

State Archives and Records Authority of New South Wales

Functional Retention and Disposal Authority: FA318

This authority covers records documenting the function of adoptions, child protection and community assistance to children and families

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 FA318

SR file no 08/0287,
16/0623

Scope This retention and disposal authority covers records documenting the function of adoptions, child protection and community assistance to children and families from c.1923 onwards.

Public office Department of Family and Community Services

Issued date 15/12/2011

Revised 16/01/2019
Amended to cover records relating to child sexual abuse (entries 2.4.1, 2.4.8 & 4.1.4)
30 May 2019
Amended to remove licensing of childcare providers (entries 2.4.0)

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 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. 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
PO Box 516
Kingswood NSW 2747
Telephone: (02) 9673 1788
E-mail: govrec@records.nsw.gov.au

**Functional Retention and Disposal Authority
Adoptions, child protection and community assistance to children
and families**

Authority number: FA318

Dates of coverage: c.1923+

List of Functions and Activities covered

Function	Activity	Reference	Page
ADOPTIONS & PERMANENT CARE		1.0.0	7
	Authorisation	1.1.0	7
	Cases	1.2.0	8
	Enquiries	1.3.0	9
	Planning	1.4.0	10
	Policy	1.5.0	10
	Procedures	1.6.0	11
COMMUNITY SERVICES		2.0.0	12
	Agreements	2.1.0	12
	Cases	2.2.0	13
	Grant funding	2.3.0	13
	License Child Care Services	2.4.0	14
	Planning	2.5.0	14
	Policy	2.6.0	15
	Procedures	2.7.0	16
	Research	2.8.0	16
DISASTER RECOVERY		3.0.0	17
	Agreements	3.1.0	17
	Authorisation	3.2.0	17
	Cases	3.3.0	18
	Disaster Response	3.4.0	19
	Grant funding	3.5.0	20
	Planning	3.6.0	20
	Policy	3.7.0	20

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

List of Functions and Activities covered

Function	Activity	Reference	Page
	Procedures	3.8.0	21
PROTECTING CHILDREN		4.0.0	22
	Cases	4.1.0	22
	Manage carers	4.2.0	23
	Planning	4.3.0	24
	Policy	4.4.0	25
	Procedures	4.5.0	26
LEGACY RECORDS		5.0.0	27
	Legacy Records	5.1.0	27

Functional Retention and Disposal Authority

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

1.0.0 ADOPTIONS & PERMANENT CARE

The function of arranging and regulating the adoption or permanent care of children, including:

- local, intercountry and intrafamily adoption
- adoption of children in out-of-home or foster care by their carers
- placement of children for adoption or permanent care.

Note: Permanent or long-term care relates to placements for longer than six months where the child is not expected to be returned to their family.

See **COMMUNITY SERVICES - Grant funding** for the funding of private adoption agencies.

See **COMMUNITY SERVICES - Research** for research projects relating to adoption or placement of children in care.

See **PROTECTING CHILDREN - Manage carers** for applications to become an authorised out of home or foster carer.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for Committees established and operated to support the administration of adoptions e.g. NSW Committee on Adoptions and Permanent Care, meetings with stakeholder support groups, Central Authorities meetings under the Hague Convention, Community and Disability Services Ministers' Advisory Council.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for the negotiation of agreements with the Commonwealth regarding intercountry adoptions.

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Cases** for applications for information where the party is not directly involved in the adoption process.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Advice** for records relating to legal opinions or advice on adoption issues or matters.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL - Misconduct** for records relating to investigation and handling of complaints against staff including allegations and cases of child sexual abuse

1.1.0 Authorisation

The process of seeking and granting permission to undertake a requested action.

See **ADOPTIONS & PERMANENT CARE - Procedures** for manuals and training material designed for courses.

See **PROTECTING CHILDREN - Manage carers** for records relating to applications to become an out-of-home or foster carer.

