

## **State Records Authority of New South Wales**

### **Functional Retention and Disposal Authority: FA271**

This authority covers records documenting the function of heritage management

Issued to Heritage Council of NSW and Heritage Branch, NSW Department of Planning

This functional 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 Records Authority of New South Wales in accordance with section 21(3) of the Act.

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# **State Records Authority of New South Wales**

## **Functional Retention and Disposal Authority**

**Authority no** FA271

**SR file no** 07/0065

**Scope** This functional retention and disposal authority covers records documenting the function of heritage management from 1977 onwards.

**Public office** Heritage Council of NSW and Heritage Branch, NSW Department of Planning

**Approval date**

19/12/2008

Date

Alan Ventress

Director

State Records Authority of New South Wales

## About the Functional Retention and Disposal Authority

### Purpose of the authority

The purpose of this functional 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 State Records 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 Records does not disapprove. Advice on the State Records Act can be obtained from State Records.

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. The State Records Authority ('State Records') reviews and approves organisations' retention and disposal authorities under the State Records Act.

This authority is the product of an appraisal process conducted in accordance with State Records' *Standard on the appraisal and disposal of State records*. It is the duty of a public office, in submitting a draft functional retention and disposal authority for approval, to disclose to State Records any information which affects the retention of the records covered by the authority.

State Records' decisions take into account both the administrative requirements of the public office in discharging its functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Records' 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 Records and of public offices in undertaking appraisal processes and disposal activities.

## **Implementing the authority**

This functional 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 use of the authority to sentence records. Sentencing is the 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. Advice on sentencing can be obtained from State Records.

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 also the *General Retention and Disposal Authority – Imaged records*). 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 Records 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 Records regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Records' control 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, and government directives. A public office *must not* dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, FOI requests) 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.

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 Records 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 Records.

### **Custody**

The custody column in the functional retention and disposal authority is designed to assist public offices in identifying storage requirements or transfer arrangements for records identified as State archives (ie with a Disposal action of 'Required as State archives'). The directions in this column are recommendations only and are *not* mandatory. The type of information may include directions on how long records should be retained in the office and how long they should be kept in off-site, off-line or secondary storage prior to their transfer as State archives. A recommendation to retain records in the organisation for more than 25 years does not imply that a *still in use determination* (see Part 4, Section 28 of the *State Records Act 1998*) or that a distributed management agreement (see Part 4, Section 30 of the *State Records Act 1998*)

has been approved by State Records. Advice on arrangements for managing and transferring State archives can be obtained from State Records.

### **Administrative change**

This functional 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 functional 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 Records for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Records to discuss use of any existing functional retention and disposal authority approved for use by a predecessor organisation.

### **Amendment and review of this authority**

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

State Records recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Records may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements or procedures 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 Records 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 Records  
PO Box 516 Kingswood NSW 2747  
Telephone: (02) 8247 8627  
Facsimile: (02) 8247 8626  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

**Functional Retention and Disposal Authority**  
**Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)**

Authority no: FA271

Dates of coverage: 1977+

List of Functions and Activities covered		
Function	Activity	Reference

HERITAGE MANAGEMENT		1.0.0
	Advice	1.1.0
	Directories	1.2.0
	Education and training	1.3.0
	Enquiries	1.4.0
	Exhibitions	1.5.0
	Grant funding	1.6.0
	Heritage items and places	1.7.0
	Liaison	1.8.0
	Policies and procedures	1.9.0
	Program management	1.10.0
	Properties, places or objects	1.11.0
	Publishing	1.12.0
	Register management	1.13.0
	Reporting	1.14.0

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**Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)**

Authority no: FA271

Dates of coverage: 1977+

List of Functions and Activities covered		
Function	Activity	Reference
	Research	1.15.0
	Reviewing	1.16.0
	Volunteer Awards	1.17.0

