

Disposal Schedule for Disability and Community Services Records

Disposal Authorisation No: 2499

TABLE OF CONTENTS

INTRODUCTION	3
Overview	3
Archives Legislation	3
Schedule elements and arrangement	3
Review of the schedule.....	4
Contacts.....	4
Authorisation.....	5
Authorisation	5
Interpretation	6
Definitions	6
Coverage.....	6
Preservation of records.....	6
Permanent Records.....	6
Temporary Records.....	6
Destruction of records	7
Right to Information.....	7
Personal Information Protection.....	7
Other Investigations or inquiries.....	7
Records relating to indigenous people	7
Native Title	8
Registration of Destruction.....	8
Context.....	8
RDS Scope and Background	8

FUNCTIONS

Reference	Function	Page
1	Programs and Major Projects	10
2	Disability Services Client Management	18
3	Community Services Client Management	26
4	Regulation Management	31

Disability and Community Services Records

Retention & Disposal Schedule number: 2499

INTRODUCTION

Overview

Archives Legislation

The *Archives Act 1983* stipulates that State and local government organisations must not dispose of records of any type or format without the written approval of the State Archivist.

Disposal of records involves their destruction, their removal from custody of their creating agency, or their transfer to the Tasmanian Archive and Heritage Office.

Schedule elements and arrangement

The administrative functions covered by this schedule are arranged in alphabetical order as function headings. The activities performed under each function are listed in alphabetical order within each function.

- *Reference*

All function and activity headings and disposal classes are allocated a reference number. These reference numbers are used, in conjunction with the schedule number, to identify records in the Tasmanian Archive and Heritage Office disposal documentation. These numbers can also be used by agencies, in the same way, to indicate disposal authorisation in their records control systems, where the records have been registered in these systems.

- *Disposal Classes*

The groups of records that document, and are derived from, the performance of the functions and activities, are listed as disposal classes under each function/activity set.

It should be noted that Disposal Classes have been described in functional terms irrespective of the format or medium in which the records were created.

- *Status*

All disposal classes have either "PERMANENT" or "TEMPORARY" status. Records identified as "PERMANENT" are those that will be transferred to the Archives Office to be retained as State archives. "TEMPORARY" records are those that can be destroyed under the authority of this schedule.

- *Disposal action*

All temporary records identified in this schedule will have a disposal action which specifies the length of time for which the record must be retained, before it can be destroyed under this authorisation.

Disability and Community Services Records

Retention & Disposal Schedule number: 2499

Review of the schedule

It is the responsibility of agencies to monitor administrative, legal or regulatory changes which may result in the need to alter disposal class descriptions or disposal actions for records covered by this schedule.

When this occurs, this schedule should not be used to dispose of records and the State Archivist should be informed of the need to revise the schedule. If necessary, the procedures for the disposal of unscheduled records can be used in the interim.

Contacts

Any enquiries relating to this schedule should be directed in writing to the Tasmanian Archive and Heritage Office, 91 Murray Street Hobart, by email, or by phoning 03 6165 5581.

Disability and Community Services Records

Retention & Disposal Schedule number: 2499

Authorisation

TASMANIAN ARCHIVE & HERITAGE OFFICE

DISPOSAL AUTHORISATION No. 2499

Title: Disposal Schedule for Disability and Community Service Records

Authorisation

Under Section 20 (2) (b) of the Archives Act 1983, I hereby authorise 'relevant authorities' (as defined in Section 3 of that Act) to manage the disposal of the records described in this schedule in accordance with the procedures specified herein.

Ross Latham

State Archivist

Document Development History
Build Status

Version	Date	Author	Reason	Sections
1	18-06-2018	Janet Henderson	Initial Release	All

Disability and Community Services Records

Retention & Disposal Schedule number: 2499

Interpretation

Definitions

Permanent records are those that will be transferred to the Tasmanian Archive and Heritage Office to be retained as State Archives. The *Archives Act 1983* establishes 25 years as the maximum required timeframe for the transfer of permanent records, unless an extension of time has been approved by the State Archivist.

