



Public Record Office Standard

PROS 11/06

PUBLIC RECORD

Authority

Retention & Disposal Authority for Patient Information Records

Version 2011

11/06

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Under section 12 of the Public Records Act 1973, the Keeper of Public Records is responsible for the establishment of standards for the efficient management of public records and for assisting public offices to apply those standards to records under their control. Officers in charge of public offices are responsible under section 13 of the Act for carrying out, with the advice and assistance of the Keeper, a program of records management in accordance with the standards established under section 12 of the Act.

1 Introduction

1.1 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.

1.2 Context of this Authority

1.2.1 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.

1.2.2 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.

1.2.3 Destruction of records identified in the Authority

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

1.2.4 The Crimes (Document Destruction) Act 2006

It is an offence under *The Crimes (Document Destruction) Act 2006* for individuals or organisations to destroy documents that they know are reasonably likely to be required in a future legal proceeding, with the intention of keeping the documents out of evidence. Destroying records however in accordance with a valid Authority is lawful as long as the requirements under *The Crimes (Document Destruction) Act 2006* are met.

PROV strongly advises that all agencies familiarise themselves with the requirements under the *Crimes (Document Destruction) Act 2006* and *Evidence (Document Unavailability) Act 2006*, and PROV's *Advice to Agencies 18: Document Destruction and Litigation Evidence*.

1.2.5 Access by or on behalf of a patient

'Access by or on behalf of the patient' refers to access for the purposes of providing patient treatment and care. It does not refer to access for legal or other purposes which do not relate directly to a patient's treatment or care. For further advice regarding the disposal of records subject to or likely to be subject to legal proceedings refer to paragraph 1.2.4 above.

1.2.6 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.

1.2.7 Records already sentenced using PROS 99/04

This Authority replaces *PROS 99/04, General Retention & Disposal Authority for Public Health Services Patient Information Records*.

After 19 September 2011, PROS 99/04 may not be used to sentence any records. Sentences in accordance with PROS 99/04 may remain for records sentenced prior to 19 September 2011 using PROS 99/04 provided the disposal status was 'temporary' and the retention period was less than 30 years. However any records that have been sentenced as 'permanent' or to be retained for over 30 years according to PROS 99/04 must be re-sentenced using this Authority, PROS 11/06.

1.3 Scope of the Authority

PROS 11/06 authorises the disposal of records created during and post 1950 in accordance with its provisions. PROS 11/06 does not authorise the disposal of records created before 1950. Public Record Office Victoria must be contacted for advice on disposal of pre 1950 records.

1.4 Use of Other Authorities

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

Explanation of Authority Headings

CLASS NUMBER

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

DESCRIPTION

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

STATUS

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

CUSTODY

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria.

Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 - Management of Electronic Records (Version 2).

The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*.

2 Concurrence of Public Office

This Authority has the concurrence of:

Signature: [Signed]

Name: Fran Thorn

Date: 2/9/2011

Position: Secretary, Department of Health

3 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 Patient Information Records.

This standard as varied or amended from time to time, shall have effect for a period of ten (10) years from the date of issue unless revoked prior to that date.

[Signed]

Justine Heazlewood
Director & Keeper of Public Records

Date of Issue: 9/9/2011


4 Acknowledgments

PROV would like to thank the staff at Department of Health and Department of Human Services and the Health Information Managers from hospitals across Victoria who provided their knowledge and expertise thereby helping to create this Authority.

5 Further Information

You can obtain relevant publications, supplies of relevant forms, and answers to any enquiries you may have by first contacting your agency's records manager or the Public Record Office Victoria:

Public Record Office Victoria

 (03) 9348 5600

e-mail: agency.queries@prov.vic.gov.au

web: www.prov.vic.gov.au

6 Table of Functions

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7 Retention & Disposal Authority