**Functional Retention and Disposal Authority**  
**Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)**

**Authority no:** FA271

**Dates of coverage:** 1977+

No	Function/Activity	Description	Disposal Action	Custody*
1.0.0	<b>HERITAGE MANAGEMENT</b>	<p>The function of conserving places, buildings, works, relics, moveable objects or precincts which are of significance to the people of NSW because of their historic, scientific, cultural, social, archaeological, architectural, natural or aesthetic value. Includes:</p> <ul style="list-style-type: none"> <li>• identifying, assessing and listing properties, places, buildings and objects to ensure protection as State heritage</li> <li>• maintaining information about properties, places, buildings and objects that have heritage significance</li> <li>• determining proposed changes to items on the State Heritage Register</li> <li>• conducting community education concerning heritage, and</li> <li>• advising government agencies on heritage matters.</li> </ul> <p>See <b>General Retention and Disposal Authority – Administrative records: COMMUNITY RELATIONS – ADDRESSES</b> for records relating to addresses, speeches or presentations made for professional or community relations purposes.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: GOVERNING BODIES</b> for records relating to the administration of the Heritage Council of NSW, e.g. records relating to the membership of</p>		

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Authority no: FA271

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>the Council, minutes of meetings etc.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: COMMITTEES</b> for records relating to the meetings of advisory committees and panels.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: LEGAL SERVICES</b> for records relating to the handling of appeals to the Land and Environment Court against decisions made by the organisation with respect to heritage management, such as appeals against revocation of exemptions.</p>		
1.1.0	<b>Advice</b>	<p>The activity of offering and receiving opinions and advice to and from the public, local councils and other organisations relating to heritage and conservation. Includes general advice to heritage agencies about the nomination of sites etc for World Heritage Listing.</p> <p>See <b>HERITAGE MANAGEMENT – HERITAGE ITEMS AND PLACES</b> or <b>HERITAGE MANAGEMENT – PROPERTIES, PLACES OR OBJECTS</b> for records relating to advice on a specific property, place or item.</p> <p>See <b>FA245: Functional Retention and Disposal Authority – Planning and development: DEVELOPMENT CONTROL AND ASSESSMENT – CONSULTATIONS, STATUTORY PLANNING – CONSULTATIONS</b> or <b>STRATEGIC PLANNING – CONSULTATIONS</b> for records relating to advice provided to the Department on heritage aspects of major development proposals, statutory planning or strategic</p>		

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## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>planning.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: GOVERNMENT RELATIONS – ADVICE</b> for records relating to advice provided to the Minister on heritage management.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: GOVERNMENT RELATIONS – SUBMISSIONS</b> for records relating to submissions to Cabinet, the Minister or other government organisations on heritage management.</p>		
1.1.1		<p>Records relating to advice received from or provided to local councils, other government agencies or the public relating to heritage and conservation issues. Includes professional heritage advice provided through the heritage advisor program. Records include:</p> <ul style="list-style-type: none"> <li>• requests for advice</li> <li>• responses, and</li> <li>• local government advice files.</li> </ul>	Retain minimum of 7 years after last action, then destroy	
1.2.0	<b>Directories</b>	The activity of maintaining directories to assist the public in identifying heritage and conservation consultants, products and services.		
1.2.1		Records relating to the management of directories of consultants or organisations providing heritage and conservation products and services. Records include:	Retain until administrative use ceases, then destroy	

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## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>• directories</li> <li>• detail forms, and</li> <li>• correspondence relating to inclusion on or requesting deletion from lists.</li> </ul>		
1.3.0	<b>Education and training</b>	<p>The activity of developing and providing education and training programs and resources relating to heritage and conservation.</p> <p>See <b>HERITAGE MANAGEMENT – POLICIES AND PROCEDURES</b> for records relating to the development and review of external policies, procedures, guidelines and voluntary codes of practice associated with heritage and conservation.</p> <p>See <b>HERITAGE MANAGEMENT – PUBLISHING</b> for records relating to the drafting and development of brochures, flyers, fact sheets and other information publications relating to heritage and conservation.</p> <p>See <b><i>General Retention and Disposal Authority – Administrative records: CONTRACTING-OUT</i></b> for records relating to commissioning or contracting-out for external agencies to develop training courses or modules.</p>		
1.3.1		<p>Records relating to developing strategies to address education and training issues, such as conservation skills shortage. Records include:</p> <ul style="list-style-type: none"> <li>• background information and material</li> </ul>	Required as State archives	Retain in office for 10 years (or longer if required)

