Implementation Standard

Standard # QH-IMP-045-6:2012

Records Management for Administrative and Functional Records Policy


1. Purpose
This Implementation Standard identifies the minimum requirements for the management of administrative and functional records by Records Management Practitioners and Records Officers in accordance with the Records Management for Administrative and Functional Records Policy.

2. Scope
This Implementation Standard applies to all Department of Health employees (permanent, temporary and casual) and all organisations and individuals acting as its agents (including partners, contractors, consultants and volunteers) responsible for the creation of administrative and functional records, regardless of:

- Medium – physical (eg. paper, photographs, specimens, x-rays etc) and electronic (eg. email, database applications, websites etc);
- Classification (eg. Business Classification Scheme; or
- The system in which the records are maintained ie. within a business system or a dedicated records management system (manual or computerised).

3. Supporting documents
Authorising Policy and Standard/s:

- Records Management for Administrative and Functional Records Policy
- Management of Administrative and Functional Records – Department of Health Employees Implementation Standard

- Full and accurate records shall be created routinely to provide evidence of business activities, transactions taken, advice given and decisions made, and to facilitate the transaction of business.
- Administrative and functional records shall be maintained in order to retain their corporate value.
- Vital records shall be managed.
- Recordkeeping shall be monitored and audited.
4. Related documents
- Emergency Preparedness and Continuity Management: Implementation Standard for the management of records QH-IMP-315-2-1
- Queensland Health Business Classification Scheme v2.1
- Queensland Government General Retention and Disposal Schedule for Administrative Records (version 6)
- Queensland Government Information Standards:
  - QGIS 18 Information Security
  - QGIS 31 Retention & Disposal of Public Records
  - QGIS 33 Information Access and Use
  - QGIS 40 Recordkeeping

5. Requirements
5.1 Managing Records
Records Officers shall ensure:
- records management practices are practical and comply with departmental requirements
- full and accurate records are created to provide evidence of business activities, transactions, advice and decisions
- records that are not created as part of a business process shall be created as soon as practical following the event
- local working files or departmental files are created for the Business Unit
- electronic records are managed in accordance with an approved business classification scheme
- records are created in a format that ensures they are accessible and useable for their required retention period
- records of social or cultural significance, which may contribute to the cultural heritage assets of the State, are created and captured into a recordkeeping system
- a minimum set of metadata is applied when registering a record into a recordkeeping system.
5.2 Vital Records
Records Officers shall ensure vital records are identified and managed as outlined in the Queensland State Archives *Identifying and Managing Vital Records Public Records Brief*.

5.3 Emergency Management
Records Officers shall ensure emergency management and business continuity programs are followed and maintained to ensure risks to records are minimised and managed appropriately.

5.4 Classifying Records
Records Officers shall ensure:
- records are classified or grouped at the point of capture in accordance with the Queensland Health Business Classification Scheme v2.1
- files are titled using standard terminology derived from the Queensland Health Business Classification Scheme v2.1
- records are assigned an appropriate security classification
- records are appraised and assigned a retention code derived from Queensland State Archives approved Retention and Disposal Schedule/s.

5.5 Assigning Security Classifications
Records officers shall ensure all records held and used in a records management system shall have a security classification assigned to protect against unauthorised access, change or loss, and to ensure the records’ confidentiality, integrity and availability.

5.6 Appraising Records
Records Officers shall ensure:
- records are appraised and retained in accordance with Queensland State Archives approved Retention and Disposal Schedule/s
- records are sentenced at the time of file creation using current Queensland State Archives approved Retention and Disposal Schedule/s
- records are re-sentenced prior to disposal in the following circumstances:
  - the Retention and Disposal Schedule under which the records have been sentenced has been superseded by a later version or a new Schedule; or
  - action on the record has resulted in the record falling into a new disposal class (e.g. file requested under Right to Information or other legal process, or an issue changes from minor to major significance).
records are reappraised prior to disposal to verify the accuracy of the original retention classification and to determine any legal or business requirements to retain the record for a longer period.

5.7 Accessing and Using Records

Records Officers shall ensure:

- the degree of protection assigned to a record is consistent with the value or level of importance the records hold within the Department, or the business impact of the unintentional disclosure or corruption of the information
- processes are implemented that manage access rights to recordkeeping systems
- access to restricted records held at Queensland State Archives are authorised
- the use of records is in accordance with the Information Privacy Act 2009
- recordkeeping and business systems that manage records are secure from unauthorised access, damage or misuse in compliance with Queensland Government Information Standard 18 – Information Security and the Queensland Health Information Security Standards
- Cabinet information is managed and retained in accordance with the Queensland Cabinet Handbook.

