

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3



PROS 12/05 VAR 3

**Retention and Disposal Authority for Records of
Statewide Health Services**

Issued Date: 13/12/2021

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

Variation 1

Public Records Act 1973 (Section 12)

Retention & Disposal Authority for Records of Statewide Health Services (PROS 12/05)

In accordance with section 12 of the Public Records Act 1973 (as amended), I hereby vary the Standard applying to records of Statewide Health Services, issued as Public Record Office Standard (PROS 12/05) on 29/06/2012, as follows:

The addition of the following text to the scope of the RDA and across the body of the RDA as a footer:

This Retention and Disposal Authority **must not be used** for records about child sexual abuse incidents, allegations nor an agency's prevention, identification and response to such incidents and allegations. This includes records of this nature created through an agency's reporting, oversight or regulatory relationships with other agencies.

Instead **agencies must use PROS 19/08** Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations.

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director and Keeper of Public Records

Date of issue: 02/09/2019

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Variation 2

Public Records Act 1973 (Section 12)

Retention & Disposal Authority for Records of Statewide Health Services (PROS 12/05)

In accordance with section 12 of the Public Records Act 1973 (as amended), I hereby vary the Standard applying to records of Statewide Health Services, issued as Public Record Office Standard (PROS 12/05) on 29/06/2012, as follows to authorise the disposal of certain records of voluntary assisted dying:

Class	Description of Change	Record examples
1.3.2	Altered disposal trigger wording from Destroy 7 years "after conclusion of program" to "after action completed"	Program monitoring and compliance reviews, quality control of submitted documentation, stakeholder relationship
1.3.6	New class: "Records documenting eligibility checks for health or medical practitioners wishing to register/participate in an agency monitored/managed treatment and care program or process, e.g. Voluntary Assisted Dying process. Includes requests to register/participate, supporting documentation provided, checks, correspondence and decisions made." Disposal trigger: "Destroy 12 years after the last date of registration/participation by the health or medical practitioner in/under the program."	Eligibility checks of medical practitioners
3.2.2	Added reference to Voluntary Assisted Dying Dataset (VAD) (de-identified) as an example of a dataset concerning patient treatment	VAD dataset

This Variation shall have effect from its date of issue.

[Approved]

Justine Heazlewood

Director and Keeper of Public Records

Date of issue: 13/08/2021

Retention and Disposal Authority for Records of Statewide Health Services

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Variation 3

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of Statewide Health Services (PROS 12/05)

In accordance with section 12 of the Public Records Act 1973 (as amended), I hereby vary the Standard applying to the records of Statewide Health Services, issued as Public Record Office Standard (PROS) 12/05 on 13/08/2021, as follows:

The extension of the application of this authority until varied or revoked.

This Variation shall have effect from its date of issue.

[Approved]

Justine Heazlewood

Director and Keeper of Public Records

Date: 13/12/2021

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Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

Retention and Disposal Authority for Records of Statewide Health Services

Retention and Disposal Authority No	PROS 12/05 VAR 3
Scope	This Retention and Disposal Authority applies to the Department's records of health service planning and programs; health standards; public hospital and health services governance; private hospitals and services regulation; newborn screening, and counselling services. This Retention and Disposal Authority must not be used for records about child sexual abuse incidents, allegations nor an agency's prevention, identification and response to such incidents and allegations. This includes records of this nature created through an agency's reporting, oversight or regulatory relationships with other agencies. Instead agencies must use PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations.
Status	Issued by Keeper
Issue Date	13/12/2021

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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.

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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.

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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 records must be managed and transferred in accordance with PROV Standards.

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Concurrence of Public Office

This Authority has the concurrence of:

Signature: [signed]

Name: Lance Wallace

Position: Acting Secretary, Department of Health

Date: 25/06/2012

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 Department of Families, Fairness and Housing. This standard as varied or amended from time to time, shall have effect from the date of issue unless revoked.

[signed]

