



DA 2015-006

**Sector Disposal Authority for Mental Health
Services**

DA Type: Sector

Sector Disposal Authority for Mental Health Services

Disposal Authority No	2015-006
Disposal Authority Type	Sector
Organisation/s	[Mental Health Services]
Disposal Authority Scope	Sector Disposal Authority for functional records of mental health services. Supersedes RD 2004273; RD 2007033; and relevant parts of RD 2005001.
Disposal Authority Status	Approved by SRC
Status Date	9/12/2016

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INTRODUCTION

1. ABOUT THIS SCHEDULE

1.1 Important Note

This Sector Disposal Authority (SDA) will be used in combination with the State Records Office publication *General Disposal Authority for State Government Information* which covers records of activities / categories that are common across State government.

The State Records Office guideline *Records Retention and Disposal Instructions* will be consulted before any disposal of records is conducted, whether as part of a formal / regular disposal program or on an ad hoc basis.

1.2 Organisation Background

Government organisations established for the purposes of providing mental health services, including:

- Mental Health Commission;
- Office of the Chief Psychiatrist;
- Mental Health Tribunal (Previously the Mental Health Review Board (Dec 1977 to Nov 2015));
- Health and Disability Services Complaints Office (Previously the Office of Health Review (Sep 1996 to Nov 2010)); and
- Mental Health Advocacy Service (Previously the Council of Official Visitors (Nov 1997 to Nov 2015)).

Legislation establishing mental health service agencies and affecting the functions and operations of those agencies includes:

- *Alcohol and Other Drugs Act 1974* (formerly the *Alcohol and Drug Authority Act 1974*);
- *Carers Recognition Act 2004*;

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- *Criminal Law (Mentally Impaired Accused) Act 1996;*
- *Disability Services Act 1993;*
- *Health and Disability Services (Complaints) Act 1995;*
- *Health Legislation Administration Act 1984;*
- *Health Services (Quality Improvement) Act 1994;*
- *Health Services (Quality Improvement) Regulations 1995;*
- *Health Services Act 2016;*
- *Mental Health Act 2014;*
- *Poisons Act 1964;*
- *Public Sector Management Act 1994.*

Previous (now defunct) organisations include:

- Western Australian Alcohol and Drug Authority (the Drug and Alcohol Office)

1.3 Purpose of this Schedule

This SDA has been developed by the State Records Office of WA in conjunction with the organisations, to form part of the Recordkeeping Plan of each organisation, as required under section 16(3)(a-c) of the *State Records Act 2000*.

The objectives of this SDA are to:

- Identify all core business records of the organisations;

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- Identify which records are required for permanent retention as State archives and which records can be destroyed; and
- Establish retention periods for records that will be destroyed so that they are kept for appropriate periods to satisfy legal, business or other requirements.

1.4 Scope and Implementation of this Schedule

This SDA covers the core business records of each of the organisations (as set out in 1.2 of this Introduction) and any offices, including subordinate or regional offices. It also covers the core business records of predecessor / defunct organisations.

This Schedule supersedes:

- RD 2004273 Alcohol and Drug Authority of Western Australia;
- RD 2007033 Council of Official Visitors;
- Relevant parts of RD 2005001 Department of Health.

Where appropriate, the Department of Health Patient Information Retention and Disposal Schedule (PIRDS), RD 2014001 and subsequent versions, is used for records relating to patient treatment.

Records already sentenced under the superseded retention and disposal schedules which are still in the custody of a mental health services agency will be re-sentenced as necessary in accordance with this Schedule.

This Schedule applies to records in all formats.

Before any records covered in this Schedule are destroyed or transferred to the State Records Office as State archives, they will be reviewed by the relevant authority within each sector agency and authorised for destruction or transfer.

A record of destroyed records and, where destruction is performed by an external contractor, certificates of destruction, provided by the contractor to the organisation's authorised officer, will be retained in accordance with the *General Disposal Authority for State Government Information*.

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The value of records may change over time. In assessing records that have reached their minimum retention period and are due for destruction, officers should consider those that may have potential business or historical value, for ongoing retention or archiving if warranted. Any records due for destruction that on re-assessment may have archival value should be referred to the State Records Office for further evaluation.

1.5 Psychiatric Patient Records

The following information is contained in section 3.7 of the Introduction to the Department of Health Patient Information Retention and Disposal Schedule (PIRDS):

All psychiatric patient records are to be retained for 7 years following death.

It is important that a psychiatric patient record is maintained for the lifetime of such individuals, for the purpose of ongoing treatment and/or in the event that mental competency is regained.

