



PROS 09/09 VAR 4

**Retention and Disposal Authority for Records of
Mental Health, Alcohol and Drugs Service
Functions**

Status Date: 13/12/2022

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

INTRODUCTION

Variation

PROS 09/09 Variation 1

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention & Disposal Authority for Records of Mental Health, Alcohol and Drugs Services Functions, issued as Public Record Office Standard (PROS) 09/09 on 17/06/2010, as follows:

Inclusion of the following record class:

3.3.5 Summary record of statewide registered mental health patients. Includes the unique (mental health) registration number (known as statewide unit record (UR) number); legal basis for the provision of treatment, admission and service contact details, demographic data and clinical data such as diagnosis

Permanent: Retain as State Archives.

Transfer hard copy or electronic record to PROV when administrative use has concluded. Electronic records are to be transferred in VEO format.

[signed]

Justine Heazlewood

Director and Keeper of Public Records

24 November 2011

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

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PROS 09/09 Variation 2

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention & Disposal Authority for Records of Mental Health, Alcohol and Drugs Services Functions, issued as Public Record Office Standard (PROS) 09/09 on 17/06/2010, as follows:

1. Inclusion of the following record classes:

<u>Class No.</u>	<u>Description</u>	<u>Disposal Action</u>
8.1	<p>Summary records of alcohol and drug services case management. Depending on the nature of the services being offered, the summary record may include:</p> <ul style="list-style-type: none"> • name; • date of birth; • gender; • address and phone number; • client identifier (ID); • intake and assessment information; • professional network (these are agencies that may have had something to do with providing support services or health services to the client); • source of referral; • referrals made to other services; • commencement and completion dates; and • case closure summary 	<p>Temporary</p> <p>Destroy 30 years after the client has reached 18 years of age, or the date of last contact, whichever is later.</p>

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8.2	<p>Detailed client case records created and collated during the delivery of services.</p> <p>Includes:</p> <ul style="list-style-type: none"> • referrals and other admission documentation • session notes • assessment reports • correspondence with the client, professional support network providers (e.g. doctors and other medical specialists, accommodation providers etc) • court documentation (where the client is accessing the services as a result of a court order) 	<p>Temporary</p> <p>Destroy 12 years after the client has reached 18 years of age, or the date of last contact, whichever is later.</p>
8.3	<p>Records of referrals where no client intake results.</p>	<p>Temporary</p> <p>Destroy 5 years after date referral received.</p>

2. Class 7.1.3. records covering legal instruments to admit transfer and discharge a patient changed from **Permanent** to **Temporary** destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.

[signed]

Justine Heazlewood

Director and Keeper of Public Records

25 May 2017

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

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Variation 3

Public Records Act 1973 (Section 12) Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions (PROS 09/09)

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to Records of Mental Health, Alcohol and Drugs Service Functions, issued as Public Record Office Standard (PROS 09/09) on 17/06/2010, as follows:

Extension of the application of this Standard until 30/06/2023.

The addition of the following text to the scope of the RDA and across the body of the RDA as a footer:

This Retention and Disposal Authority **must be used in conjunction with PROS 19/08** Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

PROS 19/08 will apply unless existing retention periods in the RDA are greater than or equal to those specified in PROS 19/08.

The addition of the following text to the description of Function 4 Incident and Complaint Management:

[For records of child sexual abuse prevention, identification, investigation and resolution see PROS 19/08 Records of Organisational Response to Child Sexual Abuse Incidents and Allegations].

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director and Keeper of Public Records

Date of issue: 10/10/2019

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

Variation 4

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions (PROS 09/09)

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to Records of Mental Health, Alcohol and Drugs Service Functions, issued as Public Record Office Standard (PROS 09/09) on 17/06/2010, as follows:

Extension of the application of this Standard indefinitely.

This Variation shall have effect from its date of issue.

[Approved]

Justine Heazlewood

Director and Keeper of Public Records

Date of issue: 13/12/2022

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Retention and Disposal Authority No	PROS 09/09 VAR 4
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Scope	<p>Records of the Department of State with administrative oversight of the mental health, alcohol and drugs service function. RDA also authorises disposal of records created by mental health institutions directly managed by the agency up until 1996.</p> <p>This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.</p> <p>PROS 19/08 will apply unless existing retention periods in this RDA are greater than or equal to those specified in PROS 19/08.</p>
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Status	Issued by Keeper
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Issue Date	13/12/2022
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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

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Introduction

Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*. The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

Context of this Authority

Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from www.prov.vic.gov.au. These documents set out the procedures that must be followed by Victorian public offices.

