

# Identification of corporate records

## Department of Health Guideline

QH-GDL-467-1

### 1. Statement

Information is created, or received, as part of business processes this includes emails, data entered into business systems and databases, audio and video recordings, photographs, manual and electronic transactions, and reports, spreadsheets and other documents created. Records shows the decisions and actions and deliverables of the department, as required by the Public Records Act 2023

This guideline to assist staff to identify corporate records, and where, when and how to prioritise the capture and preservation of these records.

This guideline may be used to assist staff within the Department of Health (the Department) to identify what information and data is, and is not, a record, and where, when and how to prioritise the capture of those records that are not automatically captured into an approved business system. It is part of the [Corporate Records Management Policy Framework](#) which exists to ensure records are made, kept, and where possible, disposed appropriately.

### 2. Purpose

The purpose of this guideline is to provide examples and guidance to assist with identifying public records which are corporate in nature, and guidance as to how these records can be managed.

### 3. Scope

This guideline applies to all employees, contractors and consultants working within, or for, the Department (excluding Queensland Ambulance Service). It applies to:

- corporate records – it does not include clinical records.
- all formats (physical and digital) regardless of the system in which they are maintained.

This guideline may be adopted, or re-branded, for use by Hospital and Health Services (HHS) or statutory bodies. As each Hospital and Health Services (HHS) is a separate public authority under section 8(1)(g)(i) of the *Public Records Act 2023*, it the responsibility of each HHS to ensure their public authority complies with the Act.

Compliance with this guideline is not mandatory, but sound reasoning should exist for departing from the recommended requirements within the guideline.

This guideline may be adopted, or re-branded, for use by Hospital and Health Services (HHS) or statutory bodies.

## 4. Requirements

### 4.1. What is a record

In this guideline, record has the same meaning as ‘record’ in the *Public Records Act 2023*, namely:

information recorded on, in or by using any medium and is made, received, or kept by the Department in the carrying out of activities, and evidences the activities, affairs or business of the Department. It can include:

- a) anything on which there is writing
- b) anything on which there are marks, figures, symbols or perforations having a meaning for persons, including persons qualified to interpret them
- c) anything from which sounds, images or writings can be reproduced with or without the aid of anything else, or
- d) a map, plan, drawing or photograph.

The Department is required to ensure the public records are made in a way that accurately shows the actions /decisions of the Department including the information that contextualise these actions or decisions.

*Refer to Appendix 1 – Examples of what is and is not a record*

*Refer to Appendix 2 Tool to assess if it is a record*

### 4.2. What records need to be captured

Records should be captured into the Department’s electronic Document and Records Management System (eDRMS), Content Manager (if they are not already captured into an approved business system).

Formal capture of records includes the recording of metadata describing the content, context and structure of the records into an approved recordkeeping system or approved business system. Records that need to be captured may be:

- **Any format.** Records are records regardless of the format (electronic/digital or physical).
- **Created during the conduct of business.** Many records are created naturally as we conduct business (i.e. write reports, letters, memoranda, emails etc.).
- **Created after the conduct of business.** Some records need to be created specifically to document a decision, action or transaction (i.e. minutes and file notes).
- **Received.** Some records are received from the general public, non-government organisations and other public authorities through the mail or over the counter (i.e. letters and correspondence, forms etc.) or via email and other electronic means (i.e. Dropbox, file transfer protocol etc.).

### 4.3. Who should capture records?

The general responsibility for the capture of a record lies with the:

- **Creator of internal records** (records created within and distributed within the Department) e.g. memoranda and briefs.
- **Creator of outgoing records** (records created within and distributed outside of the Department) e.g. outgoing letters, consultation, joint ventures and submissions.

- **Receiver of incoming records** (records created outside of the Department) e.g. incoming records.

*Refer to Appendix 3 – Responsibilities for capturing records*

#### 4.4. When should records be captured?

Records should be made simultaneously, or as soon as practicable, following an event, action, approval, decision, or communication.

- Records created as part of a business process (e.g. report, letter, or email) need to be captured simultaneously, or as soon as possible, after creation.
- Records not created as part of a business process (e.g. meetings or conversations) need to be created and captured as soon as practicable after the event (e.g. in minutes or a file note).