Although there is no clear definition, information requirements outlined in the *Mental Health Act 2014*, the *National Health Data Dictionary* and the *Mental Health National Outcomes and Casemix Collection: Technical Specifications of State and Territory Reporting Requirements* indicate that a psychiatric patient record is any record of a patient admitted for a psychiatric episode or episodes of care to a mental health care facility.

A mental health care facility includes the following:

- public hospitals, or part of a public hospital, that is authorised under section 21 of the *Mental Health Act*
- public community residential mental health facilities
- public community based mental health facilities (providing ambulatory mental health services).

Where health care facilities maintain an integrated patient record, in which psychiatric notes are included, professional judgement should be exercised in determining whether such records should be considered psychiatric in accordance with the above interpretation.

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1.6 Investigations, Inquiries and Freedom of Information

If an Investigation or Inquiry is in progress (or likely or imminent), or if a request for access to information under the *Freedom of Information Act 1992* has been lodged, all records relevant or subject to the Investigation / Inquiry / FOI request must be identified and retained until the action and any subsequent actions are completed. This applies regardless of whether the records in question are due for destruction.

1.7 Review of this Schedule

The State Records Office of WA will review the structure, coverage and content of this SDA within five years of its approval.

The review will be conducted in conjunction with all organisations that are subject to this SDA.

Any proposed revisions / amendments to this SDA, or any intention to prepare a new SDA to replace this one, will be discussed with the organisations prior to such activity commencing.

2. SPECIFIC MATTERS

2.1 "Significant" Records

In this Schedule, each disposal class has usually been assigned one disposal action (e.g. "Required as State archives" or "Destroy").

If a disposal class contains records of both archival and non-archival value, two disposal actions have been assigned and:

- the term "Significant" has been used to identify records of archival value;
- the term "Other" has been used to identify records of non-archival value.

In such cases, the criteria for identifying which records are "Significant" are that the records document matters which:

- Affect the whole-of-government or portfolio function; or

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- Concern or affect Corporate Executive activity; or
- Concern major liabilities or obligations of the organisation or the State; or
- Relate to the development of legislation, regulations or government policy; or
- Significantly impact or affect the organisation's functions or structure; or
- Were precedent setting; or
- Involved substantial public debate or controversy; or
- Generated wide community interest; or
- Caused major changes to organisational policy; or
- Involved items or property considered to have cultural heritage value.

2.2 Archives Not Transferred to the State Records Office

All State archives identified in this Schedule will be transferred to the State Records Office before they are 25 years old.

2.3 Restricted Access Archives

A restricted access archive is *"a State archive that is a government record and to which access is restricted until it is of a certain age"* (State Records Act 2000, sect. 3). Part 6 of the State Records Act 2000 (the Act) provides for the restriction of certain categories of State archives.

s.49 of the Act provides that State archives which contain *"information about another person's medical condition or about another person's disability"* are to be restricted for 100 years.

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Any access restrictions that apply to State archives identified in this Schedule are noted under the record classes and documented in a separate *Restricted Access Justifications* report.

3. DEFINITIONS

3.1 Definition of Terms

Custody: *means* the minimum retention period for which records are to be kept prior to their disposal. The Custody statement includes the disposal trigger that begins the retention period.

Destroy: *applies to* records identified as having temporary value and which will be destroyed once their retention period has expired.

Disposal Action: *means* the final disposition for records once their retention period has expired. The main disposal actions are "Required as State archives" and "Destroy".

Required as State archives: *applies to* records identified as having permanent value. State archives are to be transferred to the State Records Office once their retention period has expired (unless the State Records Commission has given approval for the organisation to retain such records).

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No	Function/Activity	Description	Disposal Action	Custody
1	ADVOCACY	<p>The function of providing an advocacy service for individuals.</p> <p>See 4.3 Inspections For records of inspections of mental health facilities</p>		
1.1	Accidents	Accidents sustained by residents at facilities.		
1.1.1		Accident Reports - Copies of reports from facilities on residents' accidents, supplied by facility on an FYI basis. Originals retained at facility.	Destroy	Retain 2 years after action completed, then Destroy.
1.2	Consumer Contacts	<p>Correspondence and reports from and about specific consumers.</p> <p>See 4.4 Investigations For records where the matter results in an Investigation</p>		
1.2.1		<p>Correspondence and reports, letters from and about consumers which require an action or response. Records held in hard copy files.</p> <p>Note: Up to December 2015 these records were captured in the TRIM records management system and the VTS (Visitor Tracking System) database. In December 2015 VTS was replaced by the ICMS database. Records received in hard copy are scanned and the image is captured in the ICMS (Integrated Case Management System) database and relevant information from the hard copy is data entered into ICMS.</p>	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>ADVOCACY - Consumer Contacts</i>				
		For disposal decisions for the VTS and ICMS databases see 1.2.3.		
1.2.2		Non Identifiable Action (NIA) - Correspondence from consumers in which no further action could be taken or no action was requested.	Destroy	Retain 2 years after action completed, then Destroy.
1.2.3		Databases - Containing forms, correspondence and other information relating to contact with and visits to clients. Databases include but are not limited to: <ul style="list-style-type: none"> • VTS (Visitor Tracking System) • ICMS (Integrated Case Management System) 	Destroy	Retain data for 7 years after action completed, then Destroy. Where all data is migrated to a successor database, retain the database for 12 months after successful migration of data, then destroy.
1.3	Membership			
1.3.1		Non-Government Organisations - Membership with NGOs	Destroy	Retain 5 years after action completed, then Destroy.
1.4	Official Visitors	Official Visitors are sessional appointees. Official Visitors are appointed for a set period of time and must re-apply for the position at the end of their term. <i>See General Disposal Authority for State Government Information</i> 69.PERSONAL FILES for Official Visitor personal files		

