



Module G – Generic Records

Scope:

This Module covers those categories of records that are common to most businesses. Some of these recommendations cover functional business areas, rather than individual file titles. It is suggested that if an Entity is unable to find a required reference in one of the major Modules that they look in the generic Module.

Sources:

Queensland State Archives – General Retention and Disposal Schedule for Administrative Records V2.1 6 Sept 2004 (QSA Admin V 2.1)
Queensland State Archives QDAN 601 Queensland Universities 28/6/2005 (QSA QDAN 601 Universities)
Australian Government Intellectual Property Australia website: <http://www.ipaustralia.gov.au/ip/>
State Records NSW General Disposal Authority Year 2000 Project Records GDA 6 11 June 1999 (NSW Records GDA 6)
State Records NSW General Disposal Authority Administrative Records GDA 2 11 1996 (NSW Records GDA 2)
Public Record Office Victoria PROS 96/13 General Disposal Schedule for Common Administrative records, Version 2000 (PROV Pros 96/13)
Income Tax Assessment Act – Australian Federal
Inland Revenue Act New Zealand
ATO Ruling 262A – Australian Federal – refer Introduction to this set of Modules

See also:

Module C – Child Care
Module D – Dental
Module E – Education
Module F – Finance, Accounting and Company Secretarial Records
Module FM – Facilities Management and Assets
Module H – Human Resources
Module L – Lending Institutions Banks and Building Societies
Module M – Medical and Hospital
Module R – Retire Aged Care and Welfare
Module S – Health and Safety
Module U – Unions and Associations

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SAMPLE PAGES

REF	SERIES	DESCRIPTION	T/P	ACTION	COMMENTS	JUR	SOURCE
		This page is from the GENERIC MODULE					
G-1.4	Job / Project Files – Accounting Information	<p>Accounting information pertaining to jobs.</p> <p>INCLUDES:</p> <ul style="list-style-type: none"> --All accounts receivable and payable --Claims --Variations --Accounting Reports --Taxation <p>EXCLUDES:</p> <ul style="list-style-type: none"> --Trust Accounts <p>See Also:</p> <p>F-36 Trust Accounts</p>	T	5D	Retain 5 years from the end of the financial year to which they relate	Aust Fed	Income Tax Assessment Act
				7D		NZ	Inland Revenue Act
G-7	Personal Working Papers	<p>Personal working papers are the individual working papers of company officers. They are historically either Subject or Case files. Subject files are about concepts, while Case Files relate to travel, engagements.</p> <p>INCLUDES:</p> <ul style="list-style-type: none"> --Reference Material --Copies of other files --Copies of databases <p>EXCLUDES:</p> <ul style="list-style-type: none"> -- Personal diaries of Directors, Chief Executive Officer --The personal collection of Directors and members of the Senior Executive Staff. <p>See Also:</p> <p>G-12 Ephemeral Records</p>	T	RC	<p>FILEforce Recommendation:</p> <p>Retention length is at the discretion of the individual archivist OR until reference ceases.</p> <p>Collections of Chairman, CEO, CFO should be carefully checked to see if any historical or business-critical information is contained in the files.</p>		NCA
G-16.3	Copyright	<p>Copyright or original material in literary, artistic, dramatic or musical works, films, broadcasts, multimedia and computer programs.</p> <p>INCLUDES:</p> <ul style="list-style-type: none"> --Records relating to Copyright held by the Entity <p>EXCLUDES:</p> <ul style="list-style-type: none"> --n/a <p>See:</p> <p>G-16 Intellectual Property</p>	P	10A	Retain permanently.	NSW	GDA 2 S 16.2.1

REF	SERIES	DESCRIPTION	T/P	ACTION	COMMENTS	JUR	SOURCE
		Sample From Child Care Module					
C-1	Accident / Incident Register	<p>An Accident / Incident Register can be a book or a database. It consists of a chronological list of all incidents and accidents involving children that are recorded on Incident or Accident Report Forms. The forms and the associated Register may be stored together as one record, forming the Register.</p> <p>The record should include the following information: the full name, and age or date of birth of child; the location and date of the accident, incident or injury; and a brief description of the circumstances of the accident or incident and the nature of the injury.</p> <p>If the Reports are stored with the Register, Accident / Incident Reports the following should also be included: the names of witnesses; action taken, including administration of first aid; the name and signature of the person making the report, and date; the time of child 's departure from the centre and name of person collecting the child; record of persons notified and by whom, and the signature of parent/s, as acknowledgement that they have been notified of the child 's accident or injury.</p> <p>INCLUDES:</p> <ul style="list-style-type: none"> --Accident / Incident Register --Accident / Incident Report forms if stored with the Register as one record <p>EXCLUDES:</p> <ul style="list-style-type: none"> --Accident / Incident Report forms if kept separately from the Register --Records relating to the death of a child in care <p>See Also:</p> <ul style="list-style-type: none"> C-7 Death of a Child in Care C-11 Incident / Accident Report Forms - if forms are stored separately S-10 Accident Register for Incidents involving staff or visitors S-10.1 Accident Reports for reports involving staff or visitors 	T	35D	Retention period made consistent with Qld Workplace Health and Safety Regulations. This retention period covers and exceeds the requirements in all states and New Zealand.	Tas	Tasmanian Licensing Standards for Centre Based Child Care, Class 1 (0-5 years) S 15.1.4 (g), (F) 25 years from DOB
						NSW	NSW Children's Services Regulation 2004 Clauses 92-96 - 24 years from DOB
						Qld	Qld Child Care Regulation 2003 S 104 - 21 years from DOB
		Sample Page From Medical Module					
M-15	Out-Patient Clinic Lists	Lists of patients who have an outpatient booking for a particular day.	T	1D	Retain minimum of 1 year after date of last entry or list, then destroy	NSW	NSW GDA 17 Patient/Client Records S 2.2.3

