

State Archives and Records Authority of New South Wales

Functional retention and disposal authority: cancer research

This authority covers records documenting the function of cancer research

This retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.

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Functional Retention and Disposal Authority

Authority no DA204

SR file no 05/0065

Scope This retention and disposal authority covers records documenting the function of cancer research.

Public office Cancer Institute of NSW

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About the Functional Retention and Disposal Authority

Purpose of the authority

The purpose of this retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met.

The approval for disposal given by this authority is given under the provisions of the *State Records Act 1998* only and does not override any other obligations of an organisation to retain records.

The retention and disposal of State records

The records retention and disposal practices outlined in this authority are approved under section 21(2)(c) of the *State Records Act 1998 (NSW)*. Part 3 (Protection of State Records) of the Act provides that records are not to be disposed of without the consent of the State Archives and Records Authority of New South Wales (State Archives and Records NSW) with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Archives and Records NSW does not disapprove. Advice on the State Records Act can be obtained from State Archives and Records NSW.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. State Archives and Records NSW reviews and approves organisations' retention and disposal authorities under the *State Records Act*. It is the duty of a public office, in submitting a draft retention and disposal authority for approval, to disclose to State Archives and Records NSW any information which affects the retention of the records covered by the authority.

State Archives and Records NSW's decisions take into account both the administrative requirements of public offices in discharging their functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Archives and Records NSW's functions is to identify and preserve records as State archives. These are records which document the authority and functions of Government, its decision-making processes and the implementation and outcomes of those decisions, including the nature of their influence and effect on communities and individual lives. Criteria for the identification of State archives are listed in *Building the Archives: Policy on records appraisal and the identification of State archives*. The Policy also explains the roles and responsibilities of State Archives and Records NSW and of public offices in undertaking appraisal processes and disposal activities.

Implementing the authority

This retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority should be implemented as part of the records management program of the organisation. Two primary objectives of this program are to ensure that records are kept for as long as they are of value to the organisation and its stakeholders and to enable the destruction or other disposal of records once they are no longer required for business or operational purposes.

The implementation process entails the assessment or examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. For further advice see *Implementing a retention and disposal authority*.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see the *General Retention and Disposal Authority – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology dependent records is available for the periods prescribed.

Disposal action

Records required as State archives

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these records should be transferred to State Archives and Records NSW when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Archives and Records NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Archives and Records NSW should be a routine and systematic part of a public office's records management program. If the records are more than 25 years old and are still in use for official purposes, then a 'still in use determination' should be made.

Records approved for destruction

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, government directives and changing social or community expectations. A public office **must not** dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, formal applications for access) where the records may be required as evidence.

Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded. See *Destruction of records: a practical guide*.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Archives and Records NSW recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office **must not** permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Archives and Records NSW.

Administrative change

This retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Archives and Records NSW for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Archives and Records NSW to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

Amendment and review of this authority

State Archives and Records NSW must approve any amendment to this authority. Public offices that use the authority should advise State Archives and Records NSW of any proposed changes or amendments to the authority.

State Archives and Records NSW recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Archives and Records NSW may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements, procedures or to operating environments which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Archives Records NSW and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

Contact Information

State Archives and Records NSW
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Functional Retention and Disposal Authority
Cancer research

Authority number: DA204

Dates of coverage: Open

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1.0.0 BOARD

See General Retention and Disposal Authority *Administrative records GOVERNING AND CORPORATE BODIES* for records relating to the administration of governing bodies.

2.0.0 CANCER PREVENTION

The function of developing, planning and evaluating campaigns, services and programs to change behaviour and to educate the community on cancer prevention.

See General Retention and Disposal Authority *Administrative records COMMITTEES* for records relating to the management of internal, external or inter-agency committees, task forces, working groups or parties, etc.

See General Retention and Disposal Authority *Administrative records COMMUNITY RELATIONS - Conferences and Media Relations* for records of workshops and conferences on cancer prevention and advertising and press releases.

See General Retention and Disposal Authority *Administrative records GOVERNMENT RELATIONS - Advice* for records relating to liaison with government and the provision of advice.

See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training HEALTH PROMOTION* for records relating to cancer prevention programs or campaigns.

3.0.0 CANCER TREATMENT AND SERVICE DELIVERY

The function of developing, monitoring and evaluating cancer treatment and care protocols and information about supporting services.