1.1.1	Register of persons authorised to undertake the provision of adoption advice.	Required as State archives
1.1.2	Records relating to the assessment of persons authorised to undertake the provision of adoption	Retain minimum of 7 years after

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

ADOPTIONS & PERMANENT CARE - Authorisation

	advice. Records include applications, interview notes, decisions on applications or status, advice to applicants.	registration ceases, then destroy
1.1.3	Records relating to arrangements for counsellors/assessors' attendance on training courses. Includes: <ul style="list-style-type: none"> • records of confirmation of course attendance • records of lodgement of application forms • accommodation and transport arrangements. 	Retain minimum of 2 years after action completed, then destroy

1.2.0 Cases

The activity of case managing the adoption and permanent care process. Includes the birth parents, the adoptee and prospective and actual adopted parents or carers. Includes the processing of applications, collection of personal, family history and other information, counselling and consent processes and selection of adoptive parents or carers and the management of information about birth parents, the adoptee and prospective and actual adopted parents.

Note: the classes under here include records deposited with the organisation by private adoption agencies.

1.2.1	Summary records of adoption, known as the Adoption Register. Includes: <ul style="list-style-type: none"> • names and details of persons who have submitted an application to adopt a child, • names and details of persons approved as suitable to adopt a child, • names and details of the person/s and child where an adoption has taken place, • details of any conditions attached to approval, • dates of approvals and placements. 	Required as State archives
1.2.2	Records relating to successful applications and placements for adoption or permanent care. This includes (but is not limited to): <ul style="list-style-type: none"> • expressions of interest, applications, supporting documentation, assessments and reports relating to the adoptive parents • details of birth family and significant others, including family, medical history, etc • consents, relinquishments, care orders, placement arrangements, adoption plans, post-placement supervision, post adoption/permanent care contact reports and information 	Required as State archives

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

ADOPTIONS & PERMANENT CARE - Cases

	<ul style="list-style-type: none"> life history of the child, including pre-adoptive care and materials child has made or asked to be kept on file. 	
1.2.3	Records relating to the assessment of a person/family to adopt a child where a child is placed. Includes expressions of interest, applications and supporting documentation, assessments and reports.	Required as State archives
1.2.4	Records relating to the assessment of a person/family to adopt a child, who are assessed as unsuitable or ineligible. Includes expressions of interest, applications and supporting documentation, assessments and reports.	Retain minimum of 40 years after application submitted or renewed, then destroy
1.2.5	Records relating to the assessment of a person/family who are eligible to adopt a child, but no placement is made. Includes expressions of interest, applications and supporting documentation, assessments and reports.	Retain minimum of 20 years after date of registration, then destroy
1.2.6	Records relating to the assessment of a person/family to adopt a child, where the application is withdrawn. Includes supporting information submitted with the expression of interest such as references, medical assessments etc.	Retain minimum of 10 years after action completed, then destroy
1.2.7	Records relating to the management of contact vetoes and the reunion and information registers. Includes summary records, applications etc.	Required as State archives
1.2.8	Records relating to applications from adoptees, birth parents, and adoptive parents to delay release of information, known as the Advance Notice Register. Includes summary records, applications etc.	Retain until delay notice is no longer effective, then destroy

1.3.0 Enquiries

The activities associated with the handling of requests for information about adoption services by the general public or another organisation.

See **ADOPTIONS & PERMANENT CARE - Cases** for records relating to requests for information where an adoption has taken place and the provision of advice in relation to a specific case.

1.3.1	Records relating to enquiries that require investigation or a specific response. Includes enquiries from people who think they have been adopted and where no record is found that they were. Records include request for information, research strategy and result of	Retain minimum of 10 years after action completed, then destroy
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Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

ADOPTIONS & PERMANENT CARE - Enquiries

	search.	
1.3.2	Records relating to enquiries of a general nature about adoption processes.	Retain minimum of 2 years after action completed, then destroy

1.4.0 Planning

The process of formulating ways to provide or support the provision of adoption services.

