Territory Records (Records Disposal Schedule – Health Treatment and Care Records) Approval 2017 (No 1)

Notifiable instrument NI2017—629

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1 Name of instrument

This instrument is the Territory Records (Records Disposal Schedule – Health Treatment and Care Records) Approval 2017 (No 1).

2 Commencement

This instrument commences on the day after notification.

3 Approval

I approve the Records Disposal Schedule – Health Treatment and Care Records.

4 Revocation

This instrument revokes:

Territory Records (Records Disposal Schedule - Health Treatment and Care Records) Approval 2013 (No 1) NI2013-589

Danielle Wickman Director of Territory Records 4 December 2017



Records Disposal Schedule

Health Treatment and Care Records

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INTRODUCTION

The *Records Disposal Schedule – Health Treatment and Care Records* is the official authority for the disposal of these ACT Government Records.

It is one of a series of Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act* 2002. It is used in conjunction with other Territory Records Disposal Schedules.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements such as a records disposal freeze. Current records disposal freezes can be found at the Territory Records Office Internet site http://www.territoryrecords.act.gov.au/recordsadvice.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE TERRITORY WHOLE OF GOVERNMENT THESAURUS

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. An agency must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence or if there is a current records disposal freeze in effect.

The Records Disposal Schedule – Health Treatment and Care Records has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Whole of Government Thesaurus originally based on the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all ACT Government records regardless of titling conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

Whole of Government Thesaurus

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA 2010), a thesaurus which incorporated 16 common functions. All other functions within the Whole of Government Thesaurus are considered functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the TRO for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 - Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the original Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The Records Disposal Schedule - Health Treatment and Care Records:

- covers all ACT Government records;
- is intended to be used in conjunction with other Territory Records Disposal Schedules;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

Function

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

Activity

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

Description of Records

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

Disposal Action

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

Electronic records

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

DESTRUCTION OF RECORDS

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

UPDATING THE RECORDS DISPOSAL SCHEDULE

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records

RELATED LEGISLATION

The following legislation is related to the record classes covered by this Records Disposal Schedule:

Copyright Act 1969(Cwlth)

Crimes Act 1900

Electronic Transactions Act 2001

Epidemiological Studies (Confidentiality) Act 1992

Evidence Act 2011

Financial Management Act 1996

Freedom of Information (FOI) Act 1989

Health Act 1993

Health Records (Privacy Access) Act 1997

Human Rights Commission Act 2005

Intoxicated People (Care and Protection) Act 1994

Medicines, Poisons and Therapeutic Goods Act 2008

Privacy Act 1988 (Cwlth)

Public Sector Management Act 1994

Supervised Injecting Place Trial Act 1999

Territory Records Act 2002

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be captured:
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Converted Record

The copy of the record resulting from the conversion (compare source record). For example, the digitised copy of a paper record.

Health Record

Any record or any part of a record:

- (a) held by a health service provider and containing personal information; or
- (b) containing personal health information

Health Service

- (a) any activity that is intended or claimed (expressly or by implication), by the person providing it, to assess, record, improve or maintain the physical, mental or emotional health of a consumer or to diagnose or treat an illness or disability of a consumer; or
- (b) a disability, palliative care or aged care service that involves the making or keeping of personal health information;

but does not include any service declared by regulation to be an exempt service.

Health Service Provider

An entity that provides a health service in the ACT.

Last Action

Last action is any event or activity carried out on a record, e.g. modifying a record, adding a record to a file, last time a client accessed a service, the last time a record was used or accessed by or on behalf of the patient, the completion of an audit, project, case, etc.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Record

Means a record in documentary or electronic form that consists of or includes personal health information in relation to a consumer (other than research material that does not disclose the identity of the consumer), and includes—

- a) a photograph or other pictorial or digital representation of any part of the consumer; and
- b) test results, medical imaging materials and reports, and clinical notes, relating to the consumer; and
- c) any part of a record; and
- d) a copy of a record or any part of a record.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

