

Retention and Disposal Authority for Records of Hospital Administrative Functions

Authority number: PROS 17/04



PROS 17/04

**Retention and Disposal Authority for Records of
Hospital Administrative Functions**

Issued Date: 06/09/2017

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INTRODUCTION

Context

Hospital Administrative Records

This RDA is for the use of public hospitals, community health services, and extended care facilities in the State of Victoria as defined in Schedule 1,2, 4 and 5 of the Health Services Act 1988.

It covers:

- unique operational and administrative records of hospitals and health services, and
- operational and administrative records that are not unique, but require additional retention requirements to those provided in PROS 07/01 General Retention & Disposal Authority for Records of Common Administrative Functions.

This RDA does not cover records of patient treatment and care, coverage for this records is available under PROS 11/06 Retention & Disposal Authority for Patient Information Records.

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Retention and Disposal Authority No	PROS 17/04
Scope	Administrative records unique to hospitals and health services.
Status	Issued by Keeper
Issue Date	06/09/2017

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List of Functions and Activities covered

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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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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 prior to that date.

[signed]

Justine Heazlewood, Keeper of Public Records

Date of Issue: 06/09/2017

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No	Function/Activity	Description	Status	Disposal Action
1	Safety and Quality Accreditation	<p>The process of measuring performance and/or delivery of healthcare services in order to obtain certification or recognition that the hospital or health service meets mandatory and/or recommended standards. Includes the management of the qualifications and professional registrations of clinical staff to ensure they are fit to perform their role/s within the health service.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - COMMITTEES for records of committees, working parties or steering groups which have oversight of the accreditation function and supporting activities such as internal audits and reviews.</i></p>		
1.1	Accreditation Management	<p>Records of accreditation activities undertaken by a hospital/health service. Includes:</p> <ul style="list-style-type: none"> • notifications to the department on accreditation status e.g. against National Safety and Quality Health Service (NSQHS) standards • accreditation reports, notifications and certificates received from, and correspondence with, an accrediting body or external party (e.g. certificates of compliance such as for disposal of prescribed waste) • reports and working papers for presentation to a committee, working party or steering group with oversight of the accreditation functions 	Temporary	Destroy 8 years after administrative use has concluded.

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<i>Safety and Quality Accreditation</i>				
		<ul style="list-style-type: none"> • internal audits, checks and reviews to determine if the agency is performing at a level that ensures compliance e.g. against NSQHS standards • determination of appropriate requirements for qualifications and experience for clinical practice and positions to meet the needs of the organisation or area, including consultation with educational institutions and professional associations 		
1.2	Clinical Staff Qualification and Registration Management	<p>Records of the qualifications and registrations of clinical staff in order to ensure they are fit to perform their role/s within the health service. Includes:</p> <ul style="list-style-type: none"> • health professional registration status • qualification verification processes • tracking of continuing professional development required to maintain registration eligibility • status of membership of relevant professional bodies or associations <p><i>See Retention and Disposal Authority for Records of the Accredited Training Function - ACCREDITED TRAINING for records of the development and delivery of accredited training programs.</i></p> <p><i>See Retention and Disposal Authority for Records of the Non-Accredited Training Function - NON-ACCREDITED TRAINING for records of the</i></p>	Temporary	Destroy 50 years after employee separation from agency.