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## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

**Authority no:** FA271

**Dates of coverage:** 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>• records of consultations and meetings with stakeholders</li> <li>• recommendations</li> <li>• feedback/comments on draft strategies, and</li> <li>• final strategic reports.</li> </ul>		
1.3.2		<p>Records relating to the development and provision of education and training programs aimed at increasing the understanding and enhancement of heritage and conservation. Records include:</p> <ul style="list-style-type: none"> <li>• final approved versions of material for seminars, forums, workshops, training programs, education and awareness programs etc</li> <li>• course evaluations</li> <li>• records documenting venue bookings and equipment hire</li> <li>• schedules</li> <li>• advertisements</li> <li>• invitations or registration lists</li> <li>• records documenting attendance confirmation, and</li> <li>• records documenting catering arrangements.</li> </ul>	Retain minimum of 5 years after last action, then destroy	

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Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
1.3.3		Records relating to the development of training manuals and course outlines for education and training courses.	Retain minimum of 2 years after superseded, then destroy	
1.4.0	<b>Enquiries</b>	The activity of handling requests for information from the public about heritage and conservation.  See <b>General Retention and Disposal Authority – Administrative records: COMMUNITY RELATIONS – ENQUIRIES</b> for records relating to requests for and the handling of enquiries regarding routine information about services, e.g. office opening times.		
1.4.1		Records relating to the management of enquiries from the public regarding heritage and conservation. Records include requests and responses.	Retain minimum of 5 years after last action, then destroy	
1.5.0	<b>Exhibitions</b>	The activity of developing and managing exhibitions relating to the promotion of heritage.		
1.5.1		Records relating to the development of exhibitions, including on-line exhibitions, associated with heritage and conservation. Records include: <ul style="list-style-type: none"><li>• exhibition briefs, plans and designs</li><li>• text and graphic layouts, and</li><li>• reports and evaluations.</li></ul>	Required as State archives	Retain in office for 10 years (or longer if required)
1.6.0	<b>Grant funding</b>	The activity of managing grants or funding to the community for projects relating to the conservation,		

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## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

**Authority no:** FA271

**Dates of coverage:** 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		interpretation and promotion of heritage.		
1.6.1		Final acquittal reports for grant or funding projects relating to the conservation, interpretation and promotion of heritage.	Required as State archives	Retain in agency under a distributed management agreement or still in use determination
1.6.2		Records relating to the receipt, assessment and monitoring of grant or funding applications for projects relating to the conservation, interpretation or promotion of heritage. Records include: <ul style="list-style-type: none"><li>• applications</li><li>• supporting documentation such as letters of support, project summaries and project scope documents</li><li>• photographs, and</li><li>• progress reports.</li></ul>	Retain minimum of 7 years after last action, then destroy	
1.6.3		Records relating to the administration of grants or funding projects managed by the organisation and associated with projects for the conservation, interpretation and promotion of heritage. Records include: <ul style="list-style-type: none"><li>• reports and recommendations</li><li>• notifications of successful and unsuccessful applications, and</li></ul>	Retain minimum of 7 years after last action, then destroy	

