

# Territory Records (Records Disposal Schedule – Health Treatment and Care Records) Approval 2023 (No 1)

Notifiable instrument NI2023—114

made under the

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

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## **1 Name of instrument**

This instrument is the Territory Records (Records Disposal Schedule – Health Treatment and Care Records) Approval 2023 (No 1).

## **2 Commencement**

This instrument commences on 29 March 2023.

## **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 2017 (No 1) NI2017-629

Danielle Wickman  
Director of Territory Records

24 February 2023



# **Records Disposal Schedule**

## **Health Treatment and Care Records**

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## **INTRODUCTION**

The *Records Disposal Schedule – Health Treatment & Care* 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 records created or maintained by ACT Government Agencies.

## **SCOPE**

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It also applies to consultants, contractors and other third parties undertaking functions on behalf of 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.

Officers using this Records Disposal Schedule should apply it with caution. 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 under the *Territory Records Act 2002*, including any other applicable Records Disposal Schedule or approved Records Management Program.

**An Agency must take appropriate steps to meet the prerequisites for disposal in this and other applicable Records Disposal Schedules, including to ascertain whether disposal is prohibited, for example where the Records relate to any reasonably foreseeable legal action or current Records Disposal Freeze.**

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

## **GUIDELINES FOR USE**

### ***Coverage of authority***

The *Records Disposal Schedule – Health Treatment & Care*:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Whole of Government Records Disposal Schedules, and the National Pathology Accreditation Advisory Council (NPAAC) *Requirements for the retention of laboratory records and diagnostic material*;
- 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.

### ***Format of Records***

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

- cards/registers/microfilm/microfiche;
- files;
- digital records, including various electronic media, and
- any other formats.

### ***National Pathology Accreditation Advisory Council (NPAAC) Requirements for the retention of laboratory records and diagnostic material***

This Records Disposal Schedule refers to the National Pathology Accreditation Advisory Council (NPAAC) *Requirements for the retention of laboratory records and diagnostic material*. Publications produced by NPAAC are issued as accreditation material to provide guidance to laboratories and accrediting agencies about minimum standards considered acceptable for good laboratory practice, and are available from the Australian Commission on Safety and Quality in Health Care.

## **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 Territory Records Office.

## **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 Territory Records Office.

## **RELATED LEGISLATION**

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

*Adoption Act 1993*  
*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 Act 2016*  
*Health Act 1993*  
*Health Records (Privacy and Access) Act 1997*  
*Human Rights Commission Act 2005*  
*Intoxicated People (Care and Protection) Act 1994*  
*Medical Treatment (Health Directions) Act 2006*  
*Medicines, Poisons and Therapeutic Goods Act 2008*  
*Mental Health Act 2015*  
*Mental Health (Secure Facilities) Act 2016*  
*Privacy Act 1988 (Cwlth)*  
*Public Sector Management Act 1994*  
*Supervised Injecting Place Trial Act 1999*  
*Territory Records Act 2002*



# **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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.013.001	Records documenting clinical audits.	Destroy 7 years after last action
019.013.002	Records relating to administrative arrangements for the management of patients/clients. Includes: <ul style="list-style-type: none"> <li>• Wait lists &amp; Booking schedules</li> <li>• Clerical audit reports</li> <li>• routine census or data collection reports (e.g. clinical indicator)</li> </ul>	Destroy 2 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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.020.001	Records relating to clinical trial projects submitted to Human Research for approval.  <i>[For records documenting Human Research Ethics Committee's and other health related committees' meetings, use PATIENT SERVICES ADMINISTRATION – Committees.]</i>	Destroy 7 years after date of publication or termination of the study

***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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.026.001	Hospital and Emergency Department registration information  Includes: <ul style="list-style-type: none"> <li>• Admissions and Discharge Registers</li> <li>• Birth Registers</li> <li>• Death Registers</li> <li>• Emergency Register</li> <li>• Patient Master Index (PMI) or Medical Record Number Registers</li> <li>• Surgical Procedures Registers (Operating Theatre Registers)</li> </ul>	Retain as Territory Archives
019.026.003	Physicians Index documenting physicians and medical practitioners with admitting rights and details of patients attended (if held).	Destroy 15 years after date of last entry, or 25 years after date of birth, whichever is later
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
019.026.009	Register of Patient Injury forms.	Destroy 30 years after date of last entry
019.026.010	Ward Registers.	Destroy 7 years after last action

