

State Records Authority of New South Wales

Functional Retention and Disposal Authority: FA357

This authority covers records documenting the function of election management

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.

State Records Authority of New South Wales

Functional Retention and Disposal Authority

Authority no FA357

SR file no 09/0542

Scope This functional retention and disposal authority covers records documenting the function of election management from 1972 onwards.

Public office NSW Electoral Commission and Electoral Districts Commissioners

Approval date

Geoff Hinchcliffe
Director
State Records Authority of New South Wales

28/10/2014
Date

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 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 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. 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 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, 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 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.

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 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 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) 9673 1788
E-mail: govrec@records.nsw.gov.au

Functional Retention and Disposal Authority
Election management (NSW Electoral Commission and Electoral Districts Commissioners)

Authority number: FA357

Dates of coverage: 1972+

List of Functions and Activities covered

Function	Activity	Reference	Page
ELECTIONS, REFERENDUMS & POLLS		1.0.0	9
	Candidate Nominations	1.1.0	9
	Voter Registration	1.2.0	11
	How to Vote Material	1.3.0	12
	Polling	1.4.0	12
	Returns	1.5.0	14
	Declared Institutions	1.6.0	15
	Commercial elections	1.7.0	15
	Project Management	1.8.0	16
	Policies and Procedures	1.9.0	17
	Research	1.10.0	17
	Writs	1.11.0	18
	Election staffing	1.12.0	18
ENROLMENT		2.0.0	19
	Electoral Rolls	2.1.0	19

Election management

Authority number: FA357

Dates of coverage: 1972+

List of Functions and Activities covered

Function	Activity	Reference	Page
	Location Mapping	2.3.0	20
	Non Voters	2.4.0	20
	Non Residential Rolls	2.5.0	21
	Objections	2.6.0	21
	Roll Updates	2.7.0	22
	Determination of Districts	2.8.0	23
	Updating Electoral Districts	2.9.0	25
	Policies and Procedures	2.10.0	25
ELECTORAL INFORMATION SERVICES		3.0.0	26
	Enquiries	3.1.0	26
	Educational Programs and Resources	3.2.0	26
	Publications and Information Resources	3.3.0	27
	Electoral complaints	3.4.0	27
PARTY REGISTRATION		4.0.0	28
	Registration	4.1.0	28
	Policies and Procedures	4.2.0	29

Election management

Authority number: FA357

Dates of coverage: 1972+

List of Functions and Activities covered
--

Function	Activity	Reference	Page
PRE 1940 ADMINISTRATIVE RECORDS		5.0.0	29

Functional Retention and Disposal Authority
Election management (NSW Electoral Commission and Electoral Districts Commissioners)

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
1.0.0	ELECTIONS, REFERENDUMS & POLLS	<p>Managing the conduct of referendums, polls and election events for the State Parliament (Legislative Assembly and Legislative Council), Local Government, the Aboriginal Land Council, registered clubs, statutory boards and state registered industrial organisations, either as required by legislation or on a commercial fee for service basis. Involves planning, logistics and organisation of venues and resources, leading up to and following polling days.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Arrangements for records relating to booking and hire of pre-polling and polling day venues and parking arrangements</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Leasing for records relating to leasing property for election events such as Returning Officer premises</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PERSONNEL for records relating to Recruitment, Leave, Attendance and Absences and Performance Management of personnel employed for election events</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STAFF DEVELOPMENT - Training for records relating to training of election officials</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> FINANCIAL MANAGEMENT - Salaries for records documenting payment of wages to personnel for election events</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> CONTRACTING-OUT for records relating to hiring election staff through employment agencies</p> <p>See STRATEGIC MANAGEMENT - JOINT VENTURES for ongoing agreements with organisations to use their premises as polling venues</p>	
1.1.0	Candidate Nominations	<p>Receiving nominations from candidates and producing ballot papers for the State Parliament (Legislative Assembly and Legislative Council) and Local Government elections. Includes receiving and processing nomination forms, publishing</p>	