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Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>• monitoring reports of grant programs.</li> </ul>		
1.7.0	<b>Heritage items and places</b>	<p>The activity of maintaining details and information on activities associated with heritage places, buildings, works, relics, archaeological sites, moveable objects, precincts, trees, Aboriginal objects and shipwrecks nominated and listed on the State Heritage Register and any subsequent development or maintenance.</p> <p>See <b>HERITAGE MANAGEMENT – PROPERTIES, PLACES OR OBJECTS</b> for case files of properties, places and objects that have not been listed on the State Heritage Register.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: COMMITTEES</b> for records relating to inter-government committees or working parties established to achieve World Heritage listing for items and places.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: COMMUNITY RELATIONS – CELEBRATIONS, CEREMONIES, FUNCTIONS</b> for records relating to celebrations of the listing of properties on the State Heritage Register.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: GOVERNING BODIES – MEETINGS</b> for records relating to Heritage Council endorsements of agency Heritage Management Plans.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: GOVERNMENT RELATIONS –</b></p>		

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## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

**Authority no:** FA271

**Dates of coverage:** 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<b>ADVICE</b> for records relating to recommending to the Minister the listing or de-listing of items on the State Heritage Register, and the making or revocation of interim heritage orders for items of State or local heritage significance.		
1.7.1		<p>Case files for items and places listed on the State Heritage Register documenting all actions associated with the registered heritage item or place, such as nominations for registration and requests and determinations for proposed developments, alterations, maintenance/repairs, variations and exemptions. Records include:</p> <ul style="list-style-type: none"> <li>• State Heritage Register nominations</li> <li>• supporting documents such as documented histories, statements of heritage significance, heritage impact statements and conservation management plans</li> <li>• detailed assessments</li> <li>• electronic mapping</li> <li>• submissions from the public and interested groups</li> <li>• maps, plans and drawings</li> <li>• photographs</li> <li>• illustrations</li> <li>• interim protection orders and emergency orders</li> </ul>	Required as State archives	Retain in agency under a distributed management agreement or still in use determination

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## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

**Authority no:** FA271

**Dates of coverage:** 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>• correspondence relating to nomination and approval</li> <li>• records documenting pre-application consultation</li> <li>• State Heritage Register orders signed by the Minister</li> <li>• heritage agreements</li> <li>• interpretation strategies and signage</li> <li>• applications for development work, repairs and maintenance</li> <li>• nominations for inclusion on other heritage lists, such as National Heritage List and World Heritage listing</li> <li>• applications for archaeological excavations</li> <li>• archaeological assessment reports</li> <li>• archaeological research designs</li> <li>• notifications of relics, and</li> <li>• applications for variations and/or exemptions to approved works.</li> </ul>		
1.7.2		Records documenting requests for certificates relating to heritage management, such as those confirming a particular property, place or object has an interim heritage order or heritage listing. Records include correspondence	Retain minimum of 7 years after last action, then destroy	

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## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

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Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		relating to requests and responses.		
1.8.0	<b>Liaison</b>	<p>The activity of establishing and maintaining general contact with other organisations, such as interstate heritage organisations, and professional associations for the purpose of sharing informal information and consultations relating to heritage and conservation.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: COMMUNITY RELATIONS – LIAISON</b> for records relating to names and contact details of officers within other organisations kept for the purposes of referral etc.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: INFORMATION MANAGEMENT – DONATIONS</b> for records relating to the donation of research reports to the organisation.</p>		
1.8.1		Records relating to consultations, discussions, contact and sharing of information with other organisations regarding heritage and conservation that is <b>not</b> related to a specific heritage item or place. Records include notes of meetings and consultations.	Retain minimum of 2 years after last action, then destroy	
1.9.0	<b>Policies and procedures</b>	<p>The activity of developing and establishing internal and external policies, procedures, guidelines and voluntary codes of practice relating to heritage and conservation.</p> <p>See <b>HERITAGE MANAGEMENT – PUBLISHING</b> for records relating to the drafting and development of websites, newsletters, quarterly magazines, heritage studies, brochures, flyers, fact sheets and other</p>		