Disposal of records identified in the Authority

Disposal of public records identified in this Authority must be undertaken in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

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For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

Normal Administrative Practice

PROS 22/04 Disposal Standard authorises the destruction of some public records under Normal Administrative Practice (NAP) principles. Low value facilitative records described below are authorised for destruction by *PROS 22/04* under NAP principles:

- working documents, such as notes or calculations, used to assist in the preparation of other records
- minor drafts and transitory documents, where the content is reproduced elsewhere, and the information will not be needed to show how the work has progressed or actions approved
- minor updates of content, such as those in databases, which will not be needed to show actions, decisions, or approvals
- communications for the purpose of making minor arrangements
- duplicate copies.

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Transfer of records to Public Record Office Victoria

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

Use of Other Authorities

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

Explanation of Authority Headings

Class Number

The class number or entry reference number provides citation and ease of reference.

Description

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

Status

This entry provides the archival status of each class - either permanent or temporary.

Custody

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria. Permanent records must be managed and transferred in accordance with PROV Standards.

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Concurrence of Public Office

This Authority has the concurrence of:

[signed]

Name: Fran Thorn

Position: Secretary, Department of Health

Date: 7 June 2010

Establishment of Standard

Pursuant to Section 12 of the *Public Records Act 1973*, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to Department of Health and Human Services. This standard as varied or amended from time to time, shall have effect from the date of issue unless revoked.

[signed]

Justine Heazlewood, Keeper of Public Records

Date of Issue: 17 June 2010

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
1	PROGRAMS, PRACTICE STANDARDS, GUIDELINES & RESEARCH	<p>The conduct of research into best practice, the development of programs and guidelines, the establishment and maintenance of practice standards and the management of programs and services for mental health, alcohol and drug clinical support, prevention and rehabilitation in Victoria.</p> <p>[For Permit Applications and Registration of Pharmacotherapy Service Providers and Patients, see <i>Retention & Disposal Authority for Records of the Public Health Function.</i>]</p>		
1.1	Conducting Research	The conduct of research that aims to lead and inform the development, adaptation and implementation of practices, policies, programs and guidelines for provision of mental health and alcohols and other drugs support, prevention and rehabilitation.		
1.1.1		<p>Research reports to establish best practice within an area and to inform policy and program development.</p> <p>Includes the analysis and review of Commonwealth and inter-state programs and guidelines, and research on program subject areas and research findings reported from other countries.</p> <p>Includes the review and analysis of coroner's reports and findings to identify trends in the cause of death of sections of the community deemed at risk and the actions to be addressed by the agency to reduce the risk.</p>	Permanent	Retain as State archives

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

PROS 19/08 will apply unless existing retention periods in this RDA are greater than or equal to those specified in PROS 19/08.

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
<i>PROGRAMS, PRACTICE STANDARDS, GUIDELINES & RESEARCH - Development and Production of Practice Standards and Guidelines</i>				
1.2	Development and Production of Practice Standards and Guidelines	The activities associated with the development and publication of practice standards and guidelines for use by service providers and clients.		
1.2.1		Records documenting the development of practice standards, programs and guidelines for the delivery of mental health, alcohol and drugs services to clients. Includes background research, drafts containing significant changes and approved final versions.	Permanent	Retain as State archives
1.3	Establishment, Review and Monitoring of Mental Health, Alcohol & Drugs Programs	The activities related to the establishment, review and monitoring of mental health, alcohol and drugs programs and services. Includes the collection of data related to the operation, the outcomes and costs of the programs and services.		
1.3.1		Records relating to the research, development and review of program and service content, audience and delivery mechanisms.	Permanent	Retain as State archives
1.3.2		Reporting on the treatment and progress of individual clients (de-identified) for measuring the performance, usage and outcomes of mental health, alcohol and drugs services.	Permanent	Retain as State archives
1.3.3		Aggregated data from quarterly surveys undertaken by registered service providers within the pharmacotherapy program. Services provided include methadone and buprenorphine therapy for people	Temporary	Destroy 50 years after survey completed.

