

**State Archives and Records Authority of New
South Wales**

**Functional Retention and Disposal
Authority: FA306**

This authority covers records documenting the function of support and services for older people, people with a disability and their families and carers

This retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.

State Archives and Records Authority of New South Wales

Functional Retention and Disposal Authority

Authority no FA306

SR file no 04/0310,
16/0623

Scope This retention and disposal authority covers records documenting the function of support and services for older people, people with a disability and their families and carers from 1960 onwards.

Public office Department of Family and Community Services

Issued date 17/06/2011

Revised 16/01/2019
Amended to cover records relating to child sexual abuse (entries 1.1.2, 1.2.2, 3.1.3 & 5.2.2)

About the Functional Retention and Disposal Authority

Purpose of the authority

The purpose of this retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met.

The approval for disposal given by this authority is given under the provisions of the *State Records Act 1998* only and does not override any other obligations of an organisation to retain records.

The retention and disposal of State records

The records retention and disposal practices outlined in this authority are approved under section 21(2)(c) of the *State Records Act 1998 (NSW)*. Part 3 (Protection of State Records) of the Act provides that records are not to be disposed of without the consent of the State Archives and Records Authority of New South Wales (State Archives and Records NSW) with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Archives and Records NSW does not disapprove. Advice on the State Records Act can be obtained from State Archives and Records NSW.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. State Archives and Records NSW reviews and approves organisations' retention and disposal authorities under the *State Records Act*. It is the duty of a public office, in submitting a draft retention and disposal authority for approval, to disclose to State Archives and Records NSW any information which affects the retention of the records covered by the authority.

State Archives and Records NSW's decisions take into account both the administrative requirements of public offices in discharging their functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Archives and Records NSW's functions is to identify and preserve records as State archives. These are records which document the authority and functions of Government, its decision-making processes and the implementation and outcomes of those decisions, including the nature of their influence and effect on communities and individual lives. Criteria for the identification of State archives are listed in *Building the Archives: Policy on records appraisal and the identification of State archives*. The Policy also explains the roles and responsibilities of State Archives and Records NSW and of public offices in undertaking appraisal processes and disposal activities.

Implementing the authority

This retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority should be implemented as part of the records management program of the organisation. Two primary objectives of this program are to ensure that records are kept for as long as they are of value to the organisation and its stakeholders and to enable the destruction or other disposal of records once they are no longer required for business or operational purposes.

The implementation process entails use of the authority to sentence records. Sentencing is the examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. For further advice see *Implementing a retention and disposal authority*.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see the *General Retention and Disposal Authority – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology dependent records is available for the periods prescribed.

Disposal action

Records required as State archives

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these records should be transferred to State Archives and Records NSW when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Archives and Records NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Archives and Records NSW should be a routine and systematic part of a public office's records management program. If the records are more than 25 years old and are still in use for official purposes, then a 'still in use determination' should be made.

Records approved for destruction

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, government directives and changing social or community expectations. A public office **must not** dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, formal applications for access) where the records may be required as evidence.

Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded. See *Destruction of records: a practical guide*.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Archives and Records NSW recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office **must not** permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Archives and Records NSW.

Administrative change

This retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Archives and Records NSW for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Archives and Records NSW to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

Amendment and review of this authority

State Archives and Records NSW must approve any amendment to this authority. Public offices that use the authority should advise State Archives and Records NSW of any proposed changes or amendments to the authority.

State Archives and Records NSW recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Archives and Records NSW may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements, procedures or to operating environments which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Archives Records NSW and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

Contact Information

State Archives and Records NSW
 PO Box 516
 Kingswood NSW 2747
 Telephone: (02) 9673 1788
 E-mail: govrec@records.nsw.gov.au

Functional Retention and Disposal Authority
Support and services for older people, people with a disability and
their families and carers

Authority number: FA306

Dates of coverage: 1960+

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Functional Retention and Disposal Authority

Support and services for older people, people with a disability and their families and carers

Authority number: FA306

Dates of coverage: 1960+

No.	Description of records	Disposal action
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1.0.0 COMMUNITY CLIENTS

The function of providing services to people with disabilities or older people where the agency is not the primary carer, i.e. who are not residents of supported accommodation.

Includes day programs, licensed residential centres (boarding houses), domestic and personal assistance, respite care, and early intervention programs for children with a disability.

See **SERVICE PARTNERSHIPS** for records relating to the funding of providers of supported accommodation or other community based projects or services

See **SERVICES DEVELOPMENT - Publishing** for guides and information resources relating to services

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of committees or expert advisory groups established to support the administration and management of community clients, e.g. Community Support Team Meetings

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS** for records relating to routine enquiries from potential clients, other organisations and carers about services offered by the agency to clients for respite, in-home care etc and for comments from the public and others about the general nature of services.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS** for records relating to the provision of advice to the portfolio Minister or other government organisations, formal or official investigations or inquiries and for records relating to the development, amendment or review of legislation

See General Retention and Disposal Authority *Administrative records* **PERSONNEL - Misconduct** for records relating to investigation and handling of complaints against staff including allegations and cases of child sexual abuse.