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No	Function/Activity	Description	Disposal Action	Custody
<i>ADVOCACY - Official Visitors</i>				
1.4.1		Unsuccessful Applicants - Interview notes, reports, expressions of interest and applications.	Destroy	Retain 3 months after appointment date, then Destroy.
1.5	Policy	Commenting on external Policies <i>See General Disposal Authority for State Government Information 72.POLICY</i> For internal agency specific policy development and implementation.		
1.5.1		External Agencies/Facilities - Commenting, requesting clarification on and providing feedback on decisions, directions practices and precedents of facilities as specified in their policies. Sample of policy documents retained in Library.	Destroy	Retain 6 years after action completed, then Destroy.
2	ALCOHOL & OTHER DRUGS	The function of providing treatment, management, care and rehabilitation of persons suffering from the consumption or use of alcohol or other drugs to excess. <i>See General Disposal Authority for State Government Information 72.POLICY</i> For records relating to Policy		
2.1	Alcohol and Drug Treatment Services	Specialist assessment and treatment for people with drug and alcohol problems. Includes: <ul style="list-style-type: none"> • In patient drug and alcohol withdrawal services; • Specialist pharmacotherapy service; 		

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No	Function/Activity	Description	Disposal Action	Custody
<i>ALCOHOL & OTHER DRUGS - Alcohol and Drug Treatment Services</i>				
		<ul style="list-style-type: none"> • Statewide clinical consultancy and client support service for health professionals and pharmacotherapy clients; • Community pharmacotherapy programs; and • Clinical research and guidelines. <p><i>See General Disposal Authority for State Government Information 85.RESEARCH for Clinical Research records</i></p> <p><i>See Department of Health Patient Information Retention and Disposal Schedule (PIRDS) for Client Files</i></p>		
2.1.1		<p>Clinical Services - Records relating to trends, issues and activity reports regarding provision of clinical services.</p> <p>NB: Data from these records are captured in the National Minimum Data Set (see Item 2.1.4 in this Disposal Authority)</p>	Destroy	Retain 10 years after cessation of service, then Destroy.
2.1.2		<p>Quality Improvement - Records relating to obtaining accreditation from the Quality Improvement Council in Alcohol, Tobacco and Other Drugs Services (ATODS). Includes records of accreditation of the Next Step program.</p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.1.3		<p>Service Information Management System (SIMS/SIMS2) - Database - A system to capture</p>		Retain in accordance with the relevant

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No	Function/Activity	Description	Disposal Action	Custody
<i>ALCOHOL & OTHER DRUGS - Alcohol and Drug Treatment Services</i>				
		<p>clinical records of clients using the AOD (Alcohol and Other Drugs) services. Records appointments, presenting information, treatments and outcomes.</p> <p>NB: Formerly the Client Management Information System (CMIS) - all data was migrated into SIMS.</p>		schedule in the PIRDS
2.1.4		<p>National Minimum Data Set - Alcohol and Other Drugs Treatment Services is a nationally agreed set of common data items collated from publicly funded Alcohol and Drug Treatment Services (the Commonwealth, State and Territories). The data is extracted annually and sent to the Australian Institute for Health and Welfare (AIHW) in Canberra. It is used to monitor patterns of service utilisation, specific population groups, inform planning and development strategies and benchmarking.</p>	Required as State archives	Retain 10 years after action completed, then transfer to the SRO.
2.2	Client Services and Resourcing	<p>Resources provided to agencies across the state to ensure a diverse range of specialised government and non-government drug and alcohol treatment and support services are available to clients. Includes:</p> <ul style="list-style-type: none"> • Preparing and reviewing contracts and service agreements for the provision of services; • Monitoring and reviewing the performance of service providers against requirements; • Coordinating continuity of care through the integration of services; • Ensuring quality assurance through monitoring; 		

