

# Appraisal log

Veterinary Surgeons Board of Queensland retention and disposal schedule

Veterinary Surgeons Board of Queensland

Date: November 2016

Function	Scope note
VETERINARY SCIENCES REGULATION	The function of registering veterinarians, veterinary specialists and premises used for veterinary practice and regulating the provision of veterinary services. Includes determining applications for registration, promoting high standards of professional conduct, providing advice, issuing guidelines, exercising disciplinary powers, investigating complaints and prosecuting offences.

#### **INSPECTIONS**

The activities associated with making official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives relating to functions or legislative requirements. Often involves pre-set criteria, factors or checklists against which the inspection is made, and identifies standard offences or breaches of legislation which can be handled mostly via enforcement notices.

Disposal authorisation	Record class and retention period	Justifying the retention period
1574	Inspections – significant *	Background/business process:
	Records relating to conducting significant inspections of veterinary premises.	The Veterinary Surgeons Board of Queensland performs inspections of veterinary premises to see if they are being operated, controlled and managed in accordance with the <i>Veterinary Surgeons Act</i> 1936.
	Retention period & trigger	Regulatory requirements:
	25 years after business action	Veterinary Surgeons Act 1936
	completed.	Business requirements:
		The Veterinary Surgeons Board of Queensland, requires these records to be retained for 25 years after business action completed as they:
		are required for long-term business needs, based on veterinarians' generally long working lives
		<ul> <li>cover the Board for risks associated with the government's responsibility to check and catch problems. Inspectors can uncover significant risks and undue exposure to the community, environment and workforce during inspections</li> </ul>
		<ul> <li>directly relate to or provide background information to significant incidents or investigations.</li> </ul>
		Significant inspections are tabled at board meetings and these records are retained permanently

Disposal authorisation	Record class and retention period	Justifying the retention period
		under the General retention and disposal schedule (GRDS).
		Comparison with other schedules' retention period:
		Agriculture Retention and Disposal Schedule QDAN719 v.1 – Reference 1.13.1 Inspections-significant – Retain for 25 years after action completed.
		Fisheries Retention and Disposal Schedule QDAN724 v.1 – Reference 1.6.1 Inspections-significant – Retain for 25 years after action completed.
1575	Inspections – other ~	Background/business process:
	Records relating to conducting other inspections of veterinary premises.	The Veterinary Surgeons Board of Queensland performs inspections of veterinary premises to see if they are being operated, controlled and managed in accordance with the <i>Veterinary Surgeons Act</i> 1936.
	Retention period & trigger	Regulatory requirements:
	7 years after business action	Veterinary Surgeons Act 1936
	completed.	Business requirements:
		The Veterinary Surgeons Board of Queensland, requires these records to be retained for seven years as they:
		support the decisions of the business
		• ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the <i>Limitations of Actions Act 1974</i> .
		Comparison with other schedules' retention period:
		Territory Records (Records Disposal Schedule – ACT Government Veterinarian Records) Approval 2011 (No 1) – Reference 176.057.001 Documentation of official inspections carried out by the agency to ensure compliance with standards related to the Veterinary Services function – Destroy 7 years after action completed.
		Agriculture Retention and Disposal Schedule QDAN719 v.1 – Reference 1.13.2 Inspections-other – Retain for 7 years after action completed.
		Fisheries Retention and Disposal Schedule QDAN724 v.1 – Reference 1.6.2 Inspections-other – Retain for 7 years after action completed.

#### **INVESTIGATIONS**

The activities associated with making authorised assessments of accidents, incidents or allegations related to infringements of any legislation, standard, code, business or workplace policy, which may, or may not, lead to further formal action. Includes reports prepared by persons undertaking investigations.