#### 4.5. Prioritising the capture of records

In line with the [whole-of-Government Records Governance Policy](#), Principle 4 which requires public authorities to actively manage permanent, and high value and high risk records and information as a priority. The Department of Health requires records that are permanent risk or high risk and above above the risk rating os per its Business Classification Scheme to be actively managed. They must be saved and sentenced in line with the Department's Business Classification risk rating taking into consideration the corresponding retention period and saved in either:

- the Department of Health's eDRMS, or;
- an approved business system, i.e.. a system included in the [List of approved Data and Application Custodians schedule](#) with a custodian appointed.

Office 365 Teams and Office 365 SharePoint are not approved recordkeeping systems. These systems are web-based tools to for collaboration and they enable sharing of documents and are used for working documents. These sites are not suitable for active management of corporate records, as they do not provide for the sentencing of the records in line with the QSA retention schedules, which is required to ensure compliance with the Public Records Act 2023.

Any corporate records held in Office 365 (including Microsoft SharePoint and Teams) which require the active management must be captured and recorded in an approved business system or eDRMS, the Departments approved recordkeeping system. This is because these systems do not provide for the sentencing of the records in line with the QSA retention schedules, which is required to ensure compliance with the Public Records Act 2023.

## 5. Legislation

### 5.1 Queensland Government legislation:

- *Electronic Transactions (Queensland) Act 2001*
- *Evidence Act 1977*
- *Financial Accountability Act 2009*
- *Financial and Performance Management Standard 2019*
- *Hospital and Health Boards Act 2011*
- *Public Health Act 2005*
- *Information Privacy Act 2009*
- *Public Records Act 2023*
- *Public Service Act 2022*
- *Right to Information Act 2009.*

### 5.2 Queensland Government policies and standards:

- Information Access and Use Policy (IS33)
- Information Asset Custodianship Policy (IS44)
- Information Security Policy (IS18:2018)
- Information Security Classification Framework (QGISCF)
- Private Email Use Policy
- Public Service Code of Conduct
- Queensland Recordkeeping Metadata Standard and Guideline
- Records Governance Policy
- Use of ICT services, facilities and devices Policy (IS38).

## 6. Supporting documents

### 6.1. Corporate Records Management Policy Framework:

- Corporate Records Management Policy
- Corporate Records Roles and Responsibilities Standard
- Creation of Corporate Records Standard
- Use of Corporate Records Standard
- Digitisation Disposal of Corporate Records Standard
- Disposal of Corporate Records Standard
- Identification and Creation of Corporate Records Guideline (this document).

### 6.2. Other Related Documents:

- Clinical Records Management Policy
- Data and Application Custodianship Policy
  - Data and Application Custodianship Standard

- Data and Application Custodianship Roles and Responsibilities

- Information classification and handling Standard
- Information Security Policy
- Instrument of Delegation for the Public Records Act 2023
- Use of electronic approvals FMPM Standard 7.3.2
- Use of ICT services and devices Policy suite.

## 7. Definitions

Term	Definition
Active Management of a public record	The business owner of the permanent or high risk record are required to capture and manage these records in either an Approved Business System, or Approved Recordkeeping System.
Application Custodian	A position designated with overall accountability and responsibility for decision making in relation to the ongoing development, management, compliance, care and maintenance of an application to support business needs.  See also: Data Custodian; Approved Business System
Approved Business System	An approved business system (for the purpose of recordkeeping) is a system that has been assigned a Data Custodian and/or Application Custodian in accordance with the Data and Application Custodianship Policy.  Custodians are responsible for understanding, managing and controlling risks associated with applications and the collections of data held within these applications. They are also responsible for ensuring that legal, regulatory, policy, standards and other business requirements of the application continue to be met.  See also: Application Custodian; Data Custodian
Approved Recordkeeping System	An approved recordkeeping system refers to the Department's electronic Document and Records Management System (eDRMS) or legacy Records Management System.
Born Digital	Materials that originate in digital form (digitally native), not created on paper nor any other analogue source
Business Classification Scheme (BCS)	A BCS is a records management tool used to categorise information resources in a consistent and organised manner. It is comprised of a hierarchy of terms that describe the broad business functions of the department and the activities and transactions that enable those functions to be delivered.
Chief Executive	The Executive Officer means the Director-General, Queensland Health, who has ownership of all