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No	Function/Activity	Description	Disposal Action	Custody
<i>ALCOHOL & OTHER DRUGS - Client Services and Resourcing</i>				
		<p>and</p> <ul style="list-style-type: none"> Contributing to planning, coordination and participation in special interest groups and forums relating to alcohol and drug issues. <p>See General Disposal Authority for State Government Information 6.AGREEMENTS / CONTRACTS for records relating to services provided under contract</p> <p>See General Disposal Authority for State Government Information 48.GRANT FUNDING for funding to not for profit organisations</p> <p>See General Disposal Authority for State Government Information 76.PUBLISHING / PUBLICATIONS for published material</p> <p>See General Disposal Authority for State Government Information 82.REPORTING--82.1. For reports of summarised data extracted from SUDS</p>		
2.2.1		<p>Resources Other Organisations - Provision of resources to non-government AOD (Alcohol and Other Drug) agencies to assist with issues such as alcohol, depressants, hallucinogens, anabolic agents, medical drugs, and stimulants etc. Includes publications, aids and reference materials etc.</p>	Destroy	Retain 5 years after action completed, then Destroy.
2.2.2	<p>WA Diversion Programs</p>	<p>Formerly called Council of Australian Governments (COAG) Illicit Drug Diversion Initiative. An early intervention program that aims to divert offenders either with a drug related offence, or clear drug use</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>ALCOHOL & OTHER DRUGS - Client Services and Resourcing - WA Diversion Programs</i>				
		<p>problem into treatment. Records include information relating to the ongoing administration of the programs such as the procurement of services, contract management, program implementation and management, evaluation reports and liaison activities with other key stakeholders.</p> <p>Includes both court and police diversion programs, eg:</p> <ul style="list-style-type: none"> • POP - Pre Sentence Opportunity Program • YPOP - Youth Presence Opportunity program • STIR - Supervised Treatment Intervention Regime • YSTIR - Supervised Treatment Intervention Regime • IDP - Indigenous Diversion Program • CIR - Cannabis Intervention Requirement Scheme • ODIR - Other Drug Intervention Requirement Scheme 		
2.2.2.1		<p>Significant WA Diversion Programs.</p> <p><i>See also definition of "Significant" in the Introduction to this Authority.</i></p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>ALCOHOL & OTHER DRUGS - Client Services and Resourcing - WA Diversion Programs</i>				
2.2.2.2		Other WA Diversion Programs, not included in 2.2.2.1	Destroy	Retain 7 years after action completed, then Destroy.
2.2.3	Counselling			
2.2.3.1		Telephone Counselling - Statistics on numbers of calls taken by the Alcohol and Drug Support Service	Destroy	Retain 5 years after action completed, then Destroy.
2.2.3.2		ADSS - database to capture caller details including demographic information and telephone numbers. Also records information on callers who have booked a diversion session through the Booking Service.	Destroy	Retain data 7 years after action completed, then Destroy. Alternatively, destroy database after successful migration of all data to another system.
2.2.4		Drunken Persons Detention Forms - Admission forms completed by "Sobering Up Centres". A copy is provided to the agency as a requirement of the funding agreement. Some details, ie de-identified data, are captured in the Sobering Up Database System (SUDS).	Destroy	Retain 1 year after action completed, then Destroy.
2.2.5		SUDS - Sobering Up Database System - used to record the data from the sobering up centres. Data is entered from the hard carbon copies of the admission forms received from the centres. Data entered includes items such as the date of admission, the place of admission, the person's place	Destroy	Retain data 7 years after expiry of the sobering up centre funding agreement, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>ALCOHOL & OTHER DRUGS - Community Drug Summit</i>				
		of residence and gender.		
2.3	Community Drug Summit			
2.3.1		<p>The Community Drug Summit was held in August 2001 to allow the community to contribute to the formulation of long term strategies and policies to address the illicit drug problem in Western Australia and was the foundation on which the Alcohol and Drug Authority (known as the Drug and Alcohol Office) was created.</p> <p>Includes records of issues raised and discussed, consultations, submissions and recommendations on topics such as: Establishment of the Youth Drug Service, Aboriginal Drug Form and Working Group Recommendations.</p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.4	Information			
2.4.1		<p>Reference material compiled from external sources, eg:</p> <ul style="list-style-type: none"> • Indicators of Drug Use • Heroin Related Deaths; • Drug Related Offences; • Drug Related Seizures; 	Destroy	Retain 2 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>ALCOHOL & OTHER DRUGS - Law Enforcement / Legal Issues</i>				
		<ul style="list-style-type: none"> • Drugs and Driving; and • Revised Retractable Needle and Syringe Technology Initiative. <p><i>Published materials are to be sent to the State Library of Western Australia, in accordance with the Legal Deposit Act 2012.</i></p>		
2.5	Law Enforcement / Legal Issues			
2.5.1		Information on illegal activities such as drug trafficking, illicit drugs and licensed premises forwarded to the appropriate authorities responsible for law enforcement	Destroy	Retain 7 years after action completed, then Destroy.
2.6	Liquor Licensing	Providing support to the Executive Director, Public Health with regard to the statutory role in the <i>Liquor Control Act 1988</i> .		
2.6.1		Alcohol Control - Records relating to the Alcohol Accord, an agreement between police, action groups and community groups, the Liquor Industry and Liquor Licensing focusing on control of alcohol issues. Includes minutes of meetings, agendas and related correspondence.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.6.2		Licensing Applications - Monitoring, investigating and assessing liquor licence applications in terms of risk or alcohol-related harm or ill health. Includes	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>ALCOHOL & OTHER DRUGS - Planning Coordination and Development</i>				
		<p>records relating to:</p> <ul style="list-style-type: none"> • Restricted premises under section 152 of the <i>Liquor Control Act 1988</i>; • Restricted areas under section 175 of the <i>Liquor Control Act 1988</i>; and • Licence conditions under section 64 of the <i>Liquor Control Act 1988</i>. <p>NB: Administration of liquor licence applications is the responsibility of the Department of Racing, Gaming and Liquor.</p>		
2.7	Planning Coordination and Development	<p>Planning and development of alcohol and drug programs and services. Includes system planning and programs across agencies, for health areas and regions of WA.</p> <p><i>See General Disposal Authority for State Government Information</i> 15.CELEBRATIONS / CEREMONIES / COMPETITIONS / EVENTS / HONOURS AND AWARDS for drug education events</p>		
2.7.1		Community Development - Development of initiatives to support professionals, community groups and individual community members on a statewide and local basis to develop and implement evidence based strategies to address drug and alcohol related issues, includes training programs, press releases, community initiative support	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>ALCOHOL & OTHER DRUGS - Planning Coordination and Development</i>				
		<p>brochures.</p> <p><i>Published materials are to be sent to the State Library of Western Australia, in accordance with the Legal Deposit Act 2012.</i></p>		
2.7.2		<p>Campaigns - Programs developed to raise awareness, educate and inform the community about alcohol and other drugs. Examples of such campaigns include: Drinksafe; Respect Yourself; Drug Aware; Strong Spirit Strong Mind; Alcohol Think Again; Safer and Healthier Setting (Night Venues Strategy);. Includes records relating to focus groups and the development and evaluation of campaigns.</p> <p><i>Published materials are to be sent to the State Library of Western Australia, in accordance with the Legal Deposit Act 2012.</i></p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.7.3		<p>Area Planning - Plans relating to alcohol and drug programs and services following consultation with key stakeholders in areas defined by the Department of Health regional and metropolitan boundaries. Development and implementation of Area Plans involves coordination through local and regional area planning groups.</p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.7.4		<p>System Integration and Coordination - A systematic framework of program and service delivery aiming to provide continuity of care to people affected by alcohol and drugs. Targeting their specific needs through agency collaboration and</p>	Destroy	Retain 5 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>AUTHORISATION</i>				
		partnerships. Includes coordination of stakeholders, eg includes the Narconon Drug Rehabilitation and Education Services of WA; Intergenerational Care; and Youth Services Systems Development.		
3	AUTHORISATION	The function of authorising designation of mental health practitioners, authorisation of public hospitals and approval of mental health services.		
3.1	Electroconvulsive Therapy	Approval of mental health services for electroconvulsive therapy		
3.1.1	Approval	Activities relating to approval or licensing of facilities or services for electroconvulsive therapy.		
3.1.1.1		Register - List of premises approved or licensed to undertake electroconvulsive therapy.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
3.1.1.2		Licensed Premises - Applications, renewals, responses, conditions specified, gazettal and revocation of licences	Destroy	Retain 15 years after approval or licence expired, lapsed or revoked, then Destroy.
3.2	Mental Health Practitioners	Designation of Authorised Mental Health Practitioners		
3.2.1		AMHP Database - Register of Authorised Mental Health Practitioners	Required as State archives	Migrate all data to successor database or transfer to the SRO when database is superseded.