Justine Heazlewood,

Keeper of Public Records

Date of Issue: 13/12/2021

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No	Function/Activity	Description	Status	Disposal Action
1	HEALTH SERVICE PLANNING AND PROGRAM DEVELOPMENT	Planning for the provision of health services in Victoria. Includes the planning of funding distribution for public hospitals and the development and implementation of programs.		
1.1	Health Service Planning	<p>The planning for the delivery of health services in Victoria, to:</p> <ul style="list-style-type: none"> • improve adequacy, quality and distribution of services • minimize unnecessary duplication • ensure the orderly development of services • establish, amalgamate and close hospital and health services. <p>Includes the research, consultation and assessment of submissions undertaken throughout the drafting of plans and strategies.</p> <p>[For datasets used in the planning for the delivery of health services, see 3.2.0 and 4.2.0.]</p>		
1.1.1		<p>Records documenting the development of plans for the delivery of health services, directly through public hospitals and services and indirectly through private hospitals and services.</p> <p>Includes records of the decision to open, close and or amalgamate public hospitals and services and any</p>	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>HEALTH SERVICE PLANNING AND PROGRAM DEVELOPMENT - Health Service Planning</i>				
		<p>strategic planning and negotiations associated with the implementation of the decision.</p> <p>Includes the background research, summaries of consultations and submissions, drafts incorporating major changes, exposure drafts and records documenting approval process.</p> <p>Includes plans that are approved as well as those that are not approved or released.</p>		
1.1.2		<p>Records that support the development of plans for delivery of health services. Includes the consultation records and submissions that are summarised in class 1.1.1, drafts incorporating editorial changes.</p> <p>Also includes records on the coordination of the plans development and any research not used in development of plans.</p>	Temporary	Destroy 10 years after last action.
1.1.3		<p>Records documenting the planning for emergency health responses by hospitals. Includes the development and review of plans and frameworks to guide a response.</p> <p>[For education and training resources, see 5.1.0.]</p>	Permanent	Retain as State archives
1.1.4		<p>Detailed logistical and operational plans to manage the closure and /or amalgamation of public hospitals or health services that are summarised in strategic plans.</p>	Temporary	Destroy 10 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>HEALTH SERVICE PLANNING AND PROGRAM DEVELOPMENT - Public Hospital Funding Distribution</i>				
		[For strategic plans to manage the closure and/or amalgamation of public hospitals or health services, see 1.1.1.]		
1.2	Public Hospital Funding Distribution	<p>The planning for and allocation of funds to broad areas of health care delivered in public hospitals across the State, including:</p> <ul style="list-style-type: none"> • acute admitted patients • non-acute admitted patients • emergency patients • non-admitted patients • incentive schemes • grants. <p>Includes the negotiation of nominal budgets with each hospital and the auditing of hospital implementation of the Casemix funding system.</p> <p>A casemix funding system determines the funding for public and denominational hospitals based on the number and type of patients treated in the hospitals.</p> <p>[For financial management records see the <i>General Retention & Disposal Authority for Records of Common Administrative Functions.</i>]</p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>HEALTH SERVICE PLANNING AND PROGRAM DEVELOPMENT - Public Hospital Funding Distribution</i>				
		[For datasets used to inform the distribution of funds, see 3.2.0.]		
1.2.1		<p>Records documenting the reasons for the allocation of funds based on public hospital activity (also known as casemix funding). Includes determination of</p> <ul style="list-style-type: none"> • the average cost of treating patients in each of the broad areas of health care • the volume of patients to be paid for at an agreed price (based on the average price determined above). <p>[For public hospital reporting and submission of data as part of the conditions of funding, see 3.2.1.]</p>	Permanent	Retain as State archives
1.2.2		Records documenting the reasons for the allocation of grant funding to public hospitals (also known as block funding) to support activities such as teaching and research; new technologies; the treatment of patients with complex or multiple medical conditions and on improving availability of services.	Permanent	Retain as State archives
1.2.3		Records documenting casemix audits to assess whether the casemix funding system is implemented effectively by a public hospital.	Temporary	Destroy 7 years after audit has concluded.

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No	Function/Activity	Description	Status	Disposal Action
<i>HEALTH SERVICE PLANNING AND PROGRAM DEVELOPMENT - Public Hospital Funding Distribution</i>				
1.2.4		The appointment of casemix auditors under section 18 of the <i>Health Services Act</i> 1988. Includes records of the revocation of the appointment of an auditor.	Temporary	Destroy 7 years after the appointment concludes.
1.3	Programs Development and Management	<p>The development and ongoing management of programs in relation to the delivery of health services in Victoria. Types of programs include:</p> <ul style="list-style-type: none"> • the management of general patient care • the management of health risks such communicable diseases in the community or infections in hospitals • the development or trial of new patient treatment and care and • the management of specific illnesses or health problems such as diabetes • the management of data collections. 		
1.3.1		Records documenting the development and establishment of programs. Includes records of the program rationale, objectives and methodology.	Permanent	Retain as State archives
1.3.2		Records of the implementation and administration of programs, includes case records of participants (where applicable).	Temporary	Destroy 7 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>HEALTH SERVICE PLANNING AND PROGRAM DEVELOPMENT - Programs Development and Management</i>				
1.3.3		Summary and annual reporting on program outcomes. Includes internal and external reporting.	Permanent	Retain as State archives
1.3.4		Records documenting reviews of programs that result in substantial changes to the purpose and content of a program.	Permanent	Retain as State archives
1.3.5		Records documenting reviews of programs that do not result in substantial changes to the purpose and content of a program.	Temporary	Destroy 7 years after conclusion of program.
1.3.6		<p>Records documenting eligibility checks for health or medical practitioners wishing to register/participate in an agency monitored/managed treatment and care program or process, e.g. Voluntary Assisted Dying process.</p> <p>Includes requests to register/participate, supporting documentation provided, checks, correspondence and decisions made.</p>	Temporary	Destroy 12 years. after the last date of registration / participation by the health or medical practitioner in/under the program.
2	SETTING OF HEALTH STANDARDS	The development of health standards and guidelines on clinical patient care and treatment and on the governance and management of health services. Includes circulars and any other instructions issued to health services that define and establish criteria to follow.		