Term	Definition
	<p>Queensland Health records, and is responsible for records in the custody of the Department of Health.</p> <p>The Chief Executives of the Hospital and Health Services (HHSs) are responsible for the custody and disposal of records in their HHS.</p>
Clinical Records	<p>A collection of data and information gathered or generated to record the clinical care and health status of an individual or group. Also referred to as a health record, medical record or healthcare record. Refer <a href="#">Clinical Records Management Policy (QH-POL-280:2014)</a>.</p>
Confidential Information	<p>In this policy, confidential information has the same meaning as 'confidential information' in the <i>Hospital and Health Boards Act 2011</i>, namely:</p> <p><b>confidential information</b> means any information that --</p> <ul style="list-style-type: none"> <li>(a) <i>is about a person who is receiving or has received a public health sector health service; and</i></li> <li>(b) <i>could identify the person.</i></li> </ul>
	<p>Confidential information most often relates to patients of Queensland Health (including deceased persons) and can include information such as patient UR number, name, address, date of birth, admission and discharge dates, billing information, Medicare number, medical record and referrals (note this list is not exhaustive).</p> <p>For further information, you can refer to the Department's <a href="#">Confidentiality General Principles</a> to understand the duty of confidentiality and the circumstances when 'confidential information' may be disclosed.</p>
	<p>It is an offence to disclose 'confidential information' about a person unless one of the exceptions in Part 7 of the HHB Act applies.</p> <p>See also: <i>Information Privacy; Personal Information; Right to Information;</i></p>
Corporate Records	<p>Records that are administrative and non-clinical functions of the Department (e.g. executive correspondence, finance, human resource, legal, research, scientific, cancer screening etc.).</p>
Data Custodian	<p>A position designated with overall accountability and responsibility for decision making in relation to the data set, data collection and / or application allocated and the ongoing capture, compliance, development, management, care and maintenance of data to support business needs.</p> <p>See also: Application Custodian; Approved Business System</p>
Digital Records	<p>Digital Records created, communicated and/or maintained by means of electronic or computer technology, including both 'born digital' records and records that have been digitised. See also: Physical Records</p>

Term	Definition
Digitisation	The creation of digital images from paper documents by such means as scanning or digital photography.
Digitisation Disposal	The disposal of paper records after they have been digitised in accordance with the minimum requirements of the QSA Guideline – Dispose of Source Records.
Digitised	A digital version of material that originated in a physical or analogue state.
Disposal	<p>In this policy, disposal has the same meaning as ‘disposal’ in the <i>Public Records Act 2023</i>, namely:</p> <p><b><i>disposal, of a public record means --</i></b></p> <ul style="list-style-type: none"> <li>a) <i>destroying, or delete the record, or</i></li> <li>b) <i>alter, or damage the record in a way that</i> <ul style="list-style-type: none"> <li>(i) <i>changes how accurately an action or decision is shown in the record, or</i></li> <li>(ii) <i>otherwise affects the integrity of the record.</i></li> </ul> </li> <li>c) <i>abandon the record; or give away the record, whether by sale, donation, or</i></li> <li>d) <i>other transfer.</i></li> </ul>
	<p>Records disposal includes the following activities:</p> <ul style="list-style-type: none"> <li>• <b>Destroy:</b> complete and irreversible physical erasure of the record, ensuring it cannot be reconstituted, recreated or reconstructed</li> <li>• <b>Transfer:</b> permanent transfer to another public authority because of a machinery-of-government change</li> <li>• <b>Sell:</b> records cannot be sold, except if an agency or function is sold or privatised (i.e. under a machinery-of-government change)</li> <li>• <b>Donate:</b> giving records to a museum or historical society must be authorised by the State Archivist</li> <li>• <b>Loss or damage:</b> because of a disaster or other circumstances beyond your agency’s control, such as contamination</li> <li>• <b>Abandon:</b> neglect, which can lead to loss or damage to records, is a form of disposal</li> <li>• <b>Amend:</b> unauthorised changing of a record by addition, deletion, revision or obliteration of information, particularly if it modifies the meaning or intent of the record’s content or renders it unusable.</li> </ul>
Disposal Protection Notice	An authority issued by the Queensland State Archivist, by Court issue or an agency’s CEO (or delegate) that requires a temporary cessation of the destruction of public records relating to a specific topic or event. Once issued, a Disposal Protection Notice overrides any other authority to dispose records.