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<i>AUTHORISATION - Mental Health Practitioners</i>				
3.2.2		<p>Hard copy documents relating to approval of Authorised Mental Health Practitioners. Information is entered in the official database, AMHP (or its successor). Includes:</p> <ul style="list-style-type: none"> • Request for approval as an Authorised Mental Health Practitioner • Approval and gazettal • Revocation of Authorised Mental Health Practitioner status (eg by retirement or resignation) 	Destroy	Retain 2 years after data entry on the database, then Destroy
3.2.3		Gazettal of orders designating authorised Mental Health Practitioners	Destroy	Retain 2 years after publication of order in the Government Gazette, then Destroy
3.3	Reporting	<p>Statutory reporting as required under the <i>Mental Health Act 2014</i>, including, but not limited to: use of seclusion; restraint; electroconvulsive therapy; MHA treatment; ECT statistics; emergency ECT approvals etc.</p> <p>Information is held in electronic format in a series of databases. Information is either entered directly in the relevant database or data entered from hard copy forms.</p> <p>See <i>General Disposal Authority for State Government Information</i> 82.REPORTING For records relating to</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>AUTHORISATION - Reporting</i>				
		reporting of other core and operational business functions		
3.3.1		Database - Summary reporting records including the use of seclusion, electroconvulsive therapy, mechanical restraints and emergency psychiatric treatment etc of mental health patients.	Required as State archives	Migrate all data to successor database or transfer to the SRO when database is superseded.
3.3.2		Hard copy forms relating to use of seclusion; restraint; electroconvulsive therapy; MHA treatment; ECT statistics; emergency ECT approvals etc.	Destroy	Retain 2 years after data entered into the relevant database, then destroy.
4	CASES	Records documenting activities managed as case files, includes: <ul style="list-style-type: none"> • investigations and resolution of complaints related to mental health and disability services provided to clients, includes complaints about treatment of patients and against facilities providing treatment and services from consumers and family/friends. • reviews of mental health services and facilities and of voluntary and involuntary patients. • inspections of mental health facilities. 		
4.1	Community Living Strategy	The Individual Community Living Strategy (ICLS) provides clients with access to a personalised package of support and individualised funding, tailored to the clients circumstances, and a home of		