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No	Function/Activity	Description	Status	Disposal Action
<i>SETTING OF HEALTH STANDARDS - Development and Issuing of Standards and Guidelines</i>				
2.1	Development and Issuing of Standards and Guidelines	The drafting of standards and guidelines, including circulars and other instructions on clinical patient care and treatment, governance, and management of health services.		
2.1.1		<p>Records documenting the development of health standards, guidelines, circulars and other instructions. Includes the final version and drafts that incorporate major changes and records that summarise the consultation process undertaken. Also includes records documenting the approval and issuing processes.</p> <p>[For agency monitoring against standards, see 3.2.0.]</p> <p>[For Publication of standards see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p>	Permanent	Retain as State archives
2.1.2		<p>Records that facilitate the development of standards, guidelines, circulars and other instructions that are summarised in records covered by 2.1.1.</p> <p>Includes background research undertaken, drafts incorporating minor editorial changes, submissions and comments received.</p>	Temporary	Destroy 10 years after date of standard, guideline or circular.
3	PUBLIC HOSPITALS AND HEALTH	Governance of the public hospital and public health services system. Includes the monitoring of these services, investigations into incidents and		

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No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Accreditation Verification</i>				
	SERVICES GOVERNANCE	<p>complaints, the administration of formal intervention powers and the approval of formal governing arrangements and partnerships.</p> <p>A public hospital refers to hospitals listed under Schedule 1 of the <i>Health Services Act 1988</i>.</p> <p>A multi purpose service provides any or a combination of the following:</p> <ul style="list-style-type: none"> • public hospital services • health services • aged care services • community care services. <p>[For the appointment of board members by Minister and Governor in Council for Public Hospitals, Public Health Services and Multi Purpose Services, see <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i>]</p>		
3.1	Accreditation Verification	Verification of accreditation obtained by public health services and public hospitals conferred by national and international accreditation bodies.		
3.1.1		Notification of accreditations obtained by public health services and public hospitals. Includes any	Temporary	Destroy 8 years after notification received.

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No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Performance Monitoring</i>				
		additional reporting requirements to the Department as recommended by the accrediting body.		
3.2	Performance Monitoring	The monitoring of services provided by public hospitals and health services, including performance in response to emergency situations.		
3.2.1		Reports that analyse and summarise data submitted as part of the routine performance monitoring of public hospitals, public health services and multi purpose services. Includes internal and external reporting.	Permanent	Retain as State archives
3.2.2		<p>Datasets (collections of data) concerning patient treatment. Includes data on the quality of care provided, type of treatment given, number and type of patients treated, types of patients awaiting treatment, patient waiting times, types of illnesses and infections treated, health service utilisation and patient demographics.</p> <p>Includes data specification and manuals.</p> <p>Examples of datasets include the Victorian Admitted Episodes Dataset (VAED), Victorian Integrated Non-Admitted Health Minimum Dataset (VINAH), Victorian Emergency Minimum Dataset (VEMD), Elective Surgery Information System (ESIS) and the Voluntary Assisted Dying Dataset (VAD) (de-identified).</p>	Permanent	Retain as State archives

