



Public Record Office Standard

PROS 09/10

Authority

Retention and Disposal Authority for Records of the Aged Care Function

Version 2011

09/10 **Issue Date: 17/06/2010**
Variation 1 **Issue Date :03/05/2011**

Expiry Date: 17/06/2020
Expiry Date: 17/06/2020

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Public Records Act 1973

(Section 12)

Retention & Disposal Authority for Records of the Aged Care Function

Public Record Office Standard (PROS) 09/10

Variation 1:

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to records of the aged care function, issued as Public Record Office Standard (PROS) 09/10 on 17/06/2010, as follows:

The following classes have been included in the Standard

5.4.0	Victorian Seniors Card Program Administration of the Victorian Seniors Card program which offers Seniors Card holders access to discounted services and goods provided by a range of participating businesses.		
5.4.1	Applications to receive a Seniors Card	Temporary Destroy 7 years after card expires	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
5.4.2	Records of agreements or arrangements with businesses and organisations to provide a discount to Seniors Card holders	Temporary Destroy 7 years after agreement or arrangement ceases	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

5.4.3	Records to establish and manage reciprocal arrangements with interstate business and organisations for Seniors Card holders.	Temporary Destroy 7 years after arrangement ceases	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
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This Variation shall have effect from its date of issue.

[Signed]

Justine Heazlewood
Director and Keeper of Public Records

Date of issue: 03/05/2011

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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 Disposal 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 Advice to Agencies 18: *Crimes (Document Destruction) Act 2006: Implications for government recordkeeping*.

1.2.5 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.

1.3 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.

1.4 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.

The agency may transfer records **not identified as permanent in this or any other Authority** to an Approved Public Record Office Victoria Storage Supplier (APROSS) pending final records action.

2 Concurrence of Public Office

This Authority has the concurrence of:

Signature: [Signed]

Name: FRAN THORN

Date: 7 June 2010

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 the records of the Aged Care Function.

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: 17 June 2010

4 Acknowledgments

PROV would like to thank the following people for providing their knowledge and expertise and helping to create this Authority:

Staff of Department of Human Services and Department of Health

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. Retention & Disposal Authority

