

State Records Authority NSW

Functional Retention and Disposal Authority: FA388

This authority covers records documenting the function of
Government House Sydney

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 Records Authority NSW in accordance with section 21(3) of the Act.

State Records Authority NSW

Functional Retention and Disposal Authority

Authority no FA388

SR file no SR2024/53

Scope This retention and disposal authority covers records documenting the function of Government House Sydney.

Public office Government House Sydney

Approval date 23 October 2017

Amended date 12 July 2024
(entries 1.4.1 and 1.5.1).

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 Government House which are required as State archives and to provide approval for the destruction of certain other records created and maintained by Government House, 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 Records Authority NSW (State 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 Records NSW does not disapprove. Advice on the State Records Act can be obtained from State 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 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 Records NSW any information which affects the retention of the records covered by the authority.

State 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 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 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*).

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 Museums of History 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 Museums of History NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to Museums of History NSW should be a routine and systematic part of a public office's records management program.

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

State 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 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 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 Records Authority NSW
PO Box 516
Kingswood NSW 2747
Telephone: (02) 9714 3080
E-mail: govrec@records.nsw.gov.au

Functional Retention and Disposal Authority Government House Sydney

Authority number: FA388

Dates of coverage: Open

List of Functions and Activities covered

Function	Activity	Reference	Page
CONSTITUTIONAL AND CEREMONIAL		1.0.0	6
	Executive Council	1.1.0	6
	Commissions and oaths	1.2.0	6
	Ceremonial	1.3.0	6
	Liaison	1.4.0	6
	Diaries and photographs	1.5.0	7
BILLS OF PARLIAMENT		2.0.0	8
	Assent	2.1.0	8
COMMUNITY PARTICIPATION		3.0.0	9
	Patronages	3.1.0	9
	Hosted events	3.2.0	9
	Events attended or invited to	3.3.0	9
	Community Liaison	3.4.0	10
GOVERNMENT HOUSE		4.0.0	11
	Management and administration	4.1.0	11

Functional Retention and Disposal Authority Government House Sydney

Authority number: FA388

Dates of coverage: Open

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

1.0.0 CONSTITUTIONAL AND CEREMONIAL

The function of carrying out the constitutional and ceremonial roles of the Governor.

1.1.0 Executive Council

The management of meetings between the Governor and Ministers.

1.1.1	Minutes of Executive Council meetings.	Required as State archives
-------	--	----------------------------

1.2.0 Commissions and oaths

The management of commissions, oaths and letters patent.

1.2.1	Commissions, oaths and letters patent. Includes commissions and oaths relating to the appointment and swearing in of the Governor, Ministers, and Clerks of the Executive Council.	Required as State archives
1.2.2	Records relating to deputations issued to Lieutenant Governors, and arrangements for administration of the Government of NSW in the Governor's absence.	Required as State archives

1.3.0 Ceremonial

The management of ceremonial events.

1.3.1	Records relating to State and ceremonial events. Includes correspondence regarding royal visits, State funerals, openings of Parliament, official visits of heads of government and other dignitaries, country visits and official overseas visits made by the Governor, presentation of investitures such as Queen's Birthday Honours.	Required as State archives
1.3.2	Records relating to the routine coordination of ceremonial events.	Retain until administrative or reference use ceases, then destroy

Government House Sydney

Authority number: FA388

Dates of coverage: Open

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

CONSTITUTIONAL AND CEREMONIAL - Liaison

1.4.0 Liaison

The management of the formal relationship of the Governor with the Parliament, Government, Vice-Regal entities, etc.

1.4.1	Records relating to liaison between the Governor and: <ul style="list-style-type: none">the Parliament, Premier, Executive Council and departments of Governmentthe Governor-General and other State Governorsthe Royal Family including the Sovereign, and officials acting on their behalf.¹	Required as State archives
1.4.2	Records relating to petitions to the Governor.	Required as State archives

1.5.0 Diaries and photographs

The management of the Governor's appointments.

