

State Records Authority of New South Wales

Functional Retention and Disposal Authority: FA372

This authority covers records documenting the function of arts and culture policy and development

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 FA372

SR file no 16/0250

Scope This functional retention and disposal authority covers records documenting the function of arts and culture policy and development.

Public office Arts NSW

Approval date

Geoff Hinchcliffe
Director
State Records Authority of New South Wales

26/04/2016
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*. It is the duty of a public office, in submitting a draft 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 – 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 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
Arts and culture policy and development (Arts NSW)**

Authority number: FA372

Dates of coverage: Open

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**Functional Retention and Disposal Authority
Arts and culture policy and development (Arts NSW)**

Authority number: FA372

Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
1.0.0	ARTS DEVELOPMENT	<p>The function of developing the arts in NSW through the provision and implementation of policies, strategic initiatives and partnerships. Includes the promotion of arts organisations and artists to the public.</p> <p>See relevant function/activity for records of meetings, e.g. see ARTS DEVELOPMENT - Planning for planning meetings</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records of committees, working groups, etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Marketing for records relating to the promotion and publicity of arts development strategies, initiatives and policies.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Evaluation for records relating to evaluation of initiatives, programs, services, etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> for addresses, conferences, liaison, contracting out and tendering.</p>	
1.1.0	Advice	<p>The offering and receipt of advice.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Enquiries for records of enquiries regarding routine information about the organisation and its services.</p>	
1.1.1		Records relating to the offering or receipt of advice impacting on the development and implementation arts development policies, strategies and programs.	Required as State archives
1.1.2		Records relating to the offering or receipt of routine advice concerning the implementation of arts development polices, strategies and programs.	Retain minimum of 5 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>ARTS DEVELOPMENT - Planning</i>			
1.2.0	Planning	The process of formulating ways in which objectives can be achieved. See ARTS DEVELOPMENT - Strategic Initiatives and Partnerships for negotiation, establishment, review and maintenance of agreements, alliances or joint ventures supporting the implementation of plans, delivery of programs, etc.	
1.2.1		Records documenting the development of strategic plans to support development of the arts, cultural programs and services. Includes final versions of plans, draft versions circulated for comment or consultation, issues or discussion papers.	Required as State archives
1.2.2		Records relating to the implementation of strategic arts development policies, plans or initiatives.	Retain minimum of 7 years after action completed, then destroy
1.2.3		Records documenting the development and implementation of operational or business plans to support development of the arts, cultural programs and services.	Retain minimum of 5 years after action completed, then destroy
1.3.0	Policy and Procedures	The establishing of directions, precedents and procedures which act as a reference for decision making or the conduct of activities.	
1.3.1		Records documenting the development of arts and cultural policy. Includes final versions of policies, draft versions circulated for comment or consultation, research, issues or discussion papers.	Required as State archives
1.3.2		Records documenting procedures for the implementation and administration of arts development policy, programs, services and initiatives. Includes final versions of procedures and records relating to their development.	Retain minimum of 5 years after superseded, then destroy

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No	Function/Activity	Description	Disposal Action
<i>ARTS DEVELOPMENT - Reporting</i>			
1.4.0	Reporting	The activity of providing a formal response to a situation or request.	
1.4.1		Final versions of formal internal reports and reports made to external agencies relating to arts and cultural programs and services. This includes final reports of strategic evaluations of arts and cultural programs and services.	Required as State archives
1.4.2		Periodic internal reports relating to arts and cultural programs and services such as statistical and agency reports.	Retain minimum of 5 years after action completed, then destroy
1.5.0	Research	The conduct of research or investigations to support arts and cultural policy development and service delivery.	
1.5.1		Final versions of reports documenting the findings, outcomes and/or recommendations of research projects or studies either undertaken or commissioned by the organisation to support arts and cultural policy development and service delivery.	Required as State archives
1.5.2		Records relating to the conduct of research projects or studies. Also includes discontinued research and background information for research projects.	Retain minimum of 10 years after action completed, then destroy
1.6.0	Strategic Initiatives and Partnerships	The negotiation, establishment, review and maintenance of agreements, alliances or joint ventures. See ARTS DEVELOPMENT - Planning for records relating to the implementation of strategic arts development policies, plans or initiatives.	
1.6.1		Records documenting the negotiation, establishment, review and maintenance of significant strategic partnerships, alliances or joint ventures supporting the development or delivery of arts and cultural policy, initiatives, programs and	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>ARTS DEVELOPMENT - Strategic Initiatives and Partnerships</i>			
		services.	
1.6.2		Records documenting the negotiation, establishment, review and maintenance of agreements supporting the development or delivery of arts and cultural programs and services. Includes proposals not proceeded with.	Retain for minimum of 7 years after last action or expiry or termination of contract or agreement, whichever is the longer, then destroy.
1.7.0	Visual Art Register	The maintenance of artist registers and databases.	
1.7.1		Successful applications forming the visual art register. Includes application form and supporting documentation such as curriculum vitae details, slides, etc.	Required as State archives
2.0.0	ARTS FACILITIES AND CULTURAL INSTITUTIONS SUPPORT	<p>The function of providing advice and support for arts facilities and to cultural institutions. Includes the provision of advice to and on arts facilities and policy.</p> <p>See ARTS DEVELOPMENT - Strategic Initiatives and Partnerships for records of agreements with arts and cultural organisations and institutions as part of strategic initiatives and partnerships supporting development of the arts.</p> <p>See INFRASTRUCTURE DEVELOPMENT for records relating to programmes and projects for establishing and developing facilities and infrastructure for the arts and cultural use.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS for agreements or joint ventures with other government organisations.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT for records relating to Arts NSW office space.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> for audits of</p>	