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.0.0	<p>CLIENT SERVICES</p> <p>The function of managing service provision to aged care clients. Includes public sector residential aged care services and non residential client services including services provided by the Home and Community Services Program (HACC) and the Personal Alert Program (PAV).</p>		
1.1.0	<p>Non Residential Client Services</p> <p>The provision of non residential client services. Non residential client services are services that are designed to support people whose capacity for independent living is at risk, or who are at risk of premature or inappropriate admission to long-term residential care. They include Home and Community Services Program (HACC) and the Personal Alert Program (PAV). Types of services provided include domestic assistance (home help or housekeeping), personal care, nursing (community nursing, home nursing), allied health services (physiotherapy, podiatry, dietetics, etc), food services (meals on wheels and centre-based meals), planned group activities, property maintenance, respite services and case management services.</p> <p>[For residential care, see 1.2.0.]</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.1.1	Records of assessments relating to client eligibility for non-residential services that indicate that the client is eligible for services. Includes applications and records of eligibility and priority of need. Includes assessments completed by Aged Care Assessment Services (ACAS).	Temporary Destroy 7 years after client ceases accessing services or 10 years after last action (if date client ceases services not known).	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.
1.1.2	Records of assessments relating to client eligibility for non-residential services that indicate that the client is <u>not</u> eligible for services. Includes applications and records of eligibility and priority of need.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.1.3	Case records relating to clients receiving non residential services.	Temporary Destroy 7 years after services to client cease.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.
1.2.0	Residential Client Services The provision of residential client services. Residential aged care is for older people who can no longer live at home due to frailty, disability, illness, the death of a partner or, the needs of a carer, family or friend.		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.2.1	Records of assessments that indicate that a person is eligible to receive residential aged care services. Includes Aged Care Assessment Services (ACAS) assessments.	Temporary Destroy 10 years after date of client death or destroy 15 years after last attendance or destroy 20 years after date of final (assessment) contact where date of death or last attendance not known.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.
1.2.2	Records of Aged Care Assessment Services (ACAS) assessments that indicate that a person is <u>not</u> eligible to receive residential aged care services. Includes records relating to any appeals.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.2.3	Applications for residential aged care services that are removed from the waiting list of a residential aged care centre. [For records of assessments, see 1.2.1.]	Temporary Destroy 1 year after date of removal.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.
1.2.4	Records that document the maintenance of the residential aged care services waiting list. Includes record of eligible persons waiting for aged care accommodation.	Temporary Destroy when applicant is removed from the waiting list.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.
1.2.5	The summary registration of all clients receiving residential aged care services. Includes client name, date of birth, contact details, next of kin, religion, summary of medical treatment, care and services provided, date admitted and date treatment ceases.	Temporary Destroy 20 years after last contact.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.2.6	<p>Case records of clients receiving residential aged care services where the client dies whilst receiving the services. Includes the application, records of entry or on-going assessments and referrals. Also includes records relating to routine medical examinations (e.g. by a General Practitioner) or treatment (e.g. administering of drugs).</p> <p>[For records of medical treatment provided to clients whilst in hospital, see the <i>General Retention and Disposal Authority for Public Health Services Patient Information Records.</i>]</p>	<p>Temporary Destroy 10 years after death of client or last access on behalf of client.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
1.2.7	<p>Case records relating to clients receiving residential aged care services where the client does not die whilst receiving services. Includes the application, and any records of entry. Includes the application, records of entry or on-going assessments and referrals. Also includes records relating to routine medical examinations (e.g. by a General Practitioner) or treatment (e.g. administering of drugs).</p> <p>[For records of medical treatment provided to clients whilst in hospital, see the <i>General Retention and Disposal Authority for Public Health Services Patient Information Records.</i>]</p>	<p>Temporary Destroy 15 years after last attendance.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
1.2.8	Records relating to arrangements for finding and transferring clients to new places of accommodation in cases where an age care residential service closes.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.0.0	<p>AGED CARE SERVICE PROVIDER REGULATION</p> <p>The regulation and monitoring of residential and non-residential aged care services provided by both government and non government organisations. Includes the registration of Supported Residential Services (SRSs) as required by the <i>Health Services Act 1988</i>. Supported Residential Services are usually private businesses but can be any legal entity operated by individuals, partnerships, companies, and not-for-profit organisations that provide aged care accommodation and personal care services.</p> <p>[For the agency service agreements, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i>.]</p>		
2.1.0	<p>Assessment and Registration</p> <p>The assessment of applications for registration and any processes associated with the renewal or revocation of registration.</p>		
2.1.1	<p>The summary record of registered Supported Residential Services under the <i>Health Services Act 1988</i>. Includes facility number, facility name, contact details, registered beds, the responsible region of the Department and local government authority.</p>	<p>Permanent Retain as State Archives.</p>	<p>Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.1.2	<p>Successful applications from persons and organisations:</p> <ul style="list-style-type: none"> • for approval in principle registration allowing the building of new premises, the use of existing premises or modification or extension to existing premises, for use as a Supported Residential Service (SRS); and • to register as the business operator or proprietor of a Supported Residential Services (SRS). <p>Includes the application and any supporting information, assessment, details of any conditions of registration that are imposed on the provider; variation to registration. Includes notifications of appointment of new directors for organisations holding registration. Also includes records of the voluntary cancellation of registration.</p> <p>[For the revocation of registration, see 2.1.4.]</p>	<p>Temporary Destroy 7 years after registration period concluded.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.1.3	<p>Unsuccessful applications from persons and organisations:</p> <ul style="list-style-type: none"> • for approval in principle registration allowing the building of new premises, the use existing premises or modification or extension existing premises, for use as a Supported Residential Service; • to register as the proprietor of Supported Residential Services; or • for a variation to existing registration. <p>Includes the application and any supporting information that is required to be submitted and reasons for the decision.</p> <p>[For appeals against decision, see class 2.1.5.]</p>	<p>Temporary Destroy 10 years after date of decision.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
2.1.4	<p>The revocation of any registration of a Supported Residential Service under the <i>Health Services Act</i> 1988. Includes records of investigation, reasons behind the decision and the notification to person or organisation of the revocation.</p> <p>[For records of the voluntary cancellation of registration, see 2.1.2.]</p> <p>[For records relating to appeals, see 2.1.5.]</p>	<p>Permanent Retain as State Archives.</p>	<p>Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.1.5	<p>Records of the preparation for an appearance at Victorian Civil and Administrative Tribunal (VCAT) hearings for appeals on decisions:</p> <ul style="list-style-type: none"> • to approve or refuse to approve an application; • to impose conditions on the approval of an application; • to vary the registration of a supported residential service; or • to revoke the registration of a Supported Residential Service. 	<p>Temporary Destroy 7 years after the date of decision.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
2.1.6	<p>Notifications of any changes to the information in the summary record of Supported Residential Services. Includes notification of change of address or contact information.</p> <p>[For summary record of Supported Residential Services, see 2.1.1.]</p>	<p>Temporary Destroy 6 months after date notification verified.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
2.2.0	<p>Service Provider Monitoring The monitoring of services provided to aged care clients by funded service providers, registered Supported Residential Services and public sector provided residential services. Includes activities to monitor their performance and to support improved performance. Includes the collection and analysis of performance and compliance data and reports submitted by providers.</p>		