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Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>information publications relating to heritage and conservation.</p> <p>See <b>HERITAGE MANAGEMENT – REVIEWING</b> for records relating to internal reviews of heritage management processes, systems etc.</p>		
1.9.1		Records relating to the development and review of State-wide and overarching frameworks, policies and guidance for agencies and bodies responsible for the management of heritage assets (e.g. policy framework on ruins and nomination guidelines). Records include drafts, background information, records of consultations with stakeholders and final versions.	Required as State archives	Retain in office for 10 years (or longer if required)
1.9.2		Records relating to the development and review of internal policies, procedures and guidelines for internal heritage assessment activities. Records include drafts, background information and final versions.	Retain minimum of 7 years after last action, then destroy	
1.10.0	<b>Program management</b>	<p>The activity of managing programs relating to heritage and conservation management and initiated by the government, local councils or agencies, e.g. the heritage advisor program, archaeological programs and the underwater cultural heritage program.</p> <p>See <b>HERITAGE MANAGEMENT – PROPERTIES, PLACES OR OBJECTS</b> for records relating to archaeological surveys and field inspections led or coordinated by the organisation (e.g. maritime archaeological surveys).</p>		
1.10.1		Records relating to the development and management of programs relating to heritage and conservation. Records	Retain minimum of 10 years after	

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>include:</p> <ul style="list-style-type: none"> <li>• program proposals</li> <li>• records of consultation with other agencies</li> <li>• program objectives and plans</li> <li>• summaries of program participants, and</li> <li>• progress and evaluation reports submitted to the organisation.</li> </ul>	program is finalised or superseded, then destroy	
1.10.2		Final reports on key programs, ie archaeological reports on archaeological programs.	Required as State archives	Retain in agency under a distributed management agreement or still in use determination
1.11.0	<b>Properties, places or objects</b>	<p>The activity of maintaining details and information on activities associated with properties, places or objects that could have heritage significance but are not listed on the State Heritage Register. Includes shipwrecks.</p> <p>See <b>HERITAGE MANAGEMENT – HERITAGE ITEMS AND PLACES</b> for case files of properties, places and objects that have been listed on the State Heritage Register.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: GOVERNMENT RELATIONS – ADVICE</b> for records relating to recommending to the Minister the listing or de-listing of items on the State</p>		

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## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

**Authority no:** FA271

**Dates of coverage:** 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		Heritage Register, and the making or revocation of interim heritage orders for items of State or local heritage significance.		
1.11.1		<p>Case files documenting properties, places and objects that <b>have been nominated but not approved</b> to be on the State Heritage Register. Records include:</p> <ul style="list-style-type: none"> <li>• State Heritage Register nominations</li> <li>• supporting documents such as documented histories, statements of heritage significance, heritage impact statements and conservation management plans</li> <li>• detailed assessments</li> <li>• electronic mapping</li> <li>• submissions from the public and interested groups</li> <li>• maps, plans, illustrations, drawings and photographs</li> <li>• interim protection orders and emergency orders</li> <li>• correspondence relating to nomination</li> <li>• records documenting pre-application consultation</li> <li>• interpretation strategies</li> <li>• archaeological assessment reports</li> </ul>	Required as State archives	Retain in agency under a distributed management agreement or still in use determination

\* see *About the functional retention and disposal authority*

## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>• archaeological research designs</li> <li>• dig reports, and</li> <li>• notifications of relics.</li> </ul>		
1.11.2		<p>Case files documenting properties, places and objects that <b>have not been nominated</b> for the State Heritage Register but are considered to have heritage significance. Records include:</p> <ul style="list-style-type: none"> <li>• documented histories</li> <li>• statements of heritage significance</li> <li>• heritage impact statements</li> <li>• conservation management plans</li> <li>• detailed assessments</li> <li>• electronic mapping</li> <li>• maps, plans, illustrations, drawings and photographs</li> <li>• interim protection orders and emergency orders</li> <li>• interpretation strategies</li> <li>• archaeological assessment reports</li> <li>• archaeological research designs</li> </ul>	Required as State archives	Retain in agency under a distributed management agreement or still in use determination