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.0.0	<p>PATIENT ASSESSMENT, REGISTRATION AND ADMISSSION</p> <p>The assessment of persons for treatment by a health service, the registration of patients, and admission into a health service for inpatient or outpatient treatment.</p>		
1.1.0	<p>Patient Assessment</p> <p>The assessment of prospective patients for treatment and/or admission. Includes the assessment of injured or ill people presenting at emergency or casualty desks without referral for treatment.</p>		
1.1.1	<p>Records of assessment that results in treatment or care. Includes referrals and records of triage activities.</p> <p>[For appointment records, use 1.1.4]</p>	<p>Temporary</p> <p>Destroy 15 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.1.2	Records of assessment that does not result in treatment or care, Includes referrals and records of triage activities.	Temporary Destroy 12 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.1.3	Referrals which do not result in an assessment, treatment nor care. [For appointment records, use 1.1.4]	Temporary Destroy 2 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.1.4	Appointment records.	Temporary Destroy 2 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.2.0	<p>Patient Registration</p> <p>The activity of uniquely identifying patients, including the allocation of a unique identifier for each patient to ensure matching of individual patients to medical and financial records and to trace patient movement.</p> <p>[Excludes the state-wide registration of mental health patients. See Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions PROS 09/09]</p>		
1.2.1	<p>Records which uniquely identify each patient, including the allocation of a unique identifier (eg Unit Record (UR) number) for each patient.</p> <p>Includes name, address and date of birth. May include health insurance details, next of kin, guardian (if applicable), referring practitioner, concession eligibility, and summary note of the authority for admission and treatment (if applicable).</p> <p>[Excludes consents or any legal instruments authorising admission, use 1.3.1]</p>	<p>Temporary</p> <p>Destroy 75 years after last action.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.3.0	<p>Patient Admission</p> <p>The admission of patients to a hospital or health facility, including the allocation of accommodation and services.</p>		
1.3.1	<p>Records documenting the admission of individual patients and the authority under which they were admitted. Includes formal orders, warrants and consents authorising admission.</p> <p>Includes the initial allocation of accommodation and services to patients and assigning a primary medical practitioner responsible for the patient.</p> <p>[Excludes orders and warrants under the Mental Health Act, see 1.3.2]</p>	<p>Temporary</p> <p>Destroy 15 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>
1.3.2	<p>Records authorising the admission and movement of patients under the Mental Health Act. Includes authorisation to transport and transfer orders. Includes formal orders and warrants.</p> <p>[For records of patient treatment during transfer, see 2.0.0 Patient Treatment and Care.]</p>	<p>Temporary</p> <p>Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.3.3	Records of patients' Medicare details, health insurance or other payment arrangements for treatment.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
1.3.4	Submission of Acute Care Certificates as per the Private Health Insurance (Benefit Requirements) for patients who would ordinarily be residing in aged care accommodation, but require admission for treatment of a condition that would usually be provided under out-patient conditions e.g. chemotherapy, radiation therapy.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.0.0	<p>PATIENT TREATMENT AND CARE</p> <p>Provision of medical examination, diagnosis, treatment, care services and advice to acute, sub-acute and mental health patients.</p> <p>Refers to admitted, non-admitted and emergency department patients.</p> <p>Includes treatment and services from allied health professionals which includes but is not limited to:</p> <ul style="list-style-type: none"> • Occupational therapy • Speech therapy • Pathology • Pharmacology • Podiatry • Social work • Physiotherapy • Psychology. <p>[For the treatment of pre 1996 mental health patients (voluntary and involuntary) provided by State institutions, use PROS 09/09 RDA for Records of Mental Health, Alcohol and Drugs Services.]</p>		