1.4.1	Records relating to the development, establishment, evaluation and reviewing of strategic plans for the management of adoption and permanent care services, processes and programs. Includes records of input into plans, drafts prepared for circulation and comments received, and reporting to senior management/the Executive in relation to the evaluation, review or overall implementation of the plan or associated operational programs.	Required as State archives
1.4.2	Records documenting the implementation of operational programs facilitating the provision of adoption services. Includes programs supporting: <ul style="list-style-type: none"> • overseas adoption processes • non-government adoption service providers • permanent care and post-adoption support or reunions. Records include program management, schedules, delivery methods, program objectives, methodology, evaluation and routine summary reporting of the program.	Retain minimum of 10 years after action completed, then destroy

1.5.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which operating procedures are determined.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for inter government agreements.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Legislation** for records relating to the review or amendment of legislation.

1.5.1	Records relating to the development, establishment, review and implementation of policies to support the adoption and permanent care of children and	Required as State archives
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Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

ADOPTIONS & PERMANENT CARE - Procedures

	associated support services. Includes records relating to the development of policy, such as policy proposals, research papers, consultation and supporting reports, major drafts, final policy documents, and records of advice given or received from stakeholders such as adoption interest groups, private adoption agencies or other federal, State and Territory adoption regulators relating to the development or implementation of policy.	
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1.6.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policy on adoption issues.

1.6.1	Records relating to the development and review (by the organisation alone or in conjunction with others) of protocols, manuals, handbooks, guidelines, training materials etc detailing standard methods of operating for the conduct of adoption activities and regulatory processes or for use as guidance or advice to government, private sector and the community on adoption. Includes final versions, background research, reports analysing issues and outcomes of consultation with stakeholders.	Required as State archives
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Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

ADOPTIONS & PERMANENT CARE - Procedures

2.0.0 COMMUNITY SERVICES

The development and implementation of services, programs or strategies to provide support and assistance to children, individuals and families to care for and assist themselves and their development. This includes:

- funding service providers to deliver a range of support services for children, people or families at risk of involvement with or affected by alcohol and drugs, abuse, domestic violence, family breakdown, homelessness, etc.
- providing educational resources for parents and parenting initiatives and funding services to provide young people with opportunities for self development
- the management and conduct of research programs for all subject matters, including child protection, adoption, juvenile services etc.

See **DISASTER RECOVERY** for records relating to the provision of immediate and long term assistance to families and communities affected by natural and other disasters.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of Committees established and operated to support the administration of community based programs or strategic planning e.g. Research Network or consultative committees council.

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

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for services provided by an external contractor or consultant.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Advice** for records relating to the provision of advice to the portfolio minister or other government organisations.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Inquiries** for records relating to the organisation's involvement in Royal Commissions and Parliamentary and Ombudsman's inquiries etc.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL - Misconduct** for records relating to investigation and handling of complaints against staff including allegations and cases of child sexual abuse.

See FA404, *Provision and regulation of childcare services*, for records relating to the regulation of childcare providers and provision of childcare services,

2.1.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See **COMMUNITY SERVICES - Grant funding** for funding agreements with grant recipients.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

COMMUNITY SERVICES - Agreements

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for records relating to agreements with other government organisations.

See General Retention and Disposal Authority *Administrative records* **TENDERING** for records relating to receiving and assessing tenders.

2.1.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements with non-government organisations, including community funding of renewable contracts to funded service providers, for community based services. Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reporting against the performance monitoring framework. 	Required as State archives
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2.2.0 Cases

Case files relate to particular incidents, persons, organisations or clients.

See **PROTECTING CHILDREN - Cases** for cases that result in an investigation or case management of families or children under prevention or early intervention services or through placement in out-of-home care.

2.2.1	Records relating to the provision of financial and other support to families, children and adolescents that document payments only and/or where there is no risk of harm or where early intervention is not required.	Retain minimum of 30 years after action completed, then destroy
2.2.2	Records relating to the reporting of domestic violence. Includes: personal details, notes, referrals to other agencies.	Retain minimum of 10 years after action completed, then destroy

2.3.0 Grant funding

The activities associated with the funding of external bodies and service providers to deliver services or implement programs or initiatives.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for advertising and promotion of funding programs.