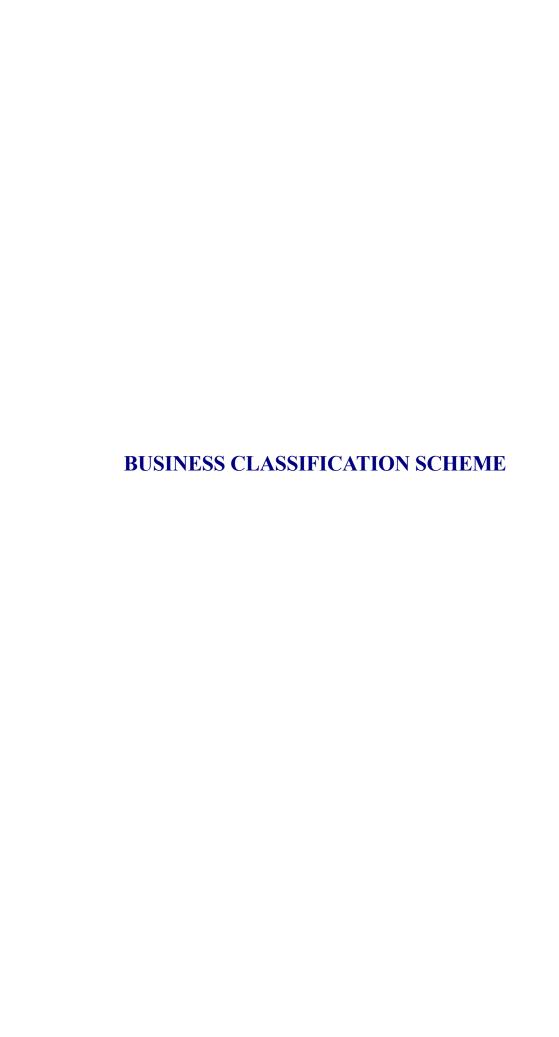
The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Source Record

The copy of the record that is being converted into another format (compare converted record). For example, the paper record that is being digitised.

Territory Archives

Records preserved for the benefit of present and future generations.



HEALTH TREATMENT AND CARE

The function of providing patient/client health care and treatment by a health service provider. Includes individual health evaluation, diagnosis, treatment, care, progress and health outcomes of clients and patients.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Control

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Inventory

The activities associated with listing and preparing lists of items and assets in the possession of the agency.

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, e.g. subpoenas and discovery orders.

Procedures

Standard methods of operating laid down by the agency according to formulated policy.

Public Reaction

The process of handling public reaction to an agency's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

Quality Assurance

The activities involved with the development, monitoring and reviewing of quality assurance programs.

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity, e.g. inspection reports, form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

Service Provision

RECORDS DISPOSAL SCHEDULE

HEALTH TREATMENT AND CARE

The function of providing patient/client health care and treatment by a health service provider. Includes individual health evaluation, diagnosis, treatment, care, progress and health outcomes of clients and patients.

Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Entry No.	Description of Records	Disposal Action
019.013.001	Records documenting clinical audits.	Destroy 7 years after last action
019.013.002	Waiting Lists - Clerical audit reports.	Destroy 3 years after last action

Committees

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

Entry No.	Description of Records	Disposal Action
019.020.001	Records relating to clinical trial projects submitted to Human Research Ethics Committees for approval.	Destroy 7 years after date of publication or termination of the
	[For records documenting Human Research	study

[For records documenting Human Research Ethics Committee's and other health related committee's meetings, use PATIENT SERVICES ADMINISTRATION – Committees.]

Control

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Entry No.	Description of Records	Disposal Action
019.026.001	Patient Master Index or Number Register (e.g. Card Register. If not converted to an electronic system).	Retain as Territory Archives
019.026.002	Disease and Operation Index.	Retain as Territory Archives
019.026.003	Physicians Index (If held).	Destroy 15 years after date of last entry
019.026.004	Admission and Discharge Registers.	Retain as Territory Archives
019.026.005	Registers of Births.	Retain as Territory Archives
019.026.006	Death Registers.	Retain as Territory Archives
019.026.007	Community Health Registers, including Baby Health registers.	Destroy 15 years after date of last entry or 15 years after youngest child in the register turns 18, whichever is later
019.026.008	Emergency Department Registers.	Retain as Territory Archives
019.026.009	Register of Patient Injury forms.	Destroy 30 years after date of last entry
019.026.010	Ward Registers.	Destroy 7 years after last action
019.026.011	Surgical procedures, Operation or Theatre Registers.	Retain as Territory Archives

Control (Continued)