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No	Function/Activity	Description	Status	Disposal Action
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PROGRAMS, PRACTICE STANDARDS, GUIDELINES & RESEARCH - Establishment, Review and Monitoring of Mental Health, Alcohol & Drugs Programs

		with an opioid addiction.		
1.3.4		Quarterly survey responses provided by registered service providers within the pharmacotherapy program. Services provided include methadone and buprenorphine therapy for people with an opioid addiction.	Temporary	Destroy 5 years after data has been aggregated.
1.3.5		Records of formal clinical reviews of public mental health services undertaken in accordance with s.106 of the <i>Mental Health Act</i> 1986 by the Office of the Chief Psychiatrist that lead to change in policy and guidelines. Includes analysis and evaluation of findings and the recommendations provided to individual or all mental health services. [Note: Copy of the review relating to an individual is placed on patient file. Refer to the <i>General Retention & Disposal Authority for Public Health Services Patient Information Records</i> .]	Permanent	Retain as State archives
1.3.6		Records of formal clinical reviews of public mental health services undertaken in accordance with s.106 of the <i>Mental Health Act</i> 1986 by the Office of the Chief Psychiatrist that <u>does not</u> least to change in policy and guidelines. Includes analysis and evaluation of findings and the recommendations provided to individual or all mental health services. [Note: Copy of the review relating to an individual is placed on patient file. Refer to the <i>General Retention</i>	Temporary	Destroy 10 years after conduct of the review and the release of the findings.

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

PROS 19/08 will apply unless existing retention periods in this RDA are greater than or equal to those specified in PROS 19/08.

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No	Function/Activity	Description	Status	Disposal Action
<i>PROGRAMS, PRACTICE STANDARDS, GUIDELINES & RESEARCH - Establishment, Review and Monitoring of Mental Health, Alcohol & Drugs Programs</i>				
		<i>& Disposal Authority for Public Health Services Patient Information Records.]</i>		
1.3.7		Aggregated, de-identified data from monthly statistical returns submitted by providers of the needle and syringe program (NSP) summarising drug user contact, overdose incidence, syringe disposal actions, and injection kit distribution. The program provides needle, syringe and safe disposal packages as well as information and education on safe practices for injecting drug users in order to minimise the spread of blood borne viruses HIV / AIDS and hepatitis B and C among injecting drug users and to the wider community.	Temporary	Destroy 25 years after administrative use of the data has ceased or the program has been terminated.
1.3.8		Monthly statistical returns submitted by providers administering a needle and syringe (NSP) program indicating drug user contact, overdose incidence, syringe disposal actions, and injection kit distribution.	Temporary	Destroy 1 year after aggregation and validation of the data.
1.4	Approval of Access to Mental Health Data and Information	The activities associated with processing applications from agencies, private sector organisations and individuals for access to the data and information held by the agency in relation to mental health, alcohol and drugs. Requests for information must be assessed against privacy and other criteria before access is granted or data released. [For requests that are re-directed to the Freedom of Information process, see <i>General Retention &</i>		

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

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No	Function/Activity	Description	Status	Disposal Action
<i>PROGRAMS, PRACTICE STANDARDS, GUIDELINES & RESEARCH - Approval of Access to Mental Health Data and Information</i>				
		<i>Disposal Authority for the Records of Common Administrative Functions.]</i>		
1.4.1		Records of the applications made for access to patient identifying data maintained by the agency including the decision of the agency on whether to provide or withhold access to the requested data.	Temporary	Destroy 15 years after request finalised.
1.4.2		Records of the applications made for access to non patient data (services and programs) or de-identified patient data maintained by the agency including the decision of the agency on whether to provide or withhold access to the requested data.	Temporary	Destroy 5 years after request finalised.
2	FORENSIC LEAVE & SPECIAL LEAVE APPEALS MANAGEMENT	<p>The function of assessing and approving leave from secure custody for mental health forensic patients and for hearing appeals against the refusal of special leave from secure custody.</p> <p>Forensic Leave may only be approved by the Forensic Leave Panel and for the purposes defined in the <i>Mental Health Act 1986</i> and the <i>Crimes (Mental Impairment and Unfitness to be Tried) Act 1997</i>.</p> <p>Special leave may be granted by authorised persons in an approved mental health service for the specific reason defined in the <i>Crimes (Mental Impairment and Unfitness to be Tried) Act 1997</i>. However, the Forensic Leave Panel is empowered to hear appeals from forensic and security patients when special leave has been refused.</p>		

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

PROS 19/08 will apply unless existing retention periods in this RDA are greater than or equal to those specified in PROS 19/08.

Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

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No	Function/Activity	Description	Status	Disposal Action
<i>FORENSIC LEAVE & SPECIAL LEAVE APPEALS MANAGEMENT - Assessment of Forensic Leave Applications and Special Leave Appeals</i>				
2.1	Assessment of Forensic Leave Applications and Special Leave Appeals	The activities associated with the assessment of applications for forensic leave, the conduct of formal hearings, and the making of orders for the granting of leave and associated conditions. Includes the hearing of appeals where special leave has been denied to a patient.		
2.1.1		Records of agendas and proceedings of the Forensic Leave Panel.	Temporary	Destroy 15 years after date of meeting.
2.1.2		Applications and submissions made to and orders made by the Forensic Leave Panel for Forensic Leave and Special Leave Appeals.	Temporary	Destroy 15 years after person is no longer classified as a forensic patient, or access on behalf of patient.
2.1.3		Annual reports submitted by the Forensic Leave Panel to the responsible Minister. The reports detail the numbers of applications processed during the year, the number of applications approved and rejected and the number of suspensions of leave ordered by the panel.	Permanent	Retain as State archives
2.2	Forensic Leave Panel Appointments	The appointment of members to the Forensic Leave Panel as required by Section 59 of the <i>Crimes (Mental Impairment and Unfitness To Be Tried) Act 1997</i> .		
2.2.1		Records of the nomination, appointment, resignation and retirement of panel members.	Permanent	Retain as State archives

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

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No	Function/Activity	Description	Status	Disposal Action
<i>MENTAL HEALTH & DRUGS SERVICE PROVIDER REGULATION</i>				
3	MENTAL HEALTH & DRUGS SERVICE PROVIDER REGULATION	The function of regulating and monitoring service providers in the areas of mental health services and alcohol and other drugs support programs. [For the selection and appointment of service providers, see Contracting-Out in <i>General Retention & Disposal Authority for Records of Common Administrative Functions.</i>]		
3.1	Registration of Authorised Psychiatrists	The activities associated with maintaining a register of authorised psychiatrists appointed by the Mental Health Services and reported in accordance with the <i>Mental Health Act 1986</i> .		
3.1.1		Register of authorised psychiatrists including their name, qualifications, name of mental health service they are appointed to, date of appointment and date appointment ceases.	Permanent	Retain as State archives
3.1.2		Notifications of the appointment of authorised psychiatrists by mental health services.	Temporary	Destroy 2 years after entry on the authorised psychiatrist register.
3.1.3		Appointments of authorised psychiatrists for mental health services operated by the Agency which are made by the Secretary. Includes notices of retirements and resignations.	Permanent	Retain as State archives
3.2	Service Provider Monitoring	The monitoring of service providers, to ensure their accountability and quality and effectiveness of the services provided.		

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

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No	Function/Activity	Description	Status	Disposal Action
<i>MENTAL HEALTH & DRUGS SERVICE PROVIDER REGULATION - Service Provider Monitoring</i>				
3.2.1		Records documenting the monitoring of service providers. Includes annual reviews, reporting, and records of meetings.	Temporary	Destroy 10 years after expiry of the service provider's contract.
3.3	Monitoring of Patient Health & Treatment	<p>The activities associated with the mandatory reporting and review of the health, well-being and treatment of mental health patients including:</p> <ul style="list-style-type: none"> • the annual examination of mental health patients as to mental and general health, • the review of deaths of mental health patients, • the systematic review of patient treatment plans and patient treatment at approved mental health services, and the • discretionary review of the well-being and treatment of a patient based on the findings of a coronial report, complaint, etc. 		
3.3.1		Records of the annual (or other period) mental and general health examination of mental health patients. (Section 87 of the <i>Mental Health Act 1986</i>).	Temporary	Destroy 5 years after review completed.
3.3.2		<p>Records associated with the case review by the Chief Psychiatrist of the treatment and care of both voluntary and involuntary patients. Includes:</p> <ul style="list-style-type: none"> • patient details and history; • treatment plan/s; 	Temporary	Destroy 25 years after discharge of the patient.