***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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.026.012	Registers of surgically implanted devices	Destroy 15 years after last action
019.026.013	Electro-Convulsive Therapy (ECT) Register and Rapid Tranquillisation Journals documenting the administration of sedatives.	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	Records relating to administrative arrangements for the management of patients/clients. Includes lists and booking schedules, routine census or data collection reports or returns, referrals or requests for services and recommendations for admission where the patient /client did not attend.  Includes: <ul style="list-style-type: none"> <li>• Admission Lists, Transfer Lists and Discharge Lists</li> <li>• Clerical audit reports (census or data collection)</li> <li>• Clinical Lists (outpatient lists and attendance books)</li> <li>• Death Lists (excludes Death Register)</li> <li>• Operation / Theatre schedules or booking lists</li> <li>• Waiting Lists</li> </ul>	Destroy 2 years after date of last entry
019.026.019	Registers or control records maintained for the identification and location of diagnostic recordings and reports.	Retain until administrative or reference use ceases, then destroy (NAP)
019.026.020	Registers of bodily specimens collected or received. Includes registration details in laboratory information management systems.	Retain until administrative or reference use ceases, then destroy (NAP)

***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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.026.021	Extract summary data from the specimens register that is used to undertake management activities, including any actions taken.	Retain until administrative or reference use ceases, then destroy (NAP)
019.026.023	Registers of blood products containing details of fresh and pooled blood products.	Destroy in accordance with current National Pathology Accreditation Advisory Council (NPAAC) standards
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 property, money and valuables registers.	Destroy 7 years after date of last entry
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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.061.001	Stock and inventory control records. Includes requisitions and orders for pharmaceutical products or substances and receipts/records of delivery.	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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.068.001	Records relating to clinical services issues, claims or case matters involving legal action and the health facility and its patients/clients, that: <ul style="list-style-type: none"> <li>• are of major public interest or controversy;</li> <li>• are precedent setting in nature;</li> <li>• resulted in significant changes to the service or facility's policy and/or procedures.</li> </ul>	Retain as Territory Archives
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: <ul style="list-style-type: none"> <li>• are not of major public interest or controversy;</li> <li>• are not precedent setting in nature;</li> <li>• did not resulting in significant changes to the service or facility's policy and/or procedures.</li> </ul>	Destroy 7 years after last action

**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.]*

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

**Procedures**

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

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
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.	Destroy in accordance with current National Pathology Accreditation Advisory Council (NPAAC) Standards

### ***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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.084.001	Records documenting complaints and incidents, including those investigated by the Human Rights 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 those investigated by the Human Rights Commissioner, not involving legal action or with no significant public or political interest.	Destroy 7 years after last action, or 25 years after date of birth, whichever is later
019.084.003	Records documenting complaints and incidents involving allegations of: - sexual assault or abuse - physical abuse and neglect subject to mandatory reporting. Includes the abuse and neglect of children, young people and other vulnerable persons such as the elderly, disabled or person in care subject to mandatory reporting.	Destroy 15 years after last action, or 75 years after date of birth, whichever is later

### ***Quality Assurance***

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

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.085.001	Records relating to the certification, implementation and audit of Pathology Laboratory processes and services. This includes quality control and quality assurance records.	Destroy in accordance with current National Pathology Accreditation Advisory Council (NPAAC) Standards



## ***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. Reporting, and 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 & STAKEHOLDER RELATIONS - Compliance.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
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.	Retain until administrative or reference use ceases, then destroy (NAP)
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 15 years after last action, or after the patient reaches the age of 25 years, whichever is later

***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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.088.005	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.	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.	Retain until administrative or reference use ceases, then destroy (NAP)
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.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.091.002	Records relating to the conduct of clinical research. Includes records or documentation relating to the recruitment and consent of research participants, the collection and analysis of data, 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. 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, temporary toilets, etc. for special outdoor events.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
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 who received acute hospital care. Excludes Records on: <ul style="list-style-type: none"> <li>• Obstetric/maternal health, see 019.169.010</li> <li>• Genetic or inherited disorders, see 019.169.001</li> <li>• Sexual assault care, see 019.169.017, 019.169.018</li> <li>• Child at risk, see 019.169.019.</li> </ul>	Destroy 15 years after last action, or after the patient reaches the age of 25 years, whichever is later
019.169.004	Records of patients attending or presenting to Emergency Departments and not admitted as in-patients. Includes patients who are dead on arrival (DOA) and records contained in the Emergency Department Information System (EDIS).	Destroy 7 years after last action, or after the patient reaches the age of 25 years, whichever is later
019.169.006	Records of discharged patients of Extended Care or Non-acute Care Facilities. 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 the patient reaches the age of 18 years or 10 years after last action whichever is later