Term	Definition
Disposal Status	<p>Indicates the archival value of the records. Records may either be:</p> <ul style="list-style-type: none"> <li>• Permanent - meaning records should be transferred to QSA once they are no longer required for business purposes</li> <li>• Agency Permanent – meaning the records are not required by QSA once they are no longer required for business purposes. They are to be retained permanently by the agency</li> <li>• Temporary - meaning that the records may be disposed of once the minimum period for which the records must be retained in line with the QSA approved retention and disposal schedule has expired and the records are not required for any further legal or business purpose.</li> </ul>
Electronic Document and Records Management System (eDRMS)	<p>The electronic Document and Records Management System (eDRMS) is an automated system used to manage documents and records in a secure manner throughout the information management life-cycle, from creation to disposal. Its purpose is to support the creation, revision and management of digital documents, improve an organisation's workflow, improve tracking, reporting and searching capability of correspondence and provide evidence of business activities.</p>
	<p>The Department of Health's eDRMS is Content Manager for corporate records.</p>
Electronic Records	<p>See: <i>Digital Records</i>.</p>
Exchange and Microsoft Outlook	<p>Exchange and Microsoft Outlook provides corporate email system that provides secure messaging, calendaring, and scheduling capabilities.</p>
	<p><b>Note:</b> Exchange and Microsoft Outlook is not an Approved Business System or Approved recordkeeping system for the active management of corporate records.</p>
	<p>Any corporate records held in Exchange or Microsoft Outlook that are <b>permanent</b> or <b>high risk records</b> must be transferred to an Approved Business System or Approved Record Keeping System to ensure active management.</p>
Hybrid Record	<p>Records comprising paper, digitized and electronic formats, created and accessed using both manual and electronic processes.</p>
Information Privacy (IP)	<p>Information Privacy for Queensland Government is legislated through the Information Privacy Act 2009 (IP Act) which recognises the importance of protecting the personal information of individuals.</p> <p>Under the IP Act, health agencies must comply with the privacy principles contained in the IP Act, which include the nine National Privacy Principles (NPPs) and provisions regarding contracted service providers and</p>

Term	Definition
	<p>the transfer of personal information out of Australia. These rules govern how personal information must be collected, stored, used and disclosed.</p> <p>The IP Act also allows an individual to seek access to their own personal information or make a complaint about a breach of the privacy principles.</p> <p>See also: Right to Information; Personal Information; Confidential Information.</p>
Information Security	<p>The protection of information from unauthorised use or accidental modification, loss or release. Information security is based on three elements:</p> <ul style="list-style-type: none"> <li>• confidentiality – ensuring information is only accessible to authorised persons;</li> <li>• integrity – safeguarding the accuracy and completeness of information and processing methods; and</li> <li>• availability – ensuring that authorised users have access to information when required</li> </ul>
Intrinsic Value	<p>Records with intrinsic value have many similar characteristics as enduring value but may not have a permanent retention period. Intrinsic value refers to the special qualities and characteristics of the original medium that contribute to the record's significance. The characteristics that make the record special could be lost or diminished if the physical source record is destroyed and only the content is retained.</p>
Metadata	<p>Data that describes the content, context and structure of records.</p> <p>Metadata is structured or semi-structured, descriptive information about a record and usually includes the title of the record, author, date created, any changes to the record, and applicable disposal or sentencing information.</p> <p>Recordkeeping metadata enables a record to be managed over time and assists in identifying and retrieving records and supporting long term record functionality, reliability, and effective preservation or disposal authentication.</p>
Optical Character Recognition (OCR)	<p>OCR is a technology that enables you to convert different types of documents, such as scanned paper documents, PDF files or images captured by a digital camera into editable and searchable data.</p>
Office 365 Share Point	<p>Is a web-based tool to enable sharing documents, sharing file links (instead of email attachments), working documents.</p> <p>SharePoint allows people to collaborate and share ideas without the limitation of location.</p> <p><b>Note:</b> Office 365 (including Microsoft SharePoint and Teams) is not an Approved Business System or Approved recordkeeping system for the active management of corporate records.</p>