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTIONS, REFERENDUMS & POLLS - Candidate Nominations</i>			
		<p>candidate details and declarations, drawing lots to determine candidate order on ballot papers, and printing and proofing ballot papers.</p> <p>See ELECTIONS - POLLING for records relating to declaring candidates elected, whether or not polling occurred</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> FINANCIAL MANAGEMENT - Accounting for records of financial transactions relating to nomination deposits</p> <p>See ELECTORAL INFORMATION SERVICES for records of candidate education</p> <p>See COMMERCIAL ELECTIONS for records of candidate nominations for commercial elections</p>	
1.1.1		<p>Records relating to the candidate nomination process, including:</p> <ul style="list-style-type: none"> • arranging public notices required by legislation e.g. when nominations are open, place for delivery of nominations • notices from Returning Officers that polls are to be taken (more than one candidate) 	Retain minimum of 8 years after election event, then destroy
1.1.2		<p>Records relating to receipt and processing of candidate nominations, and production of ballot papers, including:</p> <ul style="list-style-type: none"> • submitted candidate nomination forms and child-related conduct declarations, including receipts given • checking candidates meet criteria for nomination • forwarding copies of child-related conduct declarations to relevant authority • rejection of candidates for nomination • notices of candidate withdrawal from nomination • drafting of ballot papers 	Retain minimum of 3 years after election event, then destroy

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTIONS, REFERENDUMS & POLLS - Voter Registration</i>			
		<ul style="list-style-type: none"> • nominations by candidates for people to be scrutineers • receipt of nomination deposit, and notice of return of deposit • candidate details entered into business system • requests for party name or word "Independent" to be included on ballot papers • statements by party or confirmation re endorsed candidates • candidate information required by legislation to be published, including child-related conduct declarations • ballot paper draw results and attestations • approved proofs of ballot papers and approval 	
1.2.0	Voter Registration	Registering voters for postal voting, electronic voting or other non ordinary forms of voting for election events. See POLLING for records relating to postal or electronic votes received for counting	
1.2.1		Summary and statistical data relating to postal and electronic voting registrations, including: <ul style="list-style-type: none"> • summary details of electors who were accepted for postal or electronic voting • statistical aggregate data regarding postal and electronic voting 	Retain minimum of 8 years after election event, then destroy
1.2.2		Records relating to registration of voters for postal, electronic and other non ordinary forms of voting, including: <ul style="list-style-type: none"> • postal voting applications • postal voting application status updates (e.g. whether accepted or rejected) 	Retain minimum of 6 months after election event, then destroy

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTIONS, REFERENDUMS & POLLS - How to Vote Material</i>			
		<ul style="list-style-type: none"> • matching postal voting applications to voters on electoral roll • preparation and distribution of ballot paper certificate packs • applications to vote electronically • notification to voters regarding access to and instructions for electronic voting 	
1.3.0	How to Vote Material	Records relating to the registration of electoral how to vote material produced by candidates and parties.	
1.3.1		Records relating to the registration of electoral how to vote material produced by candidates and parties, including: <ul style="list-style-type: none"> • applications and submission of how to vote material • criteria for reviewing electoral material • review of material against criteria • certificates of registration of material • notification of issues with or acceptance of material • selection of registered material distributed at declared institutions • set of registered material available for scrutiny 	Retain minimum of 3 years after election event, then destroy
1.4.0	Polling	Running polling day and counting results to reach an outcome. Includes marking off electors and issuing ballot papers, accepting declaration votes, counting and checking first preference votes, counting distribution of preferences, publishing results, declaring election outcomes, compiling returns, packaging ballot papers and marked rolls for storage. See ELECTIONS - WRITS for copies of writs endorsed with names of elected candidates See COMMERCIAL ELECTIONS for polling records relating to commercial	