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No	Function/Activity	Description	Status	Disposal Action
<i>MENTAL HEALTH & DRUGS SERVICE PROVIDER REGULATION - Monitoring of Patient Health & Treatment</i>				
		<ul style="list-style-type: none"> • treatment history; and • the advice or directions provided to the mental health service provider. 		
3.3.3		Records of the review of Reportable Deaths by the Chief Psychiatrist where the review has resulted in the agency undertaking a formal investigation of the case. Records include the details and outcome of the associated investigation.	Permanent	Retain as State archives
3.3.4		Records of the review of Reportable Deaths by Chief Psychiatrist and which have not required additional review or investigation by the agency.	Temporary	Destroy 15 years after review completed.
3.3.5		Summary record of statewide registered mental health patients. Includes the unique (mental health) registration number (known as statewide unit record (UR) number); legal basis for the provision of treatment, admission and service contact details, demographic data and clinical data such as diagnosis	Permanent	Retain as State archives
3.4	Licensing of Electroconvulsive Therapy Facilities	The activities associated with the regulation of premises to undertake electroconvulsive therapy under Section 75 of the <i>Mental Health Act</i> 1986. The licence covers the suitability of the premises, the personnel and the equipment.		
3.4.1		Summary records of premises licensed to undertake electroconvulsive therapy (ECT). Includes: <ul style="list-style-type: none"> • location of the facility; 	Permanent	Retain as State archives

This Retention and Disposal Authority must be used in conjunction with PROS 19/08 Retention and Disposal Authority for Records of Organisational Response to Child Sexual Abuse Incidents and Allegations for records of child sexual abuse prevention, identification, investigation and resolution.

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No	Function/Activity	Description	Status	Disposal Action
<i>MENTAL HEALTH & DRUGS SERVICE PROVIDER REGULATION - Licensing of Electroconvulsive Therapy Facilities</i>				
		<ul style="list-style-type: none"> • date of first licence issue; • renewal history; • expiry date of the licence; and • contact details for the person/s responsible for the facility. 		
3.4.2		Records of successful applications for licensing of an electroconvulsive therapy (ECT) facility including successful licence renewals. Includes applications, supporting documentation and any response or conditions specified by the agency for granting the licence or licence renewal.	Temporary Temporary	Destroy 15 years after expiry or termination of license.
3.4.3		Records of unsuccessful applications for the licensing of an electroconvulsive therapy (ECT) facility or the renewal of a licence including the reasons for not granting the licence or licence renewal.	Temporary	Destroy 10 years after date of decision.
3.4.4		Records of the reasons for and the actions undertaken by the agency to revoke an active licence.	Temporary	Destroy 10 years after date of decision.
3.4.5		Records of Victorian Civil and Administrative Tribunal (VCAT) appeals against the decision by the agency to refuse the granting of an electroconvulsive therapy (ECT) licence or to revoke a current licence. Includes the decision and orders made by the tribunal.	Temporary	Destroy 10 years after date VCAT decision is made.

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
<i>MENTAL HEALTH & DRUGS SERVICE PROVIDER REGULATION - Monitoring of Clinical Intervention</i>				
3.5	Monitoring of Clinical Intervention	The statutory reporting and examination of the use clinical inventions of seclusion, mechanical restraint and electroconvulsive therapy (ECT). The examination of these reports enables the Chief Psychiatrist to monitor use of these regulated practices and analyse trends over time.		
3.5.1		Summary record of the use of seclusion, electroconvulsive therapy (ECT), and mechanical restraints by service providers in the treatment of mental health clients.	Permanent	Retain as State archives
3.5.2		Monthly returns of notifications by service providers of the use of patient seclusion, electroconvulsive therapy (ECT) or mechanical restraints in the treatment of mental health patients.	Temporary	Destroy 2 years after review.
4	INCIDENT AND COMPLAINT MANAGEMENT	<p>The management of the response to and the investigation of incidents and complaints in respect to the delivery of mental health and alcohol and drug services which may impact on client well-being, client service or the effective delivery of the service.</p> <p>Includes the process of investigating an incident and resolving any underlying issues or addressing risks that may have contributed to the incident.</p> <p>The Alcohol and Drug service providers commissioned by the Department to provide drug rehabilitation and harm reduction services are required to report all Category One and Two</p>		

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
<i>INCIDENT AND COMPLAINT MANAGEMENT - Incident Reporting</i>				
		incidents. [For records of child sexual abuse prevention, identification, investigation and resolution see PROS 19/08 Records of Organisational Response to Child Sexual Abuse Incidents and Allegations].		
4.1	Incident Reporting	The reporting of incidents that occur and affect a client. Includes the investigation of an incident and the resolving or addressing any issues that may have contributed to the incident. [For records of policy or procedure review, or staff education /training, or staff discipline, or litigation arising from an incident, see <i>General Retention and Disposal Authority for Records of Common Administrative Functions.</i>]		
4.1.1		Records of Category One incident reporting, investigation and review. Category One incidents include: <ul style="list-style-type: none"> • the death of, or serious injury to a client; • allegations of, or actual physical or sexual assault; • a fire involving death or serious injury; • a serious fire resulting in closure or significant damage to parts of a building or its contents which pose a threat to the health and safety of staff and clients; 	Permanent	Retain as State archives

