

Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2



PROS 08/13 VAR 2

**Retention and Disposal Authority for Records of
Disability Services Function**

Issue Date: 25/09/2019

Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

Variation 1

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Disability Services Function

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention and Disposal Authority for Records of the Disability Services Function, issued as Public Record Office Standard (PROS) 08/13 on 12/02/2009, as follows:

Extension of the application of this Standard until varied or revoked

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director and Keeper of Public Records

Date: 19/11/2018

Retention and Disposal Authority for Records of Disability Services Function

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Variation 2

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of Disability Services Function

In accordance with section 12 of the Public Records Act 1973 (as amended), I hereby vary the Standard applying to the records of the Disability Services Function, issued as Public Record Office Standard (PROS) 08/13 on 12/02/2009, as follows:

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

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

PROS 19/08 will apply unless existing retention periods in this RDA are greater than or equal to those specified in PROS 19/08.

The addition of the following 'see reference' in classes 3.5.2, 4.2.2, 5.1.2, and 5.2.2 of the RDA:

For records of child sexual abuse prevention, identification, investigation and resolution see PROS 19/08 Records of Organisational Response to Child Sexual Abuse Incidents and Allegations.

The amendment of the 'see reference' in class 3.3.2 of the RDA to read:

For mood or reward charts that assess client reaction to any intervention or treatment, see 3.2.2.

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director and Keeper of Public Records

Date: 25/09/2019

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

Retention and Disposal Authority for Records of Disability Services Function

Retention and Disposal Authority No	PROS 08/13 VAR 2
Scope	<p>This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.</p> <p>PROS 19/08 will apply unless existing retention periods in this RDA are greater than or equal to those specified in PROS 19/08.</p>
Status	Issued by Keeper
Issue Date	25 September 2019

Retention and Disposal Authority for Records of Disability Services Function

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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 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*

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Concurrence of Public Office

This Authority has the concurrence of:

Signature: [signed]

Name: Fran Thorn

Position: Secretary, Department of Human Services

Date: 06/02/2009

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 Health and Human Services. 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: 12/02/2009

Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
1	CLIENT ADMISSION & REGISTRATION	The function of assessing, admitting and registering disability clients. Includes the request for services and the assessment of persons to determine whether they are eligible for services.		
1.1	Assessment and Admission into Disability Services	<p>The activity of assessing applications and formal requests made for persons to receive disability services.</p> <p>Includes the formal request or application, the submission of any additional information to applications, and the conduct of formal assessments to ascertain an applicant's disability status and the services they may require. Also includes the decision as to whether or not services will be offered and any information/ referrals provided.</p> <p>[For all enquiries to the Department which do not constitute formal requests for disability services, use the General Retention and Disposal Authority for records of Common Administrative Functions.]</p>		
1.1.1		<p>Successful applications for client disability services. Includes the application and records of the assessment. Also includes records of decision to admit someone to a Residential Institution under section 87 of the <i>Disability Act</i> 2006.</p> <p>[For client case management records, see 2.1.0 for non-residential, and .3.1.0 for residential]</p>	Temporary	Destroy 50 years after death of client.
1.1.2		<p>Unsuccessful applications for client disability services. Includes the application and records of the</p>	Temporary	Destroy 7 years after of rejection or conclusion

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

PROS 19/08 will apply unless existing retention periods in this RDA are greater than or equal to those specified in PROS 19/08.