***Service Provision (Continued)***

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, temporary toilets, etc. for special outdoor events.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.169.008	Records of non-admitted patients. 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 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 (including mother’s record).	50 years after birth or 15 years since last action
019.169.012	Adoption records. Records documenting arrangements for adoptions that proceed. Includes associated social work, counselling or support 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.	Destroy 45 years after last action

***Service Provision (Continued)***

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 toilets, etc. for special outdoor events.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.169.015	Records documenting Assisted Reproductive Technology (ART) procedures 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, including gamete donors, 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 successful procedure
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 the treatment and care patients over 18 years of age who were victims of: - sexual assault or abuse - Physical abuse and neglect subject to mandatory reporting. Includes the abuse and neglect of children, young people and other vulnerable persons such as the elderly, disabled or person in care subject to mandatory reporting.	Destroy 75 years after date of birth of patient, or 15 years, after last action whichever is later
019.169.018	Records documenting the treatment and care patients under 18 years of age who were victims of: - sexual assault or abuse - physical abuse and neglect subject to mandatory reporting. Includes the abuse and neglect of children, young people and other vulnerable persons such as the elderly, disabled or person in care subject to mandatory reporting.	Destroy 75 years after date of birth of patient

**Service Provision (Continued)**

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, temporary toilets, etc. for special outdoor events.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
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, 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, or after the patient reaches the age of 25 years, whichever is later
019.169.024	Radiation Therapy records comprising dosimetry and calculation data, Technical data and Images. Localisation, portal or EPID image in proprietary digital format.  <i>[For records documenting radiation planning, treatment and dose delivery, use 019.169.059 and 019.169.060.]</i>	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 Logs or Registers relating to sterilisation of medical equipment.  <i>[For dental equipment, use HEALTH TREATMENT AND CARE – Service Provision, class 019.169.058.]</i>	Destroy 15 years after date of last entry

***Service Provision (Continued)***

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, temporary toilets, etc. for special outdoor events.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.169.027	Records relating to the management, treatment and care of patients 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 7 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.	Destroy 2 years after last action
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. Includes x-rays, videotapes, films, photographs or equivalent image recordings.	Destroy 7 years after last action, or after the patient reaches the age of 25 years, whichever is later
019.169.035	Graphical recordings or tracings of a graphical nature for patients created via diagnostic measuring processes, (e.g. Electroencephalograms, Electrocardiograms, Electromyograms or Cardiotocogram).	Destroy 7 years after last action, or after the patient reaches the age of 25 years, whichever is later



***Service Provision (Continued)***

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, temporary toilets, etc. for special outdoor events.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.169.037	Copies of requests and referrals for Laboratory tests or procedures held by the Diagnostic Service.	Destroy 3 years after last action
019.169.038	Copies of reports or findings of diagnostic or pathology procedures, tests or services. Includes associated declarations, consents, etc.	Destroy in accordance with current National Pathology Accreditation Advisory Council standards
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
019.169.045	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 in accordance with current National Pathology Accreditation Advisory Council standards
019.169.046	Laboratory records, diagnostic results and reports relating to donation and administration of blood and blood products.	Destroy in accordance with current National Pathology Accreditation Advisory Council standards

**Service Provision (Continued)**

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, temporary toilets, etc. for special outdoor events.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
019.169.049	Pharmacy copy of Pharmaceutical Prescriptions and records of supply. Includes: <ul style="list-style-type: none"> <li>• Cytotoxic Drugs</li> <li>• Drugs of Dependence</li> <li>• Inpatient prescriptions</li> <li>• Intravenous additives</li> <li>• Outpatient prescriptions</li> <li>• S100 prescriptions.</li> </ul>	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
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 logs relating to sterilisation of dental equipment.  [For all other medical equipment, use HEALTH TREATMENT AND CARE – Service Provision, class 019.169.025.]	Destroy 7 years after date of last entry

## EXPLANATORY NOTES

### *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.

## **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.

### **Significance**

Significance is determined according to the context, the government activity being undertaken and the level of impact on the government or the community<sup>1</sup>. Significant records may document an activity, event or decision that:

- sets a precedent;
- had considerable economic, environmental or social impact;
- lead to a change in government policy;
- implemented an innovative or important project or program;
- aroused wide scale controversy, public interest or external scrutiny; or
- represents a unique and notable event in the Territory's history.

### ***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.

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<sup>1</sup> Queensland State Archives, *Identify records with permanent archival, enduring or intrinsic value*, <https://www.forgov.qld.gov.au/identify-records-permanent-archival-enduring-or-intrinsic-value#significant> (accessed on 4 January 2019)