



Australian Government



**NATIONAL
ARCHIVES
OF AUSTRALIA**

Records Authority

2015/00000456

Department of Health

Chronic Disease Prevention; Mental Health

2015

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INTRODUCTION

The Department of Health and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the core business areas of Chronic Disease Prevention and Mental Health. It represents a significant commitment on behalf of the Department of Health to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the Department of Health. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives of Australia.

The Authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This Authority gives the Department of Health permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

As changes in circumstances may affect future records management requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

APPLICATION OF THIS AUTHORITY

1. This Authority partially supersedes Records Authority RDA A1851/D.A.1 (1986). The superseded authority cannot be used after the issue of this Authority.
2. This Authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the Authority.
 - Where the minimum retention period has expired and the records are not needed for agency business they should be destroyed as authorised in this Authority.
 - Records that have not reached the minimum retention period must be kept until they do.
 - Records that are identified as Retain as National Archives (RNA) are to be transferred to the National Archives of Australia for preservation.
3. This Authority should be used in conjunction with general records authorities such as:
 - AFDA Express which covers administrative business processes and records common to many Australian Government agencies;
 - General Records Authority 24 – Records Relating to Data Matching Exercises; and
 - General Records Authority 31 for source (including original) records that have been copied, converted or migrated.
4. The Normal Administrative Practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this Authority but can be used as a tool to assist in identifying records for destruction together with an agency's Records Authority or Authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a Normal Administrative Practice policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop an agency NAP policy is available from the National Archives' website at www.naa.gov.au.
5. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of Information Act 1982* or any other relevant Act must not be destroyed until the action has been completed.
6. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. Further information about disposal freezes and whether they affect the application of this Authority is available from the National Archives website at www.naa.gov.au.
7. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this Authority can still be

applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. The agency will need to maintain continuing access to the information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.

8. In general, retention requirements indicate a minimum period for retention. The Department of Health may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where the Department of Health believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
9. Records coming within 'Retain as national archives' classes in this Authority have been determined to be part of the archival resources of the Commonwealth under Section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under Section 27 of the *Archives Act 1983*.
10. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need to meet this obligation to ensure that the records remain authentic and accessible over time. Under Section 31 of the *Archives Act 1983*, access arrangements are required for records that become available for public access including those records that remain in agency custody.
11. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives.
12. Advice on how to use this Authority is available from the agency's records manager. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.

CONTACT INFORMATION

For assistance with this authority or for advice on other records management matters, please contact the National Archives' Agency Service Centre.

Queen Victoria Terrace
Parkes ACT 2600
PO Box 7425
Canberra Business Centre ACT 2610

Tel: (02) 6212 3610
Fax: (02) 6212 3989
Email: recordkeeping@naa.gov.au
Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY 2015/00000456

Person to whom notice of authorisation is given:

Mr Martin Bowles PSM
Secretary
Department of Health
GPO Box 9848
Canberra ACT 2601

Purpose:

Authorises arrangements for the disposal of records in accordance with Section 24(2)(b) of the *Archives Act 1983*.

Determines records classed as 'Retain as national archives' in this Records Authority to be part of the archival resources of the Commonwealth under Section 3C of the *Archives Act 1983*.

Application:

All core business records relating to Chronic Disease Prevention; and Mental Health.

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

Authorised by

Louise Doyle
Director-General A/g
National Archives of Australia

Date of issue:

20 March 2015

CHRONIC DISEASE PREVENTION

The core business of establishing and implementing policies, programs and services that aim to reduce the incidence of or prevent complications from chronic diseases such as arthritis, asthma, chronic kidney disease, cancer, diabetes, and cardiovascular disease in the Australian population.

The **core activities** include:

- developing, implementing and reviewing chronic disease prevention policies, strategies, plans, frameworks, standards, programs, campaigns and services;
- providing and receiving advice and other forms of information;
- managing and participating in internal and external committees and meetings;
- liaising, collaborating and consulting with stakeholders;
- providing funding to support chronic disease prevention health initiatives, programs, strategies and related activities;
- negotiating, establishing and implementing agreements and contracts;
- monitoring, surveillance and the collection of data about chronic diseases;
- conducting or funding research and analysis; and
- undertaking educational and marketing campaigns to promote initiatives, programs and services.

The performance of the core business is supported by **general activities** such as:

- developing, implementing and reviewing processes, systems and procedures;
- managing and responding to enquiries and complaints;
- developing reports and submissions;
- delegating powers and authorising actions;
- preparing and presenting speeches;
- arranging and attending conferences, seminars, discussion forums and workshops;
- identifying, assessing and managing risks; and
- planning, conducting and facilitating audits.

Cross references to other areas of this records authority

For addressing broader social health issues in the community, including mental illness, use MENTAL HEALTH.

Cross references to AFDA Express Records Authority

For advice, briefs and submissions to the portfolio Minister, cabinet submissions and the agency's participation in formal inquiries, use GOVERNMENT RELATIONS.