Retention and Disposal Authority for Records of Disability Services Function

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No	Function/Activity	Description	Status	Disposal Action
<i>CLIENT ADMISSION & REGISTRATION - Assessment and Admission into Disability Services</i>				
		assessment. Also includes any information/referrals given to clients informing them of their rights or of other programs they may be able to access.		of appeal.
1.1.3		Records prepared for appearances at Victorian Civil & Administrative Tribunal (VCAT) hearings of appeals against refusals of applications.	Temporary	Destroy 7 years after date of decision.
1.2	Registration of Clients	The registration of disability services clients.		
1.2.1		The summary records relating to the entire case history of a client. The summary includes the client name, date of birth, gender, client identification number, date of referral, programs participated in, date of death or last contact (if client transfers to another state) and referral contact details.	Permanent	Retain as State archives
1.3	Client Service Agreements	<p>The management of client rights, entitlements and obligations whilst accessing any residential disability service program.</p> <p>Includes the:</p> <ul style="list-style-type: none"> • agreement of what services will be provided to the client • negotiation of the variation of any services, including any temporary relocation from accommodation • termination of client access to a service/s. <p>Also includes the preparation for appearances at</p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>CLIENT ADMISSION & REGISTRATION - Client Service Agreements</i>				
		VCAT on appeals made in regards to client rights, entitlements or obligations whilst accessing any residential disability service program.		
1.3.1		Records that document the management of client entitlements and obligations whilst accessing any residential disability service program.	Temporary	Destroy 7 years after services to client cease.
1.3.2		Records of the preparation for appearances at VCAT on appeals made in regards to client rights, entitlements or obligations whilst accessing any residential disability service program. Includes appeals concerning: <ul style="list-style-type: none"> • residential charges • notices to vacate residential services 	Temporary	Destroy 7 years after date of decision.
2	NON-RESIDENTIAL CLIENT SERVICES	The function of managing non-residential clients. Includes case management of clients and activities relating to client participation in programs that aim to change their behaviour or manage their disability or provide educational or leisure opportunities. [For records relating to restrictive interventions and compulsory treatment, see 3.3.0.] [For residential services, see 3.0.0.]		
2.1	Planning and Monitoring	The activities related to the planning and monitoring of services provided to non-residential clients. Types of services include case management, homecare, behaviour intervention services, respite services,		

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No	Function/Activity	Description	Status	Disposal Action
<i>NON-RESIDENTIAL CLIENT SERVICES - Planning and Monitoring</i>				
		recreational services and the provision of aids and equipment.		
2.1.1		Case records relating to the treatment of a client's physical and/or mental disability. Includes records of any client diagnoses and assessment as well as treatment. Also includes records of specialist intervention program services provided to clients to change destructive behaviour or to address long term physical or mental health problems, for example Behaviour Intervention Support Program (BIST).	Temporary	Destroy 50 years after death of client.
2.1.2		Case records relating to the assessment, planning and monitoring of client needs and their access to non intervention services, for example homecare and provision of aids and equipment. Includes any assessments done by case managers to match clients with potential residential facilities or service programs, occupational health and safety assessments, manual handling assessments, behavioural/assault assessments etc.	Temporary	Destroy 7 years after death of client.
2.1.3		Case records relating to clients participation in programs that for education or skills opportunities. Includes any client participation in vocational education programs such as Technical and Further Education (TAFE) courses.	Temporary	Destroy 7 years after death of client.
2.1.4		Case records relating to clients participation in programs that provide leisure or recreational	Temporary	Destroy 7 years after client ceases program

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No	Function/Activity	Description	Status	Disposal Action
<i>RESIDENTIAL CLIENT SERVICES</i>				
		opportunities.		involvement.
3	RESIDENTIAL CLIENT SERVICES	<p>The function of managing residential clients and residential services.</p> <p>Residential services may consist of community residential units, congregate care, residential treatment facilities, residential institutions or any other residential facilities managed and delivered directly by DHS.</p> <p>[For activities related to acquisition, construction, fit out, management and maintenance (including inspections) of property, see the General Retention and Disposal Authority for Records of Common Administrative Functions.]</p> <p>[For residential client participation in non residential programs, see 2.1.0.]</p>		
3.1	Admission of Clients into Residential Services	The activity related to the admission of clients into residential services.		
3.1.1		<p>Records created at the admission of a client into a residential service.</p> <p>Includes records relating to the collection of a client's personal details, emergency contact details, appearance, likes, dislikes etc.</p> <p>Includes records relating to timetabling clients into classes e.g. day placement classes.</p>	Temporary	Destroy after administrative use has concluded.