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Entry No.	Description of Records	Disposal Action
019.026.012	Registers of surgically implanted devices. Includes duplicates of records of accountable items used in operating theatres e.g. instruments and swab counts where they are used as the register.	Destroy 15 years after last action
019.026.013	Electro-Convulsive Therapy (ECT) Register, Sedation and Seclusion Registers and Rapid Tranquillisation Journals.	Destroy 15 years after date of last entry
019.026.014	Duplicate registration and index records.	Destroy 6 months after last action
019.026.015	Inpatient Admission, Transfer and Discharge lists.	Destroy 2 years after date of last entry
	Note: Where the Admission or Discharge Register does not exist sentence in accordance with class 019.026.004.	
019.026.016	Death lists.	Destroy 2 years after
	Note: Where a Death Register does not exist sentence in accordance with 019.026.006.	date of last entry
019.026.017	Operation/Theatre lists or schedules e.g. Theatre bookings.	Destroy 2 years after list or schedule completed
019.026.018	Clinical lists, including outpatient lists, attendance books etc.	Destroy 1 year after date of last entry
	[For client contact details not recorded elsewhere, use 019.169.029.]	
019.026.019	Registers or control records maintained for the identification and location of diagnostic recordings and reports.	Destroy 7 years after last action
019.026.020	Registers of bodily specimens collected or received. Includes registration details in laboratory information management systems.	Destroy in accordance with current National Pathology Accreditation Advisory Council (NPAAC) standards

Control (Continued)

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design, etc. to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Entry No.	Description of Records	Disposal Action
019.026.021	Extract summary data from the specimens register that is used to undertake management activities and where no data or actions are noted on that extract data.	Destroy 6 months after last action
019.026.022	Extract summary data from the specimens register that is used to undertake management activities and where data and/or actions are noted on that extract data but not recorded on the main register.	Destroy 3 years after last action
019.026.023	Registers of blood products containing details of fresh and pooled blood products.	Destroy 20 years after date of last entry
019.026.024	PAP Test Registers.	Destroy 15 years after date of last entry
019.026.025	Registers of drugs. Includes Drugs of Dependence Registers and S4D Drug Registers held in the Pharmacy Department, Ward or other department.	Destroy 2 years after date of last entry
019.026.026	Patient money and valuables registers.	Destroy 7 years after date of last entry
019.026.027	Patient property and wearing apparel books.	Destroy 7 years after last action
019.026.028	Registers of patient's admission and account forms (if maintained).	Destroy 7 years after date of last action
019.026.029	Registers or Logs of incoming and outgoing correspondence relating to the treatment and care of individual patients and/or clients including referrals.	Destroy 7 years after last action

Inventory

The activities associated with listing and preparing lists of items and assets in the possession of the agency.

Entry No. 019.061.001

Description of Records

Stock and inventory control records. Includes requisitions and orders for pharmaceutical products or substances and receipts/records of delivery.

Disposal Action

Destroy 2 years after date of last entry

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, e.g. subpoenas and discovery orders.

[For litigation not related to clinical services, use LEGAL SERVICES - Litigation.

For complaints or incidents relating to clinical services not resulting in legal action, use HEALTH TREATMENT AND CARE - Public Reaction.]

Entry No. 019.068.001

Description of Records

Records relating to clinical services issues, claims or case matters involving legal action and the health facility and its patients/clients, that:

Disposal Action

Retain as Territory Archives

- are of major public interest or controversy;
- are precedent setting in nature;
- resulted in significant changes to the service or facility's policy and/or procedures.

019.068.002

Records relating to clinical services issues, claims or case matters involving legal action and the health facility and its patients/clients, that:

Destroy 15 years after last action

- are not of major public interest or controversy;
- are not precedent setting in nature;
- did not resulting in significant changes to the service or facility's policy and/or procedures.

Litigation (continued)

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, e.g. subpoenas and discovery orders.

[For litigation not related to clinical services, use LEGAL SERVICES – Litigation.

For complaints or incidents relating to clinical services not resulting in legal action, use HEALTH TREATMENT AND CARE - Public Reaction.]

Entry No.	Description of Records	Disposal Action
019.068.003	Subpoenas and discovery orders involving the health service or facility.	Destroy 7 years after last action
	[For subpoenas and discovery orders relating to other litigation not directly involving the health service or facility, use INFORMATION MANAGEMENT – Enquiries.]	

Procedures

Standard methods of operating laid down by the agency according to formulated policy.

Entry No.	Description of Records	Disposal Action
019.082.001	Records relating to the Pathology Laboratory's services approved methodologies, standard procedures and methods for the conduct of tests and medical procedures.	after method or
	and medical procedures.	