1.1.0 Casework

The activities associated with the case management of community clients.

This may include needs assessment, development monitoring and review of individual plans, referral to service providers, service coordination, diagnostic assessment, behaviour intervention and support, counselling, skills development, therapy, and community and social participation.

See **SUPPORTED ACCOMMODATION SERVICES - Casework** for records relating to the case management of clients in residential centres and group homes.

1.1.1	Summary records of clients and services used or	Required as State
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COMMUNITY CLIENTS - Casework

	provided. Records/recorded information includes client details such as date of birth, nature of disability, date registered for care, services used or provided and significant events, such as complaints or incidents.	archives
1.1.2	<p>Records relating to the provision and management of respite care for clients who are not in supported accommodation, including short-term and time-limited breaks from their primary care givers.</p> <p>Records include case files, family history, medical details, finance arrangements, individual plans for care, contract of stay, shift reports/individual client reports, complaints and incident reporting etc.</p> <p>Note: All respite care files should be carefully reviewed before disposal. The retention periods for these records are minimum retention periods only and care should be taken to retain records for longer periods if appropriate.</p>	<p>Retain minimum of 15 years after last stay or action completed or until client attains or would have attained the age of 25, whichever is longer, then destroy</p> <p>For records relating to allegations or cases of child sexual abuse: Retain minimum of 45 years after action completed, then destroy</p>
1.1.3	Records relating to summaries of monies brought into respite centres by clients and how this money is disbursed.	Retain minimum of 7 years after action completed, then destroy
1.1.4	Records relating to the provision of oversight of boarding house clients. Records include records of client assessment, screening and management, and transition plans for individual clients.	Retain minimum of 15 years after action completed or until client turns 75, whichever is longer, then destroy
1.1.5	<p>Records relating to the provision of domestic, in-home support and personal assistance and support to individual clients. Includes the provision of services such as domestic assistance, personal care, home maintenance and modifications, social support, centre-based day care, transport, linen and food services, in-home respite, paramedical/allied health and nursing care, assessment, referral and case management.</p> <p>Records include referrals, intake, assessment, financial information, service needs assessments, service agreements, client history and notes, correspondence, discontinuation details, complaints and incident reporting etc.</p>	Retain minimum of 7 years after action completed or until client attains or would have attained the age of 25, whichever is longer, then destroy

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COMMUNITY CLIENTS - Casework

1.1.6	Records relating to the assessment of clients who subsequently are not provided with any services. Records include applications for services, assessment reports and associated correspondence, and records relating to appeals or reviews of processes.	Retain minimum of 7 years after action completed, then destroy
1.1.7	Records relating to the timetabling and rostering of assessments to clients, enquiries, provision of routine information, routine correspondence etc.	Retain minimum of 2 years after action completed, then destroy

1.2.0 Complaints & Investigations

The process of managing and investigating complaints and incidents.

See **COMMUNITY CLIENTS - Casework** for records of complaints relating to a specific client.

See **SERVICE PARTNERSHIPS - Contracted Services / Outsourcing** for records relating to reviews of funded service providers that result in the termination of funding and investigation of a service provider.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS** for records relating to the provision of documents to Parliament in compliance with Standing Order 52 and for records relating to investigations carried out by persons or bodies who have been empowered to inquire and report on a subject, such as Royal Commissions and Parliamentary or Ombudsman's inquiries.

See General Retention and Disposal Authority *Personnel records* **PERSONNEL - Discipline** for records relating to the investigation and handling of complaints or protected disclosures relating to an individual employee.

1.2.1	<p>Records relating to the management, handling, review and/or investigation of complaints or incidents concerning the provision of services or care to people with a disability or older people, including respite care clients and clients in licensed premises, that:</p> <ul style="list-style-type: none"> • involve substantiation of serious complaints (such as physical abuse or neglect of clients) • involve identification of systemic problems, major mismanagement or corrupt behaviour • result in litigation or referral to an external arbitrator (such as the Ombudsman or the former Community Services Commission) • result in criminal proceedings against a licensee 	Required as State archives
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COMMUNITY CLIENTS - Complaints & Investigations

	<p style="text-align: center;">or the closure of a service or licensed premise</p> <ul style="list-style-type: none"> • involve or relate to the death or serious injury of a client. <p>Includes records of internal investigation or review processes, briefings, notifications, reports and associated correspondence.</p>	
1.2.2	<p>Records relating to the management and handling of complaints or incidents concerning the provision of services or care to people with a disability or older people, including respite care clients and clients in licensed premises, that do not:</p> <ul style="list-style-type: none"> • involve substantiation of serious complaints (such as physical abuse or neglect of clients) • involve identification of systemic problems, major mismanagement or corrupt behaviour • result in litigation or referral to an external arbitrator (such as the Ombudsman or the former Community Services Commission) • result in criminal proceedings against a licensee and/or the closure of a licensed premise or service • involve or relate to the death or serious injury of a client. <p>Includes records of internal investigation and review processes, briefings, notifications, reports and associated correspondence.</p>	<p>Retain minimum of 10 years after action completed or until client attains or would have attained the age of 25, whichever is longer, then destroy</p> <p>For records relating to allegations or cases of child sexual abuse: Retain minimum of 45 years after action completed, then destroy</p>
1.2.3	<p>Statistical and summary records of complaints or incidents that identify patterns of concern or provide a summary record of the occurrence of incidents or complainant issues.</p>	<p>Required as State archives</p>