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No	Function/Activity	Description	Status	Disposal Action
<i>RESIDENTIAL CLIENT SERVICES - Planning and Monitoring</i>				
		Also includes records that assist the client to live in the place of accommodation or to access services such as house manuals or guidelines.		
3.2	Planning and Monitoring	The activities related to the planning and monitoring of services provided to residential clients. Includes client planning, client medical and health management, client financial management the management of client access conditions and client property management.		
3.2.1		Case records relating to the treatment of a client's physical and/or mental disability. Includes records of specialist intervention program services provided to clients to change destructive behaviour or to address long term physical or mental health problems, for example Behaviour Intervention Support Program (BIST) and specialist forensic care services. Includes Comprehensive Health Assessment Program (CHAP) Assessments, annual health plans and specific health management plans developed to manage a particular illness or problem, e.g. epilepsy, diabetes, peg feeding plans etc. Includes medical consultation records where the consultation brings about a change in their annual health plan. Also includes the record of all medications that a client is to receive.	Temporary	Destroy 50 years after death of client.

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No	Function/Activity	Description	Status	Disposal Action
<i>RESIDENTIAL CLIENT SERVICES - Planning and Monitoring</i>				
3.2.2		Case records that monitor the medical condition of a client such as bowel charts or weight charts and which have been summarised within the client's medical health plans. Includes mood and reward charts for individuals receiving restrictive interventions or compulsory treatment. Also includes medical consultation records where the consultation does not bring about a change in their annual health plan or plans of a general health nature that are not developed to manage a specific illness or disability such as diet and alcohol management plans. Also includes records of the administering of medicine.	Temporary	Destroy 1 year after last entry or plan superseded.
3.2.3		Case records relating to the assessment, planning and monitoring of client needs and their access to non intervention services. Includes occupational health and safety assessments, manual handling assessments; financial planning services and discussions with client's family networks in the making and reviewing of plans.	Temporary	Destroy 15 years after death of client.
3.3	Restrictive Interventions and Compulsory Treatment	<p>The authorising and administering of Restrictive Interventions and Compulsory Treatment.</p> <p>Restrictive Interventions refers to restricting the freedom of movement of a person with a disability by means such as chemical restraint, mechanical restraint and/or seclusion in order to prevent a person from harming themselves or others or destroying property which may result in harm.</p> <p>Compulsory treatment refers to restrictive</p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>RESIDENTIAL CLIENT SERVICES - Restrictive Interventions and Compulsory Treatment</i>				
		<p>treatments of a person who has been admitted to a residential treatment facility or a residential institution under a series of criminal orders that are listed under section 152(2) of the <i>Disability Act 2006</i>.</p> <p>Compulsory treatment differs from restrictive interventions in that the freedom restrictions are likely to be stronger and at more frequent intervals.</p> <p>Compulsory treatment may be used on individuals who are not the subject of a criminal order but are instead the subject of a Supervised Treatment Order.</p> <p>[For mood and rewards charts that monitor someone's reaction to any intervention or treatment, see 3.2.2.]</p>		
3.3.1		The admission of clients into a residential treatment facility under s. 152 of the <i>Disability Act 2006</i> .	Temporary	Destroy 50 years after death of client.
3.3.2		<p>Records of the treatment of clients whilst receiving Restrictive Interventions and Compulsory Treatment.</p> <p>Includes:</p> <ul style="list-style-type: none"> • the development and review of Behaviour Management Plans (BMPs) for individuals who are subject to restrictive interventions and the development of Treatment Plans for individuals who are subject of compulsory treatment orders; • applications to VCAT for the review of Treatment Plans for compulsory treatment 	Temporary	Destroy 50 years after death of client.