Disposal authorisation	Record class and retention period	Justifying the retention period
1576	Investigations – significant *	Background/business process:
	Records relating to investigating significant events and offences	Under s.22 of the <i>Veterinary Surgeons Act 1936</i> , the Board may conduct an investigation of the conduct of a veterinary surgeon.
	under relevant legislation.	If the Board finds sufficient evidence to establish a prima facie case of professional misconduct it may
	Retention period & trigger	proceed to disciplinary action or refer the matter to the Queensland Civil & Administrative Tribunal.
	Permanent. Transfer to QSA	Regulatory requirements:
	after business action	Veterinary Surgeons Act 1936
	completed.	Business requirements:
		The Veterinary Surgeons Board of Queensland, requires these records to be retained permanently as they:
		are required for long-term business needs, based on veterinarians' generally long working lives
		<ul> <li>provide evidence of decisions, support actions and provide a history of the investigations relating to veterinarians</li> </ul>
		<ul> <li>support other business processes including complaint conciliations, mediation, enforcement and dispute resolution processes.</li> </ul>
		Veterinarians hold an important role in society as animals play an integral part in people's lives.
		Permanent retention criteria (where applicable):
		Meets the following characteristics of QSA's Appraisal Statement:
		4 – Significant Impact on Individuals
		<ul> <li>5 – Substantial Contribution to Community Memory.</li> </ul>
		Community expectation:

Disposal authorisation	Record class and retention period	Justifying the retention period
		As veterinarians hold a high standing in the community, the public would want to be sure that a thorough investigation would be done on any significant misconduct. Also that evidence of the government's role in ensuring the appropriate management of the welfare of animals is retained.
		Comparison with other schedules' retention period:
		Records Disposal Schedule Veterinary Board of the Northern Territory 2007/11 Reference 1.6.1 Records relating to investigations that proceed to a hearing or result in a reprimand or caution – Temporary, destroy 85 years after date of registration.
		Agriculture Retention and Disposal Schedule QDAN719 v.1 Reference 1.14.1 Investigations-significant – Permanent.
		Fisheries Retention and Disposal Schedule QDAN724 v.1 Reference 5.3.1 Investigations-significant – Retain permanently.
		Teacher Regulation Retention and Disposal Schedule QDAN736 v.1 Reference 2.2 Teacher management – conduct – Retain for 100 years after business action completed.
1577	Investigations – other ~	Background/business process:
	Records relating to investigating other offences under relevant	Under s.22 of the <i>Veterinary Surgeons Act 1936</i> , the Board may conduct an investigation of the conduct of a veterinary surgeon.
	legislation not covered under 1576.	If the Board finds sufficient evidence to establish a prima facie case of professional misconduct it may proceed to disciplinary action or refer the matter to the Queensland Civil & Administrative Tribunal.
	Retention period & trigger	Regulatory requirements:
	7 years after business action	Veterinary Surgeons Act 1936
	completed.	Business requirements:
		The Veterinary Surgeons Board of Queensland, requires these records to be retained for seven years as they:
		support the decisions of the business
		are required for future business enhancement and improvement
		<ul> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the Limitations of Actions Act 1974.</li> </ul>
		Comparison with other schedules' retention period:
		Agriculture Retention and Disposal Schedule QDAN719 v.1 Reference 1.14.2 Investigations-other –

Disposal authorisation	Record class and retention period	Justifying the retention period
		Retain for 7 years after action completed.
		Fisheries Retention and Disposal Schedule QDAN724 v.1 Reference 5.3.2 Investigations-other – Retain for 7 years after action completed.

#### **LICENSING**

The activities associated with granting or denying licensing instruments giving authority to undertake particular actions or occupations in line with the authority of the licensing instrument, and bestow special rights of ownership, financial responsibility and/or environmental accountability and other terms and conditions with the licence. Includes permits to own or use something or carry out particular actions. Also includes but is not limited to licences, permits, leases, certifications, exemptions, clearances, claims, charges, benefits, interests, etc.