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Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Performance Monitoring</i>				
		[For reports that analyse and summarise data submitted, see 3.2.1.]		
3.2.3		<p>Records of the routine financial and administrative performance monitoring of public hospitals, public health services and multi purpose services.</p> <p>Includes the assessment of data and self-assessments submitted by health services as part of financial and administrative performance monitoring processes, e.g. adherence to the conditions of funding, complying with Departmental policies and procedures etc. Also includes any resulting departmental feedback provided and/or measures imposed on the hospital / health service.</p> <p>[For records of investigations see class 3.5.0.]</p> <p>[For reports that analyse and summarise data submitted, see 3.2.1.]</p>	Temporary	Destroy 7 years after action completed.
3.2.4		Audits of the data submitted by public health service providers.	Temporary	Destroy 7 years after action completed.
3.2.5		Records documenting communications with the public hospitals and health services who have submitted data. Includes requests for late submissions or exemptions.	Temporary	Destroy 7 years after action completed.
3.2.6		Reports which review the outcome/s of any hazard or emergency situation as managed by the hospitals,	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Performance Monitoring</i>				
		includes reporting on the implementation and/or management of the response. Includes feedback and consultation with other stakeholders, interest groups, clients, or members of the public.		
3.2.7		<p>The appointment of Authorised Officers under section 145 of the <i>Health Services Act 1988</i> for the purposes of monitoring and ensuring compliance with legislation and regulations.</p> <p>Includes records of the revocation of the appointment.</p>	Temporary	Destroy 7 years after appointment concludes.
3.2.8		<p>Records of inspections performed by Authorised Officers.</p> <p>[For investigations, see 3.5.0.]</p>	Temporary	Destroy 7 years after date of inspection.
3.2.9		<p>Community Visitor reports under the <i>Health Services Act 1988</i>. Includes investigation of the standard of facilities and care being offered to clients including:</p> <ul style="list-style-type: none"> • the appropriateness and standard of facilities for the accommodation, physical well-being and welfare of clients of the hospital • whether services are being provided for the hospital in accordance with the principles specified in the Act 	Temporary	Destroy 7 years after last report.

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No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Complaints Management</i>				
		<ul style="list-style-type: none"> • any failure by the proprietor of the hospital to comply with any provision of the Act. 		
3.3	Complaints Management	<p>The assessment of complaints received in relation to public health care providers and services. Includes those referred to the Department from other bodies such as the Ombudsman.</p> <p>[For complaints concerning private or community health care providers and services, see 4.3.0].</p>		
3.3.1		<p>The response to and resolution of complaints that set precedents, lead to major changes in policy, or involve media attention or public notoriety.</p> <p>Includes complaints that ultimately lead to the de-funding, suspension of admissions to, censure, appointment of an administrator and closure or amalgamation of health care providers and services.</p>	Permanent	Retain as State archives
3.3.2		<p>Records documenting the response to and resolution of complaints that do not set precedents, do not lead to major changes in policy, do not involve major media attention or public notoriety.</p> <p>Includes complaints that do <u>not</u> ultimately lead to the suspension of admissions to, censure, appointment of an administrator and closure or amalgamation of health care providers and services.</p>	Temporary	Destroy 7 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Incident Reporting and Investigation</i>				
3.4	Incident Reporting and Investigation	<p>The reporting of incidents and the subsequent investigations by public health services and hospitals. Includes reporting of investigations undertaken by the hospital/ health service provider and any further investigations undertaken by the Department.</p> <p>[For records of policy or procedure review, or staff education / training, or staff discipline, or litigation arising from an incident, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p>		
3.4.1		<p>Reports and subsequent investigations of incidents that result in death or other catastrophic outcome for the client. Includes records of investigations.</p> <p>Types of incidents include:</p> <ul style="list-style-type: none"> • 'sentinel' events or infrequent, clear-cut events that occur because of system or process deficiencies or errors and result in negative outcomes for the client (e.g. death or additional injury) • alleged or suspected physical assault or sexual assault or • other catastrophic event or incident of long term significance for clients, service providers or the Department. 	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Incident Reporting and Investigation</i>				
3.4.2		Reports and subsequent investigations of incidents that are not defined as a sentinel event, do <u>not</u> result in death, nor other catastrophic negative outcome for the client. Includes incident data reports and records of investigations.	Temporary	Destroy 7 years after last report.
3.5	Investigations	<p>Investigations of cases of alleged or suspected poor management or non compliance with legislation or governing agreements concerning public hospitals, public health services and multi purpose services.</p> <p>Investigations may arise from formal Departmental monitoring, Community Visitors' Reports or via the ad hoc notification of issues to the Department from the community at large.</p> <p>[For investigations of incidents see 3.4.0.]</p>		
3.5.1		<p>Investigations that identify poor management or non compliance which unveil systemic problems, lead to changes in policies or lead to the Department taking formal intervention powers.</p> <p>Includes the giving of any related directives.</p> <p>[For records of the execution of formal intervention powers, see 3.6.0.]</p>	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Investigations</i>				
3.5.2		<p>Records of investigations and reports that do <u>not</u> lead to the Department taking formal intervention powers.</p> <p>Includes the issuing of directives and records of any advice or guidance provided to the hospital or service.</p>	Temporary	Destroy 7 years after investigation concluded.
3.6	Formal Intervention	<p>The execution of formal intervention powers under the <i>Health Services Act 1988</i> relating to public hospitals, public health services, and multi purpose services.</p> <p>Formal intervention includes:</p> <ul style="list-style-type: none"> • censuring of the proprietors of public hospitals, and public health services • suspending admissions to public hospitals and public health services • appointing an administrator to control and direct public hospitals, public health services, and multi purpose services and • amalgamation or closure of a public hospitals, public health services and multi purpose services. 		