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTIONS, REFERENDUMS & POLLS - Polling</i>			
		elections	
1.4.1		<p>Records summarising election or referendum or other polling results, including:</p> <ul style="list-style-type: none"> • Official count results of first preference votes completed for each polling place, entered into business system (Legislative Assembly) • Official count results of first preference votes for each candidate for an electoral district, calculated in business system (Legislative Assembly) • Official preferential count results, entered into business system (Legislative Assembly) • Official first preference votes given for each group (Legislative Council) • Official proportional representation count results, calculated in business system (Legislative Council, Local Government Councillors) • Declaration of elected candidates (all State and Local elections) • Public advertisement of election or referendum or poll results (all State and Local elections) • Referendum or poll results (Local Government) 	Required as State archives
1.4.2		<p>Election papers and materials for Legislative Assembly and Legislative Council elections, including:</p> <ul style="list-style-type: none"> • Ballot papers used in voting during the election • Ballot papers which have remained unused • Authorised copies of the rolls • Other copies of rolls produced for the election process • Declaration vote envelopes (absent, absent silent, in district silent, name not on roll, name already marked off as voted, enrolment voting, etc.) • Counts of ballot papers and declaration votes 	Retain and dispose of in accordance with legislative provisions (currently <i>Parliamentary Electorates and Elections Act 1912</i> , ss. 127 & 129H)

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTIONS, REFERENDUMS & POLLS - Polling</i>			
		<ul style="list-style-type: none"> • Scrutineer declarations • Ballot box seal numbers • Descriptions of election parcel contents • Accounts of ballot papers • First count of first preference results entered into business system on election day, and any recount results (if conducted) • Returning officers diaries 	
1.4.3		Records relating to specifications and formulas used in systems for counting votes, including: <ul style="list-style-type: none"> • Functional specifications • Source code • Technical architecture • Verification certificates from independent experts 	Retain minimum of 7 years after superseded, then destroy
1.4.4		Records relating to provision of election information to registered parties and Members of Parliament after an election, in accordance with legislation, including: <ul style="list-style-type: none"> • Election information (names and addresses of electors who voted other than silent or itinerant electors, whether they voted personally or by post, and the location of the polling place where they voted) • Correspondence 	Retain minimum of 12 months after action completed, then destroy
1.5.0	Returns	Formal reporting on the election process at polling and election venues, other than polling returns. See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Reporting for records relating to formal reporting to Parliament and the Premier on election events.	

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTIONS, REFERENDUMS & POLLS - Returns</i>			
1.5.1		Records relating to polling place manager and returning officer returns on the election process, including: <ul style="list-style-type: none"> • Polling Place checklists • nomination deposit summary. 	Retain minimum of 7 years after action completed, then destroy
1.6.0	Declared Institutions	Qualifying and declaring institutions such as hospitals and convalescent homes where residents can vote instead of attending polling places.	
1.6.1		Records relating to the declaration of institutions, including: <ul style="list-style-type: none"> • List of declared institutions • Correspondence with institutions 	Retain minimum of 4 years after election event, then destroy
1.7.0	Commercial elections	Running election events on a fee for service basis for the Aboriginal Land Council, registered clubs, statutory boards and state registered industrial organisations. See CANDIDATE NOMINATIONS, VOTER REGISTRATION, POLLING ETC for Commission records relating to Local Government elections even though these are conducted on a fee for service basis.	
1.7.1		Records relating to the administration of elections on a fee for service basis, including: <ul style="list-style-type: none"> • fee for service costings, quotes and proposals, and client correspondence and acceptance • tenders to conduct an election, and service contracts • invoicing for work completed • event project planning • creation of nomination forms • production of candidate profiles 	Retain minimum of 7 years after action completed, then destroy