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

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

COMMUNITY SERVICES - Grant funding

2.3.1	Records relating to final reports of grant programs detailing the evaluation of programs in meeting objectives.	Required as State archives
2.3.2	Records relating to programs that aim to impact or address issues affecting vulnerable populations and individuals in crisis. Records include business cases, funding agreements, advice, recommendations, progress and final reporting from fund recipients.	Required as State archives
2.3.3	Records relating to programs that support community events or awareness raising e.g. youth week, out-of-school hours sporting programs, child care programs. Records include business cases, funding agreements, advice, recommendations, progress and final reporting from fund recipients and reports generated to manage activities and internal reporting.	Retain minimum of 7 years after action completed, then destroy
2.3.4	Records relating to the establishment of grants programs or assistance schemes administered by the agency, including the development of funding formulae. Used for the whole program of the particular funding offer, not for individual applications. Includes programs aimed at out-of-home care, child care, day care and adoption services.	Retain minimum of 10 years after action completed, then destroy
2.3.5	Records relating to unsuccessful applications for grants or funds.	Retain minimum of 2 years after action completed, then destroy
2.3.6	Records relating to formal investigations of a serious breach involving services or programs funded by the organisation.	Required as State archives

2.4.0 License Child Care Services

Classes removed – see *FA404, Provision and regulation of childcare services.*

2.5.0 Planning

The activities associated with developing programs/strategies to meet individual, group and community needs. Includes updating or making amendments to existing programs/strategies.

2.5.1	Records relating to the development, establishment, evaluation and reviewing of strategic plans to support the delivery of community service programs, activities and initiatives. This includes initiatives developed by the department, that are adopted as whole of	Required as State archives
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Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

COMMUNITY SERVICES - Planning

	<p>Government initiatives.</p> <p>Includes input into plans, drafts prepared for circulation and comments received, and reporting to Senior management/the Executive in relation to the evaluation, review or overall implementation of the plan or program outcomes.</p>	
2.5.2	<p>Records relating to operational plans or programs designed to achieve organisational objectives or to solve specific problems to support the promotion and maintenance of community services programs e.g. child care service target campaigns etc.</p> <p>Includes input into plans, comments received and drafts, program management, schedules, delivery methods, program objectives, methodology, evaluation and routine summary reporting of program implementation.</p>	Retain minimum of 10 years after program finalised, then destroy

2.6.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which operating procedures are determined in relation to services and support offered within the community.

See **COMMUNITY SERVICES - Grant funding** for guidelines governing funding of programs.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Legislation** for issues related to the amendment of legislation.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Agreements** for legally binding agreements e.g. ratification of the Hague Convention.

2.6.1	<p>Records relating to the development and establishment of national and state policy statements for community services concerning young people, drug and alcohol intervention, support for families in stress or at risk. Records include policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.</p>	Required as State archives
2.6.2	<p>Administrative records relating to policy implementation. Includes internal audits of the implementation, summary timetable schedules and assignment of implementation activities or project schedules.</p>	Retain minimum of 7 years after action completed, then destroy

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

COMMUNITY SERVICES - Procedures

2.7.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policy on community services issues.

2.7.1	Records relating to the development and review (by the organisation alone or in conjunction with others) of protocols, manuals, handbooks, guidelines, training materials etc detailing standard methods of operating for the conduct of community services activities and regulatory processes or for use as guidance or advice to government, private sector and the community on community services. Includes final versions, background research, reports analysing issues and outcomes of consultation with stakeholders.	Required as State archives
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2.8.0 Research

The activities involved in investigating or enquiring into a subject, area of study etc.

See **COMMUNITY SERVICES - Planning** for records relating to the determination of research priorities and agendas.

See **COMMUNITY SERVICES - Procedures** for records relating to guidelines for external researchers.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for contractual agreements related to the conduct of research.