Disposal authorisation	Record class and retention period	Justifying the retention period
1578	Granted licences and permits Records relating to approving and issuing veterinary-related licences, including, but not limited to:  • veterinary surgeons and specialists  • specialist veterinary research or teaching registrations  • provisional veterinary surgeons  • limited period veterinary surgeons  • premises used for veterinary surgeons  • premises used for veterinary practice.  Includes the submission, renewal, transfer, release, change, surrender, cancellation, termination and surrendering of licences and permits.  Retention period & trigger	Background/business process:  A person is entitled to be registered as a veterinary surgeon in Queensland if the person is of good fame and character and is the holder of a recognised veterinary degree.  Good fame and character is demonstrated immediately after graduation by provision of personal written references and thereafter by certificates of good standing from the veterinary boards of states or countries from where the person was last registered.  The veterinary qualifications recognised as entitling the holder to registration in Australia and New Zealand without further examination are determined by the Australasian Veterinary Boards Council Inc.  Persons possessing a degree from other veterinary institutions throughout the world must first sit and pass a National Veterinary Examination (NVE) conducted by the Australasian Veterinary Boards Council before they are eligible for registration. The NVE consists of an occupational English test, if required, and a written and clinical examination.  A veterinarian is entitled to be registered as a veterinary specialist if the person satisfies the Board that:  • the person has gained special skill in the veterinary specialty with respect to which the person applies to be registered  • the special skill was gained in practising veterinary science for a period of at least five years  • the person is the holder of a recognised qualification that relates to that specialty.
	7 years after licence expires.	Regulatory requirements:

Disposal authorisation	Record class and retention period	Justifying the retention period
		Veterinary Surgeons Act 1936
		Business requirements:
		The Veterinary Surgeons Board of Queensland, requires these records to be retained for seven years after licence expires as they:
		support the decisions of the business
		<ul> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under s.10 of the <i>Limitations of Actions Act 1974</i>.</li> </ul>
		Comparison with other schedules' retention period:
		Territory Records (Records Disposal Schedule – ACT Government Veterinarian Records) Approval 2011 (No 1) Reference 176.163.001 Records documenting the issuing of licences related to the veterinary function – Destroy 7 years after licence, or subsequent licence expires.
		Veterinary Practitioners Board of New South Wales FA273:
		<ul> <li>reference 3.2.2 Records relating to the licensing of veterinary hospitals – Retain minimum of 5 years after licence ceases or after last action, whichever is longer, then destroy</li> </ul>
		<ul> <li>reference 4.2.2 Records relating to the registration of veterinary practitioners or specialists – Required as State archives.</li> </ul>
		Records Disposal Schedule Veterinary Board of the Northern Territory 2007/11 Reference 1.2.1 Records relating to applications for full, limited and interim registration of veterinarians and veterinary specialists where the applications are approved – Temporary, destroy 85 years after date of registration.
		Fisheries Retention and Disposal Schedule QDAN 724 v.1 Reference 1.7.1 Granted licences and permits – Retain for 7 years after licence/permit expires or ceases.
1579	Unsuccessful and withdrawn	Background/business process:
	applications Records relating to unsuccessful, refused and withdrawn	Under s.18 (3) of the <i>Veterinary Surgeons Act 1936</i> (the Act), the Board may refuse an application for registration as a veterinary surgeon if the Board is satisfied the applicant is not medically fit to practise veterinary science.
	applications for veterinary-related licences and permits.	Under s.18 (3A) of the Act, the Board may refuse an application for registration as a veterinary surgeon if under the law of another state:
	Retention period & trigger 2 years after licence/permit	applied for registration in another state and was refused by that registering authority