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
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INCIDENT AND COMPLAINT MANAGEMENT - Incident Reporting

		<ul style="list-style-type: none"> • serious property damage resulting in closure or significant damage to parts of a building or its contents, which poses a threat to the health and safety of staff or clients; • any escape, or abscond while on temporary leave, of a person in a youth custodial centre; • unauthorised absenteeism from secure welfare services; • unauthorised absenteeism from the Disability Services state-wide forensic services, unauthorised absenteeism from the Disability Services Long Term Residential Program Plenty Residential Services; • the apparent drug or alcohol related death of a client in AOD services irrespective of location of the incident; • an event that has the potential to involve the relevant Minister; • an event that has the potential to subject the Department or CSO to high levels of public or legal scrutiny. <p>Includes any briefings given to the Minister, other members of Parliament, the Secretary or other stakeholders that result from incident investigation and reporting.</p> <p>Includes records of any decisions made regarding the resolution of issues or risk mitigation that may assist</p>		
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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
<i>INCIDENT AND COMPLAINT MANAGEMENT - Incident Reporting</i>				
		<p>in the prevention of similar incidents occurring. Includes summary record of Category One incidents.</p> <p>[For incidents such as fire or serious property damage relating to public housing and Office of Housing programs, use <i>Retention & Disposal Authority for Records of the Housing Function</i>]</p>		
4.1.2		<p>Records of Category Two incident reporting, investigation and review.</p> <p>Category Two incidents include:</p> <ul style="list-style-type: none"> • an injury for which a person attends and/or receives treatment by a medical practitioner but is not admitted to hospital as an inpatient; • assaults that do not classify as category one incidents; • serious threats made against clients or staff; • unethical behaviour by staff, particularly if it involves taking advantage of clients; • client behaviour that poses a threat to other clients or others; • criminal behaviour resulting in police intervention; • unauthorised absenteeism resulting in a warrant being sought, or a missing persons report filed, for a client from a placement and 	Temporary	Destroy 7 years after the date of incident, or any resulting investigation concludes, or any applicable appeal period expires, whichever is longer.

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
<i>INCIDENT AND COMPLAINT MANAGEMENT - Complaints</i>				
		<p style="text-align: center;">support CSO;</p> <ul style="list-style-type: none"> • unauthorised absenteeism without approval whilst subject to a supervised treatment order; and • incidents that have the potential to escalate to a category one. <p>Includes any briefings given to the Secretary or other stakeholders that result from incident investigation and reporting.</p> <p>Includes records of any decisions made regarding the resolution of issues or risk mitigation that may assist in the prevention of similar incidents occurring.</p> <p>Includes summary record of Category Two incidents.</p>		
4.2	Complaints	<p>The management of complaints in respect to the mental health service and alcohol and drug services. Includes complaints of both specific and general issues regarding patients, the mental health system, patient rights, agency obligations and other matters as required by the Mental Health Act 1986. Also includes complaints regarding alcohol and drug programs.</p> <p>[For enquires, see Community Relations in <i>General Retention & Disposal Authority for Records of Common Administrative Functions</i>]</p>		
4.2.1		Records of complaints made regarding any aspect of the mental health service including treatment of specific patients, and of alcohol and drug services	Temporary	Destroy 7 years after complaint is considered

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
<i>INCIDENT AND COMPLAINT MANAGEMENT - Complaints</i>				
		which require investigation and further action to resolve. Includes outcome of investigation and response provided. [For complaints that lead to a formal investigation undertaken by the Office of the Chief Psychiatrist, see 3.3.0 Monitoring Patient Health and Treatment.]		closed.
4.2.2		Records of complaints made regarding any aspect of the mental health service including treatment of specific patients, and of alcohol and drug services which are of a minor nature and can be answered without recourse to further investigation or action. Includes details of response provided.	Temporary	Destroy 2 years after complaint is considered closed.
4.2.3		Summary record of complaints in respect to the mental health services. Includes name of complainant, details of complaint and outcome of complaint.	Temporary	Destroy 25 years after complaint resolved.
5	ALLOCATION OF TRUST FUNDS	The function of allocating funds to mental health clients from trust funds which exist for the use of current mental health clients for specified purposes to assist with improving the quality of their lives.		
5.1	Applications for Funding	The evaluation and approval for allocation of trust funds for specific approved purposes to a current recipient of mental health services.		
5.1.1		Summary record of applications received and the outcomes. Includes date of application, name and address of applicant, summary of request and	Temporary	Destroy 7 years after the end of the financial year in which the