See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training CLINICAL PRACTICES & PATIENT CARE* for records relating to clinical care standards and delivery of patient care.

See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training EDUCATION AND TRAINING* for records relating to courses and online training supporting treatment protocols.

4.0.0 EDUCATION AND TRAINING

The function of providing continuing education programs, such as online courses for medical, nursing, allied health, general ward staff, carers, breastscreening service providers, etc.

See General Retention and Disposal Authority *Administrative records COMMITTEES* for records relating to the management of internal, external or inter-agency committees, task forces, working groups or parties, etc.

See General Retention and Disposal Authority *Administrative records COMMUNITY RELATIONS - Conferences* for records relating to arrangements for conferences.

See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training EDUCATION AND TRAINING* for records relating to the development and provision of clinical training.

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See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training* **HEALTH PROMOTION** for records relating to public education campaigns.

5.0.0 FUNDRAISING

See **FUNDING & AWARDS MANAGEMENT** for records relating to the administration of grants and funding to local health districts, researchers and institutions.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS** for records relating to fundraising and sponsorships.

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6.0.0 DATA MANAGEMENT

The function of collecting, collating and reporting on data related to cancer screening, prevention, incidence, treatment and patient experience. Includes policies on access to and management of data. Includes the administration and operations of cancer registries, data linkages projects, patient recruitment services (for clinical trials).

See **RESEARCH MANAGEMENT - Reporting** for reporting on research projects, including epidemiological studies and behavioural studies on the incidence of cancer in the community.

See General Retention and Disposal Authority *Administrative records GOVERNMENT RELATIONS - Reporting* for reporting to government on cancer screening, incidence etc.

6.1.0 Information access & service provision

The activity of providing services and information to other agencies e.g. Cancer Registrations for Australian Capital Territory (ACT), Australian Institute of Health and Welfare and the community.

See General Retention and Disposal Authority *Administrative records GOVERNMENT RELATIONS - Agreements* for records relating to agreements for management of cancer screening, prevention, incidence, treatment and patient experience databases.

See General Retention and Disposal Authority *Administrative records INFORMATION MANAGEMENT - Cases* for records relating to requests for information on reports and findings that have been completed using registry data.

6.1.1	Records relating to the provision and verification of data and information to other agencies, researchers, or members of the community e.g. people with a history of cancer.	Retain minimum of 20 years after action completed, then destroy
6.1.2	Records relating to the administration of the registries, including client liaison on non-scientific matters, variations and payment schedules, quality and performance measurements, periodic reporting, risk management, schedules etc.	Retain minimum of 12 years after action completed, then destroy

6.2.0 Data Collection

The activities associated with collecting data on cancer incidence, prevention, screening, early detection, diagnosis and treatment in the community.

See General Retention and Disposal Authority *Administrative records TECHNOLOGY & TELECOMMUNICATIONS - Application development and management* for records relating to re-engineering of databases.

See General Retention and Disposal Authority *Original or source records that have been copied* for the originals of records that have been scanned or copied.

6.2.1	Records of cancer diagnosis and screening that are collected for entry into databases. Includes notifications submitted by health professionals and	Retain until no longer required for reference or
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No.	Description of records	Disposal action
	<p>data collected from non-health professionals, such as patient reported outcomes. Includes data requests, deletions, reports, questionnaires and performance evaluation.</p> <p>Note: where the records are managed on behalf of another agency, approval from the agency is required prior to disposal of any records.</p>	research purposes, then destroy
6.2.3	Cancer diagnosis and screening data that is not replicable and that is collected and managed by the organisation for analysis, research and reporting.	Required as State archives
6.2.4	Records relating to the development, review and approval of strategies and methodology for data collection, including quality assurance records.	Retain minimum of 15 years after action completed, then destroy
6.2.5	Records relating to the routine operational management of the registry. Includes administrative records on the collection process and reviews of routine administrative procedures in the collection of data.	Retain minimum of 2 years after action completed, then destroy

6.3.0 Establishment

The process associated with establishment of cancer registries. Includes the development of policy and evaluation of the registries.

6.3.1	Records relating to the establishment and review of cancer and disease registries. Includes the development, review and approval of objectives and policies, including policies on accessing the registries, and initial funding arrangements.	Required as State archives
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7.0.0 RESEARCH MANAGEMENT

The function of coordinating research into the causes, prevention, diagnosis and treatment of cancer.