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No	Function/Activity	Description	Status	Disposal Action
<i>Incident Reporting and Investigations</i>				
		<p>development and delivery of non-accredited training programs.</p> <p><i>See Retention and Disposal Authority for Records of Local Government Functions - COMMUNITY SERVICES - IMMUNISATION MANAGEMENT for records of staff immunisations, including consent forms and records of adverse reactions.</i></p>		
2	Incident Reporting and Investigations	<p>The reporting and investigation of incidents and near-miss events by a hospital or health service. Includes reviews undertaken of the incidents and near-miss events. Includes reporting and notification of the incidents to the Department and/or other authorities.</p> <p><i>See Retention and Disposal Authority for Patient Information Records - PATIENT TREATMENT AND CARE for incident reports held on patient files</i></p>		
2.1	Critical Incidents	<p>Reports and investigations of critical incidents which result in death or other catastrophic outcome. Types of incidents include:</p> <ul style="list-style-type: none"> • sentinel events or infrequent, clear-cut clinical events that occurred because of system or process deficiencies or errors and result in negative outcomes (e.g. death or additional injury to a patient) • alleged or suspected physical or sexual assault or abuse • other catastrophic event or incident of long 	Temporary	Destroy 50 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>Incident Reporting and Investigations</i>				
		<p>term significance for patients or the hospital/health service</p> <p>Includes incident report and records of investigations, reviews and analysis undertaken.</p>		
2.2	Other Incidents	<p>Reports and investigations of incidents or near misses that are not defined as a sentinel event, do not result in death, nor other catastrophic outcomes. Includes incident data reports.</p>	Temporary	Destroy 7 years after action completed.
3	Pharmaceutical Supply and Administration	<p>The management of the purchase, sale, supply, administration, dispensing and use of pharmaceutical supplies within a hospital or health service. Includes receipt, dispensing, return and disposal of drugs.</p> <p>Pharmaceutical supplies encompasses drugs, poisons and substances, as defined by the Drugs, Poisons and Controlled Substances legislation.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - EQUIPMENT & STORES for records of the supply and administration of other consumables.</i></p>		
3.1		<p>Records documenting the supply and dispensing of pharmaceutical products including authorisations to supply certain drugs such as drugs of addiction and restricted substances. Includes records used to maintain and control pharmaceutical stock supplies. Also includes records of permits and licences required to purchase pharmaceutical supplies.</p>	Temporary	Destroy 3 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>Blood, Organ and Tissue Supply and Management</i>				
4	Blood, Organ and Tissue Supply and Management	<p>The ordering, receipt and control of blood and blood product supplies, and other organ and tissue products used for patient treatment and care.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - FINANCIAL MANAGEMENT for financial transactions, receipt of deliveries and correspondence with suppliers regarding accounts and ordering processes</i></p> <p><i>See Retention and Disposal Authority for Patient Information Records - PATIENT TREATMENT & CARE for patient treatment and care records, including surgical and other procedures to implant or deliver blood or blood products (including transfusion) or organ and other tissue products</i></p> <p><i>See Retention and Disposal Authority for Patient Information Records - DIAGNOSTIC AND TESTING SERVICES for procedures and tests performed by a pathology records</i></p>		
4.1		<p>Records include:</p> <ul style="list-style-type: none"> • orders and stock receipts of blood and blood products • storage and tests which confirm product specifications (e.g. test to re-confirm blood type) • disposal of unused products that have expired • movement records which track the transfer of 	Temporary	Destroy 3 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>Staff Handover Communication</i>				
		stock between locations		
5	Staff Handover Communication	<p>The process of communicating information between staff as part of shift handover activities to ensure the level of patient treatment and care is maintained.</p> <p>See <i>Retention and Disposal Authority for Patient Information Records - PATIENT TREATMENT AND CARE</i> for records of patient treatment and care.</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - REPORTING</i> for records of staff meetings and administrative reporting.</p> <p>See INCIDENT REPORTING AND INVESTIGATIONS for incident reports.</p>		
5.1		<p>Records of observations and other details communicated between staff during shift handovers to ensure the level of patient treatment and care is maintained.</p> <p>Includes:</p> <ul style="list-style-type: none"> • observations of patient • instructions regarding visitors • messages or information to be given to a patient • actions underway/to be completed (e.g. discharge of a patient) • notes regarding equipment and/or facility 	Temporary	Destroy 1 year after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>Food Service Administration</i>				
		condition/breakages or instructions for use <ul style="list-style-type: none"> • messages/instructions for circulation to all staff 		
6	Food Service Administration	The provision of meals for patients of the hospital or health service. Includes the development of menus and the delivery of the food and compliance with food handling and safety requirements. <i>See General Retention and Disposal Authority for Records of Common Administrative Functions - CONTRACTING-OUT for records of contracting out a food service (including staff cafeterias).</i> <i>See Retention and Disposal Authority for Patient Information Records - PATIENT TREATMENT AND CARE for records of patient allergies and intolerances.</i> See INCIDENT REPORTING AND INVESTIGATIONS for incident reports relating to patient meals, including allergic reactions.		
6.1		Records documenting the provision of food to patients. Include daily menus, meal order forms, and records documenting food transport and delivery.	Temporary	Destroy 3 months after action completed.
7	Health Service Equipment and Supplies Management	The activities associated with the upkeep, repair, servicing, modification and preservation of the condition of clinical equipment used in the delivery of diagnoses, treatment and care to patients of a		