2.8.1	Statistical reports, research to practice notes, final reports or papers of research projects undertaken by or for the organisation relating to community services, child protection, adoption and out-of-home care and associated research data and primary materials where the data and materials are crucial to the substantiation or understanding of the research findings, cannot be readily or practically duplicated and have ongoing social research or community value.	Required as State archives
2.8.2	Records relating to the conduct of research, including research data and primary materials where the data and materials are not crucial to the substantiation or understanding of the research findings, can be readily or practically duplicated and have limited ongoing community value.	Retain minimum of 5 years after action completed, then destroy

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

DISASTER RECOVERY - Agreements

3.0.0 DISASTER RECOVERY

The provision of services to assist people affected by disasters such as floods, droughts, storms and bushfires, and other incidents or disasters e.g. silo fires, burst water mains, etc. Services include coordinating provision of food, accommodation, clothing, advice, guidance and financial and personal support.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of Committees established and operated to support the administration of disaster welfare operations e.g. State Emergency Management Committee (SEMC), District Emergency Management Committee (DEMC) And Local Emergency Management Committee (LEMC).

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to requests for and the handling of enquiries regarding routine information about declared disasters and access to services.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Accounting** for accounting records from relief funds.

See General Retention and Disposal Authority *Administrative records* **STAFF DEVELOPMENT - Training** for records relating to training staff for emergencies and disaster recovery.

See General Retention and Disposal Authority *Personnel records* **PERSONNEL - Arrangements** for records of arrangements for travel to and from disaster locations for authorised persons.

See General Retention and Disposal Authority *Personnel records* **PERSONNEL - Counselling** for counselling provided to the organisation's personnel or volunteers as a result of providing services during an emergency.

3.1.0 Agreements

The processes associated with the drafting and creation of agreements outlining cooperative arrangements between the organisation and other organisations relating to disaster welfare operations.

3.1.1	Records relating to the development of agreements outlining cooperative arrangements between the organisation and other organisations e.g. Memorandum of Understanding under the NSW DISPLAN outlining the arrangements between services or level of service each will provide in regards to disaster welfare operations, and agreements with community partners such as the Red Cross for the purpose of assisting with disaster relief. Includes final versions, drafts etc.	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy
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3.2.0 Authorisation

The process of seeking and granting permission to undertake activities that will facilitate efficient and effective responses to disasters.

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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DISASTER RECOVERY - Authorisation

3.2.1	Records relating to the receipt of advice of a Declaration of a State Emergency. Includes supporting documentation and reports, authorisation and copy of published declaration.	Retain minimum of 10 years after action completed, then destroy
3.2.2	Records relating to the appointment of persons to coordinate disaster welfare operations. Includes the appointment of coordinators and liaison officers. Records include signed authorities warranting action by the receiving officers, variations of authorities, acceptances of authorities.	Retain minimum of 10 years after appointment lapses, then destroy

3.3.0 Cases

Case files relate to particular incidents, persons, organisations or clients.

3.3.1	Records relating to successful applications for financial assistance that involve structural damage to property. Includes applications for assistance, supporting documentation, assessment, investigation, appeals etc.	Retain minimum of 20 years after assessment finalised, then destroy
3.3.2	Records relating to successful applications for financial assistance that do not involve structural damage to property. Includes applications for assistance, supporting documentation, assessment, investigation, appeals etc.	Retain minimum of 7 years after assessment finalised, then destroy
3.3.3	Records relating to unsuccessful applications for financial assistance. Details include personal details of applicant, application for assistance, assessment, photographs, outcomes, appeals etc.	Retain minimum of 3 years after assessment finalised, then destroy
3.3.4	Records relating to the registration of disaster victims.	Retain minimum of 10 years after declaration of emergency ceases or until all claims are finalised, whichever is longer, then destroy
3.3.5	Records relating to visits to disaster sites not involving assessment.	Retain minimum of 6 years after action completed, then destroy
3.3.6	Requests from insurance industry organisations (e.g. loss adjustors, insurance company) for information	Retain minimum of 2 years after action completed, then

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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DISASTER RECOVERY - Disaster Response

	regarding incidents.	destroy
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3.4.0 Disaster Response

The processes involved in responding to particular disasters and emergencies in accordance with plans, policies and procedures established by the organisation and at whole of government and intergovernmental level.