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No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Formal Intervention</i>				
		[Records relating to the closure and/or amalgamation of hospitals as an outcome of health services planning see 1.0.0.]		
3.6.1		Records relating to the censure of, and suspension of admissions to public hospitals and public health services. Includes the issuing of notices to the hospital or service of the proposed decision and the consideration of any submissions made in response.	Permanent	Retain as State archives
3.6.2		Records of the appointment of administrators to public hospitals, public health services and multi purpose services. Includes related investigations and reports that detail the circumstances leading to the appointment.	Permanent	Retain as State archives
3.6.3		Records of the decision to close or amalgamate of public hospitals or health services under the <i>Health Services Act</i> 1988. Includes reports and submissions relating to the decision to close the service and any related investigations. [For records relating to the management of the closure and / or amalgamation see 1.1.0.]	Permanent	Retain as State archives

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Approval of Governing Instruments</i>				
3.7	Approval of Governing Instruments	Approval of the formal governing instruments for public health services and hospitals.		
3.7.1		Records documenting the assessment and approval of the formal governing instruments for public health services and hospitals - such as alterations to the constitution, change of name and alteration of by-laws.	Permanent	Retain as State archives
3.8	Partnerships Management	The establishment and management of partnerships for the delivery of health services and the conduct of research. Includes alliances formed between health providers such as hospitals, community health, local government, general practice, mental health, drug treatment and disability providers.		
3.8.1		Records documenting the establishment and management of partnerships between organisations for the delivery of health services. Includes partnerships with private operators for the running of public hospitals, Primary Care Partnerships (PCPs), General Practice Partnerships or any other form of partnership established under the auspices of the public health system to deliver or improve health services. Also includes the notification of partnerships that have occurred between private health operators.	Temporary	Destroy 7 years after conclusion of partnership.

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Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PUBLIC HOSPITALS AND HEALTH SERVICES GOVERNANCE - Partnerships Management</i>				
		<p>[For performance reporting, see 3.2.0.]</p> <p>[For contracts or agreements, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p>		
3.8.2		<p>Notifications received of the establishment of partnerships between health services and research bodies such as universities for the conduct of research and clinical trials.</p> <p>[For contracts or agreements, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p>	Temporary	Destroy 7 years after conclusion of partnership.
4	PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION	The regulation and monitoring of health care services provided by private and non government organisations. Includes the registration of private hospitals and day procedure centres as required by the <i>Health Services Act 1988</i> .		
4.1	Registration of Private Hospitals and Health Service Providers	The assessment of applications for registration, the renewal of registrations and the suspension and/or revocation of registrations.		
4.1.1		The summary record of registered private hospitals, day procedure centres and community health centres under the <i>Health Services Act 1988</i> .	Permanent	Retain as State archives

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
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PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION - Registration of Private Hospitals and Health Service Providers

		<p>Details for private hospitals and day procedure centres include:</p> <ul style="list-style-type: none"> • facility number • facility name • address and contact information • number of registered beds • the responsible region of the Department • the name of the local government authority. <p>Details for community health centres include:</p> <ul style="list-style-type: none"> • centre name • address and contact information • operator's company name • registration number (e.g. Australian Company Number), date of incorporation, company address • name and address and date of appointment of board of directors. 		
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Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION - Registration of Private Hospitals and Health Service Providers</i>				
4.1.2		<p>Successful applications from persons and organisations:</p> <ul style="list-style-type: none"> • for approval "in principle" registration allowing the building of new premises, the use of existing premises or modification or extension to existing premises, for use as a private hospital or day procedure centre • to register as the business operator or proprietor of a private hospital or day procedure centre • to register community health centres. <p>Includes applications and any supporting information, assessment notes, details of any conditions of registration that are imposed on the provider or variations to registration.</p> <p>Includes notifications of appointment of new directors for organisations holding registration.</p> <p>Also includes records of the voluntary cancellation of registration.</p>	Temporary	Destroy 7 years after registration period concluded.
4.1.3		<p>Unsuccessful applications from persons and organisations:</p> <ul style="list-style-type: none"> • for approval 'in principle ' registration allowing the building of new premises, the use 	Temporary	Destroy 10 years after date of decision.

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION - Registration of Private Hospitals and Health Service Providers</i>				
		<p>of existing premises or modification or extension of existing premises, for use as a private hospital or day procedure centre</p> <ul style="list-style-type: none"> • to register as the proprietor of private hospital or day procedure centre • to register community health centres or • to register as a registered funded agency. <p>Includes the submitted application, supporting information, and reasons for the decision.</p>		
4.1.4		<p>The revocation of any registration of a private hospital, day procedure centre or community health centre under the <i>Health Services Act 1988</i>.</p> <p>Includes records of investigation, reasons behind the decision and the notification to person or organisation of the revocation.</p>	Permanent	Retain as State archives
4.1.5		<p>Records of the preparation for an appearance at Victorian Civil and Administrative Tribunal (VCAT) hearings for appeals on decisions:</p> <ul style="list-style-type: none"> • to approve or refuse to approve an application • to impose conditions on the approval of an application 	Temporary	Destroy 7 years after the date of decision.