Public Reaction

The process of handling public reaction to an agency's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

[For complaints or incidents resulting in legal action, use Litigation.]

Entry No.	Description of Records	Disposal Action
019.084.001	Records documenting complaints and incidents, including those investigated by the Health Services Commissioner, not involving legal action, which resulted in significant changes to services, policies, procedures or involved significant public or political interest.	Retain as Territory Archives
019.084.002	Records documenting complaints and incidents, including complaints and incidents, including those investigated by the Health Services Commissioner, not involving legal action or with no significant public or political interest.	Destroy 7 years after last action

Quality Assurance

The activities involved with the development, monitoring and reviewing of quality assurance programs.

Entry No.	Description of Records	Disposal Action
019.085.001	Records relating to the certification,	Destroy 3 years after
	implementation and audit of Pathology	last action
	Laboratory processes and services. This	
	includes quality control and quality assurance	
	records.	

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity, e.g. inspection reports, form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

[For the Annual Report drafting process, use PUBLICATIONS - Drafting.

For submissions of annual reports to the Portfolio Minister, use GOVERNMENT RELATIONS - Compliance.]

Entry No.	Description of Records	Disposal Action
019.088.001	Original copies of data collection forms, including midwife data collection, admitted patient statistics, brain injury, etc. submitted by hospitals and held by the Public Health Agency.	Destroy 6 months after last action
019.088.002	Copies of data collection forms retained after submission of originals, held by hospitals or submitting health facilities.	Destroy 3 years after submission date
019.088.003	Copies of reports and records held by the notifier, (e.g. public hospitals), of notifiable diseases for patients over 18 years of age.	Destroy 15 years after last action
019.088.004	Copies of reports and records held by the notifier, (e.g. public hospitals), of notifiable diseases for patients less than 18 years of age.	Destroy after the patient reaches the age of 25 years

Reporting (Continued)

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity, e.g. inspection reports, form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

[For the Annual Report drafting process, use PUBLICATIONS - Drafting.

For submissions of annual reports to the Portfolio Minister, use GOVERNMENT RELATIONS - Compliance.]

Entry No. 019.088.005	Description of Records Records held by Public Health Units documenting the notification of notifiable diseases. Including patient information records collected during an environmental health investigation of an outbreak of a notifiable disease.	Disposal Action Destroy 7 years after receipt of the notification
019.088.006	Copies of Cancer notification forms held by a hospital or notifying facility.	Destroy 2 years after submission
019.088.007	Copies of death certificates retained separately from the main patient record.	Destroy 1 year after date of notification
019.088.008	Duplicate records of notifications received by Public Health Units subsequent to the initial notification.	•
019.088.009	Extracted electronic data from existing source systems which is aggregated for reporting, analysis and service planning purposes, (e.g. ACT Health Enterprise Information Management (ACTHEIM)).	Destroy 3 years after last action

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

[For records relating to the evaluation of treatments, medicines, etc. implemented because of research trial results, use PATIENT SERVICES ADMINISTRATION – Evaluation.

For records relating to population health care management and control programs and strategies research, use POPULATION HEALTH CARE MANAGEMENT AND CONTROL – Research.]

Entry No.	Description of Records	Disposal Action
019.091.001	Records relating to the conduct of clinical and non-clinical research considered significant to the Territory or is unique, precedent setting or results in major breakthroughs in treatments or medicines. Includes records or documentation relating to the recruitment and consent of research participants, the collection and analysis of data, preliminary findings, surveys and results.	Retain as Territory Archives
019.091.002	Records relating to the conduct of clinical research not considered significant to the Territory. Including records or documentation relating to the collection of data, data analysis, preliminary findings, surveys and results.	Destroy 15 years after last action or date of publication of the research whichever is the later
019.091.003	Records relating to the conduct of non-clinical research not considered significant to the Territory. Including records or documentation relating to the collection of data, data analysis, preliminary findings, surveys and results.	Destroy 7 years after last action or date of publication of the research whichever is the later
019.091.004	Records relating to clinical and non-clinical research where the research did not proceed.	Destroy 3 years after last action