Disposal authorisation	Record class and retention period	Justifying the retention period
	refused or withdrawn.	been disqualified from applying in another state.
		Regulatory requirements:
		Veterinary Surgeons Act 1936
		Business requirements:
		The Veterinary Surgeons Board of Queensland, requires these records to be retained for two years after licence/permit refused or withdrawn as they:
		support the decisions of the business
		<ul> <li>ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the Limitations of Actions Act 1974.</li> </ul>
		All applications are assessed by the Board and the decisions made regarding unsuccessful or withdrawn applications will be included in the Board minutes which are kept permanently under the <i>General retention and disposal schedule</i> (GRDS).
		Comparison with other schedules' retention period:
		Records Disposal Schedule Veterinary Board of the Northern Territory 2007/11:
		<ul> <li>reference 1.2.2 Records relating to applications for full, limited and interim registration of veterinarians and veterinary specialists where the applications are not approved – Temporary, destroy 7 years after action completed</li> </ul>
		<ul> <li>reference 1.2.3 Records relating to withdrawn, incomplete or cancelled applications for registration</li> <li>Temporary, destroy 1 year after application withdrawn or cancelled.</li> </ul>
		Agriculture Retention and Disposal Schedule QDAN 719 v.1 Reference 1.15.2 Unsuccessful and withdrawn applications – Retain for 2 years after licence/permit refused or withdrawn.
		Fisheries Retention and Disposal Schedule QDAN 724 v.1 Reference 1.7.2 Unsuccessful and withdrawn applications – Retain for 2 years after licence or permit refused or withdrawn.

## **PROSECUTION**

The activities associated with pursuing a legal course of action against a person/s alleged to have committed a crime or broken a law. Includes case appeals of prosecuted matters.

Disposal authorisation	Record class and retention period	Justifying the retention period
1580	Prosecution – significant * Records relating to prosecuting significant offences under legislation including but not limited to Veterinary Surgeons Act 1936, Animal Care and Protection Act 2001, Land Protection (Pest and Stock Route Management) Act 2002, Health (Drugs and Poisons) Regulation 1996, Radiation Safety Act 1999 or Chemical Usage (Agricultural and Veterinary) Control Act 1988.  Retention period & trigger Permanent. Transfer to QSA after business action completed.	Background/business process:  Prosecution records are created when charging persons with offences under legislation by presenting evidence and arguments to the judiciary to resolve cases and prosecute offenders as a disincentive for non-compliance to legislation and other statutory instruments.  Under part 4B of the Veterinary Surgeons Act 1936, the offence provisions are:  • a person must not conduct a veterinary practice other than at veterinary premises  • a person who is a not a veterinary surgeon must not practise veterinary science  • a veterinary surgeon must not allow or direct another person who is a veterinary surgeon to practise veterinary science in relation to an animal under the veterinary surgeon's care  • a person in control of veterinary premises must not direct a veterinary surgeon to practise veterinary science in a way that would constitute professional misconduct  • a person who is not a veterinary surgeon must not claim or hold themselves out to be a veterinary surgeon  • a person who is not a veterinary surgeon must not use a title that consists of, or includes, the words 'veterinary surgeon' or an abbreviation of the words.  Regulatory requirements:  Veterinary Surgeons Act 1936  Animal Care and Protection Act 2001  Land Protection (Pest and stock Route Management) Act 2002  Health (Drugs and Poisons) Regulation 1996  Radiation Safety Act 1999

Disposal authorisation	Record class and retention period	Justifying the retention period
		Chemical Usage (Agricultural and Veterinary) Control Act 1988
		Business requirements:
		The Veterinary Surgeons Board of Queensland, requires these records to be retained permanently as they:
		provide evidence of decisions, support actions, and provide a history of repeat and habitual offenders
		set a precedent.
		Veterinarians hold an important role in society as animals play an integral part in people's lives. Knowing if a veterinarian has been investigated or prosecuted would help determine if you are willing to take your pet to them for their care.
		Permanent retention criteria (where applicable):
		Meets the following characteristics of QSA's Appraisal Statement:
		3 – Enduring Rights and Entitlements
		4 – Significant Impact on Individuals.
		Community expectation:
		The Board would not allow persons to be registered veterinary surgeons who have been convicted of a serious offence under relevant legislation.
		Comparison with other schedules' retention period:
		Territory Records (Records Disposal Schedule – ACT Government Veterinarian Records) Approval 2011 (No 1) Reference 176.173.002 Records documenting the issuing of notices regarding failure to comply with statutory standards for incidents of significance to the Territory – Retain as Territory archives.
		Agriculture Retention and Disposal Schedule QDAN719 v.1 Reference 1.19.1 Prosecution-significant – Permanent.
		Fisheries Retention and Disposal Schedule QDAN724 v.1 Reference 5.4.1 Prosecution-significant – Retain permanently.
1581	Prosecution – other ~	Background/business process:
	Records relating to prosecuting other offences under legislation including but not limited to Veterinary Surgeons Act 1936,	Prosecution records are created when charging persons with offences under legislation by presenting evidence and arguments to the judiciary to resolve cases and prosecute offenders as a disincentive for non-compliance to legislation and other statutory instruments.  Regulatory requirements:
		inegulatory requirements.