See **FUNDING & AWARDS MANAGEMENT** for records relating to the administration of grants and funding to local health districts, researchers and institutions.

7.1.0 Clinical Trials

The activities associated with facilitating, monitoring, overseeing and reporting of clinical trials.

See General Retention and Disposal Authority *Administrative records COMMITTEES* for records relating to the establishment of clinical trial groups.

7.1.3	Records relating to administrative support provided to cancer co-operative trials groups, including the management of applications, study protocols, and the development of clinical trial tracking programs.	Retain minimum of 15 years after trial completed, then destroy
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7.2.0 Ethics

The activity of considering ethical values and process review in health research.

7.2.1	Records relating to the development of a process to help streamline ethical review of research.	Retain minimum of 10 years after action completed, then destroy
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7.3.0 Ethics Committee

The activities of assessing research applications for ethical issues, privacy, consent and protocol review in health research, including the use of statewide data collections.

See General Retention and Disposal Authority *Administrative records COMMITTEES* for records relating to the establishment and management of ethics committees.

See General Retention and Disposal Authority *Administrative records STRATEGIC MANAGEMENT - Compliance* for records relating to the accreditation and certification of the organisation's ethics committee.

7.3.1	Register of research proposals submitted to the ethics committee.	Required as State archives
7.3.2	Successful and unsuccessful research proposals that are controversial, innovative or precedent setting. Includes records relating to the proposal and decisions regarding suitability.	Required as State archives
7.3.3	Successful and unsuccessful research proposals that are not controversial, innovative or precedent setting.	Retain minimum of 20 years after

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No.	Description of records	Disposal action
	Includes records relating to the proposal and decisions regarding suitability.	action completed, then destroy

Grants

See **FUNDING & AWARDS MANAGEMENT** for records relating to funding and awards for research and learning.

Monitoring and Evaluation

The activities associated with the monitoring and evaluating of research programs.

See **FUNDING & AWARDS MANAGEMENT** for records relating to monitoring of the progress of individual grant recipients.

Partnership groups

See General Retention and Disposal Authority *Administrative records COMMUNITY RELATIONS - Liaison* for records relating to liaison with other health organisations, consumers, etc.

See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training HEALTH PROMOTION* for records relating to the administration of community education programs.

7.7.0 Policy

The activity of developing and establishing decisions, directions and precedents concerning the management of research.

7.7.1	Records relating to the development, review and approval of policies on the conduct of research activities.	Required as State archives
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7.8.0 Reporting

The activity of managing research projects conducted or commissioned by the organisation.

7.8.1	Reports received by the organisation on research funded or carried out by third parties.	Retain minimum of 10 years after action completed, then destroy
7.8.2	Final copies of reports into research funded, commissioned or conducted by the organisation. Includes original research reports into epidemiological studies and behavioural studies on the incidence of cancer in the community, and screening and early detection.	Required as State archives
7.8.3	Records relating to the management of research where the organisation is the principal investigator. Includes:	Retain minimum of 5 years after publication of

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No.	Description of records	Disposal action
	<ul style="list-style-type: none">• project briefs and approvals• documents submitted to ethical review committee• reports.	research report, then destroy

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No.	Description of records	Disposal action
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8.0.0 CANCER SCREENING

The function of providing and managing state wide early cancer detection and screening services. Includes the coordination of projects that inform screening programs and initiatives to review, monitor, evaluate and recommend improvements to cancer related programs.

See **DATA MANAGEMENT - Data Collection** for records relating to data collection for screening and cancer detection and evaluating the effectiveness of the screening registers.

See **RESEARCH MANAGEMENT - Reporting** for reports on screening and early detection of cancer.

See General Retention and Disposal Authority *Administrative records COMMITTEES* for records relating to the management of internal, external or inter-agency committees, task forces, working groups or parties, etc.

See General Retention and Disposal Authority *Administrative records COMMUNITY RELATIONS - Public reaction* for records relating to complaints

See General Retention and Disposal Authority *Administrative records CONTRACTING-OUT* for records relating to arranging, procuring and managing the performance of work or the provision of services by external laboratories.

See General Retention and Disposal Authority *Administrative records EQUIPMENT & STORES* for records relating to acquisition and management of screening equipment.

See General Retention and Disposal Authority *Administrative records FINANCIAL MANAGEMENT - Asset register* for records relating to asset register of specialist screening equipment.