Service Provision

The activities relating to services provided by an agency on a long term basis or by other agencies. Includes requests and applications for services, assessment of eligibility and entitlements, liaison with other agencies regarding the provision of services. Also includes activities to lobby for services and to increase service provision. Also includes the installation, operation and removal of temporary facilities in parks and reserves, such

as water, electricity	ity, temporary toilets, etc. for special outdoor ever	nts.
Entry No.	Description of Records	Disposal Action
019.169.001	Records documenting the initial diagnosis of a genetic or inherited disorder in patients/clients.	Retain as Territory Archives
019.169.002	Records of discharged in-patients, including deceased in-patients over 18 years of age who received acute hospital care. Excludes Records on:	Destroy 15 years after last action
	 Obstetric/maternal health, see 019.169.010 Genetic or inherited disorders, see 019.169.001 Sexual assault care, see 019.169.017, 019.169.018 Child at risk, see 019.169.019 Radiotherapy treatment, see 019.169. 	

019.169.003 Records of discharged in-patients, including deceased in-patients less than 18 years of age who received acute hospital care. Excludes Records on:

024

- Obstetric/maternal health, see 019.169.010
- Genetic or inherited disorders, see 019.169.001
- Sexual assault care, see 019.169.017, 019.169.018
- Child at risk, see 019.169.019
- Radiotherapy treatment, see 019.169. 024

Destroy 15 years after the patient reaches the age of 18 years or 15 years after last action whichever is later

019.169.004 Records of patients attending or presenting to Emergency Departments and not admitted as in- last action patients over 18 years of age. Includes patients who are dead on arrival (DOA) and records contained in the Emergency Department Information System (EDIS).

Destroy 7 years after

Entry No.	Description of Records	Disposal Action
019.169.005	Records of patients attending or presenting to Emergency Departments and not admitted as in-patients, less than 18 years of age. Includes patients who are dead on arrival (DOA) and records contained in the Emergency Department Information System (EDIS).	Destroy 7 years after the patient reaches the age of 18 years or 7 years after last action whichever is later
019.169.006	Records of discharged patients of Extended Care or Non-acute Care Facilities over 18 years of age. Includes records of residents of establishments registered under the <i>Aged Care Act 1997</i> . Also includes patients who die while in or receiving treatment from a facility.	Destroy 10 years after last action
019.169.007	Records of discharged patients of Extended Care or Non-acute Care Facilities less than 18 years of age. Includes records of patients who die while in or receiving treatment from a facility.	Destroy 10 years after the patient reaches the age of 18 years or 10 years after last action whichever is later
019.169.008	Records of non-admitted patients over 18 years of age. Includes those attending Hospital Outpatient Departments or clinics or receiving Community based care or non-admitted patients of day hospitals, day centres, community care centres and domiciliary care services. Also includes unregistered clients, clients who are only 'visitors', clients who are screened without follow up, potential clients or clients who are referred elsewhere, Community Records, Immunisation Records, Child/Baby health care screening, School Screening records and Oral or Dental health care non-admitted records.	last action

Entry No.	Description of Records	Disposal Action
019.169.009	Health Records of non admitted patients under the age of 18 years. Includes those attending Hospital Outpatient Departments or clinics or receive community based care or non-admitted patients of day hospitals, day centres, community care centres and domiciliary care services. Also includes unregistered clients, clients who are only 'visitors', clients who are screened without follow up, potential clients or clients who are referred elsewhere, Community Records, Immunisation Records, Child/Baby health care screening, School Screening records and Oral or Dental health care non-admitted records.	Destroy 7 years after the patient reaches the age of 18 years or 7 years after last action whichever is later
019.169.010	Obstetric/maternal health care records documenting birth episodes (mother's record).	Retain as Territory Archives
019.169.011	Records documenting child/baby birth episodes.	Retain as Territory Archives
019.169.012	Obstetric/maternal social work records relating to instances of arrangements for adoption. Includes both maternal and child (subject of adoption) records.	Retain as Territory Archives
019.169.013	Records of patients/clients receiving psychiatric treatment and mental health care under the Mental Health (Treatment and Care) Act 1994 where the patient/client is over 18 years of age.	Destroy 15 years after last action
019.169.014	Records of patients/clients receiving psychiatric treatment and mental health care under the Mental Health (Treatment and Care) Act 1994 where the patient/client is less than 18 years of age.	Destroy 15 years after the patient reaches the age of 18 years or 15 years after last action whichever is later