See **DISASTER RECOVERY - Planning** for the processes of formulating plans for and input into whole of Government disaster response planning.

See **DISASTER RECOVERY - Policy** for policies governing the provision or welfare relief during and in the aftermath of an emergency.

See **DISASTER RECOVERY - Procedures** for procedures guiding the provision of welfare relief during and in the aftermath of an emergency.

3.4.1	Summary records of provision of services and support under a declared emergency. Records may include details of type of disaster, date, location, number of people who were affected, level of support and statistics.	Required as State archives
3.4.2	Records of reports and evaluations describing and assessing the response and effectiveness of the organisation's programs and systems during and in the aftermath of a disaster or emergency situation. Includes recommendations for change in methodology, programs, systems and services as a result of disaster/emergency response evaluations. Includes reporting to State Emergency organisation, or peak bodies e.g. EMA Emergency Management Australia of outcomes of disaster welfare operations conducted by the organisation as the primary coordinator.	Required as State archives
3.4.3	Records of response and recovery operations and the provision of welfare services where the organisation is the primary agency. Includes the: <ul style="list-style-type: none"> • management of evacuation centres • provision of welfare information and support • provision of advisory and referral services • liaison with other agencies for service provision • mobilising and coordinating facilities, accommodation and other services. 	Retain minimum of 15 years after declaration of emergency ceases, then destroy
3.4.4	Records of response and recovery operations provided by the organisation as a support agency to other Government departments during an emergency situation. Includes reporting to the primary	Retain minimum of 10 years after declaration of emergency ceases,

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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DISASTER RECOVERY - Grant funding

	coordinating agency. Records include: <ul style="list-style-type: none"> • providing welfare information and advisory services • liaison with other agencies for service provision • coordinating facilities and services. 	then destroy
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3.5.0 Grant funding

The activities associated with the provision of funding to non-government agencies for disaster recovery. Includes reports generated to manage activities and internal reporting.

See **DISASTER RECOVERY - Planning** for records relating to the delivery of courses.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Accounting** for recording financial transactions and the transfer of monies.

3.5.1	Records relating to applications for grants or funds for the training of persons involved in supporting disaster welfare activities.	Retain minimum of 7 years after action completed or minimum of 7 years after grant conditions have been met, whichever is longer, then destroy
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3.6.0 Planning

The process of formulating ways in which objectives can be achieved to ensure the development, implementation or practice of appropriate support and recovery solutions are provided in a declared disaster area.

3.6.1	Records relating to the development of plans to support the coordination and provision of services in response to a disaster or other emergency incident. Includes input and submissions into development of State plans. Records include proposals, research, consultations and meetings, supporting reports and final documents.	Retain minimum of 10 years after superseded, then destroy
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3.7.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the agency's operating procedures are determined for the provision of disaster recovery services to the community.

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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DISASTER RECOVERY - Policy

3.7.1	<p>Records relating to the development of policies governing the organisation's response to disaster/emergency response situations. Includes policies governing the assessment of welfare support for both immediate and long term relief, rates of relief, types of relief, assessment of eligibility for relief, and response to disputes over assessments.</p> <p>Records include policy proposals, background research, draft versions of policies containing significant changes/alterations or formally circulated for comment, reports analysing issues and the outcomes of consultation stakeholders, final policy documents.</p>	Required as State archives
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3.8.0 Procedures

Standard methods of operating laid down by an agency according to formulated policy for the provision of disaster recovery services.

See **DISASTER RECOVERY - Cases** for forms submitted by people claiming disaster relief.

See General Retention and Disposal Authority *Personnel records* **PERSONNEL - Employment conditions** for completed time sheets submitted by staff during a disaster.

3.8.1	<p>Records relating to the development of procedures for the conduct of activities or process associated with the control or management of disaster recovery operations. Includes guidelines governing conditions of employment during emergencies covering, the processing of claims for relief, forms to be used etc. Records include drafts, consultations, and final documents.</p>	Retain minimum of 5 years after superseded, then destroy
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Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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PROTECTING CHILDREN - Cases

4.0.0 PROTECTING CHILDREN

The function of providing services and strategies for the ongoing protection of children and young people through prevention and early intervention services and out-of-home care including collaboration with community organisations.