1.3.0 Licensing

The activities associated with the regulation and monitoring of centres or premises, such as boarding houses, homes or hostels, that provide residential accommodation for people with disabilities. Includes:

- developing conditions and standards relating to the licensing of residential centres (i.e. boarding houses, homes or hostels)
- assessing, granting and revoking licenses

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COMMUNITY CLIENTS - Licensing

- ensuring residents are receiving adequate and appropriate care and that licensees, licensed managers and their staff are complying with the conditions of their licence.

See **COMMUNITY CLIENTS - Casework** for records relating to the provision of support services to clients.

See **COMMUNITY CLIENTS - Complaints & Investigations** for records relating to formal investigations into and/or the closure of licensed premises.

See **COMMUNITY CLIENTS - Policy** for records relating to the development of conditions and standards for licensed residential services.

See **SERVICES DEVELOPMENT - Program Development** for records relating to reviews and evaluations of monitoring and licensing programs and of the nature of services or care provided by this sector.

1.3.1	Summary records of licensed residential centres and monitored premises. Information includes address, years of operation, licensee history and revocation details.	Required as State archives
1.3.2	Records relating to the approval and ongoing monitoring of licensed premises and to periodic checks and monitoring of unlicensed premises (to check if operating illegally). Includes licensing files maintained in respect of premises and processing of applications, records of visits, periodic checks and monitoring of premises by support managers and other staff, enquiries and advice provided to licensees on standards or conditions of licences, records relating to routine closures and notifications, the issue of permits for interim licensees during transition periods, and reports or notifications of complaints and incidents and details of follow up action.	Required as State archives
1.3.3	Records relating to unsuccessful applications for permits or licences. Includes applications, correspondence with the licence holder and any supporting material.	Retain minimum of 7 years after action completed, then destroy

1.4.0 Planning & Strategy

The process of determining goals and objectives for providing community-based services to clients and the selection of policies, programs and procedures for achieving them.

See **SERVICES DEVELOPMENT - Program Development** for records relating to State-wide planning and strategic sector reform

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COMMUNITY CLIENTS - Planning & Strategy

1.4.1	Records relating to transitional plans for the closure and removal of residents from residential centres.	Required as State archives
1.4.2	Records relating to the development of regional or area plans for the provision and delivery of community based services to people with a disability, older people and their carers, e.g. Metropolitan North, Metropolitan South etc. Records include proposals, results of consultations, research papers and supporting reports, major drafts, final policy documents, and approvals. Includes internal reporting to senior management or executive on the implementation, evaluation and review of plans.	Required as State archives
1.4.3	Records relating to the development and implementation of operational plans for delivering community based services. Records include operational plans for individual services or teams, summary timetable schedules and assignment of implementation activities or project schedules, routine summary and statistical reporting on service usage and internal audits of and reporting on implementation.	Retain minimum of 10 years after action completed, then destroy

1.5.0 Policy

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

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for records relating to agreements with other government organisations concerning policies, the performance or statutory functions, obligations or liabilities of the organisation.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Legislation** for records relating to the review or amendment of legislation.

1.5.1	Records relating to the development of policies, standards or conditions concerning the provision of community based services and support for older people and people with a disability. Records include proposals, research papers, results of consultations, supporting reports, major drafts and final documents.	Required as State archives
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COMMUNITY CLIENTS - Procedures

1.6.0 Procedures

The activities associated with developing procedures for provision of services to community clients.

1.6.1	Records relating to the development of procedure manuals for the provision of services to community based clients. Includes: <ul style="list-style-type: none"> • final versions • records documenting substantive research or outcomes of stakeholder consultation • draft versions circulated for formal comment or substantially amended. 	Required as State archives
1.6.2	Records supporting the formulation of procedure manuals and guidelines. Includes literature searches, reference material etc.	Retain until administrative or reference use ceases, then destroy

1.7.0 Reporting

The activities associated with recording information to support the administration of client units.

See **COMMUNITY CLIENTS - Casework** for individual client notes.

1.7.1	Communications books or equivalent administrative records used to record shift notes for all clients in respite services.	Retain minimum of 15 years after action completed, then destroy
1.7.2	Diaries and appointment books or equivalent administrative records which have been used to record information regarding assessment times, doctors appointments and associated client details and for recording kilometres travelled for personal tax claims.	Retain minimum of 7 years after action completed, then destroy

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LEARNING & DEVELOPMENT - Accreditation

2.0.0 LEARNING & DEVELOPMENT

The function of developing and delivering training to staff or service providers.

2.1.0 Accreditation

The activities associated with the accreditation of the organisation as a recognised provider of vocational training.