Entry No.	Description of Records	Disposal Action
019.169.015	Records documenting Assisted Reproductive Technology (ART) procedures (including In Vitro Fertilisation, gamete intrafallopian transfer (GIFT) and artificial insemination) where a pregnancy is achieved, whether a child was born or not or it is not known whether a child was born. This includes case records of each individual person or family unit, consent to ART procedures, use of semen, ova or embryos and the withdrawal of consent for such procedures or processes.	Destroy 75 years after date of birth of the child or date of insemination if the date of birth is unknown
019.169.016	Records relating to Assisted Reproductive Technology (ART) where a pregnancy was not achieved or the procedure was terminated.	Destroy 15 years after last action
019.169.017	Records documenting patients who were the victim of sexual assault who were over 18 years of age.	Destroy 75 years after date of birth of patient
019.169.018	Records documenting patients who were the victim of sexual assault who were less than 18 years of age.	Destroy 75 years after date of birth of patient
019.169.019	Records relating to clients of the Child at Risk Health Unit.	Destroy 75 years after date of birth of patient
019.169.020	Requests/referrals for patients over the age of 18 received for services, where the patient did not attend and no service was provided. Includes request for Admission Forms where the patient did not attend.	Destroy 7 years after last action

Entry No.	Description of Records	Disposal Action
019.169.021	Requests/referrals for patients under the age of 18 received for services, where the patient did not attend and no service was provided. Includes request for Admission Forms where the patient did not attend.	Destroy 7 years after the patient reaches the age of 18 or 7 years after last action whichever is later
019.169.022	Medical certificates issued to patients who were over 18 years of age detailing dates of attendance and where appropriate reason for attendance.	Destroy 7 years after last action
019.169.023	Medical certificates issued to patients who were less than 18 years of age detailing dates of attendance and where appropriate reason for attendance.	Destroy after the patient reaches the age of 25 years
019.169.024	Radiation Therapy records comprising dosimetry and calculation data, Technical data and Images. Localisation, portal or EPID image in proprietary digital format. [For records documenting radiation planning, treatment and dose delivery, use 019.169.059 and 019.169.060.]	Destroy 7 years after death of patient or after patient reaches the age of 18 or after last action, whichever is the later
019.169.025	Sterilisation Print-outs relating to sterilisation of medical equipment. [For dental equipment, use HEALTH TREATMENT AND CARE – Service Provision, class 019.169.058.]	Destroy 15 years after date of print-out
019.169.026	Log Books/Sterilisation Register (if kept) of steriliser's performance.	Destroy 15 years after date of last entry
019.169.027	Records relating to the management, treatment and care of patients over 18 years of age on the ward not incorporated into the main (unit) patient record, (e.g. group education sessions for pregnant women, Ward reports, Ward report books and related records).	

Entry No.	Description of Records	Disposal Action
019.169.028	Records relating to the management, treatment and care of patients less than 18 years of age on the ward not incorporated into the main (unit) patient record, (e.g. group education sessions for pregnant women, Ward reports, Ward report books and related records).	Destroy 7 years after the patient reaches the age of 18 years or 7 years after the last action whichever is later
019.169.029	Personal clinician/work diaries or appointment books/registers recording details of appointments and client contact not recorded elsewhere.	Destroy 15 years after date of last entry
019.169.030	Diaries/appointment books used to record basic information/registers such as dates and times of meetings and appointments.	<u> </u>
019.169.031	Medical officer's requests for a diagnostic imaging procedure.	Destroy 3 years after last action
019.169.032	Originals or copies of diagnostic reports or findings of records or reports resulting from diagnostic findings based on an analysis, evaluation or interpretation of recordings maintained by the diagnostic service.	Destroy 3 years after last action
019.169.033	Visual/image/pictorial recordings produced for diagnostic purposes of patients over 18 years of age. Includes x-rays, videotapes, films, photographs or equivalent image recordings.	Destroy 7 years after last action
019.169.034	Visual/image/pictorial recordings produced for diagnostic purposes of patients less than 18 years of age. Includes x-rays, videotapes, films, photographs or equivalent image recordings.	Destroy 7 years after the patient reaches the age of 18 years or 7 years after last action whichever is later