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.2.1	<p>Records of the monitoring of</p> <ul style="list-style-type: none"> Funded community service organisations that provide aged care services including from Home and Community Care (HACC), and Personal Alert Victoria (PAV) program providers; and Aged Care Assessment Services. <p>Includes monitoring and quality improvement reports, data and assessments submitted by program providers as part of performance monitoring processes or to analyse information received about the clients of programs. Includes reporting on the expenditure of program funds. Includes records that document the measures imposed as a result of monitoring, including performance improvement requirements.</p> <p>[For investigations see 2.3.0.]</p> <p>[For routine monitoring processes for Supported Residential Services, see 2.2.2.]</p> <p>[For routine monitoring processes for Public Sector Residential Aged Care Services see 2.2.3.]</p> <p>[For program annual reports which analyse data, see 5.2.3.]</p>	<p>Temporary Destroy 7 years after administrative use is concluded.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.2.2	<p>Records of the monitoring of registered Supported Residential Services (SRS). Includes records of inspections and audits of facilities and services. Also includes analysis and feedback of performance self assessments, and details of measures imposed as a result of monitoring such performance improvement requirements. Also includes any reporting as required by the <i>Health Services Act</i> 1988.</p> <p>[For program annual reports which analyse data, see 5.2.3.]</p>	<p>Temporary Destroy 7 years after registration period is concluded.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
2.2.3	<p>Records of the monitoring of Public Sector Residential Aged Care Services (PRACS). Includes the monitoring of the service financial activities and adherence to the conditions of funding. Also includes the collection, reporting and benchmarking of data relating to quality of care indicators such as pressure ulcers, falls and fractures; use of physical restraint; multiple medication use; and unplanned weight loss.</p> <p>[For program annual reports which analyse data, see 5.2.3.]</p>	<p>Temporary Destroy 7 years after administrative use is concluded.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.2.4	<p>Records of the assistance and advice provided to public sector residential aged care providers in order to aid them to maintain their accreditation under the <i>Aged Care Act 1997</i> (Cwlth). Includes records of audits and spot checks and support visits.</p> <p>[For training, see 4.0.0.]</p> <p>[For seminars, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i>.]</p> <p>[For newsletters, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i>.]</p>	<p>Temporary Destroy 7 years after accreditation period concludes.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
2.2.5	<p>The appointment of Authorised Officers under section 145 of the <i>Health Services Act 1988</i> for the purposes of monitoring and ensuring compliance with legislation and regulations. Includes records of the revoking of any appointment.</p>	<p>Temporary Destroy 7 years after the appointment concludes.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
2.3.0	<p>Investigations Investigations of cases of alleged or suspected poor management or non compliance with legislation or governing agreements concerning aged care services.</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.3.1	<p>Records of investigations that identified poor management or non compliance that lead to the Department taking formal intervention powers which include:</p> <ul style="list-style-type: none"> • censuring of the proprietors of a supported residential service or public sector residential aged care service; • suspending admissions to a supported residential service or public sector residential aged care service; • appointing an administrator to control and direct a supported residential service or public sector residential aged care service; • amalgamation or closure of a public sector residential aged care service. <p>[For records of these processes, see 2.4.0.]</p>	Permanent Retain as State Archives.	Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.3.2	<p>Records of investigations and reports that do <u>not</u> lead to the Department taking formal intervention powers which include:</p> <ul style="list-style-type: none"> • censuring of the proprietors of a supported residential service or public sector residential aged care service; • suspending admissions to a supported residential service or public sector residential aged care service; • appointing an administrator to control and direct a supported residential service or public sector residential aged care service; • amalgamation or closure of a public sector residential aged care service. <p>Includes records of any advice or guidance provided where issues are identified.</p>	<p>Temporary Destroy 7 years after investigation concluded.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
2.3.3	<p>Applications to the Magistrates' Court for search warrants to enter the premises of aged care providers and enforce compliance with legislation and regulations.</p>	<p>Temporary Destroy 7 years after the conclusion of the related investigation.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.4.0	<p>Formal Intervention The execution of formal intervention powers under the <i>Health Services Act 1988</i> related to Supported Residential Services and Public Sector Residential Aged Care Services.</p> <p>Formal intervention includes:</p> <ul style="list-style-type: none"> • censuring of the proprietors of a supported residential service or public sector residential aged care service; • suspending admissions to a supported residential service or public sector residential aged care service; • appointing an administrator to control and direct a supported residential service or public sector residential aged care service; • amalgamation or closure of a public sector residential aged care service. 		
2.4.1	<p>Records relating to the censure of proprietors and agencies and suspension of admissions to supported residential services and public sector residential aged care services. Includes the issuing of notices to the proprietor of the proposed decision and the consideration of any submissions made in response.</p>	<p>Permanent Retain as State Archives.</p>	<p>Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred to VEO format.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.4.2	Records of the appointment of administrators to administer supported residential services and public sector residential aged care services. Also includes records related to investigations and reports that detail the circumstances that lead to the appointment.	Permanent Retain as State Archives.	Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred to VEO format.