Disposal authorisation	Record class and retention period	Justifying the retention period
	Animal Care and Protection Act 2001, Land Protection (Pest and Stock Route Management) Act 2002, Health (Drugs and Poisons) Regulation 1996, Radiation Safety Act 1999 or Chemical Usage (Agricultural and Veterinary) Control Act 1988.  Retention period & trigger 12 years after business action completed.	Veterinary Surgeons Act 1936 Animal Care and Protection Act 2001 Land Protection (Pest and Stock Route Management) Act 2002 Health (Drugs and Poisons) Regulation 1996 Radiation Safety Act 1999 Chemical Usage (Agricultural and Veterinary) Control Act 1988 Business requirements: The Veterinary Surgeons Board of Queensland, requires these records to be retained for 12 years after business action completed as they: • support the decisions of the business • ensure legal reference, including standard appeals of decisions, judicial review and other court processes under the Limitations of Actions Act 1974.  QCAT conducts disciplinary proceedings against veterinary surgeons after a complaint has been investigated and referred by the Veterinary Surgeons Board Queensland. These decisions will be retained by QCAT for 12 years after business action completed and finalisation of all appeal processes in the draft QCAT retention and disposal schedule.  Comparison with other schedules' retention period: Territory Records (Records Disposal Schedule – ACT Government Veterinarian Records) Approval 2011 (No 1) Reference 176.0173.005 Records documenting the issuing of notices regarding failure to comply with statutory standards for incidents, which are not of significance to the Territory – Destroy 5 years after action completed.  Agriculture Retention and Disposal Schedule QDAN719 v.1 Reference 1.19.2 Prosecution-other – Retain for 7 years after action completed.

#### **REGISTRATION**

The activities associated with receiving, processing, granting and refusing applications for registration of objects, people, businesses, entities or legal instruments in electronic and/or physical registers for particular purposes as required by business and legislation.

Disposal authorisation	Record class and retention period	Justifying the retention period
1582	Licence holder registers Records relating to registering veterinary-related licensees and sub-licensees under relevant legislation. Includes licences for, but not limited to:  • veterinary surgeons and specialists  • specialist veterinary research or teaching registrations  • provisional veterinary surgeons  • limited period veterinary surgeons  • premises used for veterinary practice.  Retention period & trigger  Permanent. Transfer to QSA after business action completed.	Background/business process: Under s.16 of the Veterinary Surgeons Act 1936, the registrar must keep: • the register of veterinary surgeons in Queensland • the register of veterinary specialists in Queensland.  Regulatory requirements: Veterinary Surgeons Act 1936 Business requirements: The Veterinary Surgeons Board of Queensland, requires these records to be retained permanently as they: • provide long-term reference value for current and previous cases including the identification of historical and contextual information about relevant parties to current investigations and prosecutions • document the history of the Board's significant work. Veterinarians hold an important role in society as animals play an integral part in people's lives.  Permanent retention criteria (where applicable): Meets the following characteristics of QSA's Appraisal Statement: • 3 – Enduring Rights and Entitlements • 4 – Significant Impact on Individuals. Community expectation: The register provides a good source of information of the development of the veterinary surgeon profession in Queensland. The register has potential to be used in future research of the veterinary