Term	Definition
Office 365 Teams	<p>Any corporate records held in Office 365 (including Microsoft SharePoint and Teams) that are <b>permanent</b> or <b>high risk records</b> must be transferred to an Approved Business System or Approved Record Keeping System to ensure active management.</p>
Office 365 Teams	<p><b>Note:</b> Office 365 (including Microsoft SharePoint and Teams) is not an Approved Business System or Approved recordkeeping system for the active management of corporate records.</p> <p>Any corporate records held in Office 365 (including Microsoft SharePoint and Teams) that are <b>permanent</b> or <b>high risk records</b> must be transferred to an Approved Business System or Approved Record Keeping System to ensure active management.</p>
Personal Information	<p>Personal information is information or an opinion (including information or an opinion forming part of a database), whether true or not, and whether recorded in a material form or not, about a person whose identity is apparent or whose identity can be reasonably ascertained from the information or opinion. See also: Information Privacy; Right to Information.</p>
Physical Records	<p>A record that is tangible and takes up physical space (e.g. paper, photographs or index cards)</p>
	<p>See also: <i>Digital Records</i></p>
Queensland State Archives (QSA)	<p>Office established under the <i>Public Records Act 2023</i> responsible for the development and promotion of effective methods, procedures, and systems for making, managing, keeping, storing, disposing of, preserving and using public records.</p>
Record	<p>Record has the same meaning as ‘public record’ in the <i>Public Records Act 2023</i>, namely:</p> <ul style="list-style-type: none"> <li>- information recorded on, in or by using any medium and is made, received, or kept by the Department in the carrying out activities for the department, and evidences its activities, affairs of business authority.</li> </ul>
	<p>In line with the Whole of Government Records Governance Policy, the Department of Health requires records that are permanent or high-risk to be actively managed</p>
Recordkeeping	<p>The act of making, keeping and preserving evidence of government business in the form of recorded information.</p>
Retention and Disposal Schedule (R&DS)	<p>A document issued by the State Archivist authorising the disposal of public records. It defines the temporary or permanent status, retention periods, disposal triggers and consequent disposal actions authorised for classes of records described in it.</p>

Term	Definition
Retention Period	The minimum period of time that records need to be kept before their final disposal as specified in an authorised retention and disposal schedule.
Right to Information (RTI)	<p>The RTI process established by the Queensland Government aims to give the community greater access to information, and also provides the right to apply for access to government held information, unless on balance it is contrary to the public interest to provide that information. This process is governed by the following two statutory instruments.</p> <ul style="list-style-type: none"> <li>• Right to Information Act 2009 which allows you to apply for access to documents held by Queensland Government agencies</li> </ul> <p>Information Privacy Act 2009 which in addition to the privacy principles, allows individuals to apply for access to, and amendment of, their own personal information held by Queensland Government agencies.</p>
Sentencing	The process of identifying the disposal class a record belongs to and applying the disposal action specified in the relevant R&DS to the record. Sentencing is the implementation of decisions made during appraisal.
Source records	Documents or records that have been copied, converted or migrated from one format or system to another. The source records are those that remain following the successful conversion or migration. Source records may be an original record or a reproduction generated by an earlier copying, conversion or migration process.
Transitory and Short Term Records	<p>Records that have a low or limited value, and therefore are only required to be kept for a short period of time (e.g. 2 days, 1 week, until business use ceases).</p> <p>They are generally created as part of routine transactional business practices and are not required to support the business functions of an agency. They also have little or no value to the agency or community.</p>

## 8. Approval and implementation

Policy Custodian	Policy Contact Details	Approval Date	Approver
<i>Executive Director, Governance Assurance and Information Management Branch</i>	<i>Records-Corporate@health.qld.gov.au</i>	<i>16 April 2025</i>	<i>Deputy Director-General, Corporate Services Division</i>

# Version Control

Version	Date	Comments
v1.0	6 April 2020	<i>New guideline</i>
v1.1	20 October 2021	<i>Approved. Minor amendments (updated references to legislation, standards, and policies).</i>
V1.2	25 October 2022	<i>Approved. Minor amendments (new template and updated references to legislation, standards and policies)</i>
V1.4	16 April 2025	<i>Minor Amendments. Change legislation and check for alignment to the new Public Records Act 2023. review for consistency of definitions, and layout.</i> <i>Approved IMSGC</i> <i>Approved Deputy- Director General, Corporate Services Division</i>