2.1.1	Records relating to the accreditation of the agency to deliver vocational education and training courses, e.g. VETAB accreditation. Includes records of applications for accreditation or registration and documentation related to inspections for compliance for operation as a Registered Training Organisation (RTO).	Retain minimum of 30 years after provision of course or training discontinued, then destroy
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2.2.0 Courses

The activities associated with the development of training materials and delivery of training.

2.2.1	Master set of approved course guides and handbooks for courses leading to recognised qualification or where the courses are related to carer core training, e.g. Certificate IV in Home and Community Care. Records include subject outlines, study guides, reading and assignment lists, examination papers etc.	Required as State archives
2.2.2	Course materials for training NOT leading to recognised qualification. Records include participant or presenter handbooks, slides or overheads.	Retain minimum of 10 years after materials superseded or course ceases, then destroy
2.2.3	Records relating to the participation of students in courses leading to recognised qualification or competency. Includes student details, units of competency and results, and qualifications issued.	Retain minimum of 30 years after course completed or study by student ceases, then destroy
2.2.4	Records relating to student enrolment and attendance. Records include application forms and supporting documents, offers of places and associated correspondence etc, and records relating to course	Retain minimum of 7 years after completion of study by student, then

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LEARNING & DEVELOPMENT - Courses

	attendance, assessment or examination.	destroy
2.2.5	Administrative records relating to course development, management and delivery. Records include delivery options, resourcing schedules, teaching availability, room scheduling, routine enquiries and requests for information about courses and qualifications.	Retain minimum of 7 years after action completed, then destroy

2.3.0 Feedback & Complaints

The process of managing feedback, complaints and suggestions about services.

2.3.1	Records relating to complaints raised by a participant on the content or conduct of courses or trainers.	Retain minimum of 7 years after action completed, then destroy
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SERVICE PARTNERSHIPS - Contracted Services / Outsourcing

3.0.0 SERVICE PARTNERSHIPS

The function of assisting the provision of services to clients through partnerships or arrangements with other service providers.

Includes establishing the terms and conditions of contracts and agreements, developing programs, policy and procedures, administering funding to and monitoring service providers, and managing partnerships or arrangements with public or private sector organisations.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of committees or expert advisory groups established and operated to support the administration and management of service partnerships, e.g. Community Planning Forums (internal strategic).

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Advice** for records relating to the provision of advice to the portfolio Minister or other government organisations concerning the organisation's policies and procedures, functions, obligations etc.

3.1.0 Contracted Services / Outsourcing

The activities involved in managing the provision of services to clients through external agencies.

See **SERVICE PARTNERSHIPS - Planning & Strategy** for records relating to reporting on the implementation of plans or strategies for delivering services through the funding of external service providers and on the review or evaluation of service provider funding programs or arrangements.

See General Retention and Disposal Authority *Administrative records* **TENDERING** for records relating to the development, issue and assessment of tenders to provide services.

3.1.1	Summary details of funded service providers and reports relating to the disbursement and effectiveness of funding granted. Summary information includes name of organisation providing the service, funds issued, applications, tenders, details of services provided, service ceased date and reason etc.	Required as State archives
3.1.2	Records relating to reviews that result in the termination of funding and investigation of a service provider. Includes: <ul style="list-style-type: none"> • correspondence of complaints 	Required as State archives

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SERVICE PARTNERSHIPS - Contracted Services / Outsourcing

	<ul style="list-style-type: none"> • investigations reports • service contract requirements • remedial actions • notifications to service provider • final outcomes. 	
3.1.3	<p>Records relating to the monitoring and review of funded service providers.</p> <p>Includes records of:</p> <ul style="list-style-type: none"> • checking to ensure that funds to service providers are accounted for and appropriately spent • reviews that require remedial action but do not result in the termination of grant funding and investigation of a service provider • acquittal reports and self assessments submitted by auspice bodies and service providers. • feedback, complaints and incidents about or involving the service provider, follow up actions and outcomes. 	<p>Retain minimum of 12 years after expiry of funding application, then destroy</p> <p>For records relating to allegations or cases of child sexual abuse: Retain minimum of 45 years after action completed, then destroy</p>

3.2.0 Contracts & Agreements

The processes associated with the drafting and creation of contract and agreement templates.

3.2.1	Records documenting the establishment of funding criteria, models of funding, special conditions, contract clauses and requirements, performance indicators, special conditions etc.	Required as State archives
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3.3.0 Planning & Strategy

The process of determining the goals and objectives for providing services to clients through funding or other arrangements with service providers and the selection of the policies, programs and procedures for achieving them. Includes evaluating and reviewing plans, reforms and programs, service improvement and quality assessments.