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

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No	Function/Activity	Description	Status	Disposal Action
<i>RESIDENTIAL CLIENT SERVICES - Restrictive Interventions and Compulsory Treatment</i>				
		<p>subjects as required by the <i>Disability Act 2006</i>;</p> <ul style="list-style-type: none"> • applications to VCAT for Supervised Treatment Orders under section 191 of the <i>Disability Act 2006</i>, to enable the detention of a person with an intellectual disability who is receiving residential services, and who poses a significant risk of serious harm to others including the authorisation of the Senior Practitioner and the notification of the Public Advocate as required by the <i>Disability Act 2006</i>; • progress reports from program officers on the implementation of individuals Behaviour Management Plan or Treatment Plan; • reports that detail instances of the use of restrictive interventions by a disability service provider in an emergency where the recipient is not subject to a Behaviour Management Plan that provides for the use of restrictive interventions. <p>[For mood or reward charts that assess client reaction to any intervention or treatment, see 3.2.2.]</p>		
3.3.3		<p>Records documenting the movement and leave of clients of residential treatment facilities. Includes:</p> <ul style="list-style-type: none"> • the receipt and assessment of applications for leave, the reasons behind decisions to grant or not grant leave, and any conditions of 	Temporary	Destroy 7 years after completion of order.

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No	Function/Activity	Description	Status	Disposal Action
<i>RESIDENTIAL CLIENT SERVICES - Restrictive Interventions and Compulsory Treatment</i>				
		<p>leave;</p> <ul style="list-style-type: none"> • the monitoring of clients whilst on leave and any processes related to the suspension or revocation of leave; • the management of extended leave to help re-integrate the client into the community; and • the management of client movement between different residential institutions, or in and out of residential institutions/residential treatment facilities. <p>[For reporting to the Senior Practitioner on leave, see 4.4.2.]</p> <p>[For other records relating to the administration of residents in residential treatment facilities, use 3.1.0.]</p>		
3.3.4		<p>Records of the preparation for appearances at VCAT hearings on appeals made by subjects (or representatives of subjects) on decisions made concerning restrictive interventions or compulsory treatment</p> <p>Appeals are concerned with:</p> <ul style="list-style-type: none"> • reviews of decisions to include restrictive interventions in a Behaviour Management Plan. • reviews of decisions to not grant leave for 	Temporary	Destroy 7 years after date of decision.

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No	Function/Activity	Description	Status	Disposal Action
<i>RESIDENTIAL CLIENT SERVICES - Client Asset Management</i>				
		individuals residing in Residential Treatment Facilities		
3.4	Client Asset Management	The activity relating to the management and administration of clients assets and finances. Client assets include equipment and personal possessions owned by the client.		
3.4.1		Records relating to client finances. Includes records relating to routine financial transactions, accounts received, client expenditure and client financial summary records.	Temporary	Destroy 7 years after action complete.
3.4.2		The management of all client property (possessions) whilst receiving residential services. Includes inventory of client possessions.	Temporary	Destroy 7 years after last entry.
3.5	Facility Management	Activities related to the management of residential services provided to clients. Includes the summary record of properties used to provide residential services. Also includes activities designed to protect the service quality of residential services such as community visits and activities related to the running of a residential service such as staff handover processes.		
3.5.1		The summary record of all properties used to provide disability residential services. Summary details include the address of property, bed capacity, year built, land and property ownership and what organisation is providing the disability service at the	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>RESIDENTIAL CLIENT SERVICES - Facility Management</i>				
		property.		
3.5.2		<p>Community visitor reporting undertaken in accordance with section 30 of the <i>Disability Act 2006</i> to disability service providers of residential services.</p> <p>Includes investigation of the standard of facilities and care being offered to residents, including</p> <ul style="list-style-type: none"> • whether the premises are appropriate for the accommodation of residents • whether adequate opportunities are being provided for inclusion and participation by residents in the community • cases of suspected abuse or neglect of a resident • the use of restrictive interventions and compulsory treatment • any complaint made to a community visitor by a resident during routine visits or ad hoc visits that occur following requests from residents. <p>[For records relating to the investigation and reporting of Incidents, see 5.0.0]</p> <p>[For records of child sexual abuse prevention, identification, investigation and resolution see PROS 19/08 Records of Organisational Response to Child Sexual Abuse Incidents and Allegations]</p>	Temporary	Destroy 7 years after last report.
3.5.3		Staff reporting at shift handover of events that occur	Temporary	Destroy 10 years after