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No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>• dig reports, and</li> <li>• notifications of relics.</li> </ul>		
1.12.0	<b>Publishing</b>	<p>The activity of publishing material into an end result or output, e.g. product or publication. Includes publications produced in electronic format on the Organization's website.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: PUBLICATION – PRODUCTION</b> for records relating to the design and layout of forms and to the design, layout and distribution of published products.</p>		
1.12.1		<p>One production copy of each primary publication produced by the organisation relating to heritage and conservation management. Includes websites, newsletters, quarterly magazines, heritage studies, brochures, flyers, fact sheets and other information publications relating to heritage and conservation.</p>	Required as State archives	Retain in office for 10 years (or longer if required)
1.12.2		<p>Records relating to the drafting of publications on heritage and conservation management. Records include background research and substantive drafts.</p>	Retain until administrative use ceases, then destroy	
1.13.0	<b>Register management</b>	<p>The activity of maintaining registers of places and objects of particular importance to the people of NSW.</p> <p>See <b>HERITAGE MANAGEMENT – HERITAGE ITEMS AND PLACES</b> for case files documenting items and places</p>		

\* see *About the functional retention and disposal authority*

## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>listed on the State Heritage Register.</p> <p>See <b>HERITAGE MANAGEMENT – PROPERTIES, PLACES OR OBJECTS</b> for case files documenting properties, places or objects that have been nominated but not approved to be on the State Heritage Register.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: COMMUNITY RELATIONS – MEDIA RELATIONS</b> for records relating to media releases about the addition of particular items to the State Heritage Register.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: GOVERNMENT RELATIONS – ADVICE</b> for records relating to recommending to the Minister the listing or de-listing of items on the State Heritage Register.</p>		
1.13.1		<p>Heritage and conservation registers required to be maintained by the organisation under legislation. Includes:</p> <ul style="list-style-type: none"> <li>• State Heritage Inventory</li> <li>• State Heritage Register</li> <li>• Interim Heritage Order/Notices Register</li> <li>• Heritage Agreements Register, and</li> <li>• Register of Shipwrecks.</li> </ul>	Required as State archives	Retain in agency under a distributed management agreement or still in use determination
1.14.0	<b>Reporting</b>	The activity of producing reports relating to heritage and		

\* see *About the functional retention and disposal authority*

## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<p>conservation.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: GOVERNMENT RELATIONS – REPORTING</b> for records relating to reports to government regarding core functions and performance, e.g. annual reports, and reports to external government organisations regarding programs and services, e.g. statistics, reports relating to budget estimates etc.</p>		
1.14.1		<p>Final versions of internal reports and reports to external bodies, the Minister, senior executives or councils relating to heritage and conservation that:</p> <ul style="list-style-type: none"> <li>• contain detailed recommendations and initiatives, or</li> <li>• have a significant impact on organisational policies or procedures.</li> </ul>	Required as State archives	Retain in office for 15 years (or longer if required)
1.14.2		<p>Final versions of internal reports and reports to external bodies relating to heritage and conservation that do <b>not</b>:</p> <ul style="list-style-type: none"> <li>• contain detailed recommendations and initiatives, or</li> <li>• impact significantly on organisational policies or procedures.</li> </ul> <p>Includes periodic reports and statistical reports.</p>	Retain minimum of 5 years after last action, then destroy	
1.14.3		<p>Records relating to the development of internal and external reports. Records include:</p> <ul style="list-style-type: none"> <li>• background and research material</li> </ul>	Retain minimum of 2 years after last action, then destroy	