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.1.0	<p>Emergency Department Patient Treatment and Care</p> <p>The treatment and care of patients by an emergency department of a public hospital or health facility who are discharged from the emergency department and are not admitted for further treatment and care as either an inpatient or outpatient.</p> <p>[For assessments that do not result in treatment, use 1.1.2.]</p> <p>[For emergency department patients subsequently admitted as an inpatient, use 2.2.0.]</p> <p>[For emergency department patients subsequently treated as an outpatient, use 2.3.0.]</p>		
2.1.1	<p>Records of emergency department patients, who are not admitted for further treatment and care as either an inpatient or outpatient, where treatment in emergency department included blood transfusion or the receipt of blood product.</p>	<p>Temporary</p> <p>Destroy 20 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.1.2.	Records of emergency department patients who are not admitted for further treatment and care as either an inpatient or outpatient, where treatment did not include blood transfusion or the receipt of blood product.	Temporary Destroy 12 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
2.1.3	Records of emergency department patients who die while or after receiving treatment in an emergency department.	Temporary Destroy 12 years after date of last attendance, or access on behalf of the patient.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.2.0	Admitted Patient Treatment and Care The treatment and care of admitted patients. Admitted patients are defined as those patients who meet the criteria contained in the Victorian Hospital Admissions Policy. Includes patients admitted for overnight stays and day patients.		
2.2.1	Records documenting admitted patient treatment and care under Mental Health Act [gazetted mental health service].	Temporary Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
2.2.2	Records documenting admitted patient treatment and care where treatment included a blood transfusion or treatment with blood products. [Excludes patient treatment under Mental Health Act, use 2.2.1]	Temporary Destroy 20 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.2.3	<p>Records documenting admitted patient treatment and care where treatment did not include blood transfusions or treatment with blood products.</p> <p>[Excludes patient treatment under Mental Health Act, use 2.2.1]</p>	<p>Temporary</p> <p>Destroy 15 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>
2.2.4	<p>Records documenting admitted patient treatment and care of those patients who die. Includes deaths whilst receiving treatment and those that occur after discharge.</p> <p>[Excludes obstetric patients, use 2.2.5]</p>	<p>Temporary</p> <p>Destroy 12 years after the date of death of the patient or last access on behalf of the patient.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.2.5	Records documenting treatment and care of an obstetric patient and child. [Excludes patient treatment under Mental Health Act, use 2.2.1]	Temporary Destroy 15 years after date of last attendance or access by or on behalf of the patient provided the child has reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
2.2.6	Records documenting patient treatment and care where patients have been admitted to hospital for counselling and/or treatment for gender identity disorder.	Temporary Destroy 50 years after date of last attendance, or access by or on behalf of the patient.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.3.0	<p>Non-Admitted Patient Treatment and Care</p> <p>Refers to the treatment and care of non-admitted outpatients and sub-acute ambulatory care service patients.</p> <p>Non-admitted patients are those for whom the hospital/service does not assume primary responsibility for the treatment and care of the patient's medical condition/s, but instead delivers treatment and care upon referral by the patient's primary medical practitioner.</p> <p>[For records of treatment and care of outpatients and sub-acute ambulatory care service patients who were previously or subsequently admitted during the course of treatment for their medical condition, use 2.2.0 Admitted Patients.]</p>		
2.3.1	<p>Records documenting treatment and care under the Mental Health Act [gazetted mental health services] for non-admitted outpatient, ambulatory, and community based patients.</p>	<p>Temporary</p> <p>Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.3.2	Records documenting treatment and care of non-admitted patients of out-patient and sub-acute ambulatory care services where treatment included a blood transfusion or treatment with blood products.	Temporary Destroy 20 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
2.3.3	Records documenting treatment and care of non-admitted patients of out-patient and sub-acute ambulatory care services where treatment did not include a blood transfusion or treatment with blood products.	Temporary Destroy 12 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.3.4	Records documenting treatment and care of those non-admitted patients who die. Includes deaths whilst receiving treatment and those that occur after treatment ceases.	Temporary Destroy 12 years after the date of death of the patient or last access on behalf of the patient.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
2.3.5	Records documenting treatment and care of non-admitted patients receiving dental services. Includes impressions and casts of patient dental structure. [For patients who are admitted for treatment as an inpatient, use 2.2.0 Admitted Patients.]	Temporary Destroy 12 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.4.0	<p>Assisted Reproductive Technology (ART)</p> <p>The treatment and care of patients of Assisted Reproductive Technology (ART) procedures including In Vitro Fertilisation (IVF), gamete intrafallopian transfer (GIFT) and artificial insemination. Includes case management of each individual person or family unit, consent to ART procedures, donation and use of gametes (semen or ova) or embryos, and the withdrawal of consent for such procedures/use.</p>		