5.8 Maintaining Records

Records Officers shall ensure:

- records of continuing value are managed to ensure they are accessible and useable for their required retention period
- data migration strategies for systems that manage records are implemented and documented
- procedures are in place to make sure files are kept complete at all times to preserve the integrity and evidentiary value of the record
- regular audits of the current location of files/documents are conducted to guarantee continuing ease of access to records
- the movement of records of a sensitive nature is managed to prevent unauthorised access.

5.9 Storing Records

Records Officers shall ensure:

- sites, facilities and areas for records storage are located away from known hazards and be convenient to user needs.
- shelving, equipment and containers for records’ storage are secure, accessible and protected from deterioration.

- records storage facilities, areas and records are maintained to safeguard their security, condition and accessibility.
- records are stored in environmental conditions that are appropriate to their format and retention period.
- records are stored on media that guarantee their useability, reliability, authenticity and preservation for as long as they are needed for legislative and business requirements.
- commercial record storage facilities meet the requirements of this standard.

5.10 Monitoring and Auditing Records

Records Officers shall ensure:

- recordkeeping is monitored and audited for compliance with all relevant legislative, cultural, business and accountability requirements
- opportunities for improvement and corrective actions are documented and implemented as soon as practicable on completion of the audit
- records management is monitored and audited in accordance with the Queensland Government Information Principles:
  - Transparent: The public has a right to information
  - Trustworthy: Information is accurate, relevant, timely, available and secure
  - Private: Personal information is protected in accordance with the law
  - Equitable: Information is accessible to all
  - Valued: Information is a core strategic asset
  - Managed: Information is actively planned, managed and compliant.

5.11 Archiving Records

Records Officers shall ensure:

- inactive records identified for continuing retention are archived routinely (quarterly, annually, etc.) and systematically, while remaining accessible and useable for their required retention period, in accordance with Queensland State Archives approved Retention and Disposal Schedule/s
- the privacy, confidentiality and security of archived records is protected in accordance with the Information Privacy Act 2009
- records are not retained for longer than required for business and legislative requirements and the Department of Health is not exposed to unnecessary risk.

5.12 Permanent Transfer of Records to Third Parties

Records Officers shall ensure:
all permanent transfer of records is authorised by the Director-General who can approve permanent transfer of records as the Information Custodian for all Department of Health records

permanent transfer of records, including those required in Machinery of Government changes, are recorded in a Department of Health records management system

permanent records transferred to Queensland State Archives are prepared in accordance with Queensland State Archives Guideline on the Disposal and Transfer of Public Records

permanent records considered for transfer to Queensland State Archives are appraised to determine the appropriate restricted access period

determination of restricted access periods for permanent records to be transferred to Queensland State Archives is assigned by a delegated authority

access to restricted records held at Queensland State Archives is authorised by a delegated authority.

5.13 Disposing of Records

Records Officers shall ensure:

where an existing Retention and Disposal Schedule does not cover the disposal of a particular record class, authorisation from the State Archivist, via the Records Management Unit, is provided before the destruction of the record

documentation evidencing the appraisal and approval for destruction of a record or group of records is retained as a permanent record in a Department of Health recordkeeping system

the recordkeeping system in which the record, or group of records approved for disposal is maintained, shall have the disposition of the record modified to indicate that the records have been destroyed and the date destruction occurred

destruction methods are commensurate with the record’s value, business significance and sensitivity

if an external provider is used for the destruction of records, a destruction certificate is obtained and retained permanently as a public record.

5.14 Training and Advice

Records Officers shall ensure:

advise staff in the Business Unit who to contact for records management advice

provide links to online Records Management training modules
provide updates and regular education, awareness and training sessions to staff
answer queries from staff
provide advice to staff within the Business Unit, and when required, seek further guidance from the Records Management Unit
take the lead in developing local work instructions for records management and ensure the instructions are accessible and communicated to staff.