2.4.3	Records documenting the preparation for any Victorian Civil & Administrative Tribunal (VCAT) appearance relating to appeals against decisions <ul style="list-style-type: none"> • to suspend admissions to a Supported Residential Service; • to appoint an administrator to a Supported Residential Service; • to extend the period of the appointment of an administrator to a Supported Residential Service; or • on the determination of costs associated with the appointment of an administrator. 	Temporary Destroy 7 years after date of decision.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.4.4	Records of applications for compensation from persons claiming to have suffered loss from the appointment or actions of an Administrator under the <i>Health Services Act</i> 1988.	Temporary Destroy 7 years after application decided.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.
2.4.5	Records relating to the closure or amalgamation of public sector residential aged care services under the <i>Health Services Act</i> 1988. Includes reports and submissions relating to the decision to close the service and any related investigations.	Permanent Retain as State Archives.	Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.
2.5.0	Prosecution The management of the prosecution for breaches of the provisions of the <i>Health Services Act</i> 1988 and supporting regulations.		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
2.5.1	Records relating to the preparation of prosecution briefs. Includes briefs of evidence; charge records; summons and evidence e.g. statements, photographs, records of interview.	Temporary Destroy 10 years after case closed.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.0.0	<p>INCIDENTS AND COMPLAINTS MANAGEMENT The management of the response to and the investigation of adverse events in order to prevent their future re-occurrence in aged care services.</p> <p>[For complaints guidelines and policies, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p>		
3.1.0	<p>Incident Reporting The reporting of incidents that occur and affect a client. Includes the activity of investigating an incident and resolving or addressing any issues that may have contributed to the incident.</p> <p>[For records of policy or procedure review, or staff education / training, or staff discipline, or litigation arising from an incident, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.1.1	<p>Analysis and reporting of incidents within public sector residential aged care services that result in death or other catastrophic outcome for the resident. Includes records of investigations.</p> <p>Types if incidents includes:</p> <ul style="list-style-type: none"> • sentinel events which are infrequent, clear-cut events that result in unnecessary negative outcomes for clients and occur because of system or process deficiencies or errors; • alleged or suspected physical assault or sexual assault; or • other catastrophic event or incident of long term significance for residents, service providers or the Department. 	<p>Permanent Retain as State Archives.</p>	<p>Transfer hard copy or electronic copy PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.</p>
3.1.2	<p>Analysis and reporting of incidents within public sector residential aged care services that do not result in death or other catastrophic outcome for the resident. Includes incidents where a resident goes missing from a residential aged care service but is found and brought back safe and well.</p>	<p>Temporary Destroy 10 years after last action.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.1.3	<p>Community Visitors reporting under section 119 of the <i>Health Services Act</i> 1988 to the premises of supported residential services. Includes investigation of the standard of facilities and care being offered to residents including</p> <ul style="list-style-type: none"> • the appropriateness and standard of facilities for the accommodation, physical well-being and welfare of residents of the hospital or service; and • the adequacy of opportunities and facilities for the recreation, occupation, education and training of residents of the hospital or service; and • whether services are being provided for the hospital or service in accordance with the principles specified in section 10; and • any failure by the proprietor of the hospital or service to comply with any provision of the <i>Health Services Act</i> 1988. <p>[For records relating to the investigation and reporting of Incidents, see 3.1.1 and 3.1.2.]</p>	<p>Temporary Destroy 7 years after last report.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
3.2.0	<p>Complaints The receipt and resolution of complaints in relation to aged care services. Includes those referred to the Department from other bodies such as the Ombudsman.</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
3.2.1	The response to and resolution of complaints that set precedents, lead to major changes in policy, or involve intense media attention or public notoriety. Includes complaints that ultimately lead to the de-funding or deregistration of aged care providers.	Permanent Retain as State Archives.	Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.
3.2.2	The response to and resolution of complaints that do not set precedents, do not lead to major changes in policy, do not involve major media attention or public notoriety.	Temporary Destroy 7 years after complaint considered closed.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.0.0	<p>TRAINING The management of training provided to organisations that provide aged care services.</p> <p>[For the management of training for employees, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p> <p>[For enquiries management and advice, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p>		
4.1.0	<p>Training Development and Delivery The activities related to the development and delivery of training programs.</p>		
4.1.1	<p>The development of the content of training programs. Includes the evaluation and review of training content.</p>	<p>Temporary Destroy 7 years after program superseded.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
4.1.2	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.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.0.0	<p>PROGRAMS, RESEARCH AND GRANT ALLOCATION The conduct of research into best practice aged care, and the establishment and management of programs and services that assist the care of aged persons. Includes the management of grant allocation to support research and programs.</p> <p>[For records of project or program committees and working parties, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p> <p>[For program planning, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p>		
5.1.0	<p>Conducting Research The conduct of research that aims to lead and inform debate within an area and to ensure that any aged care programs are developed through the application of the best knowledge and information available.</p>		