Note: includes records deposited with the organisation by non-government agencies after they cease to have responsibility for the placement of the child or young person.

See **ADOPTIONS & PERMANENT CARE - Cases** for records relating to the adoption of children by their foster parents and the placement of children in permanent care.

See **COMMUNITY SERVICES - Research** for research of child protection issues and models.

See **LEGACY RECORDS** for summary records or case files relating to wards of the State and for records relating to the operation of residential or remand centres, etc.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records of Committees established and operated to support the administration of child protection services.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Advice** for records of advice provided to interagency partners not related to specific cases or policy, otherwise use Cases or Policy as appropriate.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for joint interagency response team MOUs.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Advice** for records relating to legal opinions or advice on child protection matters not related to specific cases.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL - Misconduct** for records relating to investigation and handling of complaints against staff including allegations and cases of child sexual abuse

4.1.0 Cases

Case files relating to particular incidents, persons, organisations or clients.

Note: Includes case file records transferred to the organisation from private service providers.

See **ADOPTIONS & PERMANENT CARE - Cases** for records relating to children who have been adopted or placed in permanent care.

4.1.1	Records relating to the case management of children who have been placed in foster or out-of-home care. Includes: <ul style="list-style-type: none"> • records of contacts or interviews with family members • background information on the child and carer, including photographic and other records relating to the development, history and identity 	Required as State archives
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Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
-----	------------------------	-----------------

PROTECTING CHILDREN - Cases

	<p>of the child</p> <ul style="list-style-type: none"> • Court or other legal information • correspondence • records of any efforts to locate or identify family members • medical records including psychologists reports • details of placements • diaries or log books kept by authorised carers, that document significant daily events. 	
4.1.2	Records relating to the case management of families, children and adolescents where there is risk of harm or where early intervention is required. Includes the children, families, and/or caregivers. Records include notifications and investigations, details of child and family, notes of interviews and meetings, reports and assessments, Court or other legal information, correspondence, reports from out-of-home carers, medical reports and records including psychologists' reports.	Required as State archives
4.1.3	Records relating to child protection investigations conducted with other agencies where there is the possibility of a criminal offence. Includes reports from the police, coroner, medical professionals and case workers.	Required as State archives
4.1.4	Records relating to reports of child at risk of harm where the child can be identified. Includes cases where no investigation is conducted as the information does not reach the legislative definition of what is risk of harm, and reports that are investigated but where no risk of harm is discovered and there are no requirements for further attention. Includes calls to the Helpline. Includes notifications, background information, correspondence, interviews and outcomes.	Retain minimum of 45 years after action completed, then destroy
4.1.5	Records relating to reports of child at risk of harm where the child cannot be identified. Includes calls to the Helpline.	Retain minimum of 1 year after action completed, then destroy

4.2.0 Manage carers

Activities relating to the selection, assessment and supervision of persons and/or organisations to care for children placed in temporary or permanent care, e.g. out-of-home or foster carers.

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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PROTECTING CHILDREN - Manage carers

4.2.1	<p>Records relating to applications to become a carer which are approved. Includes:</p> <ul style="list-style-type: none"> • applications and supporting documentation such as health, working with children, referee, previous history and premises checks • interview notes • records of training and assessment • advice to applicants • reviews • reports on children in care • records relating to revocation or suspension of status. 	Required as State archives
4.2.2	<p>Records relating to applications to become a carer which are not approved. Records include:</p> <ul style="list-style-type: none"> • applications and supporting documentation such as health, working with children, referee, previous history and premises checks • interview notes • records of training and assessment • advice to applicants • determinations. 	Retain minimum of 50 years after action completed, then destroy
4.2.3	<p>Records relating to arrangements for training and education of carers. Includes confirmation of course attendance, applications and accommodation and transport arrangements.</p>	Retain minimum of 2 years after action completed, then destroy
4.2.4	<p>Final approved versions of advertising material for carer recruitment campaigns. Records include brochures and advertising material.</p>	Required as State archives
4.2.5	<p>Records relating to the development of carer recruitment campaigns. Records include meetings and liaison with target groups to identify community support and community needs, drafts of campaign material, marketing copies etc.</p>	Retain minimum of 10 years after action completed, then destroy

4.3.0 Planning

The process of formulating ways in which the protection and wellbeing of the child can be undertaken in the home environment, and where necessary in out-of-home care.