For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS or STRATEGIC MANAGEMENT.

For the preparation of budget estimates, budget proposals, cost modelling and making financial transactions, use FINANCIAL MANAGEMENT.

For media releases, use COMMUNITY RELATIONS or GOVERNMENT RELATIONS.

For the procurement of goods and services, such as contractors or consultants, use PROCUREMENT.

For developing and executing formal contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

Cross references to other records authorities

For protecting the Australian community against communicable disease threats through a range of surveillance systems and control measures, use HEALTH PROTECTION & MEDICAL EMERGENCIES.

CHRONIC DISEASE PREVENTION

For improving access to medical and health care services, including both primary (eg General Practitioners, clinics) and acute care (eg hospitals), use MEDICAL & HEALTH CARE ACCESS.

For promoting healthy environments and lifestyle behaviours (including healthy ageing), preventing disease through vaccinations, informing the community about lifestyle risk factors (including alcohol, tobacco and substance abuse), and ensuring the safety of food, use HEALTH PROMOTION & SAFETY.

For case files of people infected with Hepatitis C, use HEALTH PROTECTION & MEDICAL EMERGENCIES.

For the management of grants, use GRANT MANAGEMENT.

Class no	Description of records	Disposal action
61731	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • developing, implementing and reviewing national and high-level policies, plans, frameworks, strategies and standards for the prevention of chronic disease (eg National Chronic Disease Strategy). Includes final versions, major drafts, briefs, reports, stakeholder consultation and supporting research; • providing and receiving high-level advice. Includes final versions, stakeholder submissions, position papers, briefs and supporting research; • high-level internal and external committees, working groups and other bodies relating to chronic disease prevention, where the agency provides the secretariat, is the Australian Government's main representative, or plays a prominent or central role. Includes establishment documentation, agenda, final versions of minutes, reports, briefing notes and tabled papers; • developing, implementing and reviewing national and high-level chronic disease prevention programs, projects and services (eg Asthma Management Program). Includes projects undertaken as joint ventures. Includes project outcomes, progress reports, project plans, briefs and supporting research; • surveillance and monitoring of chronic diseases affecting the Australian population, including through the collation of data. Includes statistical reports, national clinical registers, and datasets and associated information; • outcomes of major research and analysis supporting the core business, including historical research and research into chronic disease prevalence, treatments and morbidity, and longitudinal studies. Includes final research reports, research findings, statistical and trend analysis, data models, and research datasets and associated information; • developing and implementing major educational and marketing campaigns promoting chronic disease prevention programs and services. Includes national campaigns to raise public awareness. Includes final versions of marketing and educational material, market research, and feedback and public reaction; • developing national and high-level reports relating to chronic disease prevention. Includes final versions, major drafts, stakeholder consultations and supporting research; • high-level liaison and consultation with major stakeholders in support of the core business, including with State and Territory Governments and agencies; • national and high-level reviews, including sector-wide and major internal 	Retain as national archives

CHRONIC DISEASE PREVENTION

Class no	Description of records	Disposal action
	<p>reviews or evaluations (eg Review of Cardiovascular Disease Programs). Includes final review reports, major drafts and submissions;</p> <ul style="list-style-type: none"> • formal submissions and significant input provided to international and national forums and bodies in relation to chronic disease prevention (eg the United Nations summit on non-communicable diseases); • final versions of significant agreements and contracts and supporting documents, that: relate to substantial funding arrangements with States and Territories and other organisations, including Australian Government agencies; are controversial or ground-breaking in nature; or, substantially contribute towards chronic disease prevention (eg Health Communities Initiative agreements). Includes high-level inter-governmental and international agreements, joint venture agreements and Memorandums of Understanding; • final versions of unpublished proceedings, reports and papers from chronic disease prevention related conferences, seminars and workshops hosted by the agency; • master versions of agency publications produced to support the core business. Includes newsletters and information sheets; and • final versions of speeches presented by the portfolio Minister, the agency head or senior agency staff in support of the core business. 	
61732	Final versions of low-level policies, plans and strategies developed to support the core business of chronic disease prevention, other than those covered in class 61731.	Destroy 15 years after action completed
61733	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • chronic disease prevention activities, other than those covered in classes 61731 and 61732. 	Destroy 10 years after action completed

MENTAL HEALTH

The core business of establishing and implementing policies, programs and services that aim to improve the social health and emotional wellbeing of Australians.

The **core activities** include:

- developing, implementing and reviewing mental health policies, strategies, plans, frameworks, standards, programs and services;
- providing and receiving advice and other forms of information;
- providing funding to support mental health initiatives, programs, strategies and related activities;
- negotiating, establishing and implementing agreements and contracts;
- managing and participating in internal and external committees and meetings;
- developing or contributing to reports on mental health matters;
- undertaking mental health research and analysis;
- managing appeals and reviews of decisions; and
- undertaking educational and marketing campaigns to promote mental health initiatives, programs and services.