Temporary records are those that can be destroyed under the authority of this schedule after a minimum retention period, or once certain requirements have been met.

Coverage

This schedule covers functional records of Disability and Community Services.

This schedule does not cover **pre-1960** records. The disposal of those records should be managed according to the procedures for unscheduled records.

The *Disposal Schedule for Short-term Value Records - DA No. 2158* covers the disposal of short-term value records which are created by most agencies. These documents are usually of a trivial nature or of such short-term value that they do not support or contribute to the business functions of the agency.

Records not covered by these schedules, or other authorised disposal schedules, should be disposed of according to the current Tasmanian Archive and Heritage Office procedures for unscheduled records.

Preservation of records

Section 10 (1) (a) of the *Archives Act 1983* requires agencies to preserve records until they are dealt with under the Act. This places a statutory obligation on agencies to ensure that all records, regardless of format, remain accessible while they are in the custody of the agency.

Permanent Records

All disposal classes of records identified as having '**PERMANENT**' status in this schedule should be transferred to the Tasmanian Archive and Heritage Office 25 years after the date of creation. Agencies may make application to the Tasmanian Archive and Heritage Office for earlier transfer of particular groups of records, and the Tasmanian Archive and Heritage Office may also initiate an earlier transfer arrangement.

Records for transfer should be arranged and described in accordance with any instruction provided by the Tasmanian Archive and Heritage Office.

Temporary Records

All records identified as having '**TEMPORARY**' status in this schedule will have a disposal action which is the authorised date for destruction. These disposal actions specify minimum retention periods. Temporary records can be kept as long as the agency wishes

Disability and Community Services Records

Retention & Disposal Schedule number: 2499

following expiration of the specified period, but the provisions of the *Archives Act 1983* regarding their proper care and custody will still apply to them.

Frequently the disposal actions will refer to 'after action completed' which means after completion of the transaction to which the records relate. The disposal action 'destroy when reference ceases' authorises the destruction of records when all business needs to refer to the records have ceased.

Destruction of records

The destruction method chosen for records authorised for destruction in this schedule, should be appropriate to the medium in which the record exists. It is the responsibility of the agency to ensure that the identified records are actually destroyed, and that this process is confidential and secure.

The following issues should be considered before destruction of any documents.

Right to Information

Right to Information legislation prescribe rights and processes for access to documents held by government agencies. If a request for access under the legislation has been lodged, all records relevant to the request, regardless of whether they are due for destruction, must be identified and preserved until action on the request and any subsequent reviews are completed.

Personal Information Protection

Personal Information Protection legislation provides appropriate safeguards for government agencies in collecting and handling individual's personal information, creating statutory obligations and a right to make a privacy complaint. If an application is in progress, all records relevant to the application must be identified and preserved until the action and any subsequent actions are completed.

Other Investigations or inquiries

If an investigation or inquiry is in progress, all records relevant to the investigation or inquiry must be identified and preserved until the action and any subsequent actions are completed.

Records relating to indigenous people

Key recommendations of the *Bringing Them Home Report 1997* relate to the need for the identification, preservation, indexing, management and access to records relating to Indigenous individuals, families and/or communities in accordance with established privacy principles.

Records relating to indigenous families and communities or which document links between indigenous people and localities are not to be destroyed and should be the subject of consultation with the Tasmanian Archive and Heritage Office.

Disability and Community Services Records

Retention & Disposal Schedule number: 2499

Native Title

If a native title claim is in progress, all documents relevant to the claim must be identified and preserved until the action and any subsequent actions are completed.

Registration of Destruction

Central to the accountability built into the disposal schedules is the requirement that agencies maintain a *Register of Records destroyed*. It is important to recognise that the formal evidential record of destruction is contained in this registration process. The register is to be made available to the State Archivist (or his nominee) on request.