2.4.1	Records of Assisted Reproductive Technology patients where a child is born or pregnancy achieved using donated gametes or embryos.	<p>Permanent</p> <p>Retain as State Archives.</p>	<p>Transfer hardcopy or electronic record to PROV when administrative use has concluded.</p> <p>Electronic records are to be transferred in VEO format.</p>
2.4.2	Records of Assisted Reproductive Technology patients where a child is born from non-donated gametes or embryos.	<p>Temporary</p> <p>Destroy 75 years after date of last attendance, or access by or on behalf of the patient.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.4.3	Records of Assisted Reproductive Technology patients where a child is not born.	Temporary Destroy 15 years after date of last attendance, or access by or on behalf of the patient.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
2.4.4	Records of donors of gametes or embryos for reproductive procedures.	Permanent Retain as State Archives.	Transfer hardcopy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.5.0	Treatment Consents and Authorisation The provision of consent or authorisations for patient treatment and care including participation in research and clinical trials.		
2.5.1	Records of consent by patients or their authorised representative for treatment, refusal of treatment (do not resuscitate), and organ donations. Includes consents to participate in clinical trials and research. [Excludes gazetted mental health services, use 2.5.2]	Temporary Dispose in accordance with Patient Treatment and Care, 2.1.0 – 2.4.0.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
2.5.2	Records authorising or consenting to patient treatment (warrants and orders) for gazetted mental health services including: <ul style="list-style-type: none"> • the use of seclusion, electroconvulsive therapy, pharmacological therapy, and mechanical restraints • involuntary treatment • compulsory treatment • the attendance and examination of persons. 	Temporary Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.5.3	Applications to the Psychosurgery Review Board to perform psychosurgery. Includes determinations (successful and unsuccessful).	Temporary Destroy 15 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
2.5.4	Reporting of recovery and response to psychosurgery performed under approval of the Psychosurgery Review Board.	Temporary Destroy 15 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.6.0	<p>Secondary Consultations</p> <p>The provision of specialist medical advice, in the form of a secondary consultation, requested by a medical practitioner or health service on the treatment of a patient. Includes, for example, secondary consultations provided by specialist eating disorder units or drug and alcohol rehabilitation units.</p> <p>For advice received from secondary consults dispose in accordance with the patient record.</p>		
2.6.1	<p>Records documenting advice provided to another medical practitioner or health service in the form of a secondary consultation. Records include the patient's conditions upon which advice was developed, and summary of advice provided.</p>	<p>Temporary</p> <p>Destroy 7 years after advice provided.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.0.0	<p>DIAGNOSTIC AND TESTING SERVICES</p> <p>The analysing and determining the nature or cause of a patient's poor physical or mental health, through diagnostic and testing services, in order to determine the course of treatment.</p> <p>[For records of diagnostic reports which form part of a patient history, see 2.0.0.]</p> <p>[For records of new born congenital metabolic disorder screening, see Retention & Disposal Authority for Records of Statewide Health Services.]</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.1.0	<p>Pathology Diagnostic Services</p> <p>The procedures and tests performed by a pathology service on specimens taken from the body of a patient.</p> <p>Includes requests and instructions for carrying out diagnostic examinations.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Anatomical Pathology (Histopathology) • Cytology • Haematology • Clinical Chemistry/Chemical Pathology • Blood Banks • Immunology • Microbiology • Genetics. 		
3.1.1	Requests for pathology procedures.	<p>Temporary</p> <p>Destroy 1 year after request is fulfilled.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.1.2	Examined material, diagnostic recordings and laboratory results created in the process of diagnosing a patient.	Temporary Destroy in accordance with standards and guidelines issued by the National Pathology Accreditation Advisory Council.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
3.1.3	Records documenting the evaluation and interpretation of results of pathological examinations performed for patient diagnosis.	Temporary Dispose in accordance with 2.0.0 Patient Treatment and Care.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.2.0	Non-Pathological Diagnostic Procedures and Tests Refers to non-pathological procedures and tests, including imaging, for the purpose of patient diagnosis. Includes the reporting of results.		
3.2.1	Requests for procedures including X-rays, Computed Tomography (CT) scans, ultrasounds and cardiocograms.	Temporary Destroy 1 year after request is fulfilled.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.2.2	<p>Records documenting results from a diagnostic procedure.</p> <p>Examples include:</p> <ul style="list-style-type: none"> • Radiology (X-Rays) Images • Recordings of electroencephalograms, electrocardiograms, electromyograms, cardiocograms etc • Ultra-Sound Images • Computed Tomography (CT) scans • Magnetic Resonance Images (MRI) • Photographs • Measurements, gradings, readings and other data. <p>Completed worksheets, questionnaires or surveys.</p>	<p>Temporary</p> <p>Destroy 5 years after creation.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>
