

Strategic Objective:

1. Excellence in Service Delivery



POLICY :	1.4	Quality		
PROCEDURE:	1.4.2	Critical Records – Access, Retention & Disposal		
Approval By:	Manager Systems & Risk		Approval Date:	19-06-2014
Document Owner:	Manager Quality		Next Review Date:	11-09-2016

Purpose	<p>Records of QEC’s governance and administration, clients, services and staff are retained, accessed and disposed of to meet all privacy and confidentiality requirements in accordance with the Health Records Act 2001 and the Victorian Information Privacy Principles 2013.</p> <p>QEC is committed to conserving Australia's natural environment and reducing waste and unnecessary costs.</p>	1.4.2 CRITICAL RECORDS – ACCESS, RETENTION & DISPOSAL
Target Audience	All QEC staff and contractors	
Definitions	Critical Records – include client files, governance administration and personnel files.	
Procedure	<p>Client Services Records</p> <ul style="list-style-type: none"> • QEC generates individual, accurate, accessible records of early parenting services provided to clients, and retains them in secure, accessible storage (hard copy and/or electronic) for the number of years currently prescribed by the state government department responsible for public hospitals. (Refer to The Public Record Office, Victoria). • All client records are archived at Noble Park according to Business Rule in the Admissions and Unit Support Procedures Manual. QEC arranges off-site storage for files discharged over 3 years prior. QEC clients can expect that any information about them is treated and kept in confidence by QEC staff and Management except where: <ul style="list-style-type: none"> ➢ required by law to be passed on to a prescribed person or agency (for example, mandatory reporting of child abuse or neglect; or a legal subpoena), or ➢ Where the client has authorized in writing the passing on of information to a prescribed person or agency (for example, where a client is referred between service providers). This is indicated on Family Admission form 1.2.1.1. ➢ Agencies or authorized persons requesting information greater than 90 days post discharge from the relevant program, can access records through the Freedom of Information Act, or with a renewed authorization, in writing, between the client and requestor. • QEC clients may access their own records at any time they are receiving QEC services, unless staff reasonably believe that revealing an entry to a client will threaten the safety of any person. In such an event the Chief Executive Officer or delegate must be informed and will decide on the course of action to be taken. 	

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- QEC clients may access their own personal records after program exit by following procedures prescribed by the Freedom of Information Act.

Governance, Administration, Finance and Personnel Records

QEC staff:

- Generate accurate:
 - Minutes of Board of Management and Team Meetings
 - Records of administrative transactions and correspondence with funders, customers and suppliers
 - Financial reports
 - Personnel records
- Retain them in secure, accessible storage for the number of years currently prescribed by federal or state legislation or regulation
- All hard copy records are stored in the central administrative wing. Electronic records are password and network protected through authorised permissions and secure profiles.

Governance, Administration, Finance and Personnel Records (business records)

Security, condition of storage

- Paper records related to the management and administration of programs and responsibilities are complete, fixed in labelled folders according to QEC's filing system and stored in the QEC central file storage area, Noble Park. Only working files may be kept in individual office.
- Electronic files related to the management and administration of programs and responsibilities are correctly named and filed in appropriate folders in the QEC network drive (G drive)
- When an off-site program client's case is closed, their file is stored at Noble Park unless contractual requirements state otherwise.
- **ICT staff:**
 - **Insert labelled backup tapes into programmed electronic servers at Noble Park every day and give previous day's tape to CEO or delegate to take off site. CEO or delegate holds one day's tape off site and returns tape the following day.**
 - **Store backup tapes in a fireproof safe in administration unit and off site.**

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Disposal of Records

- The Systems and Risk Manager, and the Commercial and Finance Manager (as relevant):
 - Ensure all staff dispose of any identifiable client or business related papers in “confidential” recycling receptacles
 - Ensure all out-of-date, non-confidential documents are disposed of into the appropriate recycling receptacle/s
 - Engage a recycling service that guarantees:
 - Secure shredding of all paper before recycling, and
 - Provision of a certificate of service/destruction.
- To prepare computers for disposal and to ensure that no useable information is left on the hard drive of the computers, a DOS “boot” disc is prepared that contains FDISK AND FORMAT utilities. These commands ensure that there is no data available on the hard drive.

Control of Access

- The Administration Wing, housing central paper file storage and electronic servers, is locked and armed when administration staff are not in attendance. Smoke detectors are in place and directly linked to Fire Services.
- QEC Managers control access to central paper files.
- The CEO or Delegate controls access rights to electronic folders and files.
- Any staff member who removes a file from central storage must insert a tracer card which clearly shows the file name or number, the name of the remover and date.

Indexing

- Business records are indexed alpha-numerically in accordance with QEC’s central filing system chart.

Related Hyperlinks

Central File System, FOI Act, Health Records Act, Files, Client Files

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Key Legislation, Acts and Standards

PLEASE PLACE A 'Y' IN THE BLANK COLUMN relating to the applicable standards below:-
e.g.

1.0 Empowerment	1.1	Understanding Rights & Responsibilities	Y
	1.2	Exercising Rights & Responsibilities	

DHS STANDARDS Listing

1.0 Empowerment	1.1	Understanding Rights & Responsibilities	
	1.2	Exercising Rights & Responsibilities	
2.0 Access & Engagement	2.1	Services Are clear	
	2.2	Services are delivered	
	2.3	Access to Services	
3.0 Wellbeing	3.1	Services Adoption	
	3.2	Services Participation	
	3.3	Goals Documented & Implemented	
	3.4	Reviews, Evaluations & updates	
	3.5	Delivery is in Safe Environment	
4.0 Participation	4.1	Choice & Control of Service Delivery	
	4.2	Community Participation	
	4.3	Maintaining Connections with Family & Friends	
	4.4	Strengthen Culture Connection - Aboriginal/Torres	
	4.5	Strengthen Cultural, Spiritual & Language	
	4.6	Life Skills - Develop Sustain Strengthen	

ISO 9001:2008 Listing

4.0 Quality Management System	4.1	General	
	4.2.1	Doc Requirements General	
	4.2.2	Doc Requirements Quality Manual	Y
	4.2.3	Doc Requirements Control of Docs	Y
	4.2.4	Doc Requirements Control of records	Y
5.0 Management Responsibility	5.1	Management Responsibility	
	5.2	Customer Focus	
	5.3	Quality Policy	
	5.4	Planning Inc 5.4.1-5.4.2	
	5.5.1	Responsibility & Authority	
	5.5.2	Management Representative	
	5.5.3	Internal Communication	
6.0 Resource Management	5.6	Management Review	
	6.1	Provision of resources	
	6.2	Human resources	
	6.3	Infrastructure	
7.0 Product Realization	6.4	Work Environment	
	7.1	Planning of Product Realisation	

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	7.2	Customer-related Processes	
	7.3	Design & development	
	7.4	Purchasing	
	7.5	Production and service provision	
	7.6	Control of monitoring & measuring devices	Y
8.0 Measurement, Analysis & Improvement	8.1	Measurement Analysis & Improvement	
	8.2	Monitoring & Measurement	
	8.3	Control of non- conforming Product	
	8.4	Analysis of Data	
	8.5	Improvement	

Key Legislation, Acts and Standards

- Freedom of Information Act 1988 and amendments File No G0108
- Australian Standard Public Hospital Unit Record Numbering System
- The Public Record Office Victoria, Standards and Disposal Schedule File No P0803 Version 2000
- Information Privacy Act 2000
- Health Records Act 2001
- Victorian Information Privacy Principles 2013

Key words

Critical, records, access, retention, disposal, archiving, government standards, freedom, information, public record, VIPP, FOI

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