The register must be clearly identified as the *Register of Records Destroyed* (under Section 20 (2) (b) of the *Archives Act 1983*) and should include the name of the agency. The register can be the same used for registering destructions authorised under other disposal schedules. A sample format indicating the required elements for the register and related procedures are available on the Government Information Strategy Unit website.

Context

RDS Scope and Background

This Retention and Disposal Schedule (RDS) covers the functional records of Disability and Community Services within the Department of Health and Human Services. There has been no previous coverage for the records of these functions.

The functional records of Disability and Community Services include those produced by service providers funded to deliver disability or community services and/or programs.

Disability and Community Services - Background

Disability Services, in partnership with approximately 60 community organisations support over 6500 Tasmanians with disability. Clients include those whose disability is:

- permanent or likely to be permanent
- results in substantially reduced capacity of the person for communication, learning or mobility
- requires continuing support services
- may or may not be of a chronic nature

Community Services, in partnership with approximately 60 organisations, deliver a range of programs across the State:

- elder abuse prevention
- family support services
- neighbourhood houses
- gambling support

Disability and Community Services Records

Retention & Disposal Schedule number: 2499

- sexual assault counselling and support
- community based family violence services
- loan schemes with no or low interest

Disability and Community Services have direct responsibility for:

- Program design and implementation
- Senior Practitioner
- Disability advisory and assessment services
- Incidents and complaints management
- Allocation of funding
- Outsourcing and contractor management
- Transition to the federal National Disability Insurance Scheme (NDIS)

Disability and Community Services Records

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
1	PROGRAMS AND MAJOR PROJECTS	<p>The function of developing the type, scope and content of programs that deliver disability and community services, or the conduct of major projects which transform the delivery of services e.g. the implementation of the National Disability Insurance Scheme (NDIS), or the transfer of accommodation services from state-run institutions to funded service providers in a community setting.</p> <p>Includes:</p> <ul style="list-style-type: none"> • program design, including, but not limited to, the design of services for delivery to the program audience, the criteria to assess whether an applicant is eligible for the program, and decisions regarding the mode of delivery for services i.e. in-house vs outsourced • planning and implementation • policy and procedure development • communication and marketing to the program audience • evaluation and review of programs to ensure efficiency and efficacy 		

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Programs and Major Projects

		<ul style="list-style-type: none"> • provision of advice • the development of performance criteria, and reporting against those criteria • decommissioning of programs no longer required to deliver services <p>Also includes reporting to federal agencies on program performance and service statistics to contribute to nation-wide assessments and reports of productivity or the health and welfare of Australians.</p> <p>Programs include those which may:</p> <ul style="list-style-type: none"> • support and enhance resilience in the community e.g. respite services or family support services • provide diagnostic or assessment services e.g. the disability assessment and advisory services program • provide support, counselling and information e.g. sexual assault counselling and support programs, or advocacy, information and referral programs for people living with a disability 		
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Programs and Major Projects

		<ul style="list-style-type: none"> • prevent abuse through awareness, empowerment, action and/or support e.g. the elder abuse prevention program • build and support community e.g. neighbourhood houses or community access services • prevent harm to individuals and families e.g. gambling support programs • support and promote independent living e.g. accommodation support programs or individual support programs <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.14.00 Planning (Strategic Management) for records of overarching strategic or master plans for the design of programs, and project or action plans for the delivery of programs.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.15.00 Policy (Strategic Management) and 16.16.00 Procedures (Strategic Management) for records of policy and procedures developed to support disability and community services program and major projects.</p>		
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Programs and Major Projects