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No	Function/Activity	Description	Disposal Action
<i>ARTS FACILITIES AND CULTURAL INSTITUTIONS SUPPORT - Advice</i>			
		and liaison and visits with arts and cultural facilities and institutions.	
2.1.0	Advice	The offering and receipt of advice. See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Enquiries for records of enquiries regarding routine information about the organisation and its services.	
2.1.1		Records relating to the offering or receipt of policy, strategic planning or precedent setting advice concerning the provision of support for arts facilities and cultural institutions. Includes review processes.	Required as State archives
2.1.2		Records relating to the offering of or receipt of advice concerning arts facilities and cultural institutions of a routine nature, e.g. concerning operations and general provision of support.	Retain minimum of 5 years after action completed, then destroy
2.2.0	Planning	The process of formulating ways in which objectives can be achieved.	
2.2.1		Records documenting the development of strategic plans to support arts facilities and cultural institutions. Includes final versions of plans, draft versions circulated for comment or consultation, issues or discussion papers.	Required as State archives
2.2.2		Records documenting the development of operational or business plans to support arts facilities and cultural institutions.	Retain minimum of 5 years after action completed, then destroy
2.3.0	Policy and Procedures	The establishing of directions, precedents and procedures which act as a reference for decision making or the conduct of activities.	
2.3.1		Records documenting the development of policies concerning the provision of support for arts and cultural infrastructure, facilities and institutions. Includes final	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>ARTS FACILITIES AND CULTURAL INSTITUTIONS SUPPORT - Policy and Procedures</i>			
		versions of policies, draft versions circulated for comment or consultation, research, issues or discussion papers.	
2.3.2		Records documenting procedures concerning the provision of support for arts and cultural infrastructure, facilities and institutions. Includes final versions of procedures and records relating to their development.	Retain minimum of 5 years after superseded, then destroy
2.4.0	Reporting	The activity of providing a formal response to a situation or request.	
2.4.1		Final versions of formal internal reports and reports made to external agencies relating to arts facilities and cultural institutions support.	Required as State archives
2.4.2		Periodic internal reports relating to arts facilities and cultural institutions support, such as statistical and agency reports.	Retain minimum of 5 years after action completed, then destroy
2.5.0	Research	The conduct of research or investigations to support arts facilities and cultural institutions.	
2.5.1		Final versions of reports documenting the findings, outcomes and/or recommendations of research projects or studies either undertaken or commissioned by the organisation to support arts facilities and cultural institutions.	Required as State archives
2.5.2		Records relating to the conduct of research projects or studies. Also includes discontinued research and background information for research projects.	Retain minimum of 10 years after action completed, then destroy
3.0.0	FUNDING AND GRANTS MANAGEMENT	The function of providing financial support and assistance through funds in the form of grants to arts and cultural organisations. Includes coordination and	

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<i>FUNDING AND GRANTS MANAGEMENT - Advice</i>			
		<p>management of funding programs and management of projects.</p> <p>See ARTS DEVELOPMENT - Policy and Procedures for records relating to the development of funding and grants management policies and procedures.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNMENT RELATIONS - Agreements for records relating to joint venture or funding agreements with the Commonwealth</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Grant funding for records relating to the coordination of funding sources, for example, external funding applications, sponsorships and agreements.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> for marketing of funding and grants programs and for audits of funding and grants programs or projects.</p>	
3.1.0	Advice	<p>The offering and receipt of advice.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Enquiries for enquiries requesting general information about funding and grants programs.</p>	
3.1.1		Records relating to the offering or receipt of advice impacting on policy or strategic initiatives for the provision of financial support and assistance to arts and cultural organisations or impacting on the management and coordination of arts and cultural funding programs and projects.	Required as State archives
3.1.2		Records relating to the offering or receipt of routine advice concerning the implementation or administration of funding and grants programs or financial assistance arrangements.	Retain minimum of 5 years after action completed, then destroy
3.2.0	Funding and Grant	Funding and grant application processing, assessment of applications, appeals and	