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No	Function/Activity	Description	Status	Disposal Action
<i>DISABILITY SERVICE PROVIDER REGULATION</i>				
		during a shift. Includes notes about any client observations, incidents, visits, client leave, facility or equipment breakages/repairs required, etc.		last entry.
4	DISABILITY SERVICE PROVIDER REGULATION	The registration of providers of disability services and the monitoring and reporting of compliance and quality of service provision.		
4.1	Assessment and Registration	The assessment of applications for registration and any processes associated with the renewal or revocation of registration.		
4.1.1		The summary record of organisations registered as Disability Service Providers under the <i>Disability Act 2006</i> . Includes provider name, address and contact information.	Permanent	Retain as State archives
4.1.2		Successful applications from organisations to become disability service providers. Includes the application, assessment, and details of any conditions of registration that are imposed on the provider. Also includes applications for registration renewal. [For the summary of service agreements, use General Retention & Disposal Authority for Records of Common Administrative Functions]	Temporary	Destroy 7 years after registration period concluded.
4.1.3		Unsuccessful applications from organisations to become disability service providers. Includes the	Temporary	Destroy 10 years after

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>DISABILITY SERVICE PROVIDER REGULATION - Assessment and Registration</i>				
		application and assessment. Includes the issuing of any initial notices under section 44 of the <i>Disability Act 2006</i> conveying the proposed decision to the applicant to not register them and the receipt and consideration of any submissions in response to the notice.		date of decision.
4.1.4		The revocation of any registration of a disability service provider under the <i>Disability Act 2006</i> . Includes records of investigation, reasons behind the decision and the issuing of any initial notices under the <i>Disability Act 2006</i> conveying the proposed decision to the provider to revoke their registration and the receipt and consideration of any submissions in response to the notice.	Permanent	Retain as State archives
4.1.5		Records of the preparation for an appearance at VCAT hearings for appeals on decisions to not register or to revoke a registration.	Temporary	Destroy 7 years after the date of decision.
4.1.6		Notifications of any changes in the information recorded in the register of disability service providers.	Temporary	Destroy 6 months after date notification verified.
4.2	Service Provider Monitoring	The monitoring of services provided to disability clients. Includes activities designed to facilitate continuous improvement and monitor registered and funded service provider performance. Includes the collection and analysis of performance and compliance data and information that is submitted by		

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>DISABILITY SERVICE PROVIDER REGULATION - Service Provider Monitoring</i>				
		<p>providers. Includes the conduct of independent reviews of compliance for registered and funded disability service providers.</p> <p>Also includes quality assurance activities relating to services provided directly by the Department such as audits of Department provided residential services.</p>		
4.2.1		<p>Monitoring reports and data provided by funded community service organisations on areas such as their legal status; financial accountability requirements; fire risk management; asset register; services and their delivery; fire risk management; incident management (but not incident reports); pre employment / pre placement safety screening (police checks); and complaints management (but not actual reports of complaints). Includes the assessment of these reports and data to determine whether or not service practices are considered sufficient for the organisation or whether a service review is required.</p> <p>Also includes records provided by funded community service organisations detailing any improvement in the quality of their services and activities. Includes records of self assessments undertaken of their performance against service levels and any data analysis reports that identify trends and developments in quality management and planning activities.</p>	Temporary	Destroy 7 years after administrative use concludes.
4.2.2		Service reviews of community service organisations where a high level of risk or issues of concern have	Temporary	Destroy 7 years after date of review.

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>DISABILITY SERVICE PROVIDER REGULATION - Service Provider Monitoring</i>				
		<p>been identified from monitoring reports and data provided by the community service organisations. Includes records of meetings, issues and concerns and solutions to issues.</p> <p>[For records of child sexual abuse prevention, identification, investigation and resolution see PROS 19/08 Records of Organisational Response to Child Sexual Abuse Incidents and Allegations]</p>		
4.2.3		Independent reviews that assess the compliance of a disability service provider with performance measures that relate to the Standards for Disability Services in Victoria.	Temporary	Destroy 10 years after date of review.
4.2.4		Audits conducted on shared support accommodation provided by the Department. Includes records of inspections, interviews with staff or residents and any reporting.	Temporary	Destroy 7 years after date of audit.
4.3	Regulation of Service Providers to Conduct Restrictive Intervention & Supervised Treatment	The regulation of service providers to conduct Restrictive Intervention or Supervised Treatment in accordance with the <i>Disability Act 2006</i> .		
4.3.1		The summary record of disability service providers approved to conduct restrictive interventions or supervised treatment. Includes name address and contact details of the organisation and the name, title and rank of any authorised officer for the	Permanent	Retain as State archives