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTIONS, REFERENDUMS & POLLS - Commercial elections</i>			
		<ul style="list-style-type: none"> • election notices and advertisements • creation of ballot papers • results of voting • informing candidates of outcomes • provision of advice on conduct of election based on organisation's rules and regulations • copies of organisation's rules and regulations • post election reports 	
1.7.2		Election materials from commercial election events, including: <ul style="list-style-type: none"> • copies of certified elector roll • marked roll of electors after voting • used and unused ballot papers 	Retain in accordance with retention periods specified in rules of the election or, if not specified, retain 3 months after finalisation of election results, then destroy
1.8.0	Project Management	Planning and project management of election events, including event logistics.	
1.8.1		Records relating to planning and project management of election events, including: <ul style="list-style-type: none"> • project activity schedules and lists • logistics planning for venues, equipment, supplies, resources • correspondence with Returning Officers and election officials regarding event logistics • set up instructions for venues 	Retain minimum of 4 years after election event, then destroy

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTIONS, REFERENDUMS & POLLS - Policies and Procedures</i>			
		<ul style="list-style-type: none"> • project post implementation review 	
1.9.0	Policies and Procedures	Development and issue of policies and procedures for election events and election administration.	
1.9.1		Final versions of election and referendum process policies and procedures, including: <ul style="list-style-type: none"> • Election handbooks • Returning Officer Manual • Standard Operation Procedures (SOPs) for State and Local Government general elections and by-elections • Polling Place Manager Manual • Election Official Manual 	Required as State archives
1.9.2		Records relating to development of policies and procedures.	Retain until policy or procedure has been superseded, then destroy
1.10.0	Research	Research and analysis of election events for the purpose of improving outcomes. See ELECTIONS - POLLING for samples of ballot papers and marked rolls used in research - these are required to be returned to election parcels and destroyed along with other ballot papers and marked rolls. See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS for reports or submissions to Parliament or the Government	
1.10.1		Records relating to research into and analysis and evaluation of election outcomes, processes, products including:	Retain minimum of 4 years after

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTIONS, REFERENDUMS & POLLS - Writs</i>			
		<ul style="list-style-type: none"> • surveys of election officials regarding process, venues, stores, etc. • analysis of sample ballot papers or marked rolls e.g. informal voting patterns • surveys of electors • surveys of candidates • reports of research analysis and results • internal reviews and evaluations and lessons learned 	election event, then destroy
1.11.0	Writs	Receiving, acting upon and returning writs for elections.	
1.11.1		Records relating to receipt and return of writs, including: <ul style="list-style-type: none"> • Copies of writs received from the NSW Governor for each Legislative Assembly District and for the Legislative Council • Election schedule • Correspondence regarding the writ • Copies of endorsed writs returned with the name of the person elected • Public notice of the writs 	Required as State archives
1.12.0	Election staffing	Appointment and management of statutory election officials. See General Retention and Disposal Authority <i>Administrative records</i> PERSONNEL for records relating to Recruitment, Leave, Attendance and Absences and Performance Management of personnel employed for election events	
1.12.1		Records relating to service history of statutory appointed election officials working at pre-poll venues, polling places and Returning Offices on election day.	Retain minimum of 7 years after service completed, then destroy

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ENROLMENT</i>			
2.0.0	ENROLMENT	Maintaining and updating the NSW electoral roll for State and Local Government elections and referendums, including managing periodic redistribution of electoral districts and boundaries. See General Retention and Disposal Authority <i>Administrative records INFORMATION MANAGEMENT - Cases</i> for records relating to requests to access enrolment data	
2.1.0	Electoral Rolls	Master electoral roll data and production and distribution of roll products at close of roll and event milestones used for marking voters, identifying non participation, and for reference purposes on polling day. See ELECTIONS - POLLING for copies of authorised rolls and reference rolls used in election events	
2.1.1		Master roll data used to produce roll products, including: <ul style="list-style-type: none"> • person register • address / location register. 	Required as State archives
2.1.2		Records relating to production and provision of roll data products, including: <ul style="list-style-type: none"> • Authorised rolls • Reference rolls • Candidate rolls • Periodic rolls • iRoll • Closed roll lookup data • Roll data or products required to be provided under legislation • Distribution of manifest files (electoral roll data) internally for use in 	Retain minimum of 1 month after action completed, then destroy