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SERVICE PARTNERSHIPS - Planning & Strategy

3.3.1	Records relating to the development and evaluation or review of strategic and corporate plans for the delivery of services to people with disabilities or older people through funding or other arrangements with external/non-government service providers. Includes area plans for the delivery of services provided at the regional level. Records include proposals, drafting and consultation papers, submissions and final versions of planning documents and reports of research, reviews or evaluations of plans, reforms and programs, service improvement and quality assessments.	Required as State archives
3.3.2	Records relating to the development, establishment, implementation and evaluation of operational plans or of programs designed to support the management and delivery of services to people with disabilities or older people by external/non-government service providers. Includes input into plans, comments received and drafts, program management, schedules, delivery methods, contact lists, program objectives, methodology, evaluation and routine summary reporting.	Retain minimum of 10 years after superseded or action completed, then destroy

3.4.0 Policy

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

3.4.1	Records relating to the formulation of policy regarding the contracting out or outsourcing of service provision and the use or funding of external/non-government service providers. Includes policy proposals, reports of research, drafting and consultation papers and master copies of agency policy.	Required as State archives
3.4.2	Administrative records relating to policy implementation. Includes internal audits of the implementation, summary timetable schedules and assignment of implementation activities or project schedules.	Retain minimum of 3 years after action completed, then destroy

3.5.0 Procedures

Standard methods of operating laid down by an agency according to formulated policy for the management and engagement of service partners.

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SERVICE PARTNERSHIPS - Procedures

3.5.1	Records relating to the formulation of procedure manuals for the awarding and conduct of contracted services. Includes final documents, procedures proposals, research and drafting papers.	Retain minimum of 20 years after action completed, then destroy
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No.	Description of records	Disposal action
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SERVICES DEVELOPMENT - Applications (Seniors Card)

4.0.0 SERVICES DEVELOPMENT

The function of identifying, researching, planning and developing programs and support services for people with disabilities and older people, e.g. whole of government responses, major program reforms and other activities that support the improvement of services.

See **COMMUNITY CLIENTS - Licensing** for records relating to the regulation and monitoring of the operations of licensed residential centres (boarding houses).

See **SERVICE PARTNERSHIPS** for records relating to funding and establishing arrangements with non-government service providers to deliver services.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of committees established to support the development of services e.g. Research & Planning Committee.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Public reaction** for general feedback and complaints about programs or events.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Advice** for records relating to the provision of advice to the portfolio Minister or other government organisations concerning the organisation's policies and procedures, functions, obligations etc.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Legislation** for records relating to the development, amendment and consultation process involved in legislation administered and/or supported by the organisation, e.g. Disabilities Services Act, and for standards or guidelines developed and incorporated into legislation.

4.1.0 Applications (Seniors Card)

The activities associated with the administration of the seniors card program.

4.1.1	Records relating to applications for seniors cards (including update, cancellation or renewal) and to applications for and the registration of seniors cards business partners.	Retain minimum of 7 years after action completed, then destroy
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4.2.0 Event Management

The activities associated with arranging events and special occasions.

See **SERVICES DEVELOPMENT - Grant Funding** for records relating to the provision of grants to community groups to stage events.

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SERVICES DEVELOPMENT - Event Management

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Addresses** for records relating to addresses or speeches given at celebrations, ceremonies or functions.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for travel arrangements or reimbursement of expenses for non-employees attending celebrations, ceremonies or social functions, e.g. members of governing bodies.

4.2.1	Final calendars or programs for events staged to raise awareness or recognise the contributions of people with disabilities and older people, e.g. for Seniors Week or Don't DIS my ABILITY events. Includes campaign magazines, official posters of the event and records relating to the nomination/selection of ambassadors.	Required as State archives
4.2.2	Records relating to the development of plans to raise awareness or recognise the contributions of people with disabilities and older people through event programs such as Seniors Week or International Day of People with a Disability event programs. Includes planning for and the coordination of event programs and the evaluation of effectiveness of events.	Retain minimum of 10 years after action completed, then destroy
4.2.3	Records relating to the establishment of and selection criteria for bestowing awards and the nomination and selection of award recipients. Includes register of award recipients, including biographies, background information etc.	Required as State archives

4.3.0 Grant Funding

The activity of administering grant funding to external bodies to support or implement programs funded by the agency.

See **SERVICE PARTNERSHIPS** for records relating to the funding of non-government providers to deliver services.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records relating to committees or expert advisory groups.

4.3.1	Summary records of applications for grants assistance. Includes registers of grants and grant recipients.	Required as State archives
4.3.2	Records documenting the establishment of grants,	Required as State

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SERVICES DEVELOPMENT - Grant Funding

	including selection criteria, aims and objectives of the grant etc.	archives
4.3.3	Records relating to the administration of individual grants awarded. Includes applications, progress reports etc.	Retain minimum of 10 years after action completed, then destroy
4.3.4	Records relating to unsuccessful applications for grant funding.	Retain minimum of 2 years after action completed, then destroy

4.4.0 Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other public and private sector organisations and community groups or individuals.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records relating to participation in formal committees, working groups or task forces.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Liaison** for records relating to routine liaison and information sharing and exchange with community organisations, professional associations etc concerning service developments.

4.4.1	Records of formal consultation with the public, peak advisory groups and stakeholders regarding the development of whole of government policy, frameworks, strategies or programs for the development or reform of services for people with disabilities or older people.	Required as State archives
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4.5.0 Planning & Strategy

The activities associated with the operational planning, implementing and delivering projects designed to improve services to older people and people with disabilities.

See **SERVICES DEVELOPMENT - Program Development** for records relating to the strategic development and establishment of programs to support the provision of assistance to persons with disabilities or older persons.