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No	Function/Activity	Description	Disposal Action
<i>FUNDING AND GRANTS MANAGEMENT - Funding and Grant Administration</i>			
	Administration	administration of funding. See ARTS DEVELOPMENT - Strategic Initiatives and Partnerships for sponsorships or funding agreements and arrangements associated with joint ventures, partnerships, alliances, etc.	
3.2.1		Records documenting decisions of assessment panels formed to provide grant recommendations. Includes final versions of minutes, agendas, reports, briefing papers, shortlists, submissions, summary records etc.	Required as State archives
3.2.2		Successful grant and funding applications. Includes assessment sheets, letters of confirmation and final agreements, signed grant conditions, payment information, acquittal information such as financial statements, artistic reports, etc. Also includes supporting material relevant to the application or acquittal.	Required as State archives
3.2.3		Unsuccessful or withdrawn grant or funding applications. Includes assessment sheets, letters of rejection, etc.	Retain minimum of 5 years after action completed, then destroy
3.3.0	Funding Program Management	The management of funding programs for particular arts or cultural events, industries, sectors, etc.	
3.3.1		Records documenting the evaluation of existing or proposed grant management programs or processes supporting the grants management function.	Retain minimum of 5 years after action completed, then destroy
3.4.0	Project Management	The management of special projects for arts and cultural activities and events, and for professional development opportunities.	
3.4.1		Records documenting the evaluation, approval and management of funded arts and cultural development programs and projects. Includes feasibility assessments,	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>FUNDING AND GRANTS MANAGEMENT - Project Management</i>			
		consultation, authorisation and project governance.	
3.4.2		Records documenting preliminary investigations or evaluations of proposed arts and cultural development projects or programs that do not proceed.	Retain minimum of 5 years after action completed, then destroy
3.5.0	Reporting	The activity of providing a formal response to a situation or request.	
3.5.1		Final versions of formal internal reports and reports made to external agencies relating to funding and grants management.	Required as State archives
3.5.2		Periodic internal reports relating to funding and grants management such as statistical and agency reports.	Retain minimum of 5 years after action completed, then destroy
4.0.0	INFRASTRUCTURE DEVELOPMENT	<p>The function of establishing and developing facilities and infrastructure for arts and cultural use.</p> <p>See ARTS FACILITIES AND CULTURAL INSTITUTIONS SUPPORT - Planning for strategic planning to support development of facilities and infrastructure for arts and cultural use.</p> <p>See ARTS FACILITIES AND CULTURAL INSTITUTIONS SUPPORT - Policy and Procedures for policies and procedures impacting on the development of arts and cultural facilities and infrastructure</p> <p>See ARTS FACILITIES AND CULTURAL INSTITUTIONS SUPPORT - Reporting for reports relating to arts infrastructure development programmes and projects</p> <p>See FUNDING AND GRANTS MANAGEMENT for grant programs supporting the development or upgrade of infrastructure.</p>	

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No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE DEVELOPMENT - Advice</i>			
		See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records of committees, working groups, etc. See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT for records relating to the management of properties providing office space for the organisation or for arts organisations and for other property related activities (e.g. leasing, maintenance, security, etc.)	
4.1.0	Advice	The offering and receipt of advice. See ARTS FACILITIES AND CULTURAL INSTITUTIONS SUPPORT for records relating to the provision of advice and support for arts facilities and cultural institutions.	
4.1.1		Records relating to the offering or receipt of policy, strategic planning or precedent setting advice concerning arts and cultural infrastructure development programs or projects.	Required as State archives
4.1.2		Records relating to the offering or receipt of routine operational advice concerning the implementation or administration of infrastructure development programs and projects.	Retain minimum of 7 years after action completed, then destroy
4.2.0	Programme management	The process of managing a programme comprising a number of related projects. See PROJECT MANAGEMENT for records relating to individual projects comprising or undertaken as part of the program.	
4.2.1		Records documenting the approval and management of arts and cultural infrastructure development or redevelopment programs. Includes records of program initiation, planning, governance, monitoring and completion.	Required as State archives
4.3.0	Project management	The process of managing arts and cultural infrastructure development projects. See General Retention and Disposal Authority <i>Administrative records</i>	

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No	Function/Activity	Description	Disposal Action
<i>INFRASTRUCTURE DEVELOPMENT - Project management</i>			
		<p>CONTRACTING-OUT for management of original contracts.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT for other building, construction, conservation and maintenance project management records</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> TENDERING for records relating to the management of tenders for infrastructure development projects.</p>	
4.3.1		<p>Key records relating to the design, construction, development or redevelopment of arts and cultural venues or precincts:</p> <p>Records include:</p> <ul style="list-style-type: none"> • precinct master plans, building and development applications and associated documentation such as environmental, archaeological or heritage reports or impact statements, etc. • records documenting the outcomes of consultation with communities and other stakeholders regarding master plans, proposed building and development applications, etc. • design and as built specifications and plans • photographs documenting stages of construction, conservation or changes to structures, environs, etc. 	Required as State archives