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Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION - Registration of Private Hospitals and Health Service Providers</i>				
		<ul style="list-style-type: none"> • to vary the registration of a private hospital, day procedure centre or community health centre • to revoke the registration of a private hospital, day procedure centre or community health centre. 		
4.1.6		<p>Notifications of any changes to the registration information of private hospitals, day procedure centres or community health centres.</p> <p>Includes notification of change of address or contact information, change of company name or number.</p>	Temporary	Destroy 6 months after date notification verified.
4.2	Service Provider Monitoring	The monitoring of services provided to clients by private hospitals, day procedure centres, community health centres, funded service providers and program providers. Includes activities to monitor and improve performance.		
4.2.1		Reports that analyse and summarise data submitted as part of the routine performance monitoring of private hospitals, day procedure centres, community health centres, funded service provides, program providers and partnerships. Includes internal and external reporting.	Permanent	Retain as State archives
4.2.2		Datasets (collections of data) concerning patient treatment. Includes data on the quality of care provided, type of treatment given, number and type	Permanent	Retain as State archives

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION - Service Provider Monitoring</i>				
		<p>of patients treated, types of patients awaiting treatment, patient waiting times, types of illnesses and infections treated, health service utilisation and patient demographics. Includes data specification and manuals.</p> <p>[For reports that analyse and summarise data submitted, see 4.2.1.]</p>		
4.2.3		<p>Records of the routine financial and administrative performance monitoring of private hospitals, day procedure centres, community health centres, funded service provides, program providers and partnerships.</p> <p>Includes the assessment of data and self-assessments submitted by health services as part of financial and administrative performance monitoring processes, e.g. adherence to the conditions of funding, complying with Departmental policies and procedures etc. Also includes any resulting departmental feedback provided and/or measures imposed on the hospital / health service.</p> <p>[For investigations, see 4.3.0.]</p> <p>[For published reports which analyse and summarise data submitted, see 4.2.1.]</p>	Temporary	Destroy 7 years after action completed.
4.2.4		Audits of the data submitted by private health service providers.	Temporary	Destroy 7 years after action completed.

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION - Service Provider Monitoring</i>				
4.2.5		Records documenting communications with the public health service providers who have submitted data. Includes requests for late submissions or exemptions.	Temporary	Destroy 7 years after action completed.
4.2.6		The appointment of Authorised Officers under section 145 of the <i>Health Services Act 1988</i> for the purposes of monitoring and ensuring compliance with legislation and regulations. Includes records of the revocation of the appointment of an Authorised Officer.	Temporary	Destroy 7 years after the appointment concludes.
4.2.7		Records of inspections performed by Authorised Officers. [For investigations, see 4.4.0.]	Temporary	Destroy 7 years after date of inspection.
4.3	Complaints Management	The assessment of complaints received in relation to private health care providers and services. Includes those referred to the Department from other bodies such as the Ombudsman. [For complaints concerning public health care providers and services, see 3.3.0.]		
4.3.1		The response to and resolution of complaints that set precedents, lead to major changes in policy, or involve intense media attention or public notoriety.	Permanent	Retain as State archives

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION - Complaints Management</i>				
		Includes complaints that ultimately lead to the revocation of registration of private hospitals, day procedure centres and community health centres or the appointment of an administrator and closure of health care providers and services.		
4.3.2		Records documenting the response to and resolution of complaints that do not set precedents, do not lead to major changes in policy, do not involve major media attention or public notoriety. Includes complaints that do <u>not</u> ultimately lead to the de-funding or deregistration, censure, appointment of an administrator to Community Health Centres.	Temporary	Destroy 7 years after action completed.
4.4	Investigations	Investigations of cases of alleged or suspected poor management or non compliance with legislation or governing agreements concerning private hospitals, day procedure centres and community health centres.		
4.4.1		Records of investigations that identified poor management or non compliance that unveil systemic problems, lead to changes in policy or lead to the Department taking formal intervention powers. Includes the giving of any related directives. Formal intervention comprises:	Permanent	Retain as State archives