Entry No.	Description of Records	Disposal Action
019.169.035	Graphical recordings or tracings of a graphical nature for patients over 18 years of age, created via diagnostic measuring processes, (e.g. Electroencephalograms, Electrocardiograms, Electromyograms or Cardiotocogram).	
019.169.036	Graphical recordings or tracings of a graphical nature for patients less than 18 years of age, created via diagnostic measuring processes, (e.g. Electroencephalograms, Electrocardiograms, Electromyograms or Cardiotocogram).	Destroy 7 years after the patient reaches the age of 18 years or 7 years after last action whichever is later
019.169.037	Copies of requests for Laboratory tests or procedures held by the Diagnostic Service.	Destroy 3 years after last action
019.169.038	Diagnostic results and reports resulting from Anatomical pathology, cytology (Exfoliate and Non-exfoliate), autopsy/ post mortem reports/records/registers/diagrams, histopathology and bone marrow reports/records, including copies of any representative images prepared.	Destroy 20 years after last action
019.169.039	Other diagnostic results and pathology reports/records of patients over 18 years of age. Includes cytology, bone marrow, histopathology, clinical chemistry, chemical pathology, microbiology and immunology reports/records.	Destroy 7 years after last action
019.169.040	Other diagnostic results and pathology reports/records of patients less than 18 years of age. Includes cytology, bone marrow, histopathology, clinical chemistry, chemical pathology, microbiology and immunology reports/records.	Destroy 7 years after the patient reaches the age of 18 years or 7 years after last action whichever is later

Entry No.	Description of Records	Disposal Action
019.169.041	Diagnostic genetics reports/records. Including karyotypes and digital images.	Retain as Territory Archives
019.169.042	Records documenting the management of patient finances including accounts, benefits and claims, hospital private patient claim and assignment forms (hc21), patient election forms and authorities to make payment or transfer property.	Destroy 7 years after last action
019.169.043	Assigned benefits claim books (if maintained).	Destroy 1 year after last action
019.169.044	Bodily specimens, samples or materials examined in a diagnostic pathology procedures. Includes slides, films, blocks, cultures and related material.	Destroy in accordance with current National Pathology Accreditation Advisory Council (NPAAC) standards
019.169.045	Records associated with the management and consent in respect to retained human tissue samples. The types of records include statutory declarations, consent forms and clinical information about the deceased etc.	Destroy 20 years after disposal of tissue
019.169.046	Diagnostic results and reports relating to blood and blood products.	Destroy 10 years after last action or after donor reaches the age of 30 years whichever is longer

Entry No. 019.169.047	Description of Records Laboratory records documenting the administration of blood and blood products.	Disposal Action Destroy 20 years after last action or after donor reaches the age of 30 years whichever is longer
019.169.048	Records relating to the business of semen supply, including full name and date of birth of donor, donor's written consent, results of tests and name of the medical practitioner to whom semen was supplied.	Destroy 10 years after last action or after donor reaches the age of 30 years whichever is longer
019.169.049	Records relating to the supply of Cytotoxic Drugs, including prescriptions and records of supply.	Destroy 2 years after dispensing
019.169.050	Records relating to the supply of Drugs of Dependence including prescriptions and records of supply.	Destroy 2 years after dispensing
019.169.051	Pharmacy copies of inpatient prescriptions.	Destroy 2 years after dispensing
019.169.052	Pharmacy copies of Intravenous additives prescriptions and manufacturing records.	Destroy 2 years after dispensing
019.169.053	Records relating to outpatient prescriptions and records of supply.	Destroy 2 years after dispensing
019.169.054	Records relating to S100 prescriptions and records of supply.	Destroy 2 years after dispensing
019.169.055	Records relating to the provision, coordination and maintenance of the ACT Equipment Scheme (ACTES) and the Home and Community Care (HACC) Equipment Scheme services.	Destroy 7 years after the patient reaches the age of 18 years or 7 years after last action whichever is later