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.1.1	Finalised research reports developed to establish best practice within an area and to inform policy and program development. Includes reports which analyse data or information submitted by funded or registered service providers. Also includes discussion papers developed to inform and engage stakeholders at the beginning of any project.	Permanent Retain as State Archives.	Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.
5.1.2	Records that facilitate the development of research reports. Includes statistics, raw data and information acquired from surveys and consultation processes that have been analysed and reproduced in reports. [For data acquired as part of the monitoring and quality improvement processes for organisations delivering aged care programs and services, see 2.2.0.]	Temporary Destroy 7 years after research is published.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.2.0	<p>Program Establishment, Review and Reporting The activities related to the establishment, review and monitoring of aged care programs and services. Also includes program annual reporting. Also includes final or annual reporting for aged care grants projects.</p> <p>[For service agreements with organisations to deliver programs, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p> <p>[For tenders, see the <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]</p>		
5.2.1	<p>Records for researching, defining and reviewing program and service content, audience and delivery mechanisms.</p>	<p>Permanent Retain as State Archives.</p>	<p>Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.2.2	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.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.
5.2.3	Reports that detail program summaries, outcomes and achievements. Includes reports from Home and Community Care (HACC), Personal Alert Victoria (PAV) and Supported Residential Services (SRS). [For data submitted as part of routine program monitoring processes, see 2.2.0.]	Permanent Retain as State Archives.	Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.