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ENROLMENT - Location Mapping</i>			
		business systems to support business processes <ul style="list-style-type: none"> • Correspondence with recipient 	
2.3.0	Location Mapping	Analysis of street and property addresses to identify correct electoral district or local council ward boundaries.	
2.3.1		Records relating to ensuring voters are registered in correct electoral district, including: <ul style="list-style-type: none"> • Analysis of street and property addresses to identify the correct electoral boundary • Correspondence with the Australian Electoral Commission (AEC). 	Retain minimum of 7 years after action completed, then destroy
2.4.0	Non Voters	Following up electors regarding their failure to participate in compulsory election events, such as general State elections.	
2.4.1		Records relating to following up elector participation in compulsory elections, including: <ul style="list-style-type: none"> • Copies of marked rolls used to extract non participants • Lists of electors marked as not voting, as well as those who did multiple voting or unenrolled voting, extracted from marked rolls • Receipt and recording of upfront reasons from electors on why they can not participate • Data feed from AEC indicating reasons for non participation (death recorded, unsound mind, overseas, itinerant, travelling) • Lists of non participating electors without a sufficient reason upfront, used to generate penalty notices • Penalty notices issued for non participation • Receipt and recording of signed declarations containing sufficient reasons for 	Retain minimum of 3 years after election event, then destroy

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ENROLMENT - Non Residential Rolls</i>			
		not participating, post election <ul style="list-style-type: none"> • Requests by non participating voters electing to go to court • List of electors who have not paid the penalty notice • Reminder notices sent to non participating voters to pay penalty, provide a sufficient reason or elect to go to court • Manifest of non participating voters that have failed to pay fine or provide sufficient reason, used for debt collection by State Debt Recovery Office 	
2.5.0	Non Residential Rolls	Production of rolls of non-resident owners of rateable land and rolls of occupiers and ratepaying lessees for local councils.	
2.5.1		Records relating to production of non-residential and occupier rolls for local councils, and confirmation of rolls certified by general managers, including: <ul style="list-style-type: none"> • Correspondence • Data feeds from local councils • Production of non-residential rolls for local councils • Recording place of residence is outside of electoral boundary • Confirming rolls certified by general managers of councils 	Retain minimum of 4 years after election event, then destroy
2.6.0	Objections	Responding to objections by electors to enrolments, including their own enrolment. See ENROLMENT - ROLL UPDATES for copies of Local Court orders regarding enrolment.	
2.6.1		Records relating to objections to enrolments, including: <ul style="list-style-type: none"> • Objections lodged • Notification to person whose enrolment is objected to 	Retain minimum of 7 years after action completed, then destroy

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ENROLMENT - Roll Updates</i>			
		<ul style="list-style-type: none"> • Dismissed objections • Answers to objections from the person whose enrolment is objected to • Determinations of objections • Notification to objectors and person who was subject of objection of the determination 	
2.7.0	Roll Updates	Update of the electoral roll by adding new electors, removing electors or changing elector details or status.	
2.7.1		<p>Records relating to updating the NSW electoral roll and distributing roll data to support enrolment processes, including:</p> <ul style="list-style-type: none"> • Regular (weekly) feed of master roll data from the Australian Electoral Commission • Data feeds from various agencies (e.g. RTA, Board of Studies, BDM) used to identify potential electors and address changes • Manipulation of the data (add SmartRoll data records to AEC master data, remove AEC records not relevant to NSWEC) • Distribution of roll updates to AEC • Distribution of manifest files (electoral roll data) to mailhouses or other providers for production of notifications to electors • Notifications to potential electors that they are to be enrolled (templates and data files used to produce notifications in multiple formats such as sms, email, letter) • Notifications to existing electors about transfer of their enrolment from one district to another or their not being entitled to be enrolled (templates and data files used to produce notifications in multiple formats such as sms, email, letter) • Responses from potential electors and others regarding being added to roll 	Retain minimum of 7 years after action completed, then destroy