		<p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.18.00 Research (Strategic Management) for records of research undertaken to develop disability and community programs and major projects.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.19.02 Review (Strategic Management) for records of major external reviews of disability and community programs and major projects.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 07.02.00 Advice (Government Relations) for records of advice to the Minister, and other agencies including local councils.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 01.10.00 Enquiries (Customer Relations) for records of enquiries from the public regarding disability and community programs and major projects.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.22.00 Tendering (Strategic Management) for records of tender processes for the outsourcing of disability and community program services, or delivery of major project activities.</p>		
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Programs and Major Projects</i>				
		<p>See DA 2157 Disposal Schedule for Common Administrative Functions 07.03.00 Agreements (Government Relations) for records of agreements with the Commonwealth to administer federal programs or projects in Tasmania, or with other organisations for program services or project activities.</p>		
1.1	<p>Significant Records of Programs and Major Projects</p>	<p>Records of continuing value documenting the development, management and review of disability and community services programs, including major projects which significantly alter the method by which programs are designed, delivered and managed e.g. the transfer of disability services from a state-delivered model to a federal-delivered model via implementation of the National Disability Insurance Scheme (NDIS).</p> <p>Includes:</p> <ul style="list-style-type: none"> • final approved program/project design documentation and implementation plans, including establishing eligibility and priority criteria for the applicants/program audience, or that manage the transition of program services during a major project • summaries of public and stakeholder consultation conducted during the design and/or review of programs or projects 	Permanent	Retain as State Archives

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Programs and Major Projects

		<ul style="list-style-type: none"> • submissions from the public or stakeholders which significantly alter the scope, content and/or purpose of a program or project, including those which set precedent for the design of subsequent programs/projects • final reports and recommendations arising from the review and evaluation of programs or projects • records of steering committees and/or strategic working parties established to oversee the development and approval of programs or major projects • decisions to decommission a program/major project, including project plans, communication strategies and other documentation of the finalisation, removal and/or transfer of program services to other organisations. Includes notification to and liaison with any funded service partners who may have had responsibility for the delivery of program or project services. 		
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Programs and Major Projects</i>				
1.2	Short-term Records of Programs and Major Projects	<p>Records of short-term value documenting disability and community services programs or major projects and their delivery.</p> <p>Includes:</p> <ul style="list-style-type: none"> • summary management of grant or loan programs (records which summarise applications received and decisions made) • successful applications for grants, loans and/or other financial assistance made under a program • project plans and other facilitative program/project implementation management documentation, including the records of project management meetings and working groups, for either the commissioning or decommissioning of programs and projects. • review documentation including planning, development of surveys and other evaluation methods, the collection of service statistics and other data, analysis and collation of results • submissions received from the public or stakeholders which do not significantly alter the scope, content and/or purpose of a program or project 	Temporary	Destroy 10 years after date of last entry or action completed.

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Programs and Major Projects</i>				
		<ul style="list-style-type: none"> • reports and other performance data prepared and submitted regarding the local administration of federal programs or projects, e.g. reduced or no interest loan schemes; or for nation-wide assessments of productivity or the contribution of programs to support the health and welfare of Australians • reports and other performance data received from funded service providers contracted to deliver program services 		
1.3	Other Records of Programs and Major Projects	<p>Other records documenting the delivery of disability and community services programs and major projects. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • unsuccessful applications for grants, loans or other financial assistance made under a program, and any complaints or enquiries regarding these • drafts and other operational or facilitative documents supporting the design of a program or major project, planning of its implementation or decommissioning, or the design of its review/evaluation e.g. identification of resources required, mailout lists and delivery tracking of communications with staff and other stakeholders requesting participation or updating on progress etc. 	Temporary	Destroy 2 years after action completed.