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<i>CASES - Community Living Strategy</i>				
		their own in the community. Each person's individual plan will incorporate a blend of informal and formal supports, including specialised clinical services and community based activities.		
4.1.1		<p>ICLS files contain personal details of individuals including (but not limited to):</p> <ul style="list-style-type: none"> • Personal and biographical details; • Personal plans with detail of personalised supports which are updated every 12 months; • Clinical details including clinical, psychiatric assessments and mental health diagnosis; • (Sometimes) Justice information and other sensitive material if relevant; • Ongoing funding details; • Some details of family and friends if relevant. 	Destroy	Retain 7 years after date of death, then Destroy.
4.2	Complaints	<p>Complaints regarding any aspect of mental health or disability services, including treatment of specific patients, services provided by specific facilities and alcohol and drug services.</p> <p>See 4.4 Investigations For Complaints that result in a formal investigation</p> <p>See <i>General Disposal Authority for State Government Information 77.PUBLIC REACTION</i> For complaints</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>CASES - Complaints</i>				
		about the mental health agency.		
4.2.1		Complaints which are of a minor nature and do not result in formal investigation. Includes complaints that are withdrawn; rejected; deferred; or referred.	Destroy	Retain 6 years after action completed, then Destroy.
4.2.2		<p>Registers/Databases containing information and data recording complaints received by telephone and/or email. May also include general enquiries from the public, eg mental health services system navigation based enquiries, requests for information and details of local mental health services as well as information about lodging a complaint about a mental health service.</p> <p>Includes, but is not limited to the following databases:</p> <ul style="list-style-type: none"> • Respond • Complaints Manager 	Destroy	Retain 6 years after action completed, then Destroy. Alternatively, destroy database after successful migration of all data to another system.
4.3	Inspections	<p>Inspections of mental health facilities</p> <p>See 4.4 Investigations For Inspections where specific matters of concern result in further investigation</p>		
4.3.1		Inspection Reports - Routine reports specified by name of facility and ward if applicable.	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>CASES - Investigations</i>				
4.4	Investigations	<p>Formal investigations into specific matters. These records may be specified by: name of patient; name of issue (topic); name of facility or section of the <i>Mental Health Act</i>. Includes:</p> <ul style="list-style-type: none"> • Notifiable incidents, including reportable deaths • Significant complaints <p>See 4.2 Complaints For minor complaints that do not result in a formal investigation</p> <p>See 4.5 Reviews For routine reviews which do not result in a formal investigation</p> <p>See 4.3 Inspections For routine inspections that do not result in a formal investigation</p>		
4.4.1		<p>Significant investigations.</p> <p><i>See also definition of "Significant" in the Introduction to this Authority.</i></p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
4.4.2		Other investigations not included in 4.4.1	Destroy	Retain 7 years after action completed, then Destroy.
4.5	Reviews	<p>Case files documenting:</p> <ul style="list-style-type: none"> • Reviews of voluntary and involuntary patients • Review of mental health services and facilities 		