6. Review
This Standard is due for review on: 10/08/2014
Date of Last Review: New
Supersedes: New

7. Business Area Contact
Senior Director, Asset and Property Services, Health Infrastructure Branch, System Support Services Division

8. Responsibilities

<table>
<thead>
<tr>
<th>Position</th>
<th>Responsibility</th>
<th>Audit criteria</th>
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<tbody>
<tr>
<td>Director-General</td>
<td>• Information Custodian and Records Custodian.</td>
<td>DoH has an effective and compliant records management program.</td>
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<td>• Accountable for records management and records management systems of Department of Health (DoH).</td>
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<td>• Assign records management responsibilities within DoH.</td>
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<td>Chief Health Infrastructure Officer, Health Infrastructure Branch, System Support Services</td>
<td>• Policy Custodian of the DoH Policy – Records Management for Administrative and Functional Records.</td>
<td>DoH Policy – Records Management for Administrative and Functional Records is reviewed at least every two years.</td>
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<td>• Custodian of Information Standards 40: Recordkeeping and 31: Retention and Disposal of Public Records, as they relate to administrative and functional records management within DoH.</td>
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<tr>
<td>Senior Director, Asset and Property Services</td>
<td>• Accountable for establishing and maintaining the records management program and records management systems, for administrative and functional records.</td>
<td>DoH’s records program for administrative and functional records is managed.</td>
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<td>Chief Executive, Health Service Support Agency,</td>
<td>• Give proper priority to maintaining administrative</td>
<td>All local administrative and functional records</td>
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| **Deputy Directors-General, and Chief Information Officer, Health Service Information Agency** | and functional records and records management systems within each Division or Commercialised Business Unit.  
- Identify Records Management Practitioner or equivalent for each Division or Commercialised Business Unit. | and records management systems are managed and operated in accordance with DoH Policy – Records Management for Administrative and Functional Records and the requirements in this Standard. |
| **Executive Directors/ Senior Directors/Directors** | All DoH employees, volunteers, contractors within business areas are aware of their responsibilities relating to the DoH Policy – Records Management for Administrative and Functional Records and the requirements in this Standard. | All records created and managed by the business area are managed in accordance with DoH Policy – Records Management for Administrative and Functional Records and the requirements in this Standard. |
| **Audit and Operational Review Unit (AORU)** | Audit and monitor QH compliance with records management legislative, regulatory and business requirements. | QH complies with records’ legislative, regulatory and business requirements for records management. |
| **Records Management Unit** | Leads the development of the records management program for DoH relating to administrative and functional records.  
- Develop and manage the processes for monitoring and auditing DoH’s administrative and functional records management.  
- Develop and maintain the administrative and functional records management program and tools, including the Business Classification Scheme and retention and disposal schedules.  
- Key liaison role with Queensland State Archives on all matters relating to administrative and functional records.  
- Operational records management of administrative and functional records to Corporate Office clients. | This Standard and supporting DoH Policy – Monitoring and Auditing Administrative and Functional Records Management are implemented within QH. |
Auditing Administrative and Functional Records Management within local environments.

- Develop, implement and maintain local administrative and functional records management work instructions consistent with the above DoH Policy.
- Provide advice, guidance, education and awareness on records management practices within the local area.
- Operational records management of administrative and functional records within defined business areas.

Managers/Supervisors

- Approve records management local work instruction/s.
- Give appropriate priority to records management resources and training.
- Strengthen the knowledge and skill sets of all DoH employees, volunteers and contractors for whom they are responsible, to embed an awareness of the DoH Policy and promote compliance with this Policy and Standard.
- Ensure all DoH employees, volunteers and contractors for whom they are responsible:
- Comply with DoH Policy – Records Management for Administrative and Functional Records and all supporting documents including local work instructions.

All DoH employees, volunteers and contractors

- Comply with DoH Policy – Records Management for Administrative and Functional Records and all supporting documents including local work instructions.

Functional Records and the requirements in this Standard.