# Appendix 1 – Examples of what is a record/not a record

What is a record	What is not a record
Any data within a database or information system that documents and records business processes or actions (e.g. rates payments, licence applications and approvals, salary payments).	An external database that was used for reference purposes only.
Information that has been published on a webpage or website that relates to the business functions of the Department.	Drafts of information prepared for publication on a webpage or website approved as a final version or published.
Final agendas, minutes and papers that were presented at meetings within the Department.	Draft agendas, draft minutes from a Department meeting. All agendas and minutes from a staff social club meeting.
A report or analysis of an external publication.	An external publication.
Any internal advertising or training brochures of a work-related event or publication.	Any advertising or training brochures from an external provider.
An internal media release of a work-related event or incident.	Press cuttings and other external media reports relating to the Department and its activities.
Handwritten notes that document a final decision.	Routing slips or transmittal sheets that do not add informational content.  Copy of the approval written on an invoice where the approval of the invoice is transacted through workflows in S4 Hana.
Letters or emails from clients requesting information or action.	Unsolicited letters or emails advertising products or services.
Records generated from a project including project plan, estimates and costing, resource requirements, research materials, spreadsheets, letters, audio-visual materials etc.	Project templates.
A work email documenting an action or decision (e.g., e.g., an email that approves a business areas local work plan).	The emailing approving payment on an invoice where the invoice will be sent to

## What is a record

## What is not a record

payment in the official S4 System for approval.

An email about an afternoon tea for a work colleague who is leaving.

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## Appendix 2 – Tool to identify what is a record?

If you are still not sure what needs to be kept, think about the ongoing *use* and *value* (business, legislative, accountability and cultural/historic) of the records as you assess the records using the questions listed below.

Do I need to capture this as a record	Yes	No
Is it created or received in the conduct of work?	<input type="checkbox"/>	<input type="checkbox"/>

If you answered ‘No’ to the above question, then it **is not required** to be kept as a public record.

If you answered ‘Yes’ to the above question, proceed below. If you answer ‘Yes’ to any of the following questions, then it **is required** to be kept as a public record.

Do I need to capture this as a record	Yes	No
Is it something you (or your business area) are required to act upon?	<input type="checkbox"/>	<input type="checkbox"/>
Is it a form that you (or your business area) are required to process?	<input type="checkbox"/>	<input type="checkbox"/>
Is it formal/authoritative advice or guidance to clients (internal or external)?	<input type="checkbox"/>	<input type="checkbox"/>
Is it a formal communication to clients (internal or external)?	<input type="checkbox"/>	<input type="checkbox"/>
Does it authorise an action or transaction?	<input type="checkbox"/>	<input type="checkbox"/>
Does it document an action or transaction?	<input type="checkbox"/>	<input type="checkbox"/>
Is it something I may need to justify my actions?	<input type="checkbox"/>	<input type="checkbox"/>
Does it commit to a financial or business arrangement?	<input type="checkbox"/>	<input type="checkbox"/>
Is it a contract, agreement, or other legally binding document?	<input type="checkbox"/>	<input type="checkbox"/>
Does it include a business decision or directive?	<input type="checkbox"/>	<input type="checkbox"/>
Does it justify or support a business decision or directive?	<input type="checkbox"/>	<input type="checkbox"/>
Is it required by legislation to be kept?	<input type="checkbox"/>	<input type="checkbox"/>
Is it something I have distributed for formal consultation?	<input type="checkbox"/>	<input type="checkbox"/>
Does it relate to, support or document a significant policy change or development?	<input type="checkbox"/>	<input type="checkbox"/>

## Appendix 3 - What records need to be captured?

Formal capture of records includes the capture of metadata describing the content, context and structure of the records into an approved recordkeeping system or approved business system. Most of the information that you create and receive is likely to be a public record.



### ...capture a decision

- policies/procedures
- file notes
- meeting minutes
- leave applications
- discussion papers
- plans
- authorisations
- business cases
- finance approvals
- recruitment and selection documentation
- approved CAD drawings

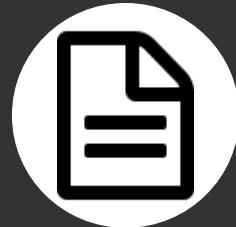
*includes records listed under  
...capture action taken*



### capture action taken

internal/external advice  
consultation reports, feedback  
requests, public enquiries  
invoices for payment  
interactions – rights and entitlements  
of individuals and communities  
research – reports and data  
drafts – at key milestones (e.g.  
consultation, approval) that show  
change in direction, significant  
feedback or comments  
legal agreements

*includes records listed under*



### ...created, received or kept to meet

- legal requirements - needed for future legal/disciplinary action (e.g. licences, permits, contracts, advice, application assessments)
- community expectations - value to community groups (e.g. registration forms, reports, protective clothing logs, consultation)
- business requirements - support decisions and actions (e.g. service contract, general ledger, advice, expenditure approvals)