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Disability Services Client Management

		<ul style="list-style-type: none"> • summary performance data prepared for delivery to the public e.g. information made available on the website or other communication channels about current service statistics, waiting list length etc. 		
2	<p>DISABILITY SERVICES CLIENT MANAGEMENT</p>	<p>The management of clients of state government funded disability services delivered by service organisations across Tasmania.</p> <p>Disability Services include those which provide:</p> <ul style="list-style-type: none"> • accommodation and residential care • activities, skills and/or vocational learning • respite care • assessment and advisory services • advocacy and awareness services • case or service management and planning • support for unpaid carers of a person with a disability • broadcast or media services to the vision or hearing impaired • home modifications and maintenance 		

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Disability Services Client Management

		<ul style="list-style-type: none"> • transport services • equipment and aids • other forms of support and assistance <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.15.00 Policy (Strategic Management) and 16.16.00 Procedures (Strategic Management) for records of policy and procedures developed to support disability services client management.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.19.00 Review (Strategic Management) for records of the review of disability services client management services and processes.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 05.00.00 Financial Management for records of financial management of disability services client management, including fees paid for service.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 01.10.00 Enquiries (Customer Relations) for records of enquiries received regarding disability services client management.</p>		
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Disability Services Client Management

		<p>See DA 2426 Client Health Records 7.4.10 Client Records - Psychiatric Institutions (Mental Health Services - Patient/Client Treatment and Care) for records of patients and clients in psychiatric institutions established and managed by the Agency until their closure in November 2000.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 07.02.00 Advice (Government Relations) for records of advice to the Minister and other agencies.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 01.22.00 Public Reaction (Community Relations) for records of complaints and compliments regarding disability services client management. Note For records of allegations of abuse, other serious misdemeanours, and their investigation, see class 4.0.0 of this RDS.</p> <p>See DA 2431 Disposal Schedule for Tasmanian Autism Diagnostic Service 01.01.00 Client Records for records of client testing, diagnostic services and referrals.</p>		
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Disability Services Client Management</i>				
2.1	Significant Records of Disability Services Client Management	<p>Records of continuing value that summarise the registration of clients into a disability service where the client is given into the full-time care of the service provider i.e. residential accommodation services, and does not have a parent, guardian, or other personal representative physically present throughout the period of service delivery.</p> <p>The summary record may include:</p> <ul style="list-style-type: none"> • client name • date of birth • contact details, including of relevant family/guardians • identification number • referral details/summary of application/reasons for admission • service location/address • details of external services/programs attended by the client including the name and location of the external provider/s e.g. vocational training • date of last contact 	Permanent	Retain as State Archives

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Disability Services Client Management

		<ul style="list-style-type: none"> • case closure summary • other case summary details 		
2.2	<p>Long-Term Records of Disability Services Client Management</p>	<p>Long-term records of disability services that:</p> <ul style="list-style-type: none"> • are summary records of clients registered with services where the client is in the part-time or temporary care of the service provider, or • are summary records of clients where the client remains in the physical presence of a parent guardian or personal representative throughout the period of service delivery, or • are detailed records of service delivery i.e. case or client files, for clients of services where the client is given into the care (whether full-time, part-time or temporary) of the service provider and does not have a parent, guardian, or other personal representative physically present throughout the period of service delivery. <p>The summary record may include:</p> <ul style="list-style-type: none"> • client name • date of birth 	Temporary	Destroy 150 years after date of birth of the client.

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Disability Services Client Management

		<ul style="list-style-type: none"> • contact details, including of relevant family/guardians • identification number • referral details • programs participated in • date of last contact • case closure summary • other summary case details <p>Detailed case or clients files may contain:</p> <ul style="list-style-type: none"> • completed client registration forms • correspondence, reports and other documents from medical or health specialists • service planning and management, including contact with or applications to other agencies or organisations on the client's behalf • service agreements • assessment and advisory reports and service requests 		
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Disability Services Client Management</i>				
		<ul style="list-style-type: none"> • observations, file notes, and meeting notes • copies of referrals • enrolments and other arrangements to attend activities, skills and vocational learning programs • signed consent to collect, use and/or share information • individual funding plans • incidents, accidents and/or allegations of abuse forms • health support plans • other records pertinent to the management of services to the client 		
2.3	Medium Term Records of Disability Services Client Management	Medium-term records of disability services client management that provide detailed records of disability service delivery i.e. case or client files, for clients of services where the client remains in the care and physical presence of a parent, guardian, or other personal representative throughout the period of service delivery.	Temporary	Destroy 50 years after date of last service.