9. Definitions of terms used in the policy and supporting documents

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition / Explanation / Details</th>
<th>Source</th>
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</thead>
<tbody>
<tr>
<td>Access</td>
<td>The right, opportunity, means of finding, using or retrieving information.</td>
<td>National Archives of Australia Glossary</td>
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<tr>
<td>Administrative record</td>
<td>Records that are created to document and support the operational activities of the agency which include administration of finance, human resources, equipment and other facilitative operations.</td>
<td>Queensland State Archives Glossary of Archival Recordkeeping Terms</td>
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<tr>
<td>Term</td>
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<td>Appraisal</td>
<td>The process of evaluating business activities and records to determine which records need to be captured and how long those records need to be kept to meet business needs, accountability requirements and community expectations.</td>
<td>National Archives of Australia Glossary</td>
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<tr>
<td>Business System</td>
<td>An information technology system designed to support the undertaking of a specific business process or processes. Although business systems may create, receive, manage and maintain business information relating to business processes, their primary function is not concerned with the management of this information as records.</td>
<td>Queensland State Archives Glossary of Archival and Recordkeeping Terms</td>
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<tr>
<td>Capture</td>
<td>A deliberate action which results in the registration of a record into a recordkeeping system. For certain business activities, this action may be designed into electronic systems so that the capture of records is concurrent with the creation of records.</td>
<td>National Archives of Australia Glossary</td>
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<td>Classification</td>
<td>The process of identifying and grouping records according to the business activity, to facilitate description, control, links and determination of disposition and access status.</td>
<td>Queensland State Archives Glossary of Archival and Recordkeeping Terms</td>
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<td>Destruction</td>
<td>The process of eliminating or deleting records that do not have continuing value, beyond any possible reconstruction (such as incineration, shredding, pulping or deletion).</td>
<td>Adapted by QSA from AS ISO 15489, Part 1, Clause 3.8</td>
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<td>Disposal</td>
<td>The action concerning the fate of the records. Disposal includes: a) destroying, deleting or migrating a record or part of a record, and b) abandoning, transferring, giving away, donating or selling a record or part of a record.</td>
<td>Adapted by QSA from Public Records Act 2002, Schedule 2</td>
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<tr>
<td>File</td>
<td>An organised unit of records grouped and managed as a discrete object because they deal with the same activity or transaction. A file can be physical or electronic. The action of placing documents in a predetermined location according to an overall scheme of control.</td>
<td>National Archives of Australia Glossary</td>
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<tr>
<td>Functional record</td>
<td>Records created by an agency to help carry out its unique business role. The functions and their associated records are specific to the agency, as opposed to administrative records that document activities common to all agencies.</td>
<td>Queensland State Archives Glossary of Archival and Recordkeeping Terms</td>
</tr>
<tr>
<td>Metadata</td>
<td>Structured information that describes and/or allows users to find, manage, control, understand or preserve other information over time.</td>
<td>National Archives of Australia Glossary</td>
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<tr>
<td>Record</td>
<td>Recorded information created or received by an entity in the transaction of business or the conduct of affairs that provides evidence of the business or affairs and includes: a) anything on which there is writing b) anything on which there are marks, figures.</td>
<td>Public Records Act 2002 Schedule 2 Dictionary</td>
</tr>
<tr>
<td><strong>Recordkeeping</strong></td>
<td>The act of making and keeping evidence and memory of government business in the form of recorded information.</td>
<td>Queensland State Archives Glossary of Archival Recordkeeping Terms</td>
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<td><strong>Records Management</strong></td>
<td>Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.</td>
<td>Queensland State Archives Glossary of Archival Recordkeeping Terms</td>
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<tr>
<td><strong>Recordkeeping System</strong></td>
<td>The interaction of the technology, people, principles, methods, processes and information systems which captures, manages and provides access to records through time.</td>
<td>Queensland State Archives Glossary of Archival Recordkeeping Terms</td>
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<tr>
<td><strong>Tracking</strong></td>
<td>Creating, capturing and maintaining information (recordkeeping metadata) about the movement and use of records.</td>
<td>Adapted by QSA from AS ISO 15489, Part 1, Clause 3.19</td>
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<td><strong>Vital Record</strong></td>
<td>Those records without which an agency could not continue to operate. They contain information needed to re-establish the agency in the event of a disaster and satisfy ongoing core business responsibilities. Vital records are those which protect the assets and interests of the agency as well as those of its clients and shareholders and are usually associated with legal and fiscal matters.</td>
<td>Adapted by QSA from Records Management by J Kennedy and C Schauder, p. 302</td>
</tr>
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10. Approval and Implementation

Policy Custodian:
Chief Health Infrastructure Officer, Health Infrastructure Branch, System Support Services Division

Responsible Executive Team Member:
Deputy Director-General, System Support Services Division

Approving Officer:
Deputy Director-General, System Support Services Division

Approval date: 16 August 2012
Effective from: 16 August 2012