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>DISABILITY SERVICE PROVIDER REGULATION - Regulation of Service Providers to Conduct Restrictive Intervention & Supervised Treatment</i>				
		disability service provider.		
4.3.2		Successful applications from disability service providers to be approved to conduct restrictive interventions or supervised treatment. Includes the background information to decisions to grant approval and any attached conditions to which the approval is subject.	Temporary	Destroy 10 years after provider ceases to be approved.
4.3.3		Unsuccessful applications from disability service providers to be approved to conduct restrictive interventions or supervised treatment. Includes notices issued announcing the proposed decision to not grant approval, and the reasons for decision.	Temporary	Destroy 10 years after date of decision.
4.3.4		The revocation of the approval of disability service providers to conduct restrictive interventions or supervised treatment. Includes any notices issued regarding the decision and details reasons for revocation.	Permanent	Retain as State archives
4.3.5		Records of the preparation for any agency appearance at VCAT resulting from an application from an agency for a review of the decision to not approve them to conduct restrictive interventions or supervised treatment.	Temporary	Destroy 7 years after date of decision.
4.3.6		Registration of authorised program officers responsible for managing service.	Temporary	Destroy 75 years after officer ceases their role.

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>DISABILITY SERVICE PROVIDER REGULATION - Regulation of Service Providers to Conduct Restrictive Intervention & Supervised Treatment</i>				
4.3.7		The receipt of notifications of the appointment of authorised program officers from disability service providers.	Temporary	Destroy 6 months after date of appointment.
4.4	Monitoring of the Conduct of Compulsory Treatment and Intervention Services	Activities related to the monitoring of the conduct of restrictive interventions and compulsory treatments and reporting by disability service providers to the Senior Practitioner as required by the <i>Disability Act 2006</i> .		
4.4.1		<p>The management of processes linked to the inspection, audit and monitoring of the use of restrictive interventions and compulsory treatments by disability service providers.</p> <p>Includes the making of orders by the Senior Practitioner that direct a disability service provider to:</p> <ul style="list-style-type: none"> • discontinue or alter, • observe or carry out, or • provide a practice, procedure or treatment to a person with a disability. 	Temporary	Destroy 10 years after last entry.
4.4.2		<p>The receipt of reports from authorised program officers of residential treatment facilities, including</p> <ul style="list-style-type: none"> • the number of leaves of absence allowed • cases where matters concerning leave of absence were considered by VCAT, including 	Temporary	Destroy 10 years after last report.

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>INCIDENTS AND COMPLAINT MANAGEMENT</i>				
		details of the hearing and the decision		
5	INCIDENTS AND COMPLAINT MANAGEMENT	<p>The management of the response to and the investigation of adverse events in order to prevent their future re-occurrence.</p> <p>Includes the investigation of incidents and complaints and participation in Coroners Inquests.</p> <p>[For records of the Disability Services Board, see the General Retention and Disposal Authority for Records of Common Administrative Functions.]</p> <p>[For complaints guidelines and policy framework, see the General Retention and Disposal Authority for Records of Common Administrative Functions.]</p>		
5.1	Incident and Death Reporting	<p>The reporting of incidents that occur and affect a client. Includes the activity of investigating an incident and resolving any issues or addressing that may have contributed to the incident.</p> <p>Also includes the reporting of deaths in care to the Coroner.</p> <p>[For records of policy or procedure review, or staff education / training, or staff discipline, or litigation arising from an incident, see the General Retention and Disposal Authority for Records of Common Administrative Functions.]</p>		
5.1.1		Records of Category One incident reporting, investigation and review.	Permanent	Retain as State archives