Disposal authorisation	Record class and retention period	Justifying the retention period
		profession as veterinarians have required to be registered in Queensland since 1936.  Comparison with other schedules' retention period:
		Veterinary Practitioners Board of New South Wales FA273 Reference 4.2.1 Summary records relating to the registration status and history of individual veterinary practitioners or specialists – Required as State archives.
		Records Disposal Schedule Veterinary Board of the Northern Territory 2007/11 Reference 1.4.1 Register of veterinarians and veterinary specialists in the Northern Territory – Permanent.
		Surveyors Board of Queensland Retention and Disposal Schedule QDAN615 v.2 Reference 4.1.1 Register of surveyors – Permanent.
		Teacher Regulation Retention and Disposal Schedule QDAN736 v.1 Reference 1.1 Summary registration – teachers, education institutions and approved education programs – Permanent.
1583	Investigations and prosecutions registers Records relating to registering investigations and prosecutions including results of investigating and prosecuting offences. Retention period & trigger 25 years after business action completed.	<ul> <li>Background/business process:</li> <li>Investigation and prosecution registration records are created during investigation and prosecution processes.</li> <li>Illustrative processes for front end processes:</li> <li>receive and assess registration application; request further information; approve registration application; register entry</li> <li>receive and assess change request; request further information; approve change request; register entry</li> <li>receive deletion request (internally approved request of external advice); delete entry.</li> <li>Regulatory requirements:</li> <li>Veterinary Surgeons Act 1936</li> <li>Business requirements:</li> <li>The Veterinary Surgeons Board of Queensland, requires these records to be retained for 25 years after business action completed as they:</li> <li>provide long-term reference value for current and previous cases including the identification of historical and contextual information about relevant parties to current investigations and prosecutions</li> </ul>
		document the history of the Board's work.
		Significant investigations and prosecutions are kept permanently under disposal authorisations 1576 and

Disposal authorisation	Record class and retention period	Justifying the retention period
		1580 of this Schedule.
		Comparison with other schedules' retention period:
		Territory Records (Records Disposal Schedule – ACT Government Veterinarian Records) Approval 2011 (No 1) Reference 176.155.001 Establishment and maintenance of registers containing information of significance to the Territory – Retain as Territory archives.
		Veterinary Practitioners Board of New South Wales FA273 Reference 4.3.1 Summary records relating to complaints received and investigated by the Board – Required as State archives.
		Fisheries Retention and Disposal Schedule QDAN724 v.1 Reference 1.12.1 Investigations and prosecutions registers – Retain for 25 years after action completed.

# Appendix: Definition of Significant Versus Other

## \* Significant

Significance may be determined by a number of factors:

- Department is the lead agency with another government agency or private organisation
- Substantial changes or influences government policy or direction
- Results in a significant government project or program
- Significant contribution to the body of knowledge on a particular subject
- Considerable economic impact (e.g. major government contracts, corporatisation of government assets)
- Notable environmental impact (e.g. drought, salinity, genetically modified crops, heritage buildings/places, world heritage listings, national parks/reserves)
- Extent of profound changes to lives of individuals, families or communities (e.g. Native Title)
- Public reaction or sensitivity
- Serious impact or consequence (e.g. deaths, a large case)
- Precedent setting prosecutions, court cases (e.g. first of its kind)

If on balance of the factors, the records represent significant issue/s, retain as 'Significant'.

If in doubt, seek advice or keep as default with review until more information becomes available.

### ~ Other

Also known as non-state significant, not significant, minor, low value, low risk, routine, etc. Non-significance may be determined by a number of factors:

- Lesser in size, scope or importance
- Represents one individual's opinion on topic of low value to community
- Not serious, i.e. routine, duplicable, low value, short applicability, short-term relevance
- Not resulting in changes to government or agency policy, or minor changes only
- Not generating or outlaying significant funds
- Not substantial public interest in the context of the definitions of 'significant' above
- Low value to community
- Inconsequential or low risk if records not kept
- Minor operational details
- Routine matters
- Working papers, audio, video or other recordings used as working notes only.

If on balance of the factors, the records represent non-significant issues, retain as 'Other'.

If in doubt, seek advice or keep as default with review until more information becomes available.