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Disability Services Client Management

		<p>Detailed disability services case or client files may contain:</p> <ul style="list-style-type: none"> • completed client registration forms • correspondence, reports and other documents from medical or health specialists • service planning and management, including contact with or applications to other agencies or organisations on the client's behalf • service agreements • assessment and advisory reports and service requests • observations, file notes, and meeting notes • copies of referrals • enrolments and other arrangements to attend activities, skills and vocational learning programs • signed consent to collect, use and/or share information • individual funding plans 		
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Disability Services Client Management</i>				
		<ul style="list-style-type: none"> • incidents, accidents and/or allegations of abuse forms • health support plans • other records pertinent to the management of services to the client 		
2.4	Short-term Records of Disability Services Client Management	Short-term records of disability services client management where the services provided include, but are not limited to: <ul style="list-style-type: none"> • the provision, installation and/or maintenance of aids or equipment • transport services • home modifications and maintenance • broadcasts and media for the vision or hearing impaired 	Temporary	Destroy 7 years after action completed.
3	COMMUNITY SERVICES CLIENT MANAGEMENT	Community Services include those which: <ul style="list-style-type: none"> • assist individuals experiencing a difficulty or issue that impacts their quality of life and/or relationships with others e.g. gambling support services • promote awareness and empowerment e.g. elder abuse prevention 		

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Community Services Client Management</i>				
		<ul style="list-style-type: none"> • provide counselling and referrals e.g. sexual assault counselling services • improve family functioning and provide timely support to families experiencing difficulties before issues escalate i.e. family support services • promote engagement and activity, and/or build capacity and resilience within communities e.g. neighbourhood houses <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.15.00 Policy (Strategic Management) and 16.16.00 Procedures (Strategic Management) for records of policy and procedures developed to support community services client management.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.19.00 Review (Strategic Management) for records of the review of community services client management services and processes.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 05.01 Accounting (Financial Management) for records of financial management of community services client management, including fees paid for service.</p>		

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Community Services Client Management</i>				
		<p>See DA 2157 Disposal Schedule for Common Administrative Functions 01.10.00 Enquiries (Customer Relations) for records of enquiries received regarding community services client management.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 07.02.00 Advice (Government Relations) for records of advice to the Minister and other agencies.</p>		
3.1	Medium-Term Records of Community Services Client Management	<p>Medium-term records of community services client management that:</p> <ul style="list-style-type: none"> • are summary records of community services clients where the services provided individual support, advice or counselling and/or the potential for referral for further health services • are detailed records of community service delivery i.e. case or client files, for clients of services where the service provided included individual support, advice or counselling and/or referral for further health services <p>The summary record may include:</p> <ul style="list-style-type: none"> • client name • date of birth 	Temporary	Destroy 50 years after date of last service.

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Community Services Client Management</i>				
		<ul style="list-style-type: none"> • contact details, including of relevant family/guardians • identification number • referral details • programs participated in • date of last contact • case closure summary • other summary case details <p>Detailed community services case or clients files may contain:</p> <ul style="list-style-type: none"> • client details • records of advice, support or counselling provided • copies of referrals • reports and other documents from medical or health specialists 		

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Community Services Client Management</i>				
3.2	Other Records of Community Services Client Management	<p>Other records of community service client management where the client is a participant in a group or social activity e.g. such as that offered by a neighbourhood house, or community group or association.</p> <p>Includes, but is not limited to records which:</p> <ul style="list-style-type: none"> • collect contact details and create mailout or communication groups • communicate upcoming events • record enrolments, bookings and attendance • are completed by participants to provide feedback evaluation • facilitate the running of an activity, such a venue and catering arrangements • facilitate the establishment of a community group or association, such as a Men's Shed or a writer's group <p>Also includes referrals that are received but do not result in intake or service delivery, whether because the client does not fit the criteria of the service, or the client chooses to not enrol in the service.</p>	Temporary	Destroy 2 years after action completed.