1.5.1	Official diaries (e.g. mobileX) or appointment information of the Governor and selected official photographic records. ²	Required as State archives
-------	---	----------------------------

¹ July 2024 Reference to liaison with the United Kingdom Parliament removed, and liaison between the Governor and the Sovereign and officials acting on their behalf added to final dot point.

² Example added July 2024.

Government House Sydney

Authority number: FA388

Dates of coverage: Open

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

BILLS OF PARLIAMENT - Assent

2.0.0 BILLS OF PARLIAMENT

The function of the giving of Royal Assent to Bills of Parliament.

2.1.0 Assent

The giving of Royal Assent to Bills of Parliament.

2.1.1	Records relating to the giving of Royal Assent to Bills of Parliament. Includes letters from the Clerk of the Parliament forwarding the Bill to the Governor, legal opinions from the Solicitor General, letters from the Governor to the Clerk of Parliament indicating the Bill has been assented to, letters from the Governor to Ministers regarding the new Act of Parliament, and signed, sealed or annotated copies of Bills and Acts that have been used in the process of making law.	Required as State archives
-------	--	----------------------------

Government House Sydney

Authority number: FA388

Dates of coverage: Open

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

COMMUNITY PARTICIPATION - Patronages

3.0.0 COMMUNITY PARTICIPATION

The function of managing the community roles of the Governor.

3.1.0 Patronages

The management of Vice-Regal patronage.

3.1.1	Records relating to requests for, and granting of, Vice Regal patronage. Also includes regrets that patronage cannot be granted.	Required as State archives
-------	--	----------------------------

3.2.0 Hosted events

The management of events hosted by the Governor at Government House.

3.2.1	Invitations, guest lists, menus, seating arrangements, speeches and briefs for formal receptions, luncheons and dinners hosted by the Governor at Government House.	Required as State archives
3.2.2	Records relating to the coordination of receptions, luncheons and dinners hosted by the Governor at Government House.	Retain until administrative or reference use ceases, then destroy

3.3.0 Events attended or invited to

The management of events attended by the Governor or to which the Governor was invited.

3.3.1	Records relating to events attended by the Governor. Includes briefs for the Governor on the event, transcripts or recordings of speeches made by the Governor and correspondence with the organisation regarding the event.	Required as State archives
3.3.2	Research notes and information gathered about an organisation in relation to an event.	Retain until administrative or reference use ceases, then destroy
3.3.3	Records relating to the Governor declining invitations to attend events (known as 'regrets').	Retain until administrative or reference use

Government House Sydney

Authority number: FA388

Dates of coverage: Open

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

COMMUNITY PARTICIPATION - Community Liaison

		ceases, then destroy
--	--	----------------------

3.4.0 Community Liaison

The management of community liaison.

See **CONSTITUTIONAL AND CEREMONIAL - Liaison** for petitions presented to the Governor.

3.4.1	Correspondence to and from individuals and groups in the community where a detailed response is provided.	Required as State archives
3.4.2	Correspondence to and from individuals and groups in the community where a detailed response is not provided. Includes routine acknowledgements, nil responses, congratulatory messages sent to the Governor for birthdays or anniversaries, etc.	Retain until administrative or reference use ceases, then destroy
3.4.3	Final approved versions of formal announcements made by the Governor e.g. media releases, notices or announcements on social media.	Required as State archives

Government House Sydney

Authority number: FA388

Dates of coverage: Open

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

GOVERNMENT HOUSE - Management and administration

4.0.0 GOVERNMENT HOUSE

The management of Government House as a residence, office and official reception space.

4.1.0 Management and administration

4.1.1	Records relating to significant aspects of the design, construction, maintenance, fabric, furnishings and operation of Government House as a residence, office and reception space which are useful for historical interpretation, understanding and display purposes. May include records relating to the appointment and duties of House staff.	Required as State archives
4.1.2	Records relating to the routine aspects of the management and administration of Government House.	Retain until administrative or reference use ceases, then destroy