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<i>Health Service Equipment and Supplies Management</i>				
		<p>hospital or health service.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions</i> for records documenting the maintenance of equipment not used to provide treatment and care to patients; records documenting the cleaning of hospital facilities and equipment to prevent the spread of infection; records of OH&S, including safe operation of equipment; and for records of asset management and disposal.</p> <p><i>See Retention and Disposal Authority for Records of Local Government Functions - IMMUNISATION MANAGEMENT</i> for vaccine and medication refrigeration logs.</p>		
7.1	Equipment and Supplies Maintenance	<p>Records documenting the maintenance of clinical and other equipment used to provide diagnoses, treatment and care to patients. Includes records of inspections, services, maintenance, repairs, replaced components, recalls and/or upgrades (including to prosthetics).</p> <p>Includes operating manuals, instructions for use and other standards or procedures for operation of the equipment.</p>	Temporary	Destroy 15 years after disposal of asset.
7.2	Equipment Licensing and Permits	<p>Records relating to compliance with permits and licences for the operation or use of equipment. Includes records of applications for licences and permits and records relating to compliance with any conditions of the licence or permit. Includes</p>	Temporary	Destroy 10 years after expiry of licence or permit.

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No	Function/Activity	Description	Status	Disposal Action
<i>Health Service Equipment and Supplies Management</i>				
		radiation safety permits and licenses.		
7.3	Equipment, Treatment and Theatre Room Bookings	Records of bookings, allocation and use of clinical equipment and facilities, for example x-ray and other diagnostic machines, and rooms such as operating theatres, treatment and recovery rooms. Includes theatre registers.	Temporary	Destroy 7 years after action completed.
7.4	Equipment Checks	<p>Records that document daily or routine logs of equipment calibration, checks and readings. Usually conducted as part of quality control processes to ensure the equipment is operating correctly prior to use in delivery of patient treatment and care, or as part of a daily audit process.</p> <p>Includes reports produced by the equipment following a calibration or check process, completed checklists or data recorded by the operator during a calibration or check process, logs or equipment diaries.</p> <p>For records of results that indicate a repair, service or upgrade is required, see class 7.1 of this Retention and Disposal Authority.</p>	Temporary	Destroy 3 years after administrative use has concluded.
8	Morgue and Mortuary Management	<p>The management of places within a hospital or health services where the bodies of deceased persons are kept pending collection.</p> <p><i>See Retention and Disposal Authority for Patient Information Records</i> for records of patient treatment and care preceding death; register of deaths within hospital; notifications of death to Registry of Births,</p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>Morgue and Mortuary Management</i>				
		<p>Deaths and Marriages; and the provision of death certificates to the next of kin/executors.</p> <p>See INCIDENT REPORTING AND INVESTIGATIONS for investigation records into incidents which resulted in, or contributed to, patient death.</p>		
8.1	Control Records of Morgue/Mortuary Management	<p>Control records, registers and summary records of bodies of deceased persons received into, and collected from, the morgue/mortuary.</p> <p>Details collected include:</p> <ul style="list-style-type: none"> • patient name and details • ward/service transferring the body and transferring officer • date and time received in the morgue/mortuary • officer receiving the body into the morgue/mortuary • whether personal belongings accompany the body • collection details - who, date and time, notes regarding certificates and other documentation presented to establish authority to collect the body • officer authorising release of the body to the collector 	Temporary	Destroy 25 years after last date of entry.