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No	Function/Activity	Description	Disposal Action	Custody
<i>CASES - Reviews - Patient Reviews</i>				
		<ul style="list-style-type: none"> • Monitoring standards of psychiatric care <p>See 4.4 Investigations For reviews that result in a formal investigation</p>		
4.5.1	Patient Reviews	<p>Reviews of voluntary and involuntary patients. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Review of treatment orders; • Review of transfer orders; • Declaration about validity of treatment order; • Review of long-term involuntary inpatients; • Electroconvulsive therapy approvals; • Psychosurgery approvals; • Compliance notices to service providers; • Review of orders restricting freedom of communication; • Validity of a nomination; • Review of decisions affecting rights; • Proceedings and hearings; • Hearing recordings; 		

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No	Function/Activity	Description	Disposal Action	Custody
<i>CASES - Reviews - Patient Reviews</i>				
		<ul style="list-style-type: none"> • Appeals. <p>Note: Mental Health Tribunal hearing recordings - Recordings of hearing proceedings are held in digital format. Recordings are only transcribed if requested. Where a hearing transcript is created, it is attached to the relevant patient review file.</p>		
4.5.1.1		<p>Patients - Significant. Records of significant reviews of voluntary and involuntary patients</p> <p><i>See also definition of "Significant" in the Introduction to this Authority.</i></p> <p><i>If no files meet the "Significant" criteria, then a numerical sample of 1% per annum is to be retained and the remainder destroyed as per 4.5.1.2.</i></p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
4.5.1.2		<p>Patients - Other reviews of voluntary and involuntary patients not included in 4.5.1.1.</p>	Destroy	Retain 7 years after date of death, then Destroy.
4.5.1.3		<p>Reasons for decisions. Patients may request to be provided with the reasons why a particular decision has been made. These records are kept on an annual file for ease of reference by new staff.</p> <p>A copy of the reasons for decision is attached to the client case file. See 4.5.1.1 and 4.5.1.2.</p>	Destroy	Retain 10 years after action completed, then Destroy.
4.5.1.4		<p>Database - ICMS (previous database - Case Track) - Used by the Mental Health Tribunal</p>	Retain in agency	Retain data permanently within

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No	Function/Activity	Description	Disposal Action	Custody
<i>CASES - Reviews - Services & Facilities Reviews</i>				
		Contains all information relating to patient reviews. The information is also held on hard copy client case file.		agency. Where all data is migrated to a successor database, retain the database for 2 years after successful migration of data, then destroy.
4.5.2	Services & Facilities Reviews	Reviews of mental health services and facilities		
4.5.2.1		<p>Services & Facilities - Significant. Records of significant reviews of mental health services and facilities</p> <p><i>See also definition of "Significant" in the Introduction to this Authority.</i></p> <p><i>If no files meet the "Significant" criteria, then a numerical sample of 1% per annum is to be retained and the remainder destroyed as per 4.5.2.2</i></p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
4.5.2.2		Services & Facilities - Other reviews of mental health services and facilities not included in 4.5.2.1.	Destroy	Retain 7 years after action completed, then Destroy.
4.5.3		Reportable Deaths - Reviews of reportable deaths that do not result in a formal investigation.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
4.6	Patient Medical Records			

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No	Function/Activity	Description	Disposal Action	Custody
<i>CASES - Patient Medical Records</i>				
4.6.1		<p>Copies of patient medical records obtained for the purpose of conducting a review or investigation where the original record is held by the health service facilities and the document is not required to support the findings and outcome of the issue.</p> <p>NB: The original patient medical records are held by the health services facility administering treatment.</p>	Destroy	when the review / investigation is concluded
5	EDUCATION & TRAINING	<p>The function of providing education and training programs to clients, health and welfare professionals, both within the AOD and mental health sector, and more broadly to other stakeholder organisations. Programs support and develop the capacity of workers to effectively address AOD related issues through the provision of best practice interventions. Individual worker development represents one key area of an overall workforce development strategy, the other two areas being organisational and systems development. Education and training programs may include courses, workshops, seminars, conferences and online learning.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Operations as a Registered Training Organisation; • Development and accreditation of training programs; • Clinical training for undergraduate and 		