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
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ALLOCATION OF TRUST FUNDS - Applications for Funding

		funding requirements and the application outcome.		application is made.
5.1.2		<p>Successful applications for funding. Records include:</p> <ul style="list-style-type: none"> • the application; • clarification or modification of the application as requested by the agency; • the decision to approve funding of the application or not; and • notification to the fund manager for release of approved funds. 	Temporary	Destroy 7 years after application is finalised.
5.1.3		Records of unsuccessful applications for funds.	Temporary	Destroy 2 years after last action.
6	TRAINING	<p>The management of training to organisations that participate in the delivery of mental health, alcohol and other drugs programs and services. [</p> <p>For the management of training for Department employees, see <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i>.]</p> <p>[For enquiries, see Community Relations in <i>General Retention & Disposal Authority for Records of Common Administrative Functions</i>]</p> <p>[For advice to government bodies, see <i>Government Relations in General Retention & Disposal Authority for Records of Common Administrative Functions</i>]</p>		

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
<i>TRAINING - Training of Pharmacotherapy Providers</i>				
6.1	Training of Pharmacotherapy Providers	The development of training courses and training materials for health professionals such as General Practitioners engaged in delivery of the pharmacotherapy program.		
6.1.1		Records documenting the development of training programs and materials to inform general practitioners and other health professionals participating in the delivery of the pharmacotherapy program.	Temporary	Destroy 7 years after the material is replaced or superseded.
7	CLINICAL CLIENT SERVICES (up to 1996)	<p>The function of managing mental health patients (voluntary and involuntary) within institutions established by and directly managed by the agency up until 1996. The agency progressively decommissioned its directly managed institutions and this function has mostly transferred into the non-government sector albeit under agency guiding and funding support.</p> <p>[For records of patient treatment post 1996 use <i>General Retention & Disposal Authority for Patient Information Records.</i>]</p> <p>[For institutional administrative records, use <i>General Retention & Disposal Authority for Records of Common Administrative Functions.</i>]</p> <p>[For student nursing records, use <i>General Retention & Disposal Authority for the Records of Higher and Further Education Institutions.</i>]</p>		

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
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CLINICAL CLIENT SERVICES (up to 1996) - Patient Admission and Discharge

7.1	Patient Admission and Discharge	The admission and discharge of mental health patients (voluntary and involuntary) into psychiatric hospitals and treatment centres.		
7.1.1		Admission registers maintained by each facility recording patient admissions. Details recorded in registers include: date of previous admission, sequence number. of admission, sex; patient name, age, marital status, occupation, address; admission authority, medical certificate date; form of mental disorder, cause of insanity, bodily condition/s; epileptics, duration of existing attack; number of previous attacks, age on first attack; date of discharge, removal or death; condition at discharge, cause of death, age at death; present at death; observations.	Permanent	Retain as State archives
7.1.2		Admission index cards which were used in conjunction with the admission register. Each institute maintained its own set of index cards which recorded details including: patient initial (surname), name of institution; name, age, sex, marital status, occupation; date of reception, previous admissions, reason for reception; section of <i>Lunacy Act</i> applicable to committal; causation of insanity, certifying medical practitioners; previous place of abode, names and addresses of relatives; names and addresses of persons signing to receive; mental and physical condition, medical superintendent; date transferred, date boarded out, allowed on probation; discharged date and reason; section 88 examination	Permanent	Retain as State archives