3.2.3	<p>Records documenting the evaluation and interpretation of imaging records created for patient diagnosis.</p>	<p>Temporary</p> <p>Dispose in accordance with 2.0.0 Patient Treatment and Care.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.0.0	<p>STATUTORY REPORTING AND MONITORING OF PATIENTS</p> <p>The reporting of medical and non-medical conditions as required by legislation. Includes:</p> <ul style="list-style-type: none"> • reporting to the Registry of Births, Death and Marriages, • the mandatory reporting of treatment under the Mental Health Act, • reporting for public health policy and planning purposes and • reporting of injury/illness suspected to be caused by criminal activity. <p>[For treatment authorisations see 2.0.0 Patient Treatment and Care.]</p>		
4.1.0	<p>Birth and Death Recording and Notification</p> <p>The recording of births and deaths that have occurred in a public hospital or health service. Includes the notification of births and deaths to the Registry of Births, Deaths and Marriages.</p>		
4.1.1	<p>Notification of births that have occurred in a public hospital or health service to the Registry of Births, Deaths and Marriages.</p>	<p>Temporary</p> <p>Destroy 12 months after date of notification.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.1.2	Register of Births within the hospital.	Permanent Retain as State Archives.	Transfer hardcopy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.
4.1.3	Notification of deaths that have occurred in a public hospital or health service to the Registry of Births, Deaths and Marriages.	Temporary Destroy 12 months after date of notification.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.1.4	Register of Deaths within the hospital.	Permanent Retain as State Archives.	Transfer hardcopy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.
4.2.0	Reporting of Notifiable Diseases, Birth, Morbidity and Mortality Rates Reporting of notifiable diseases, birth, morbidity and mortality rates for public health policy and planning purposes.		
4.2.1	Reporting to Department responsible for public health of notifiable (infectious) disease cases and birth, mortality and morbidity rates.	Temporary Destroy 6 months after date of notification.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.3.0	Mandatory Reporting of Suspected Criminal Activity Reporting of suspected cases of child abuse and neglect; sexual and physical assault and injury suspected to be caused by criminal activity.		
4.3.1	Records documenting mandatory reports made to appropriate authorities for patients presenting with suspected injuries resulting from child abuse or neglect, sexual assault or physical assault.	Temporary Destroy 15 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.4.0	<p>Reporting of Treatment Regulated under the Mental Health Act</p> <p>Reporting to the Chief Psychiatrist of treatment provided to mental health patients as required under the Mental Health Act to enable the Chief Psychiatrist to be informed and act accordingly.</p> <p>[For treatment of mental health patients, see 2.0.0]</p>		
4.4.1	<p>Notifications of the use of patient seclusion, electroconvulsive therapy (ECT) or mechanical restraints in the treatment of mental health patients.</p>	<p>Temporary</p> <p>Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.4.2	Monthly returns of the use of electroconvulsive therapy (ECT), mechanical restraint and seclusion used in the treatment of mental health patients.	Temporary Destroy 2 years after notification to Chief Psychiatrist.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
4.5.0	Protection of the Rights of Mental Health Patients The protection of the rights of mental health patients in accordance with the Mental Health Act.		
4.5.1	Statement of rights provided to patients and/or their appointed representative.	Temporary Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.5.2	<p>Records documenting the annual examination of general physical and mental health made of all involuntary mental health patients and reported to the Chief Psychiatrist to ensure:</p> <ul style="list-style-type: none"> • that all involuntary patients have access to medical advice and treatment of non-mental health conditions (at no cost to the patient), and • that undiagnosed non-mental health conditions and/or physical side effects of mental health treatment regimes are not having a further deleterious effect on the mental health of the patient. 	<p>Temporary Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.</p>
4.5.3	<p>Records of visits made by a Community Visitor to a public hospital or health facility offering mental health services noting date, time and duration of visit.</p> <p>[For reports made by Community Visitors regarding their visits, see the Retention & Disposal Authority for the Records of the Office of the Public Advocate.]</p>	<p>Temporary Destroy 7 years after date visit concluded.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.5.4	Records documenting individual requests made by a patient to see a Community Visitor.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
4.6.0	<p>Applications for Special Leave, Forensic Leave and Leave of Absence</p> <p>The assessment of applications for special leave to security patients. Includes the submission of applications for forensic leave by forensic patients to the Forensic Leave Panel. Also includes the submission of applications for leave of absence by security patients to the Department of Justice.</p> <p>[For Appeals to Mental Health Review Board, see 4.7.0]</p>		
4.6.1	Records of applications for special leave made for security patients to the Chief Psychiatrist. Includes determinations.	Temporary Destroy 15 years after determination made.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.6.2	Applications for forensic leave made by forensic patients to the Forensic Leave Panel. Includes determinations and orders made by the Panel.	Temporary Destroy 15 years after determination made.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