The performance of the core business is supported by **general activities** such as:

- developing, implementing and reviewing internal processes, systems and procedures;
- liaising and consulting with internal and external stakeholders;
- managing and responding to enquiries and complaints;
- delegating powers and authorising actions;
- preparing and presenting speeches;
- arranging and attending conferences, seminars, discussion forums and workshops;
- planning, conducting and facilitating audits; and
- identifying, assessing and managing risks.

Cross references to other areas of this records authority

For reducing the incidence of or preventing chronic diseases such as arthritis, asthma, cancer, diabetes, and cardiovascular disease, use CHRONIC DISEASE PREVENTION.

Cross references to AFDA Express Records Authority

For advice, briefs and submissions to the portfolio Minister, cabinet submissions and the agency's participation in formal inquiries, use GOVERNMENT RELATIONS.

For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS or STRATEGIC MANAGEMENT.

For the preparation of budget estimates, budget proposals, cost modelling and making financial transactions, use FINANCIAL MANAGEMENT.

For media releases, use COMMUNITY RELATIONS or GOVERNMENT RELATIONS.

For the procurement of goods and services, including contractors and consultants, use PROCUREMENT.

For developing and executing formal contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

Cross references to other records authorities

For policies, strategies, programs and services designed to support the health of Aboriginal and Torres Strait Islander people, use ABORIGINAL & TORRES STRAIT ISLANDER HEALTH.

MENTAL HEALTH

For promoting healthy environments and lifestyle behaviours (including healthy ageing), preventing disease through vaccinations, informing the community about lifestyle risk factors (including alcohol, tobacco and substance abuse), and ensuring the safety of food, use HEALTH PROMOTION & SAFETY.

For improving access to medical and health care services in the community generally, use MEDICAL & HEALTH CARE ACCESS.

For high-level advisory committees that support mental health, such as the Australian Suicide Prevention Advisory Council, use ADVISORY BODIES.

For the management of grants, use GRANT MANAGEMENT.

Class no	Description of records	Disposal action
61727	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • developing, implementing and reviewing national and high-level policies, strategies, plans, frameworks and standards (eg National Mental Health Plan). Includes final versions, policy proposals, supporting research, policy costings, briefs, major drafts, minutes and related correspondence; • providing and receiving high-level advice. Includes final version of formal advice, position papers, briefs, opinions, reports and stakeholder submissions; • high-level internal and external committees, working groups and other bodies relating to mental health, where the agency provides the secretariat, is the Australian Government's main representative, or plays a prominent or central role. Includes establishment documentation, agenda, final versions of minutes, reports, briefing notes and tabled papers; • developing, implementing and reviewing national and high-level mental health programs and services, including those developed in response to Council of Australian Government recommendations (eg National Perinatal Depression Initiative, Life Communications). Includes projects undertaken as joint ventures. Includes regulatory impact statements, legal advice, plans, reports, statistics, supporting research, specifications, minutes, briefs, transcripts, program guidelines and correspondence; • final versions of significant agreements and contracts and supporting documents, that: relate to substantial funding arrangements with States and Territories and other organisations, including Australian Government agencies; are controversial or ground-breaking in nature; or, substantially impact upon the provision of mental health services in Australia. Includes joint venture agreements, Memorandums of Understanding and deeds of standing offer; • developing national and high-level reports relating to the core business (eg environmental scanning reports). Includes final versions, major drafts, stakeholder consultations, and supporting research; • appeals or reviews of decisions made by the Minister's delegates that: are precedent setting, controversial or of public interest; or, result in major changes to agency policy or programs. Includes appeals to higher authorities such as the Administrative Appeals Tribunal; • outcomes of major research and longitudinal studies into mental health in the community, including national research projects. Includes final research reports, statistical data, planning documents, briefs and research datasets and associated information; 	Retain as national archives

MENTAL HEALTH

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • developing and implementing major educational and marketing campaigns promoting mental health initiatives, programs and services. Includes national campaigns to raise public awareness. Includes final versions of marketing and educational material, market research and feedback and public reaction; • high-level liaison and consultation with major stakeholders in support of the core business, including with State and Territory Governments and agencies; • national and high-level reviews, including sector-wide and major internal reviews. Includes final review reports, major drafts, recommendations, submissions and supporting research; • master versions of agency publications produced to support the core business. Includes newsletters and information sheets; • final versions of unpublished proceedings, reports and papers from mental health related conferences, seminars and workshops hosted by the agency; and • final versions of speeches presented by the portfolio Minister, the agency head or senior agency staff in support of the core business. 	
61728	Records documenting appeals or reviews of decisions made by the Minister's delegates, other than those covered in class 61727. Includes appeals to higher authorities such as the Administrative Appeals Tribunal.	Destroy 50 years after action completed
61729	Records documenting internal and external committees relating to mental health, other than those covered in class 61727. Includes establishment documentation, agenda, final versions of minutes, reports, briefing notes and tabled papers.	Destroy 20 years after action completed
61730	Records documenting: <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • mental health activities, other than those covered in classes 61727 to 61729. 	Destroy 7 years after action completed