

Australian Capital Territory

# **Territory Records (Records Disposal Schedule – Patient Services Administration Records) Approval 2013 (No 1)**

**Notifiable instrument NI2013-590**

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 – Patient Services Administration Records) Approval 2013 (No 1)

## **2. Approval**

I approve the Records Disposal Schedule – Patient Services Administration Records.

## **3. Commencement**

This instrument commences on the day after notification.

## **4. Revocation**

I revoke Notifiable Instrument:

NI2009-210 notified 7 May 2009.

Danielle Wickman  
Director of Territory Records  
19 December 2013



# **Records Disposal Schedule**

## **Patient Services Administration Records**

# Table of Contents

<b>INTRODUCTION</b> .....	<b>5</b>
<b>PURPOSE</b> .....	<b>5</b>
<b>SCOPE</b> .....	<b>5</b>
<b>AUTHORITY</b> .....	<b>5</b>
<b>STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA</b> .....	<b>5</b>
<i>TERRITORY VERSION OF KEYWORD AAA</i> .....	6
<b>GUIDELINES FOR USE</b> .....	<b>6</b>
<i>COVERAGE OF AUTHORITY</i> .....	6
<i>LAYOUT OF THE SCHEDULE</i> .....	7
<b>FORMAT OF RECORD</b> .....	<b>8</b>
<i>ELECTRONIC RECORDS</i> .....	8
<b>DESTRUCTION OF RECORDS</b> .....	<b>8</b>
<b>UPDATING THE RECORDS DISPOSAL SCHEDULE</b> .....	<b>8</b>
<b>ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE</b> .....	<b>8</b>
<b>RELATED LEGISLATION</b> .....	<b>9</b>
<b>DEFINITIONS</b> .....	<b>10</b>
<i>AGENCY</i> .....	10
<i>APPRAISAL</i> .....	10
<i>BUSINESS CLASSIFICATION SCHEME</i> .....	10
<i>PRINCIPAL OFFICER</i> .....	10
<i>RECORDS</i> .....	10
<i>RECORDS OF AN AGENCY</i> .....	10
<i>RECORDS DISPOSAL SCHEDULE</i> .....	10
<i>RECORDS MANAGEMENT PROGRAM</i> .....	11
<i>RECORDKEEPING SYSTEMS</i> .....	11
<i>SCOPE NOTE</i> .....	11
<i>SENTENCING</i> .....	11
<i>TERRITORY ARCHIVES</i> .....	11
<b>BUSINESS CLASSIFICATION SCHEME</b> .....	<b>12</b>
<i>PATIENT SERVICES ADMINISTRATION</i> .....	13
<b>RECORDS DISPOSAL SCHEDULE</b> .....	<b>17</b>
<i>PATIENT SERVICES ADMINISTRATION</i> .....	18
<i>Advice</i> .....	18
<i>Agreements</i> .....	18
<i>Audit</i> .....	19
<i>Authorisation</i> .....	20
<i>Committees</i> .....	21

<i>Compliance</i> .....	22
<i>Contracting out</i> .....	22
<i>Enquiries</i> .....	23
<i>Evaluation</i> .....	23
<i>Evaluation (Continued)</i> .....	24
<i>Fees and Charges Determination</i> .....	24
<i>Grant Funding</i> .....	25
<i>Health Promotion</i> .....	25
<i>Implementation</i> .....	26
<i>Liaison</i> .....	26
<i>Meetings</i> .....	27
<i>Planning</i> .....	27
<i>Policy</i> .....	28
<i>Procedures</i> .....	28
<i>Public Reaction</i> .....	29
<i>Quality Assurance</i> .....	29
<i>Reporting</i> .....	30
<i>Reporting (Continued)</i> .....	30
<i>Representatives</i> .....	31
<i>Reviewing</i> .....	31
<i>Risk Management</i> .....	32
<i>Service Delivery</i> .....	32
<i>Standards</i> .....	33
<i>Tendering</i> .....	33
<i>Tendering (Continued)</i> .....	34
<b>RETAIN AS TERRITORY ARCHIVES</b> .....	<b>35</b>
<i>PATIENT SERVICES ADMINISTRATION</i> .....	36
<i>Advice</i> .....	36
<i>Audit</i> .....	36
<i>Committees</i> .....	37
<i>Evaluation</i> .....	37
<i>Quality Assurance</i> .....	38
<i>Planning</i> .....	38
<i>Policy</i> .....	38
<i>Procedures</i> .....	39
<i>Public Reaction</i> .....	39
<i>Reporting</i> .....	39
<i>Reviewing</i> .....	40
<i>Risk Management</i> .....	40
<b>SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.</b> .....	<b>41</b>

## **INTRODUCTION**

The *Records Disposal Schedule – Property Management Records* is the official authority for the disposal of these ACT Government records.