See **SERVICES DEVELOPMENT - Reporting** for records relating to the collection of service delivery and client data from service providers.

4.5.1	Records relating to the evaluation, reviewing and reporting of plans, reforms, programs, service	Required as State
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SERVICES DEVELOPMENT - Planning & Strategy

	improvements and quality assessments, and internal reporting, e.g. to management or executive.	archives
4.5.2	Records relating to the operational planning and implementation of strategies or programs for the development or reform of services for persons with disabilities or older persons. Includes records relating to: <ul style="list-style-type: none"> • the development of planning documents, schedules, delivery methods, contact lists and routine summary reporting of program implementation • assessments of service levels and liaison with other government agencies to support the implementation of programs or initiatives • reconfiguration or relocation of services or facilities to support the implementation of programs or initiatives. 	Retain minimum of 20 years after action completed, then destroy
4.5.3	Records relating to administration of regional and local offices and service centres. May include reference to clients, duplicated information from case files or head office policy files etc.	Retain minimum of 10 years after action completed, then destroy

4.6.0 Policy

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

4.6.1	Records relating to the formulation of policies regarding the development, delivery or reform of services for people with disabilities or older people, e.g. guidelines for eligibility for services, policy on seniors card, policies relating to the disbursement of funding or grants etc. Includes policy proposals, reports of research, drafting and consultation papers, and master copies of final policy documents.	Required as State archives
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4.7.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policy associated with programs and support services for people with disabilities and older people.

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SERVICES DEVELOPMENT - Procedures

4.7.1	<p>Records relating to the development of procedure manuals for the development and delivery of programs and services for people with disabilities and older people. Includes:</p> <ul style="list-style-type: none"> • final versions • records documenting substantive research or outcomes of stakeholder consultation • draft versions circulated for formal comment or substantially amended. 	Required as State archives
4.7.2	<p>Records supporting the formulation of procedure manuals and guidelines. Includes literature searches, reference material etc.</p>	Retain until administrative or reference use ceases, then destroy

4.8.0 Program Development

Records relating to the strategic development and establishment of national and state frameworks, or of programs supporting responses to, or the provision of, assistance to persons with disabilities or older persons. Includes joint venture development programs with government and non-government partners.

See **SERVICES DEVELOPMENT - Liaison** for records relating to formal consultations with members of the public, peak advisory groups and stakeholders regarding the development of whole of government policy, frameworks or strategies.

See **SERVICES DEVELOPMENT - Planning & Strategy** for records relating to the implementation and evaluation of the programs or projects at an operational level.

4.8.1	<p>Records relating to the development and evaluation of national or state frameworks, programs and strategies for the provision of services, support and assistance to persons with disabilities or older persons.</p> <p>Includes:</p> <ul style="list-style-type: none"> • programs or strategies designed to improve the delivery of services to particular community groups or to reform particular service sectors • development, assessment and evaluation of program viability, goals, objectives and strategies • establishment of quality and performance 	Required as State archives
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SERVICES DEVELOPMENT - Program Development

	<p>measures and reporting on the outcomes of the evaluation of sector reform or service development initiatives</p> <ul style="list-style-type: none"> • monitoring of disability and other service programs on a State-wide basis and the identification and development of strategic sector reform initiatives • negotiations with other service delivery organisations and government agencies to coordinate implementation of initiatives, programs etc • internal reporting, e.g. to management or executive. 	
4.8.2	Routine correspondence, enquiries and administrative records from community groups on targeted services.	Retain minimum of 2 years after action completed, then destroy

4.9.0 Publishing

The process of drafting and producing publications for internal or external distribution. Includes both physical or electronic publications, and extranets and internet sites.

See also under relevant function/activity for standards, procedures and guidelines applying to service providers.

4.9.1	Master copies of detailed publications, guidance or booklets relating to services, support and activities available for older persons and persons with a disability. Includes manual or resource kits for carers, guidelines regarding eligibility for services etc.	Required as State archives
4.9.2	Records relating to summary information resources, e.g. fact sheets, brochures or website information, advising of services and activities available for older persons and persons with a disability.	Retain minimum of 7 years after superseded, then destroy

4.10.0 Reporting

The activities associated with developing a formal document, often in a predetermined format, in response to a specific request for information. Includes findings of research or investigations.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Reporting** for records relating to the agency's primary functions

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SERVICES DEVELOPMENT - Reporting

and/or produced for submission to external bodies (e.g. Commonwealth bodies or agencies) in compliance with statutory or regulatory reporting requirements.

4.10.1	Data returns relating to service delivery and clients submitted by service providers. Includes Minimum Data Set (MDS) and other required reporting submitted by service providers. Also includes requests for amendments of the data sets collected.	Retain minimum of 2 years after action completed, then destroy
4.10.2	Summary records regarding participation rates and withdrawals from programs.	Retain minimum of 10 years after superseded, then destroy

4.11.0 Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc.