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## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>• drafts versions containing significant changes, and</li> <li>• records of consultation with stakeholders during the development process.</li> </ul>		
1.15.0	<b>Research</b>	<p>The activity of investigating or enquiring into subjects or issues relating to heritage or conservation.</p> <p>See <b>HERITAGE MANAGEMENT – GRANT FUNDING</b> for records relating to the funding of research studies.</p> <p>See <b>HERITAGE MANAGEMENT – HERITAGE ITEMS AND PLACES</b> and <b>HERITAGE MANAGEMENT – PROPERTIES, PLACES OR OBJECTS</b> for records relating to studies and research undertaken into particular sites.</p> <p>See <b>HERITAGE MANAGEMENT – PROGRAM MANAGEMENT</b> for records relating to studies and research undertaken for particular programs.</p> <p>See <b><i>General Retention and Disposal Authority – Administrative records: CONTRACTING-OUT</i></b> for records relating to commissioning consultants to conduct research studies.</p>		
1.15.1		<p>Records relating to thematic studies regarding heritage or conservation undertaken to support State Heritage Register nominations in general and not relating to a specific place or property, e.g. studies of ocean swimming pools. Records include:</p> <ul style="list-style-type: none"> <li>• records documenting scope of study</li> </ul>	Required as State archives	Retain in agency under a distributed management agreement or still in use determination

\* see *About the functional retention and disposal authority*

## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"> <li>• literature searches</li> <li>• research and observation notes</li> <li>• photographs, and</li> <li>• final research reports.</li> </ul>		
1.15.2		Final survey reports relating to community attitudes towards heritage and conservation.	Required as State archives	Retain in office for 15 years (or longer if required).
1.15.3		<p>Records relating to surveys undertaken to establish community attitudes towards heritage and conservation. Records includes:</p> <ul style="list-style-type: none"> <li>• interviews</li> <li>• surveys and questionnaires</li> <li>• summaries of surveys and questionnaires, and</li> <li>• draft reports.</li> </ul>	Retain minimum of 7 years after last action, then destroy	
1.16.0	<b>Reviewing</b>	<p>The activity of conducting reviews of heritage management processes, systems etc.</p> <p>See <b>General Retention and Disposal Authority – Administrative records: GOVERNMENT RELATIONS – SUBMISSIONS</b> for records relating to submissions to inquiries into or reviews of heritage frameworks and systems conducted by other organisations.</p>		

\* see *About the functional retention and disposal authority*

## Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)

Authority no: FA271

Dates of coverage: 1977+

No	Function/Activity	Description	Disposal Action	Custody*
1.16.1		<p>Records relating to internal reviews of heritage management processes, systems etc, such as reviews of the heritage nominating process. Records include:</p> <ul style="list-style-type: none"> <li>• documents establishing the review</li> <li>• background research</li> <li>• draft versions of review reports containing significant changes or amendments</li> <li>• feedback and comments, and</li> <li>• final approved versions of reports.</li> </ul>	Retain minimum of 7 years after last action, then destroy	
1.16.2		Final versions of reports of major reviews of key heritage management processes and systems.	Required as State archives	Retain in office for 10 years (or longer if required)
1.17.0	<b>Volunteer Awards</b>	<p>The activity of processing, evaluating and presenting heritage volunteer awards.</p> <p>See <b><i>General Retention and Disposal Authority – Administrative records: COMMUNITY RELATIONS – CELEBRATIONS, CEREMONIES, FUNCTIONS</i></b> for records relating to award presentation events.</p>		
1.17.1		<p>Records relating to the administration of heritage volunteer awards. Records include:</p> <ul style="list-style-type: none"> <li>• nomination forms, supporting documents and correspondence relating to nominations</li> </ul>	Retain minimum of 2 years after awards presented, then destroy	

\* see *About the functional retention and disposal authority*

## **Heritage management (Heritage Council of NSW and Heritage Branch, NSW Department of Planning)**

**Authority no:** FA271

**Dates of coverage:** 1977+

No	Function/Activity	Description	Disposal Action	Custody*
		<ul style="list-style-type: none"><li>• publicity material/advertisements, and</li><li>• notifications of successful candidates.</li></ul>		

\* see *About the functional retention and disposal authority*