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
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INCIDENTS AND COMPLAINT MANAGEMENT - Incident and Death Reporting

		<p>Category one incidents include:</p> <ul style="list-style-type: none"> • the death of, or serious injury to a client • physical or sexual assault • significant property or contents damage, that results in a threat to the health and safety of staff and clients (e.g. fire, vandalism etc.) • a fire involving death or serious injury • a serious fire resulting in closure or significant damage to parts of a building • absenteeism from Disability Statewide forensic services absenteeism from the Disability Services Long Term Residential Program - Plenty Residential Services • an event that has the potential to involve the relevant minister • an event that has the potential to subject the department to high levels of public or legal scrutiny • repeated incidents of a lower category that appear to be systemic <p>Records include any briefings given to the Minister, members of Parliament, the Secretary or other stakeholders that result from incident investigation and reporting.</p> <p>Also includes records of any decisions made regarding the resolution of issues or risk mitigation</p>		
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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>INCIDENTS AND COMPLAINT MANAGEMENT - Incident and Death Reporting</i>				
		that may assist in the prevention of similar incidents occurring. Includes summary record.		
5.1.2		Records for Category Two incident reporting, investigation and review. Category two incidents includes: <ul style="list-style-type: none"> • an injury for which a person attends and/or receives treatment by a medical practitioner but is not admitted to hospital as an in-patient • assaults that do not classify as category one incidents • serious threats made against clients or staff • unethical behaviour by staff, particularly if it involves taking advantage of clients • client behaviour that could result in potential risk to client or others • criminal behaviour resulting in police intervention • absenteeism resulting in a warrant being sought or a missing persons report filed, for a client from a placement and support CSO • absenteeism without approval whilst subject to a supervised treatment order 	Temporary	Destroy 7 years after the date of incident, or any resulting investigation concludes, or any applicable appeal period expires, whichever is longer.

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>INCIDENTS AND COMPLAINT MANAGEMENT - Incident and Death Reporting</i>				
		<ul style="list-style-type: none"> • repeated incidents of a lower category • incidents that have the potential to escalate to a category one <p>Records include any briefings given to the Secretary or other stakeholders that result from incident investigation and reporting.</p> <p>Also includes records of any decisions made regarding the resolution of issues or risk mitigation that may assist in the prevention of similar incidents occurring.</p> <p>[For records of child sexual abuse prevention, identification, investigation and resolution see PROS 19/08 Records of Organisational Response to Child Sexual Abuse Incidents and Allegations]</p>		
5.1.3		Summary record of Category Two incident reports. Summary includes date of incident, location of where incident occurred, nature of incident, names of people involved, reporting officer, summary of incident report and outcome.	Temporary	Destroy 50 years after date of entry.
5.1.4		Records of Category Three incident reporting, investigation and review.	Temporary	Destroy 5 years after the completion of incident.
		Category three incidents are considered to be those that interrupt normal work or routines, but the significance of the incident does not extend beyond the workplace or facility e.g. a broken window or similar minor damage to the facility, loss or breakage		

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>INCIDENTS AND COMPLAINT MANAGEMENT - Incident and Death Reporting</i>				
		<p>of client personal items (not including theft).</p> <p>Category Three incidents are not reported to the Department's Head Office, and are dealt with at the Regional Office level.</p> <p>Includes records of any decisions made regarding the resolution of issues or risk mitigation that may assist in the prevention of similar incidents occurring.</p> <p>Includes summary record of Category Three incidents.</p>		
5.1.5		The reporting of all deaths in care to the State Coroner. Also includes participation in any inquest into the death and response to Coroner's findings.	Permanent	Retain as State archives
5.2	Complaints	<p>The receipt and resolution of complaints.</p> <p>Includes complaints made to all areas of the Department (including where the Department is providing the service), or to the Disability Services Commissioner, or which are referred to the Department after being originally being made to other bodies e.g. Ombudsman.</p>		
5.2.1		<p>The receipt and resolution of complaints that set precedents, lead to major changes in policy, or involve intense media attention or public notoriety.</p> <p>Includes complaints that ultimately lead to the de-funding or deregistration of disability service providers.</p>	Permanent	Retain as State archives