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION - Investigations</i>				
		<ul style="list-style-type: none"> • appointing an administrator to control and direct community health centres • revoking the registration of private hospitals, day procedure centres and community health centres. <p>[For records of the execution of formal intervention powers, see 4.4.0.]</p>		
4.4.2		<p>Records of investigations and reports that do <u>not</u> lead to the Department taking formal intervention powers.</p> <p>Includes the issuing of directives and records of any advice or guidance provided to the hospital or centre.</p>	Temporary	Destroy 7 years after investigation concluded.
4.4.3		<p>Applications for search warrants by an authorised officer who believes that a person is carrying on business at those premises as a health service establishment (private hospital or day procedure centre) whilst not registered.</p>	Temporary	Destroy 7 years after powers exercised.
4.5	Formal Intervention of Community Health Centres	<p>The execution of formal intervention powers under the <i>Health Services Act 1988</i> relating to community health centres.</p> <p>[For the revocation of registration of private hospitals, day procedure centres and community health centres, see 4.1.4.]</p>		

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>PRIVATE HOSPITALS AND HEALTH SERVICE PROVIDERS REGULATION - Formal Intervention of Community Health Centres</i>				
4.5.1		Records of the appointment of administrators to community health centres. Includes related investigations and reports that detail the circumstances leading to the appointment.	Permanent	Retain as State archives
4.6	Prosecution	Prosecution of breaches of the provisions of the <i>Health Services Act 1988</i> and supporting regulations.		
4.6.1		Records of a prosecution case. Includes documenting the preparation of prosecution briefs including the briefs of evidence, charge records, summons and the evidence such as statements, photographs, and records of interview. Also includes records documenting the outcome of the case including any judgment or orders made by the court and any resulting action by the agency to implement the order or judgment [For records of De-registration or Formal Interventions see relevant classes in this RDA.]	Temporary	Destroy 10 years after case is closed.
5	TRAINING	Training of health service providers to support compliance with Departmental requirements, eg. Reporting and other administrative requirements. [For the management of training for employees, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]		

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>TRAINING - Training Program Development and Delivery</i>				
		[For enquiries management and advice, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]		
5.1	Training Program Development and Delivery	Development and delivery of training programs.		
5.1.1		Records relating to content development of training programs. Includes the evaluation and review of training content.	Temporary	Destroy 7 years after program superseded.
5.1.2		Records that facilitate the delivery of training programs. Includes arrangements for the provision of training, records of attendees, surveys conducted to assess training needs and course evaluations.	Temporary	Destroy 2 years after date of training.
5.1.3		Records documenting the briefing and debriefing of staff regarding the provision of telephone counselling services. Includes information on: <ul style="list-style-type: none"> • emerging issues or trends in calls received • current public health alerts • legal advice on the service and its content (ie what should or should not be said when providing advice to a caller) 	Temporary	Destroy 7 years after last action.

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Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH AND CLINICAL TRIALS</i>				
		<ul style="list-style-type: none"> • escalation procedures eg for callers who are identified as being suicidal • tips for handling repeat callers • how to handle aggressive or abusive callers • other services a caller may be referred to, etc. [<p>For the collection of information from and/or debriefing staff regarding difficult or unusual calls received while on duty, see 8.1.4.]</p>		
6	RESEARCH AND CLINICAL TRIALS	<p>The undertaking of research and clinical trials regarding patient care issues, injuries and their healing, illness or disease characteristics, and the effectiveness of newly developed medicines and/or treatment regimes.</p> <p>[For records relating to the funding of research, use the <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i>.]</p>		
6.1	Assessment of Research Projects for Approval	<p>The assessment of research projects for approval, including the management and interim reporting on research progress.</p> <p>[For records of the Human Research Ethics Committee and the approval/non-approval of</p>		

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH AND CLINICAL TRIALS - Assessment of Research Projects for Approval</i>				
		research projects see the <i>Retention and Disposal Authority for Records of the Public Health Function.</i>]		
6.1.1		Summary record of research proposals. Includes: <ul style="list-style-type: none"> • synopsis of project • category of risk • date project commenced • date of completion (or expected date) • status • decision whether approved or not. 	Permanent	Retain as State archives
6.1.2		Records documenting research project proposals submitted for internal approval. Each proposal includes: the detailed project proposal; and applications for ethical clearances (where required) and for approved projects, annual project reports. Includes approved and rejected project proposals and the reasons for the decision.	Temporary	Destroy 15 years after action completed.
6.2	Research - Data Collection, Analysis and Reporting	The collection, analysis and reporting of data and the final results of research projects undertaken by the agency. Includes research conducted by private companies, research bodies (such as universities) or		

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH AND CLINICAL TRIALS - Research - Data Collection, Analysis and Reporting</i>				
		consultants on behalf of or in partnership with the agency.		
6.2.1		Records documenting research outcomes that result in changes to policy, practice or the introduction of new programs relating to health services and the care of patients. Includes final research reports and publications and the data collected, observed and analysed throughout the research project.	Permanent	Retain as State archives
6.2.2		Records documenting research outcomes that do <u>not</u> result in changes to policy, practices or the introduction of new programs relating to health services or the care of patients. Includes final research reports and publications, and the data collected, observed and analysed throughout the research project.	Temporary	Destroy 15 years after final report is delivered or published and/or administrative use has concluded, whichever is longer.
7	NEWBORN SCREENING	The screening of newborn babies for various inborn errors of metabolism.		
7.1	Newborn Bloodspot Screening Management	The screening of newborn babies for various genetic or congenital metabolic disorders using dried blood spots from screening cards (previously known as Guthrie cards). Includes the collection of blood samples from newborn babies and the recording of the mother's name and address, the child's date of birth, gender and name of hospital of birth.		