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ENROLMENT - Determination of Districts</i>			
		(by phone, email, letter) <ul style="list-style-type: none"> • Responses from existing electors and others regarding district changes (by phone, email, letter) • Elector initiated claims for enrolment, transfers of enrolment and other changes to enrolment details, and medical certificates lodged with claims • Confirmation letters to new / existing electors regarding their enrolment (added, district changed, address changed, enrolment is correct, not entitled to be enrolled) with reasons • Requests that address not be shown (silent elector), with statutory declaration • Notification of decision to grant or refuse request that address not be shown • Notations on the electoral roll (silent, overseas elector, itinerant) • Requests for data feeds from AEC and other agencies • Removing names of deceased electors, prisoners (one year or longer) • Certified copies of orders of Local Courts after review of determinations 	
2.8.0	Determination of Districts	Determination of new electoral districts and boundaries as part of periodic redistribution required under legislation after every two general State elections.	
2.8.1		Records relating to the appointment and deliberations of the Electoral Districts Commissioners, including: <ul style="list-style-type: none"> • Copy of Governor's Commission under the Great Seal • Publication of names of Commissioners in Gazette • Rules for the conduct of proceedings • Agenda, papers, minutes and actions from meetings, including reports and findings submitted as papers 	Required as State archives

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ENROLMENT - Determination of Districts</i>			
		<ul style="list-style-type: none"> • Advertisements in Gazette for suggestions and comments relating to the distribution of NSW into electoral districts • Suggestions lodged, and written comments on the suggestions lodged • Transcripts and summaries of oral comments • Advice of demographers • Consideration of the suggestions and comments and determination of proposed alterations • Statements of reasons for making proposed alterations • Notice of proposed alteration of electoral districts in Gazette and newspapers • Suggestions or objections to the proposed alterations • Submissions made at any inquiry into suggestions or objections to the proposed alterations • Draft determination of the names and boundaries of electoral districts • Notice of the draft determination in Gazette and newspapers • Objections to the draft determination, and further inquiry into the objection • Determination of the names and boundaries of electoral districts • Digital record of boundaries of electoral districts e.g. geospatial file • Master maps indicating proposed boundaries • Copies of signed printed versions of areas of electoral districts lodged with Surveyor General • Report to Governor of the names and boundaries of electoral districts • Copy of proclamation of electoral districts in Gazette 	
2.8.2		Records relating to research and analysis undertaken to support the determination	Retain minimum of 17 years after

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ENROLMENT - Determination of Districts</i>			
		of electoral districts as part of the periodic redistribution, including: <ul style="list-style-type: none"> • Demographic and other source data • Analysis of data • Copies of reports and findings • Business requirements and functional specifications for computer and manual systems used to redistribute electoral districts 	action completed, then destroy
2.8.3		Records relating to arrangements for meetings and inquiries, including: <ul style="list-style-type: none"> • Scheduling of meetings and inquiries • Notices of public submission dates and inquiry dates (including media advertisements). 	Retain until administrative or reference use ceases, then destroy
2.9.0	Updating Electoral Districts	Updating the NSW electoral roll data with new electoral districts and boundaries after a periodic redistribution.	
2.9.1		Records relating to updating the electoral districts of electors after a redistribution, including: <ul style="list-style-type: none"> • Data feed with new names and boundaries to Australian Electoral Commission (AEC) • Notification to enrolled electors of changes to names and boundaries of districts 	Retain minimum of 7 years after action completed, then destroy
2.10.0	Policies and Procedures	Development and issue of internal policies and procedures for enrolment and redistribution.	
2.10.1		Final versions of enrolment and redistribution process policies and procedures.	Required as State archives