Retention & Disposal Authority			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.2.4	Records of inputs into annual reports for programs. Includes survey returns from Supported Residential Services associated with annual censuses. [For data submitted as part of routine program monitoring processes, see 2.2.0.]	Temporary Destroy 7 years after administrative use has concluded.	Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.
5.3.0	Grant Allocation The allocation of grants to organisations to implement programs, facilitate research, trial new methods or strategies or assist the welfare of aged care customers.		
5.3.1	Summary record of grant applications that identifies the nature of the application and reasons for acceptance or rejection.	Permanent Retain as State Archives.	Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred to VEO format.

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.3.2	<p>Successful applications for grant funding. Includes applications, submissions, evaluation and approvals and the routine reporting and monitoring of process and expenditure.</p> <p>[For final reports that detail project outcomes, see 5.3.5.]</p>	<p>Temporary Destroy 7 years after completion of funding period and after all reporting obligations have been fulfilled.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
5.3.3	<p>Unsuccessful applications and submissions for grant funding. Includes applications that were ineligible and applications that were successful however funding was not allocated as project did not proceed.</p>	<p>Temporary Destroy 2 years after administrative use is concluded.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records are to be maintained in readable format pending destruction.</p>
5.3.4	<p>Records documenting grant allocation procedures. Includes selection criteria.</p>	<p>Temporary Destroy 7 years after procedures have superseded.</p>	<p>Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.3.5	<p>Final reports for projects funded by the Department that summarise and evaluate or highlight the outcomes and achievements of the project.</p> <p>[For routine reporting processes that detail project process and expenditure, see 5.3.2.]</p>	<p>Permanent Retain as State Archives.</p>	<p>Transfer hard copy or electronic copy to PROV when administrative use is concluded. Electronic records are to be transferred in VEO format.</p>
5.4.0	<p>Victorian Seniors Card Program Administration of the Victorian Seniors Card program which offers Seniors Card holders access to discounted services and goods provided by a range of participating businesses.</p>		
5.4.1	<p>Applications to receive a Seniors Card</p>	<p>Temporary Destroy 7 years after card expires</p>	<p>Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.</p>

<h2>Retention & Disposal Authority</h2>			
CLASS NO.	DESCRIPTION	DISPOSAL ACTION	
		STATUS	CUSTODY
5.4.2	Records of agreements or arrangements with businesses and organisations to provide a discount to Seniors Card holders	Temporary Destroy 7 years after agreement or arrangement ceases	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
5.4.3	Records to establish and manage reciprocal arrangements with interstate business and organisations for Seniors Card holders.	Temporary Destroy 7 years after arrangement ceases	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.
5.4.4	Records documenting the marketing and promotion of the Victorian Seniors Card program, including the production of the Seniors Card Directory & exposure at trade fairs etc.	Temporary Destroy 7 years after last action.	Hold in agency or APROSS pending destruction. Electronic records should be maintained in readable format pending destruction.

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