Entry No.	Description of Records	Disposal Action
019.169.056	Applications for aids, appliances and services from the ACT Equipment Loan Service, ACT Equipment Scheme (ACTES) and/or the Home and Community Care (HACC) Equipment Scheme.	Destroy 7 years after the patient reaches the age of 18 years or 7 years after last action whichever is later
019.169.057	Applications for access to patient records, including a child's record. Includes requests from insurers or other third parties with written patient consent to access the patient's clinical records.	Destroy 2 years after last action
019.169.058	Sterilisation Print-outs relating to sterilisation of dental equipment. [For all other medical equipment, use HEALTH TREATMENT AND CARE – Service	Destroy 7 years after date of print-out
	Provision, class 019.169.025.]	
019.169.059	Radiation Oncology <u>inpatient</u> records documenting radiation planning, treatment and dose delivery in respect to admitted patients, who have undergone radiotherapy treatment.	Destroy 15 years after death of patient or after patient reaches the age of 18
	[For technical data relating to Radiation Oncology Records, use HEALTH TREATMENT AND CARE – Service Provision, class 019.169.024.]	years or after last action, whichever is the later
019.169.060	Radiation Oncology <u>outpatient</u> records documenting radiation planning, treatment and dose delivery in respect to non-admitted patients, who have undergone radiotherapy treatment. [For technical data relating to Radiation Oncology Records, use HEALTH TREATMENT AND CARE – Service Provision, class 019.169.024.]	Destroy 7 years after death of patient or after patient reaches the age of 18 years or after last action, whichever is the later
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RETAIN AS TERRITORY ARCHIVES

HEALTH TREATMENT AND CARE

The function of providing patient/client health care and treatment by a health service provider. Includes individual health evaluation, diagnosis, treatment, care, progress and health outcomes of clients and patients.

Control

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Entry No.	Description of Records	Disposal Action
019.026.001	Patient Master Index or Number Register. (e.g. Card Register. If not converted to an electronic system).	Retain as Territory Archives
019.026.002	Disease and Operation Index.	Retain as Territory Archives
019.026.004	Admission and Discharge Registers.	Retain as Territory Archives
019.026.005	Registers of Births.	Retain as Territory Archives
019.026.006 Death Registers.		Retain as Territory Archives
019.026.008 Emergency Department Registers.		Retain as Territory Archives
019.026.011	Surgical procedures, Operation or Theatre Registers.	Retain as Territory Archives

Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel; copies of documents required by or lodged with a court; consultation with the Attorney-General and other agencies; and records documenting compliance with court instructions, e.g. subpoenas and discovery orders.

[For complaints or incidents not resulting in legal action, use Public Reaction.]

Entry No.			
019.068.001			

Description of Records

Records relating to issues, claims or case matters involving legal action and the health facility and its patients/clients, that are of major public interest or controversy; which is precedent-setting in nature; or resulting in significant changes to the service or facility's policy and/or procedures.

Disposal Action

Retain as Territory Archives

Public Reaction

The process of handling public reaction to an agency's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

[For complaints or incidents resulting in legal action, use Litigation.]

Entry No.			
019.084.001			

Description of Records

Records documenting complaints and incidents Retain as Territory investigated by the Health Services Commissioner, not involving legal action, which resulted in significant changes to services, policies, procedures or involved

significant public or political interest.

Disposal Action

Archives

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

Entry No.
019.091.001

Description of Records

Records relating to the conduct of clinical and non-clinical research considered significant to the Territory or is unique, precedent setting or results in major breakthroughs in treatments or medicines.

Disposal Action

Retain as Territory Archives

Service Provision

Entry No.	Description of Records	Disposal Action
019.169.001	Records documenting the initial diagnosis of a genetic or inherited disorder in patients/clients.	Retain as Territory Archives
019.169.010	Obstetric/maternal health care records documenting birth episodes (mother's record).	Retain as Territory Archives
019.169.011	Records documenting child/baby birth episodes.	Retain as Territory Archives
019.169.012	Obstetric/maternal social work records relating to instances of arrangements for adoption. Includes both maternal and child (subject of adoption) records.	Retain as Territory Archives
019.169.041	Diagnostic genetics reports/records. Including karyotypes and digital images.	Retain as Territory Archives

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SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.

Amendments to the Health Treatment and Care Records	Dated: <month> 2017</month>
Disposal Schedule	

Function (Amendments)

New Features (Amendments and Insertions)			
Activity	Entry no.	Description	
Control	019.026.025	Retention period reduced from 7 years to 2 years in line with changes to legislation.	
Service Provision	019.169.024	Class description changed to reflect the type of records covered and a sentencing tip has added guiding users to the new classes.	
Service Provision	019.169.050	Retention period reduced from 7 years to 2 years in line with changes to legislation.	
Service Provision	019.169.051	Retention period reduced from 7 years to 2 years in line with changes to legislation.	
Service Provision	019.169.054	Retention period reduced from 7 years to 2 years in line with changes to legislation.	
Service Provision	019.169.059	New class	
Service Provision	019.169.060	New class	

Deletions		
Activity	Entry no.	Description