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ENROLMENT - Policies and Procedures</i>			
2.10.2		Records relating to development of policies and procedures.	Retain minimum of 7 years after action completed, then destroy
3.0.0	ELECTORAL INFORMATION SERVICES	<p>Provision of information about the electoral system and electoral events and processes.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Marketing for records relating to marketing campaigns and advertising</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS for records relating to overall Planning, Policy, Procedures, Reporting relating to information services</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Public reaction for records relating to handling complaints or compliments</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Reviewing for records relating to stakeholder surveys about electoral information services</p>	
3.1.0	Enquiries	Responding to enquiries about the NSW electoral system, election events, enrolment and political party registration.	
3.1.1		Records relating to responding to enquiries about the NSW electoral system, election process, election events, enrolment and political party registration.	Retain minimum of 4 years after action completed, then destroy
3.2.0	Educational Programs and Resources	Development and delivery of electoral education including training programs, information seminars, and publication of information resources.	

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTORAL INFORMATION SERVICES - Educational Programs and Resources</i>			
		See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Addresses for informational presentations and speeches See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Conferences for administrative arrangements for delivery of education programs	
3.2.1		Records relating to development of electoral education programs and information resources, aimed at informing, advising or educating the public and stakeholders about the electoral system, processes and obligations including: <ul style="list-style-type: none"> • research into program need • decision-making regarding programs, such as action plans • final versions of education program materials and information resources such as web pages. 	Required as State archives
3.3.0	Publications and Information Resources	Development and publication of non-educational information about the electoral system, events and processes in various formats.	
3.3.1		Final versions of published non-educational information about the electoral system, events and processes.	Retain minimum of 5 years after superseded, then destroy
3.3.2		Records relating to the development and production of publications, including: <ul style="list-style-type: none"> • background research • substantive drafts 	Retain until administrative or reference use ceases, then destroy
3.4.0	Electoral complaints	The management of electoral complaints.	

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>ELECTORAL INFORMATION SERVICES - Electoral complaints</i>			
3.4.1		Records relating to complaints concerning election related matters.	Required as State archives
4.0.0	PARTY REGISTRATION	Registering political parties including processing applications, reviewing eligibility, de-registering parties, managing appeals against refusal to register a party or de-registration, and maintaining and providing public access to a register of political parties.	
4.1.0	Registration	Registration of political parties for State and Local elections.	
4.1.1		Register of political parties, comprising: <ul style="list-style-type: none"> • applications for registration, and amendments • party constitution • names and addresses of electors who are members • declarations of membership of the party • published notice of receipt of application • documents replaced as a result of amendments to registration • annual returns confirming continued eligibility for registration • cancelled registrations, and notice of and reasons for cancellation 	Required as State archives
4.1.2		Records relating to processing applications for party registration where parties are refused registration, including: <ul style="list-style-type: none"> • objections to registration of parties • refused applications, with notice and reasons for refusal. 	Required as State archives
4.1.3		Records relating to managing registration of parties, including: <ul style="list-style-type: none"> • tests and inquiries into initial and ongoing eligibility for registration, 	Retain minimum of 3 years after action

Election management

Authority number: FA357

Dates of coverage: 1972+

No	Function/Activity	Description	Disposal Action
<i>PARTY REGISTRATION - Policies and Procedures</i>			
		including verifying membership <ul style="list-style-type: none"> • registered party information sheets for distribution to electors 	completed, then destroy
4.2.0	Policies and Procedures	Development and issue of policies and procedures for party registration.	
4.2.1		Final versions of party registration policies and procedures, including handbooks or guidance produced for political parties such as the <i>Handbook for New and Continued Registration of Political Parties in NSW</i> .	Required as State archives
4.2.2		Records relating to development of policies and procedures.	Retain until policy or procedure has been superseded, then destroy
5.0.0	PRE 1940 ADMINISTRATIVE RECORDS		
5.1.0		Records pre-dating 1940 that relate to administrative functions and activities within the scope of the <i>General retention and disposal authority: administrative records</i>	Retain and dispose of in accordance with the current <i>General retention and disposal authority: administrative records</i>