4.11.1	Final reports and summary details of research (commissioned or funded) relating to programs, strategies or projects for providing or improving care and services to older persons or persons with a disability.	Required as State archives
4.11.2	Working papers of commissioned or funded research relating to the provision of care and services for the aged and people with a disability. Includes: <ul style="list-style-type: none"> • drafts of all research reports • copies of other research reports and inquiries used as part of the current research project. 	Retain minimum of 20 years after action completed, then destroy

4.12.0 Standards

The process of determining industry or organisational benchmarks for products, services and processes to enhance or measure the quality and efficiency of an organisation.

4.12.1	Records relating to development of indicators and standards for measuring the performance of service providers or quality of services. Includes the organisation's input into and comment on the development of standards by others (e.g. Commonwealth), Home & Community Care Program (HACC) Standards etc.	Required as State archives
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SERVICES DEVELOPMENT - Standards

5.0.0 SUPPORTED ACCOMMODATION SERVICES

The function of providing services to clients who are residents of agency accommodation. Accommodation includes group homes, hostels, in-home supported accommodation, centre based and flexible respite, large residential centres and supported emergency accommodation.

Includes:

- developing legislative and policy frameworks, programs and procedures, and providing strategic advice
- researching accommodation needs, preparing submissions, providing flexible models of support and liaising with community groups and private sector organisations
- managing access for individuals to services through capacity management, e.g. reform programs, reconfiguration, vacancy management and transition planning
- casework for clients in supported accommodation covering history, medical and financial information
- researching and generating accommodation options and flexible models of support
- Quality and Safety Framework (QSF) development and reporting.

See **SERVICE PARTNERSHIPS** for records relating to the funding of providers to deliver supported accommodation services.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of committees established and operated to support the administration and management of supported accommodation services, e.g. Vacancy Management Committee, general client management meetings etc.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to enquiries for general information about services.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Advice** for records relating to the provision of advice to the portfolio Minister or other government organisations concerning the organisation's policies and procedures, functions, obligations etc.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Inquiries** for records relating to all formal investigations, e.g. Ombudsman, ICAC etc.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Legislation** for records relating to the development, amendment and consultation process involved in legislation administered and/or supported by the

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SUPPORTED ACCOMMODATION SERVICES - Casework

organisation, e.g. Disability Services Act, and for standards or guidelines developed and incorporated into legislation.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL - Misconduct** for records relating to investigation and handling of complaints against staff including allegations and cases of child sexual abuse

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT** for records relating to the acquisition, disposal and construction of residential accommodation.

5.1.0 Casework

The activities relating to the case management of clients in supported accommodation (group homes or large residential centres).

This may include needs assessment, development monitoring and review of individual plans, referral to service providers, service coordination, diagnostic assessment, behaviour intervention and support, counselling, skills development, therapy, and community and social participation.

See **COMMUNITY CLIENTS - Casework** for records relating to clients in short term care or receiving Homecare services, e.g. respite care.

5.1.1	Summary records of clients and services used, and eligibility for services. Includes names, contact details and services used. For pre-2004 includes registers of client admissions, discharge and deaths.	Required as State archives
5.1.2	Records relating to the provision and management of care for clients in supported accommodation. Records include case files containing details of contacts, risk profiles, individual plans, guardianship and consents, individual client reports, residential history, assets reports, and incident reporting.	Retain until client attains or would have attained the age of 25 or minimum of 15 years after cessation of the provision of services to client or last official contact by or on behalf of client, whichever is longer, then destroy
5.1.3	Records relating to the provision of medical services to clients in supported accommodation services. Records include drug registers, medication sheets, nutrition plans, medical reports and health care plan and incident reporting.	Retain minimum of 15 years after action completed or until client attains or would have attained age of 25, whichever is longer,

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SUPPORTED ACCOMMODATION SERVICES - Casework

		then destroy
5.1.4	Records relating to the daily collection of medical data about clients for collation of charts and monthly reports. Includes bowel charts, bruise charts, menstrual and epilepsy charts.	Retain minimum of 2 years after data captured and noted in medical record, then destroy
5.1.5	Records relating to the management of trust accounts of clients identified as 'protected persons' under the <i>Protected Estates Act 1983</i> . Records include Financial Plans prepared by the Protective Commissioner and/or an appointed financial manager, and annual accounts reporting for client's accounts.	Retain minimum of 15 years after trust is dissolved or action completed, whichever is longer, then destroy
5.1.6	Records relating to the management of finances for clients in supported accommodation where there is no trust fund held under the <i>Protected Estates Act 1983</i> . Records include client ledger, receipts, bank statements, bank books, correspondence and individual and summary discretionary spending reports at unit level.	Retain minimum of 15 years after action completed, then destroy
5.1.7	Records relating to the assessment of clients who subsequently are not provided with any services. Includes services of intake assessment and vacancy management.	Retain minimum of 7 years after action completed, then destroy
5.1.8	Records relating to any child or young person who may have been placed in statutory out of home care with the organisation.	Records to be retained and transferred in accordance with the provisions of the <i>Children and Young Persons (Care and Protection) Act 1998</i> .

5.2.0 Complaints & Investigations

The process of managing and investigating complaints and incidents.