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No	Function/Activity	Description	Status	Disposal Action
<i>NEWBORN SCREENING - Newborn Bloodspot Screening Management</i>				
		<p>[For screening tests conducted using liquid blood specimens use Public Health Patient Information Records RDA.]</p> <p>[For other screening tests, e.g. hearing tests, conducted without blood, body fluid or tissue samples see Patient Information Records RDA.]</p>		
7.1.1		Summary of information contained on newborn screening cards with results of screening tests and access history details. Also known as the control record.	Temporary	Destroy 100 years after date of last entry.
7.1.2		<p>Newborn screening cards requested by an eligible person.</p> <p>An eligible person is the parent or guardian or next of kin of the child, or the child at the age of majority.</p>	Temporary	Transfer to the custody of an eligible person 2 years after date created.
7.1.3		<p>Newborn screening cards requested by an authorised person.</p> <p>An authorised person is the coroner or law enforcement officer with the appropriate court order.</p> <p>[For cards returned by authorised persons following completion of use, see classes 7.1.4 and 7.1.5.]</p>	Temporary	Transfer to the custody of an authorised person 2 years after date created.

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Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>NEWBORN SCREENING - Newborn Bloodspot Screening Management</i>				
7.1.4		<p>Newborn screening cards not available for identified or de-identified research purposes, but are available for quality assurance testing.</p> <p>[For cards requested by an eligible or authorised person, use classes 7.1.2 & 7.1.3.]</p>	Temporary	Destroy 2 years after date of birth unless custody of card is transferred to an eligible or authorised person.
7.1.5		<p>Newborn screening cards available for identified or de-identified research.</p> <p>Includes consent from an eligible or authorised person permitting the use of cards for identified research.</p> <p>[If consent is withdrawn, use 7.1.4.]</p>	Temporary	Destroy 25 years after date of birth unless custody of card released to an eligible or authorised person.
8	COUNSELLING SERVICES	<p>The provision of counseling services by the Department (typically provided via telephone) to persons seeking advice and / or assistance for a physical or mental health condition.</p> <p>[For the disposal of counseling records created in a health service setting see PROS 11/06 <i>Patient Information RDA</i>.]</p> <p>[For program development, standards and guidelines see 1.3.0 and 2.1.0].</p>		
8.1	Provision of Advice	<p>The provision of advice and / or assistance to persons accessing the counseling services.</p>		

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Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>COUNSELLING SERVICES - Provision of Advice</i>				
8.1.1		Records that document a call made to counseling help lines and advice provided where the identity of the caller is not gathered or recorded.	Temporary	Destroy 5 years after last action.
8.1.2		Records documenting calls made to counseling help lines and advice provided where the identity of the caller is gathered and recorded.	Temporary	Destroy 7 years after last action.
8.1.3		Records documenting calls made to counseling help lines and advice provided where the service is targeted at children and adolescents.	Temporary	Destroy 25 years after last action.
8.1.4		Records relating to the collection of information from and/or debriefing staff regarding difficult or unusual calls received while on duty.	Temporary	Destroy 7 years after last action.
9	COMPETITIONS AND AWARDS	The management of competitions and awards designed to recognise and reward excellence and achievement in the provision of health services. Includes the Annual Quality of Care Awards.		
9.1	Competitions and Awards	The establishment and administration of competitions and awards.		
9.1.1		Records documenting the management of competitions and awards. Includes the activities of setting up and judging the competition or award, and obtaining prizes.	Temporary	Destroy 7 years after date of competition.

Retention and Disposal Authority for Records of Statewide Health Services

Authority number: PROS 12/05 VAR 3

No	Function/Activity	Description	Status	Disposal Action
<i>COMPETITIONS AND AWARDS - Competitions and Awards</i>				
9.1.2		Successful nominations and / or submissions made by or on behalf of people for awards, prizes and scholarships. Includes entries for prizes.	Temporary	Destroy 7 years after date of competition.
9.1.3		Unsuccessful nominations and / or submissions made by or on behalf of people for awards, prizes and scholarships. Includes entries for prizes.	Temporary	Destroy 2 years after date of competition.