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Regulation Management

4	REGULATION MANAGEMENT	<p>The function of regulating the provision of disability and community services.</p> <p>Includes:</p> <ul style="list-style-type: none"> • setting standards, policy and/or guidelines for the delivery of services • approving the delivery of regulated treatment and care by service providers • establishing and managing complaint and allegations of abuse investigation and resolution processes • visits and inspections • audit and review of service delivery and administration by service providers • issuing compliance notices and instructions to service providers • issuing penalties for non-compliance • appeals and review of decision 		
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Regulation Management</i>				
		<p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.15.00 Policy (Strategic Management) and 16.16.00 Procedures (Strategic Management) for records of policy and procedures developed to support regulation management.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.18.00 Research (Strategic Management) for records of research undertaken to support the develop of standards, policy and/or guidelines for regulation management.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 16.19.00 Review (Strategic Management) for records of the review of regulation management and associated administrative processes (not the review of decision).</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 07.02.00 Advice (Government Relations) for records of advice to the Minister and other agencies.</p> <p>See DA 2157 Disposal Schedule for Common Administrative Functions 01.06 Conferences (Community Relations) for records of presentations given at industry forums and conferences.</p>		

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Regulation Management

4.1	Significant Records of Regulation Management	<p>Records of continuing value documenting regulation management.</p> <p>Includes:</p> <ul style="list-style-type: none"> • approved guidelines, frameworks and other explanatory/interpretative documents that are published as resources for service providers or the public • summary records of applications for restrictive treatment and the outcomes • records of applications for restrictive treatment, including appeals or reviews of decision, which lead to significant changes in policy, standards and/or guidelines, are controversial or of high-public interest, or otherwise set precedent • complaints, allegations of abuse, investigations, audits or reviews which result in the issue of a penalty, and/or the withdrawal or reduction of funding to a service provider, and/or criminal charges. Includes those which lead to significant changes in policy, standards and/or guidelines. 	Permanent	Retain as State Archives
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Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Regulation Management

		<ul style="list-style-type: none"> visits or inspections which discover unregulated restrictive treatment, and resulting actions/outcomes 		
4.2	Long-term Records of Regulation Management	<p>Records of long-term value documenting the use of restrictive treatment or other forms of regulated treatment and care.</p> <p>Includes:</p> <ul style="list-style-type: none"> applications for the use of restrictive treatment or other forms of regulated treatment and care, and supporting documentation submitted by the applicant records of correspondence between the Senior Practitioner and the applicant regarding an application and its outcome recommendations made to the Secretary or Guardianship Board on an application for the use of restrictive treatment or another form of regulated treatment and care approval or denial of an application to use restrictive treatment or another form of regulated treatment and care 	Temporary	Destroy 100 years after date of birth of the subject of the application.

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
<i>Regulation Management</i>				
		<ul style="list-style-type: none"> • reports received from the applicant regarding the implementation and outcome of restrictive treatment or another form of regulated treatment and care <p>Also includes records of advice received from specialists or medical and health service providers regarding an application, whether as part of the supporting documentation for an application or requested by the Senior Practitioner in order to review the application and determine the best outcome.</p>		
4.3	Other Records of Regulation Management	<p>Other records of regulation management.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • complaints and allegations of abuse, investigations, audits or reviews which do not result in the issue of a penalty, and/or the withdrawal or reduction of funding to a service provider, and/or criminal charges • visits or inspections which do not discover unregulated restrictive treatment, and resulting actions/outcomes • applications for the use of restrictive treatment that are withdrawn by the applicant 	Temporary	Destroy 10 years after action completed.

Retention & Disposal Schedule number: 2499

No	Function/Activity	Description	Status	Disposal Action
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Regulation Management

		<ul style="list-style-type: none">• drafts and working papers for the development of standards, policy and/or guidelines		
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