4.6.3	Applications for leave of absence made by security patients to the Department of Justice. Includes determinations made by the Department.	Temporary Destroy 15 years after determination made.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.7.0	<p>Mental Health Review Board Applications</p> <p>Submission of applications to the Mental Health Review Board to:</p> <ul style="list-style-type: none"> • review involuntary treatment orders, • review orders made for involuntary and security patients and their treatment plans, • appeal the refusal to grant special leave to security patients, • appeal the transfer of involuntary and security patients, and • review orders for the transfer of involuntary patients to interstate mental health facilities. <p>[For Records of the Mental Health Review Board, see Retention and Disposal Authority for Records of Mental Health Review Board PROS 05/05]</p>		
4.7.1	<p>Applications to the Mental Health Review Board to review orders and to appeal determinations. Includes the Board's reasons for final determination.</p>	<p>Temporary</p> <p>Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.8.0	Mental Health Patient Trust Accounts Management The management of the Patient Trust Accounts in accordance with the requirements of the Mental Health Act.		
4.8.1	Account identification details for trust accounts established for each patient including details of the authorised deposit-taking institution, the patient trust account type, name, and numbers of the interest accounts and investment portfolios.	Temporary Destroy 7 years after account closed.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
4.8.2	Periodical transaction statements for each account.	Temporary Destroy 7 years after the end of the financial year to which the statement applies.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.8.3	Patient requests for withdrawal of funds.	Temporary Destroy 7 years after the end of the financial year in which the request was made.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.0.0	<p>DISCHARGING PATIENTS AND POST CARE</p> <p>Discharging a patient from a health service after completion of a treatment, or at the patient's request.</p> <p>[For notification of deaths, see 4.1.3]</p>		
5.1.0	<p>Authorising Discharge</p> <p>The authorisation of patient discharge. Includes:</p> <ul style="list-style-type: none"> • capturing information about the date the hospital or health facility ceases to have primary responsibility for the medical treatment and care of the patient, • arranging for the transfer of custody where the patient is on a custodial, forensic or security order. 		
5.1.1	<p>Records authorising patient discharge either by a medical practitioner or by the patient. Includes formal discharge summary. and in the event of a patient death, the provision of a death certificate to next of kin /executors.</p>	<p>Temporary</p> <p>Destroy 15 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.1.2	Records authorising the discharge of patients in accordance with the <i>Mental Health Act</i> . Includes authorities to transfer and transport a patient a patient to another facility.	Temporary Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
5.2.0	Post Care Arrangements and Instructions Provision of instructions and advice to patients upon discharge.		
5.2.1	Instructions and arrangements upon discharge for patients, including; <ul style="list-style-type: none"> • arrangements for the collection of the patient, including any specialist transport required • instructions for medication, injury management, diet / exercise regimes, use of equipment , additional appointments • provision of referrals to provide to General Practitioner (GP) or specialist for ongoing treatment • medical certificate if required. [Excludes patients treated in accordance with the Mental Health Act, use 5.2.2.]	Temporary Destroy 15 years after date of last attendance, or access by or on behalf of the patient provided they have reached 30 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.2.2	Instructions and arrangements upon discharge for patients treated under the Mental Health Act upon including: <ul style="list-style-type: none"> • arrangements for the collection of the patient, including any specialist transport required • instructions for medication • provision of referrals to provide to GP or specialist for ongoing treatment • medical certificate if required. 	Temporary Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
6.0.0	<p>ACCESS TO PATIENT INFORMATION.</p> <p>The management of access to patient information through requests by patients (or authorised representative) and to comply with legal processes such as subpoenas and warrants. Includes assessment of applications, determinations, and the arrangements for access to occur.</p>		
6.1.0	<p>Assessment of Applications</p> <p>The assessment of requests for access to patient information.</p> <p>[For Freedom of Information (FOI) applications, use the General Retention & Disposal Authority for Records of Common Administrative Functions.]</p>		
6.1.1	<p>Records documenting requests to access to patient information. Includes determinations and patient consents.</p>	<p>Temporary</p> <p>Destroy 5 years after action completed.</p>	<p>Hold in agency or APROSS pending destruction.</p> <p>Electronic records should be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
7.0.0	STERILISATION OF MEDICAL EQUIPMENT The sterilisation, disinfecting and cleaning of reusable medical and surgical instruments and equipment for infection prevention and control.		
7.1.0	Sterilisation, Cleaning and Disinfection of Reusable Medical Equipment The recording of the cleaning, disinfection and sterilisation of reusable medical equipment that are used for patient treatment and care.		
7.1.1	Sterilisation records that identify individual patients.	Temporary Destroy 15 years after action complete.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
7.1.2	Sterilisation records that do not identify individual patients.	Temporary Destroy when action complete.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

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