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No	Function/Activity	Description	Status	Disposal Action
<i>Morgue and Mortuary Management</i>				
8.2	Operational Records of Morgue/Mortuary Management	<p>Operational records of morgue / mortuary management include:</p> <ul style="list-style-type: none"> • records of patient belongings transferred with the body of the deceased to the morgue/mortuary • program details and/or instructions regarding family access to the body of the deceased • arrangements for the pending collection of the bodies of deceased persons • copies of death certificate, authority to collect and remove the body <p>Note: Where any of the records described above are captured onto the record of patient treatment and care, use the <i>Retention and Disposal Authority for Patient Information Records</i>.</p>	Temporary	Destroy 5 years after action completed.
9	Clinical Services Program Administration	<p>The administration of Clinical Services programs run within or by hospitals and health services to deliver treatment and care to patients. Includes programs which seek to provide specialist expertise to patients who would not otherwise be able to access the specialist (e.g. geographically distant, or with time critical/emergency requirements), or which are investigating the application of new techniques or treatments.</p> <p>Some examples of clinical services programs offered include:</p>		

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Clinical Services Program Administration

		<p>Telehealth Services</p> <p>The remote delivery of expert or specialist clinical advice, diagnosis and other forms of assistance in determining patient treatment and care via information and communication technologies. May include the delivery of education and instruction in patient treatment and care techniques.</p> <p>Clinical Trials</p> <p>A program of research consisting of trialling techniques, pharmaceutical products and/or other aspects of patient treatment and care within a clinical setting i.e. using patients as trial subjects.</p> <p>Community Services</p> <p>Programs which provide assistance to patients in returning home and/or managing their health condition. Includes programs which provide mobility and safety equipment, compression garments and/or specialised dressings, in-home personal monitoring and alarms, home visits (e.g. a nurse to change a dressing or administer medication)</p> <p>There are no disposal classes provided under this function as the activities have adequate coverage under other Retention and Disposal Authorities as follows:</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions for reporting, budgeting and financial management, and contracts and agreements with other providers.</i></p>		
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No	Function/Activity	Description	Status	Disposal Action
<i>Patient Movement and Attendance Reporting</i>				
		<p>See <i>Retention and Disposal Authority for Patient Information Records</i> for treatment and care delivered to patients accessing the clinical service, including collection of assessment, admission and consent information.</p> <p>See <i>Retention and Disposal Authority for Records of Local Government Functions</i> COMMUNITY SERVICES for delivery of support and care services, including provision of aids and equipment.</p> <p>See <i>Retention and Disposal Authority for Records of the Accredited Training Function</i> ACCREDITED TRAINING for development and delivery of accredited training or education programs.</p> <p>See <i>Retention and Disposal Authority for Records of the Non-Accredited Training Function</i> NON-ACCREDITED for development and delivery of non-accredited training or education programs.</p> <p>See <i>General Retention and Disposal Authority for the Records for Higher and Further Education Institutions</i> RESEARCH for research and ethical clearance.</p>		
10	Patient Movement and Attendance Reporting	<p>Records created in the course of managing the administration of:</p> <ul style="list-style-type: none"> • patient numbers and location at certain points in time (e.g. bed census and other similar reporting) • patient contact or attendance at emergency or casualty departments 		

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No	Function/Activity	Description	Status	Disposal Action
<i>Patient Movement and Attendance Reporting</i>				
		<p>See <i>Retention and Disposal Authority for Patient Information Records</i> - PATIENT ASSESSMENT, REGISTRATION AND ADMISSION for records of appointments, bookings and schedules for attendances by patients at clinics or day procedure units and visits to patients in the home</p> <p>See HEALTH SERVICE EQUIPMENT AND SUPPLIES MANAGEMENT for records of bookings of equipment and/or facilities for patient treatment and care (e.g. operating theatres and recovery rooms).</p>		
10.1	Patient Attendance Registers	<p>Records that summarise the contact or attendance of a patient at an Emergency Department or a crisis service of a health service.</p> <p>See <i>Retention and Disposal Authority for Patient Information Records</i> for assessment or triage records captured as part of the individual's patient record.</p> <p>See <i>Retention and Disposal Authority for Statewide Health Services Records</i> for records of telephone counselling services or help lines.</p>	Temporary	Destroy 7 years after action completed.
10.2	Patient Movement Statistical Reporting	<p>Periodical returns or routine reports regarding patient numbers and movements within the hospital / health service.</p> <p>Examples of records include:</p> <ul style="list-style-type: none"> • Census reports (also known as the 'midnight census') 	Temporary	Destroy 1 year after creation.

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Patient Movement and Attendance Reporting

		<ul style="list-style-type: none">• Bed State Returns• Quarterly Service Activity Reports• Quarterly Registered Clients Reports• Multiple Contact Form		
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