See General Retention and Disposal Authority *Administrative records FLEET MANAGEMENT* for records relating to acquisition and management of vehicles.

See General Retention and Disposal Authority *Administrative records GOVERNMENT RELATIONS - Agreements* for records relating to agreements with other agencies to provide screening services etc.

See General Retention and Disposal Authority *Administrative records GOVERNMENT RELATIONS - Reporting* for records relating to reports to government on core functions and performance and periodic reports required to be submitted to external government organisations regarding programs and services.

See General Retention and Disposal Authority *Administrative records STRATEGIC MANAGEMENT - Compliance* for records relating to accreditation of cancer screening services.

See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training CLINICAL PRACTICES & PATIENT CARE - Policies, standards and guidelines* for records relating to the development, review and approval of cancer screening policies and initiatives.

See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training CLINICAL PRACTICES & PATIENT CARE - Program development and management* for records relating to support provided to local health districts as part of accreditation etc.

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See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training* **HEALTH PROMOTION** for records relating to preventative programs.

9.0.0 WORKFORCE

See General Retention and Disposal Authority *Statewide health services, quality assurance, reporting, education and training* **EDUCATION AND TRAINING - Recruitment, internship and training placements** for records relating to health workforce issues.

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10.0.0 POPULATION HEALTH

The function of reporting distribution and determinants of cancer frequency in populations. Includes using epidemiological methods to determine patterns of cancer occurrences.

10.1.0 Analysis

The activity of analysing data and information and applying statistical methods to determine trends. Analysis can be used in research, quality improvement, quality assurance and audits.

10.1.1	Records regarding analysis of internal/external programs and data that result in major changes to a current program or the implementation of a new cancer program.	Required as State archives
10.1.2	Records regarding analysis of internal/external programs and data that do not result in major changes to a current program or the implementation of a new cancer program.	Retain minimum of 5 years after action completed, then destroy

10.2.0 Data Collection

The activities associated with the collecting of data on population health throughout NSW. This includes data collected internally and externally.

10.2.1	Information collected for the purpose of population health analysis and research including data from the registries, screening programs, cancer prevention and external organisation.	Retain minimum of 10 years after action completed, then destroy
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10.3.0 Research

The activity of conducting population research to identify exposures and/or characteristics that may increase the chance of cancer. Includes both quantitative and qualitative research.

10.3.1	Records relating to the research of data gathered from programs. Includes research that leads to new programs.	Retain minimum of 10 years after action completed, then destroy
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11.0.0 FUNDING & AWARDS MANAGEMENT

The administration of grants and funding for cancer screening, technology and services, and to support the conduct of research, education and professional development. Includes awards in recognition of researchers.

See General Retention and Disposal Authority *Administrative records COMMUNITY RELATIONS - Enquiries* for records relating to the handling of enquiries regarding routine information about grants and awards.

See General Retention and Disposal Authority *Administrative records COMMUNITY RELATIONS - Marketing* for records relating to advertising of grants.

See General Retention and Disposal Authority *Administrative records FINANCIAL MANAGEMENT - Accounting* for records relating to the administration of payments for cancer research and development funding.

11.0.1	Records relating to the strategic evaluation of the grants and awards program. Includes reports on evaluations of grants and awards that result in a major change to selection criteria and agency policy and procedures.	Required as State archives
11.0.2	Summary records providing details of: <ul style="list-style-type: none"> • nominations for cancer research awards and recognition of outstanding contribution to cancer research and treatment • grants providing financial assistance for research, treatment or support services, campaigns, scholarships or awards. Includes grants to local health districts to support cancer screening, treatment and services and support for clinical trials.	Required as State archives
11.0.3	Records relating to the management of applications for and allocation of funds and grants to support cancer screening, treatment services and delivery, and clinical trials. Includes: <ul style="list-style-type: none"> • applications and supporting documentation • funding agreements e.g. agreements for block and non-block funding • progress reports and evaluations of progress. 	Retain minimum of 10 years after action completed, then destroy
11.0.4	Records relating to the management of unsuccessful grant and award applications or nominations.	Retain minimum of 7 years after action completed, then destroy
11.0.5	Records relating to the development of plans, procedures, policies and guidelines for funding, grants	Retain minimum of 10 years after

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No.	Description of records	Disposal action
	and awards. Includes program planning for funding management, including priority and need identification, plans for cancer prevention, screening, clinical trials and research.	superseded or action completed, then destroy