It is one of a series of Whole of Government 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 Patient Services Administration 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.

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 VERSION OF KEYWORD AAA**

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.**

The *Records Disposal Schedule - Patient Services Administration 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 Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all Patient Services Administration 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.

### ***Territory Version of Keyword AAA***

The Territory Version of Keyword AAA is the general administrative thesaurus produced by the Territory Records Office. The structure and terms used in this Records Disposal Schedule are closely related to those used in the Territory Version of Keyword AAA, which is based on functional analysis of business activity. This methodology (i.e., the analysis of business activity) produces a hierarchical model of an organisation's business activity. The hierarchical model also represents a classification scheme for the records that document functions, activities and transactions.

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 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 - Patient Services Administration Records:

- covers all records related to the function;
- 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 records classes covered by this Records Disposal Schedule:

*Epidemiological Studies (Confidentiality) Act 1992*

*Freedom of Information Act 1989*

*Health (Fees) Determination 2006 (No 2)*

*Health (Fees) Determination 2007 (No 1)*

*Health Act 1993*

*Human Rights Commission Act 2005*

*Intoxicated People (Care and Protection) Act 1994*

*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.

### ***Principal Officer***

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

### ***Records***

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

### ***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.

### ***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.

### ***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.

### ***Territory Archives***

Records preserved for the benefit of present and future generations.

# **BUSINESS CLASSIFICATION SCHEME**

## ***PATIENT SERVICES ADMINISTRATION***

The function of administering the provision of public health and support services to patients in hospitals, health centres, clinics or other similar health care facilities. Includes pathological services, ward services, chronic disease management, ambulatory care, geriatric medicine, prosthetic-orthotic services, nursing, aged and community care, outpatient services.

*[For clinical medical records, use HEALTH TREATMENT AND CARE.]*

### ***Advice***

The activities associated with offering opinions as to an action or judgement. Includes the process of advising.

### ***Agreements***

The processes associated with the establishment, maintenance, review and negotiation of agreements.

### ***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.

### ***Authorisation***

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

### ***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.

### ***Compliance***

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

### ***Contracting out***

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

### ***Enquiries***

The activities associated with handling requests for information about the agency and its services, programs and activities.

### ***Evaluation***

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

### ***Fees and charges determination***

The activities associated with determining fees and charges.

### ***Grant funding***

The activities associated with the application for and receipt of grants.

### ***Health Promotion***

The process of promotion of programs which encourage the establishment and maintenance of a healthy environment and which encourage healthy lifestyles. Includes workplace environments.

### ***Implementation***

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met.

### ***Liaison***

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

### ***Meetings***

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes etc. Excludes committee meetings.

### ***Planning***

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

### ***Policy***

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the agency's operating procedures are determined.

### ***Procedures***

Standard methods of operating laid down by an organisation 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.

### ***Representatives***

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

***Reviewing***

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

***Risk Management***

The process involving identification of risks, likelihood and consequences of those risks and implementation of appropriate practice and procedures to treat the risks.

***Service Delivery***

The processes associated with the assessment, measurement and implementation of services delivered to the public.

***Standards***

The process of implementing industry or agency specific benchmarks for services and processes to enhance quality and efficiency of an organisation.

***Tendering***

The activities involved in receiving and assessing tenders, of making offers and finalising contract arrangements for the supply, sale or purchase of goods and services.

# **RECORDS DISPOSAL SCHEDULE**



































**RETAIN AS TERRITORY ARCHIVES**











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

**Amendments to the Patient Services Administration Records  
Disposal Schedule**

**Dated 19 December  
2013**

**Function (Amendments)**

The disposal schedule was amended to remove the Note from the function scope notes and to include a direction to the HEALTH TREATMENT AND CARE disposal schedule for clinical medical records.

Reformatted to current standards.

**New Features (Insertions)**

<b>Activity</b>	<b>Entry no.</b>	<b>Description</b>

**Enhancements (Changes)**

<b>Activity</b>	<b>Entry no.</b>	<b>Description</b>