4.3.1	<p>Records relating to the development, establishment, evaluation and reviewing of strategic plans to support</p>	Required as State
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Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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PROTECTING CHILDREN - Planning

	<p>the care and protection of children. Includes:</p> <ul style="list-style-type: none"> • input into plans • drafts prepared for circulation and comments received • reporting to senior management/the Executive in relation to the evaluation, review or overall implementation of the plan • summary reports to senior management/the Executive of program outcomes. 	archives
4.3.2	<p>Records relating to the development, establishment, implementation, management and evaluation of operational plans or programs to support care and protection of children. Includes:</p> <ul style="list-style-type: none"> • input into plans • comments received and draft versions of plans • program schedules • routine summary reporting of program implementation. 	Retain minimum of 10 years after program finalised, then destroy

4.4.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which operating procedures are determined in relation to the protection of children.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Legislation** for issues related to the amendment of legislation.

4.4.1	<p>Records documenting the development and establishment of policies relating to child protection and the management of instances of child abuse or neglect. Includes the development of service models for out-of-home care and policies and protocols governing information exchange. Records include:</p> <ul style="list-style-type: none"> • policy proposals • research papers • results of consultation • supporting reports • major drafts • final policy documents • national and state policy statements. 	Required as State archives
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Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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PROTECTING CHILDREN - Procedures

4.5.0 Procedures

Standard methods of operating laid down by an agency according to formulated policy.

See **COMMUNITY SERVICES - Research** for the development of research practice notes.

4.5.1	Records relating to the development of manuals, handbooks, directives, guidelines etc detailing the organisation's procedures for the protection of children e.g. Helpline, access to services. Includes training material and guidance developed for external service providers and staff. Records include final versions, drafts, background research etc.	Required as State archives
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Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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LEGACY RECORDS -

5.0.0 LEGACY RECORDS

These classes apply to legacy records for activities no longer carried out by the organisation, such as the operation and monitoring of residential centres, remand and assessment centres, shelters, ward institutions and training schools.

See the Protecting Children and Adoptions & Permanent Care functions for case records and files of individuals who were/have been adopted or placed in foster, out-of-home or permanent care.

5.1.0

5.1.1	Summary and case management records relating to wards of the state and special initiatives such as British child migrant scheme and the Barnardos Big Brother movement.	Required as State archives
5.1.2	Records relating to the management of accommodation facilities by the organisation for children which: <ul style="list-style-type: none"> • are the primary records of the history of the care and treatment of a child e.g. admission and discharge registers, summary medical history records, primary records of financial arrangements etc., or • which document or record a child's identity, presence or placement in a facility, centre or institution operated by the organisation or its predecessors. 	Required as State archives
5.1.3	Records relating to nominations for assisted passage. Includes name, address, age and occupation of nominated person, and name and address of nominator. Includes cards of nominations 1972 - 1978.	Required as State archives
5.1.4	Maintenance files relating to the payment of maintenance to single mothers or to action taken to obtain maintenance in respect of children or young persons in the care of the Minister or admitted to centres or facilities run by the Department. Includes interstate and overseas maintenance files where action was taken to obtain maintenance in cases where the father was interstate or overseas.	Required as State archives
5.1.5	Affiliations 'A' files relating to action taken to obtain maintenance from the fathers of ex-nuptial children.	Required as State archives
5.1.6	Records relating to the administration of community support programs such as the spectacle and electricity schemes.	Retain minimum of 7 years after conclusion of

Adoptions, child protection and community assistance to children and families

Authority number: FA318

Dates of coverage: c.1923+

No.	Description of records	Disposal action
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LEGACY RECORDS -

		program, then destroy
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