records identified in this Authority must be undertaken in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

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

Authority number: PROS 18/01

For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

Normal Administrative Practice

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

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

Authority number: PROS 18/01

Transfer of records to Public Record Office Victoria

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

Use of Other Authorities

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

Explanation of Authority Headings

Class Number

The class number or entry reference number provides citation and ease of reference.

Description

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

Status

This entry provides the archival status of each class - either permanent or temporary.

Custody

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria. Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 - Management of Electronic Records (Version 2). The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*

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

Authority number: PROS 18/01

Establishment of Standard

Pursuant to Section 12 of the *Public Records Act 1973*, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to Australian Health Practitioner Regulation Agency. This standard as varied or amended from time to time, shall have effect from the date of issue unless revoked prior to that date.

[signed]

Justine Heazlewood, Keeper of Public Records

Date of Issue: 27/02/2018

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

Authority number: PROS 18/01

No	Function/Activity	Description	Status	Disposal Action
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>For records of Accreditation of education and training, see 3.0.</p> <p><i>See 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><i>See GDA for Administrative Records of National Bodies</i> for Board papers including summaries of consultation and records of National Board consideration and decisions regarding standards, codes, guidelines and procedures.</p>		

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

Authority number: PROS 18/01

No	Function/Activity	Description	Status	Disposal Action
<i>Registration and Accreditation Standards, Codes, Guidelines and Procedures</i>				
1.1	Final Approved	<p>Final approved:</p> <ul style="list-style-type: none"> • registration standards • codes, guidelines and procedures • accreditation standards. <p>These are released by the Boards:</p> <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	<p>The registration and regulation of health practitioners.</p> <p>Includes the assessment of eligibility for registration of practitioners, renewals of registration, notifications/complaints and their investigation, and compliance monitoring.</p> <p><i>See GDA for Administrative Records of National Bodies</i> for Board papers including the consideration</p>		

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

Authority number: PROS 18/01

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Health Practitioner Registration and Regulation

		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 • internal assessment and decision records • correspondence with applicants/practitioners 	Temporary	Destroy 99 years after date of birth.

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

Authority number: PROS 18/01

No	Function/Activity	Description	Status	Disposal Action
<i>Accreditation</i>				
		<ul style="list-style-type: none"> • 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	<p>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.</p> <p>For records of the development and approval of accreditation standards, see 1.0.</p> <p>See <i>GDA for Administrative Records of National Bodies Boards and Committees</i> for records of Board deliberations and decisions regarding accredited programs of study put forward for</p>		

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

Authority number: PROS 18/01

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Accreditation

		approval.		
3.1	Summary Record of Program Accreditation and Monitoring	<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 approve, or refuse to approve, that program of study.</p> <p>Only graduates of approved programs are eligible to apply for registration.</p>	Temporary	Destroy 30 years after accreditation expires or is revoked.
3.2	Program Assessment and Monitoring	Records documenting the assessment and ongoing monitoring of an education provider and its programs of study to ensure they meet accreditation	Temporary	Destroy 15 years after accreditation expires.

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

Authority number: PROS 18/01

No	Function/Activity	Description	Status	Disposal Action
<i>Accreditation</i>				
		<p>standards. 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 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 action completed.

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

Authority number: PROS 18/01

No	Function/Activity	Description	Status	Disposal Action
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Accreditation