### records of all formats

- digital records (emails, spreadsheets, word documents, social media etc.)
- electronic records (microfilm, microfiche, analogue audio and video tapes etc.)
- paper-based records (photographs, paper forms, hand-written and typed correspondence, reports etc.)
- files published on websites

Note: This is not an exhaustive list

# Appendix 4 – What records do not need to be captured?

Records that do not need to be captured include:

- **Non-work activities:** Personal information which does not record your work activities, such as personal emails and messages.
- **Transitory and short term records:** Records that can be destroyed once use ceases and do not need to be captured into a formal recordkeeping system. For the full listing of transitory and short term records refer to the [General Retention and Disposal Schedule](#).

## Transitory and short term records

**ADMINISTRATIVE ARRANGEMENTS.** Arrangements undertaken in the course of daily business:

event confirmations/registrations, attendance, guest lists, seating plans | invitations | schedule of fees and charges | running sheets and checklists | surplus blank and obsolete forms | bookings: venue, catering, photographer, equipment, accommodation, transport, speakers etc. | arrangements for staff attendance at training | equipment and property booking forms

**COPIES.** Copies of information/records (in any format) of a master record where nothing has been added, annotated, changed or deleted and the copies have been created, distributed, and used only for reference purposes such as:

if paper version is the official record, unaltered electronic copies | reference copies | if electronic version is the official record, printed summaries or extracts | copies already captured into recordkeeping system (e.g. emails, docs in shared drives)

**DRAFTS, WORKING NOTES AND CALCULATIONS.** Drafts of records (in any format) created as preliminary versions that do not contain significant or substantial changes or annotations that provide insight into the evolution of the final version:

working notes, calculations and research incorporated into subsequent drafts or final documents | unused reference material | drafts with minor edits (e.g. spelling and grammar) | drafts, recordings and shorthand notes used to prepare other documents | calculations, statistics or figures | drafts where no final version is created | spreadsheets and documents incorporated into another document

**EXTERNAL REFERENCE INFORMATION.** Solicited and unsolicited information and items received from external sources and kept solely for reference:

advertising, promotional and marketing of goods and services | media reports and press cuttings | external publications | unsolicited email (spam) | catalogues and price lists | unsolicited applications/resumes for employment

**ROUTINE COMMUNICATION.** Routine communication of advice and information that is readily available to the public and authorised for unlimited public access such as:

transitory messages (e.g. telephone message slips, with compliments slips) | seasonal greetings | letters of appreciation/sympathy | external survey requests and responses | contact and distribution lists | requests for changes to details (e.g. addresses) | internal circulars, team newsletters, bulletins | letters and responses to enquiries, congratulations and suggestions | listserv messages/discussion threads | provision of routine information (e.g. opening hours) | invitations which are not accepted | requests for promotional material and copies of publications

## Appendix 5 – Responsibilities for capturing records

The general responsibility for the capture of a record lies with the:

- **Creator of internal records:** records created within and distributed within the Department
- **Creator of outgoing records:** records created within and distributed outside of the Department
- **Receiver of incoming records:** records created outside of the Department and distributed to one or more people within the Department.

Responsibilities for the capture of particular record types are identified in the below table:

Responsibilities for Capturing Records			
Record Type Responsibilities	Creator (or Delegated Officer)	Receiver (or Delegated Officer)	Info Asset Custodian (Collector/Processor)
Executive Correspondence	✓		
General Incoming Correspondence		✓	
General Outgoing Correspondence	✓		
Forms			✓
Social Media			✓
Audio/Video			✓
Email - Internal	✓		
Email - Incoming		✓	
Email - Outgoing	✓		

The creator (sender) of an internal email is responsible for the capture of sent emails.

This includes:

- **Single email:** The sender of the email.
- **An email sequence:** The sender of the first email of a sequence (a sequence is considered an email conversation which contains one or more replies).
- **An email thread:** The sender of the first email of a thread (a diverted/forwarded email) which may result in a new/related issues and which may not include the original sender.

The receiver of an email that originated external to the Department is responsible for the capture of the received email. This includes:

- **Single recipient:** The receiver of the email is responsible for capture.
- **Multiple recipients:** The first listed '@health' recipient in the 'TO' list is responsible for capture.
- **CC and BC recipients:** The nature of 'CC' (carbon copy) and 'BC' (blind copy) suggests the email is for reference and is not required to be actioned.