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>INCIDENTS AND COMPLAINT MANAGEMENT - Complaints</i>				
		Also includes any processes linked to the resolution of the complaint such as the management of conciliations.		
5.2.2		<p>The receipt 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>Also includes any processes linked to the resolution of the complaint such as the management of conciliations.</p> <p>[For records of child sexual abuse prevention, identification, investigation and resolution see PROS 19/08 Records of Organisational Response to Child Sexual Abuse Incidents and Allegations]</p>	Temporary	Destroy 7 years after complaint considered closed.
5.2.3		The receipt of annual reports by the Disability Services Commissioner from disability service providers under section 105 of the <i>Disability Act</i> 2006 concerning complaints received by the disability service providers, and how those complaints were resolved.	Temporary	Destroy 7 years after last entry.
6	TRAINING AND ADVICE	<p>The management of advice, training and assistance to outside organisations that deal with disabled people e.g. Victoria Police, Courts.</p> <p>Includes training provided to non-Department disability service providers, and to clients or the support network of clients, such as family members, on how to access services or client management</p>		

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>TRAINING AND ADVICE - Training</i>				
		processes. [For the management of training for Department employees, see the General Retention and Disposal Authority for Records of Common Administrative Functions.]		
6.1	Training	The development and delivery of training programs.		
6.1.1		The development of the content of training programs for clients, funded organisations and external organisations.	Temporary	Destroy 7 years after program superseded.
6.1.2		Records that facilitate the delivery of training programs. Includes arrangements for the provision of training, surveys conducted to assess training needs and course evaluations.	Temporary	Destroy 2 years after date of training.
6.2	Advice	The provision of advice to external stakeholders in relation to disability issues. Advice provided to external organisations on their disability training or disability action plans.	Temporary	Destroy 7 years after administrative use is concluded.
7	PROGRAMS, STANDARDS AND RESEARCH	The conduct of research into best practice, the development of disability standards and the management of programs and services that assist disabled people. Includes <ul style="list-style-type: none"> • programs that aim to change behaviour and manage a person's disability; • provide for leisure and educational 		

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>PROGRAMS, STANDARDS AND RESEARCH - Conducting Research</i>				
		opportunities; <ul style="list-style-type: none"> • assist disabled people to live more independently through aids and equipment etc; • provide assistance to carers of disabled people; and • provide information to or advocate on behalf on behalf of disabled people. 		
7.1	Conducting Research	The conduct of research that aims to lead and inform debate within an area and ensure that any disability programs are developed through the application of the best knowledge and information available.		
7.1.1		Research reports developed to establish best practice within an area and to inform policy and program development.	Permanent	Retain as State archives
7.1.2		Records that facilitate the development of research reports. Includes statistics and research raw data that has been analysed and reproduced in reports.	Temporary	Destroy 15 years after research is published.
7.2	Establishment, Monitoring & Review	The activities related to the establishment, review and monitoring of disability programs and services. Includes the development and review of standards that define best practice for the provision disability services.		
7.2.1		The process of researching, defining and reviewing	Permanent	Retain as State archives

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Retention and Disposal Authority for Records of Disability Services Function

Authority number: PROS 08/13 VAR 2

No	Function/Activity	Description	Status	Disposal Action
<i>PROGRAMS, STANDARDS AND RESEARCH - Establishment, Monitoring & Review</i>				
		program and service content, audience and delivery mechanisms.		
7.2.2		The routine monitoring and administrative arrangements of program and service delivery including enrolments, attendance, venue management, session timetabling, and/or rostering.	Temporary	Destroy 7 years after the date of last entry.
7.2.3		Records documenting development of Disability Standards in order to define quality and establish quality and establish criteria for safety, rights, reliability, efficiency and service user outcomes. Includes the final standards and records which summarise major development and consultation processes.	Permanent	Retain as State archives

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