REF	SERIES	DESCRIPTION	T/P	ACTION	COMMENTS	JUR	SOURCE
		INCLUDES: --Lists of patients who have an outpatient booking for a particular day EXCLUDES: --Lists of in-patients					
M-16	Out-Patient Records	Records of patients attending or presenting to Out-Patient Departments not admitted as in-patients - all hospital groups. INCLUDES: --Records of patients who are dead on arrival (DOA) --Records maintained as part of the Emergency Department Information System (EDIS). EXCLUDES: --n/a	T	Adults 7D or Minors DOB + 25D – use the greater	As per In patient records. Retain minimum of 7 years after last attendance (in respect of DOA's use date of death) or official contact or access by or on behalf of the patient, or until patient attains or would have attained the age of 25 years, whichever is the longer, then destroy	NSW	NSW GDA 17 Patient/Client Records S 3.3.2
M-26.12	Pharmaceutical Services Regulation – Restricted Drugs Register	A register kept as a requirement of the Health Act, logging each activity in registered drugs, known as S4 or prescription medicine. INCLUDES: --A register logging each activity in registered drugs EXCLUDES: --A register logging controlled drugs – See M-26.10 --Register of controlled and restricted drugs for each patient – See M-26.11	T	2D	After last entry in book, format as per S207 of the Health (Drugs and Poisons) Regulations 1996	Qld	Health (Drugs and Poisons) Regulations 1996 (1/7/2004). Sections 207, 222.
		Sample From Human Resources Module					
H-18.1	Industrial Disputes – Minor – Personnel or contractors	Records relating to minor disputes involving the entity's personnel. INCLUDES: --Summary of dispute --Effect on operations --Names of personnel involved EXCLUDES: --Major disputes See Also: G-21 Litigation Avoidance H-17 Industrial Disputes – Major	T	7D	Retain for 7 years after last action.	Qld	QSA Admin V 2.1 S 3.3.10
H-22	Contracts – Reviews	Documentation relating to the evaluation or re-evaluation of personnel employed under contract.	T	7D	FILEforce Recommendation: The contractual information should be	NSW	GDA 12 S 2.19.2

REF	SERIES	DESCRIPTION	T/P	ACTION	COMMENTS	JUR	SOURCE
		<p>INCLUDES:</p> <ul style="list-style-type: none"> --Records kept separately from the relevant Personnel File --Review notes --Drafts --Meeting Notes <p>EXCLUDES:</p> <ul style="list-style-type: none"> --Records kept in the relevant Personnel File --Contracts --Employees covered solely by an Award --Employees covered solely by an Australian Workplace Agreement --Employees covered solely by an Enterprise Bargaining agreement <p>See Also:</p> <p>H-26 Permanent Personnel – Permanent File</p>			placed in the relevant historical Personnel File.		
H-39	Rosters	<p>Records showing which personnel are scheduled for work.</p> <p>INCLUDES:</p> <ul style="list-style-type: none"> --Rosters for workplaces with more than one shift at a time --Rosters for workplaces where casual or temporary personnel are used as required <p>EXCLUDES:</p> <ul style="list-style-type: none"> --Rosters for other workplaces --Rosters for Child Care Centres --Staff attendance records --Staff sign-in sheets <p>See Also:</p> <p>H-4 (Staff) Attendance Records H-39.1 Rosters – Child Care</p>	T	2D	<p>FILEforce Recommendation:</p> <p>Treat these as Working Papers. Some entities may need to keep these records longer, for Litigation Avoidance.</p>	Qld	QSA Admin V 2.1 S 3.4.75
		<p>Sample From Workplace Health And Safety Module</p>					
S-5	Investigations - Minor	<p>Records and reports relating to investigations of minor health and safety issues.</p> <p>INCLUDES:</p> <ul style="list-style-type: none"> --Reports --Correspondence <p>EXCLUDES:</p> <ul style="list-style-type: none"> --Records and reports relating to investigations of major health and 	T	7D	Retain for 7 years after last action.	Qld	QSA Admin V2.1 S 3.6.14



REF	SERIES	DESCRIPTION	T/P	ACTION	COMMENTS	JUR	SOURCE
		safety issues See Also: S-5.1 Investigations – Major					

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