See **SERVICE PARTNERSHIPS** for records relating to reviews of funded service providers that result in the termination of funding and investigation of a service provider.

See **SUPPORTED ACCOMMODATION SERVICES - Casework** for records relating to complaints specific to individual clients.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS** for records relating to the provision of documents to Parliament in compliance with Standing Order 52 and for records relating to investigations carried out

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SUPPORTED ACCOMMODATION SERVICES - Complaints & Investigations

by persons or bodies who have been empowered to inquire and report on a subject, such as Royal Commissions and Parliamentary or Ombudsman's inquiries.

See General Retention and Disposal Authority *Personnel records* **PERSONNEL - Discipline** for records relating to the investigation and handling of complaints or protected disclosures relating to an individual employee.

5.2.1	<p>Records relating to the management, handling and/or investigation of complaints or incidents concerning the care or provision of services to people in supported accommodation that:</p> <ul style="list-style-type: none"> • involve substantiation of serious complaints (such as physical abuse or neglect of clients) • involve identification of systemic problems, major mismanagement or corrupt behaviour • result in litigation or referral to an external arbitrator (such as the Ombudsman or the former Community Services Commission) • result in criminal proceedings against a licensee or the closure of a licensed premise or service • involve or relate to the death or serious injury of a client. <p>Includes records of internal investigation processes, briefings, notifications, reports and associated correspondence.</p>	Required as State archives
5.2.2	<p>Records relating to complaints or investigations concerning the care or provision of services to people in supported accommodation that do not:</p> <ul style="list-style-type: none"> • involve substantiation of serious complaints (such as physical abuse or neglect of clients) • involve identification of systemic problems, major mismanagement or corrupt behaviour • result in litigation or referral to an external arbitrator (such as the Ombudsman or the former Community Services Commission) • result in criminal proceedings against a licensee and/or the closure of a licensed premise or service 	<p>Retain minimum of 10 years after action completed or until client attains or would have attained the age of 25, whichever is longer, then destroy</p> <p>For records relating to allegations or cases of child sexual abuse: Retain minimum of 45 years after action completed, then destroy</p>

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SUPPORTED ACCOMMODATION SERVICES - Complaints & Investigations

	<ul style="list-style-type: none"> • involve or relate to the death or serious injury of a client. <p>Includes records of internal investigation processes, briefings, notifications, reports and associated correspondence.</p>	
5.2.3	Statistical and summary records of complaints or incidents that identify patterns of concern or provide a summary record of the occurrence of incidents or complainant issues.	Required as State archives

5.3.0 Planning & Strategy

The process of determining the goals and objectives of the agency and the selection of the policies, programs and procedures for achieving them.

5.3.1	Records relating to designing, testing and evaluating sample model profiles of systems under analysis for supported accommodation, e.g. mix and number of clients together for optimal care etc.	Required as State archives
5.3.2	Records relating to administration of individual homes or units for services to clients. Includes records relating to household operations, client support requirements, staffing, whole of unit meetings and reporting.	Retain minimum of 10 years after action completed, then destroy

5.4.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making in relation to supported accommodation services.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Legislation** for records relating to the amendment of legislation.

5.4.1	Records relating to the development and establishment of national and state policy statements for clients in supported accommodation. Records include policy proposals, research papers, results of consultations, supporting reports, major drafts and final policy documents.	Required as State archives
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SUPPORTED ACCOMMODATION SERVICES - Procedures

5.5.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policy on supported accommodation services. Includes guidelines and publications developed by the organisation alone, or in conjunction with others, as guidance or advice to government, public and private sector on supported accommodation requirements.

5.5.1	Records detailing standard methods of operating for the care of clients in supported accommodation activities including procedures for the conduct of investigations, processes associated with the monitoring of compliance etc. Includes supporting documents, major drafts, consultation and final documents.	Required as State archives
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5.6.0 Reporting

The activities associated with developing a formal document, often in a predetermined format, in response to a specific request for information. Includes findings of research or investigations.

See **SUPPORTED ACCOMMODATION SERVICES - Planning & Strategy** for internal reporting to executive and management on local services.

5.6.1	Communications books or equivalent administrative records used to record shift notes for all clients in an accommodated service. May include details about one or more clients in regard to health, behaviour or other information, e.g. 24 hour unit report in large residential centres and unit level communication books.	Retain minimum of 15 years after action completed, then destroy
5.6.2	Diaries and appointment books or equivalent administrative records which have been used to record information regarding assessment times, doctors appointments and associated client details and for recording kilometres travelled for personal tax claims.	Retain minimum of 7 years after action completed, then destroy
5.6.3	Summary and statistical reports of service usage used for input into planning service areas and availability.	Retain minimum of 10 years after action completed, then destroy
5.6.4	Periodic summary reporting on operations of group homes and supported accommodation services.	Required as State archives

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SUPPORTED ACCOMMODATION SERVICES - Pre 1960 records relating to the provision of residential care

5.7.0 Pre 1960 records relating to the provision of residential care

5.7.1	Records relating to the provision of care and services to clients of residential centres operated by the State where the records were created wholly or partly prior to 1960.	Required as State archives
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