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
<i>CLINICAL CLIENT SERVICES (up to 1996) - Patient Admission and Discharge</i>				
		<p>dates; date of death.</p> <p>The early versions of the index cards (pre 1940) provided for single admissions and a reference to the warrant numbers was added retrospectively. Later versions of the index cards (post 1940) provided for details of multiple admissions.</p>		
7.1.3		Legal instruments to admit transfer and discharge a patient. Include admission and discharge warrants.	Temporary	Destroy 25 years after date of last attendance, or access by or on behalf of the patient provided they have reached 43 years of age.
7.1.4		Discharge registers maintained by each facility which recorded details including the sequence number of discharge, date of last admission, sequence number in admission register, patient name, sex, condition at discharge, and observations.	Permanent	Retain as State archives
7.1.5		Records of the monitoring by the Chief Psychiatrist on the treatment and care of patients within institutions. Includes the Chief Psychiatrist patient index cards which records details of compulsory examinations undertaken by the Chief Psychiatrist.	Permanent	Retain as State archives
7.1.6		Records of assets, property and effects left with the State Trustee Office during the term of an admission.	Temporary	Destroy 10 years after discharge or death of the patient and transfer of the assets back to

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
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CLINICAL CLIENT SERVICES (up to 1996) - Patient Treatment

				the patient, next of kin or persons acting with power of attorney or transfer of the assets, property etc. Into custody of the State Trustee's Office.
7.2	Patient Treatment	Activities related to the provision of treatment to patients. Includes the administration of specialised treatment provided which included electroconvulsive therapy (ECT), seclusion and mechanical constraints of patients.		
7.2.1		<p>Records documenting case histories of individuals who were mental health patients within institutions. Record details including:</p> <ul style="list-style-type: none"> • patient name, age, birthplace, occupation, religion, marital status, number of children, next of kin, • date admitted or transferred to Receiving House; date admitted or transferred to institution, date on trial leave, date boarded out, date discharged and reason for discharge, date of death, • voluntary or involuntary status of patient, • medical history of patient prior to being admitted, including details of previous stays in institutions, 	Permanent	Retain as State archives

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

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No	Function/Activity	Description	Status	Disposal Action
<i>CLINICAL CLIENT SERVICES (up to 1996) - Patient Treatment</i>				
		<ul style="list-style-type: none"> • medical condition of patient at point of admission, • medical treatment of patient whilst in institution, including diagnosis and prognosis, and • periodic observations and examinations. 		
7.2.2		Records of authorities (warrants) for the provision of non-psychiatric treatment and specialised treatment which includes electroconvulsive therapy, seclusion and mechanical restraint of patients.	Temporary	Destroy 15 years after last action.
8	ALCOHOL AND DRUG CLIENT CASE MANAGEMENT	<p>The management of alcohol and drug treatment and support services funded by the Department and delivered by registered community and health service organisations across Victoria.</p> <p>Includes:</p> <ul style="list-style-type: none"> • intake and assessment services • prevention and harm reduction • face to face, online and telephone counselling • care and recovery coordination for high risk clients • non-residential and inpatient withdrawal services • therapeutic day rehabilitation - includes life skills and wellbeing support 		

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Retention and Disposal Authority for Records of Mental Health, Alcohol and Drugs Service Functions

Authority number: PROS 09/09 VAR 4

No	Function/Activity	Description	Status	Disposal Action
<i>ALCOHOL AND DRUG CLIENT CASE MANAGEMENT</i>				
		<ul style="list-style-type: none"> • forensic services and diversion programs • pharmacotherapy • Aboriginal community controlled programs • youth specific services • compulsory treatment • support for dependent children and other family members • peer support 		
8.1		<p>Summary records of alcohol and drug services case management. Depending on the nature of the services being offered, the summary record may include:</p> <ul style="list-style-type: none"> • name; • date of birth; • gender; • address and phone number; • client identifier (ID); • intake and assessment information; • professional network (these are agencies that may have had something to do with providing support services or health services to the client); 	Temporary	Destroy 30 years after the client has reached 18 years of age, or the date of last contact, whichever is later.

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No	Function/Activity	Description	Status	Disposal Action
<i>ALCOHOL AND DRUG CLIENT CASE MANAGEMENT</i>				
		<ul style="list-style-type: none"> • source of referral; • referrals made to other services; • commencement and completion dates; and • case closure summary 		
8.2		<p>Detailed client case records created and collated during the delivery of services.</p> <p>Includes:</p> <ul style="list-style-type: none"> • referrals and other admission documentation • session notes • assessment reports • correspondence with the client, professional support network providers (e.g. doctors and other medical specialists, accommodation providers etc) • court documentation (where the client is accessing the services as a result of a court order) 	Temporary	Destroy 12 years after the client has reached 18 years of age, or the date of last contact, whichever is later.
8.3		Records of referrals where no client intake results.	Temporary	Destroy 5 years after date referral received.

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