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No	Function/Activity	Description	Disposal Action	Custody
<i>EDUCATION & TRAINING - Registered Training Organisation</i>				
		<p>postgraduate health professionals through clinical placements;</p> <ul style="list-style-type: none"> • Building the capacity to implement effective prevention and treatment practice in individual practitioners and organisations; • Provision of information on drug use, drug harm, prevention and treatment options; • Training programs and material to inform those participating in the delivery of pharmacotherapy programs. 		
5.1	Registered Training Organisation	Activities relating to agency operations as a Registered Training Organisation.		
5.1.1		Liaison with vocational accreditation bodies (such as Royal College of General Practitioners (RACGP), Pharmaceutical Council etc) regarding training and assessment	Destroy	Retain 15 years after action completed, then Destroy.
5.1.2		Administration of operations in accordance with the Australian Quality Framework.	Destroy	Retain 5 years after action completed, then Destroy.
5.1.3		Formal recognition of courses by the Training Accreditation Council.	Destroy	Retain 7 years after delivery ceases, then Destroy.
5.1.4		Vocational Education & Training. Development work for training material and curriculum for TAFE	Destroy	Retain 7 years after delivery ceases, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>EDUCATION & TRAINING - Registered Training Organisation - Student Records</i>				
		students.		Destroy.
5.1.5	Student Records			
5.1.5.1		Completed qualifications, including Certificates and Statements of Attainment	Retain in agency	Retain in agency
5.1.5.2		Student results records	Destroy	Retain 30 years after action completed, then Destroy.
5.1.5.3		Student enrolment records	Destroy	Retain 10 years after action completed, then Destroy.
5.1.5.4		Master copies of student assessments and exam papers	Destroy	Retain 5 years after course superseded, then Destroy.
5.1.5.5		Completed student assessments, workbooks etc, where they are not returned to students	Destroy	Retain 6 months after assessment completed, then Destroy.
5.2	Training			
5.2.1		Tertiary Programs - Liaison with tertiary organisations such as UWA, Curtin, Murdoch, Edith Cowan University on course development	Destroy	Retain 10 years after action completed, then Destroy.
5.2.2		Courses, workshops, training programs, presentations and materials developed and presented to inform the community; stakeholders; general	Destroy	Retain 7 years after material is replaced or superseded, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>EDUCATION & TRAINING - Training</i>				
		<p>practitioners; health professionals; and other organizations about (but not limited to):</p> <ul style="list-style-type: none"> • Aboriginal Mental Health • Mental Health • AOD (Alcohol and Other Drug) use, drug harm, prevention and treatment options; • Pharmacotherapy programs; • First Aid; • CPI Nonviolent Crisis Intervention <p><i>Published materials are to be sent to the State Library of Western Australia, in accordance with the Legal Deposit Act 2012.</i></p>		Destroy.
5.2.3		<p>EMARS (Event Management and Reporting System) - Database</p> <p>Contains information on training courses (events) run by the agency, including:</p> <ul style="list-style-type: none"> • Name of the training course/event; • Name of the presenter/organiser; • Category of training was delivered; 	Destroy	Retain 7 years after action completed, then Destroy. Alternatively destroy database after successful migration of all data to another system.

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No	Function/Activity	Description	Disposal Action	Custody
<i>EDUCATION & TRAINING - Training</i>				
		<ul style="list-style-type: none"> • Target audience; • Evaluation KPIs. <p>Does not include participant's details.</p> <p>The evaluation summary and raw data evaluation forms are also held in hard copy on the appropriate corporate file.</p>		
5.2.4		<p>Community Education Drugs in Perspective (DIP) - A package designed by the agency to be delivered by health professionals for local drug action groups. Includes evaluation reports, presentations and manuals.</p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
5.2.5		<p>Indigenous Traineeships - Courses developed to provide Indigenous people with training in alcohol and other drug related fields such as sexual health, rural and remote development</p>	Destroy	Retain 10 years after action completed, then Destroy.
5.2.6		<p>Mentorship provided to support non DAO professionals</p>	Destroy	Retain 10 years after action completed, then Destroy.
5.2.7		<p>Consultancy - Advice provided to service providers and peak bodies. Includes:</p> <ul style="list-style-type: none"> • Aboriginal Health; • Blood Borne Viruses (BBV); 	Destroy	Retain 15 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>EDUCATION & TRAINING - Training</i>				
		<ul style="list-style-type: none">Community Programs for Opioid Pharmacotherapy Systems development (developing structural support for Alcohol and Other Drug (AOD) programs in non AOD agencies).		
5.2.8		System Development - Developing structural support for AOD programs such as the Western Australian Network of Alcohol and Drug Agencies; Youth Services; GP Support Program.	Destroy	Retain 10 years after action completed, then Destroy.