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# 1.0.0 COMMITTEES

The activities associated with the management of internal, external or inter-agency committees, task forces, working groups or parties, etc. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas, etc.

|  |  |  |
| --- | --- | --- |
| 1.0.10  COMMITTEES | Records relating to the registration of persons interested in serving on boards, committees, panels, taskforces etc. Records include expressions of interest, applications, correspondence with applicants.  **Note**: records of successful appointments will be captured as part of the relevant entry above. | Retain until interest withdrawn or reference use ceases, then destroy |
| **Justification/Remarks:** New entry to address a gap in coverage. Consistent with similar records in FA313, Premier's Department. | | |

# COMMUNITY RELATIONS

The function of establishing rapport with the community and raising and maintaining the organisation's broad public profile.

## 2.6.4 Customer service

|  |  |  |
| --- | --- | --- |
| 2.6.4  INFORMATION MANAGEMENT - Control | Management of contact details of clients, e.g. e-mail lists, address lists, customer profiles or accounts. | Retain until administrative or reference use ceases, then destroy |
| **Justification/Remarks:** Description amended to add customer profiles, accounts from websites/portals to be included in the management of contact details. | | |

# GOVERNING AND CORPORATE BODIES

The establishment and management of corporate entities, such as companies and corporations and of governing bodies, such as boards, trusts, councils, commissions, etc.

## 9.10.0 Meetings

|  |  |  |
| --- | --- | --- |
| 9.10.1  GOVERNING AND CORPORATE BODIES - Meetings | Records relating to the meetings of governing bodies, such as boards, trusts, etc., and meetings of sub-committees. Records include:   * agenda and minutes * advice and briefing papers * submissions and reports * recommendations and resolutions * correspondence arising from business discussed or resolutions passed at meetings.   **Note:** sub-committees of Boards are comprised of Board members only. | Required as State archives |
| **Justification/Remarks:** addition of note to provide guidance about the types of sub committee records that can be transferred as State archives. | | |

# INFORMATION MANAGEMENT

## 12.9.0 Control

|  |  |  |
| --- | --- | --- |
| 12.9.1  INFORMATION MANAGEMENT - Control | Primary control records for records required as State archives, which are required to facilitate access and give meaning and context to the records over time. Records *may* include:   * indexes * correspondence/file registers or registration systems * metadata.   **Note:** Before transfer, Museums of History NSW should be contacted to discuss what control records are covered by this entry. Where metadata about items has been created as part of a State archives transfer, control records are not required as State archives. | Required as State archives |
| **Justification/Remarks:** Addition of note to provide clarity on what control records are required as State archives. As metadata is now created and captured as part of State archives transfers through the portal, control records are not always required as State archives. | | |

## 12.10.6 Customer service

|  |  |  |
| --- | --- | --- |
| 12.9.1  INFORMATION MANAGEMENT - Control | Management of contact details of clients, e.g. e-mail lists, address lists, customer profiles or accounts. | Retain until superseded, then destroy |
| **Justification/Remarks:** Description amended to add customer profiles, accounts and log-ins from websites/portals to be included in the management of contact details. | | |

# PERSONNEL

## 15.4.0 Employee service history

The activities associated with managing the appointment and service of personnel. Includes permanent, temporary and casual employees, and volunteers.

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| --- | --- | --- |
| 15.4.1  PERSONNEL - Employee service history | Records summarising the employment or service history of personnel. Includes:   * name * date of birth * dates of employment/service * positions held and salary * locations worked.   **Note:** This includes information maintained in electronic systems. If the systems do not include these fields the records are not required as State archives. | Required as State archives |
| **Justification/Remarks:** Note amended to clarify that for electronic summaries of employment history the metadata should include the above information as a minimum. | | |
| 15.4.2  PERSONNEL - Employee service history | Records documenting the selection and appointment of:   * chief executive officers * statutory officers appointed by the Minister (such as Chief Justices, Registrar-General, Surveyor-General, judges, magistrates, Director of Public Prosecutions) * University Chancellors and Vice Chancellors.   **Note:** this entry covers records of selection and appointment only. Records of subsequent employment are to be sentenced as per entry 15.4.3.  State Records NSW should be contacted for advice about other categories of officers for whom records who may be eligible for transfer as State archives e.g. Government Architect. | Required as State archives |
| **Justification/Remarks:** Note amended to clarify that this entry covers selection and appointment only - records of subsequent employment are to be sentenced as per 15.4.3. | | |

# STRATEGIC MANAGEMENT

## 19.8.0 Grant funding & allocation

The activities associated with:

* the organisation applying for and receiving grants
* the organisation receiving applications for grants from other organisations - Government and non-Government

See Functional Retention and Disposal Authority *Premier's Department* for records relating to grants approved or rejected by the Premier.

See General Retention and Disposal Authority *Records of a Ministers' Office* for records relating to grants approved or rejected by Ministers.

See Functional Retention and Disposal Authority *Service NSW* for applications managed by Service NSW.

See General retention and disposal authority: local government for applications managed by councils.

|  |  |  |
| --- | --- | --- |
| 19.8.2  STRATEGIC MANAGEMENT - Grant funding & allocation | Superseded by entry 19.8.3 |  |
| **Justification/Remarks:** Previously records relating to successful applications for grants or funds which lead to the establishment of new and significant programs, events and outcomes were required as State archives.  It is now proposed to remove this requirement as most grant applications are routine. Reporting on any significant programs will be retained as State archives under GA28 GOVERNMENT RELATIONS - Reporting or in the relevant class for the program in the functional retention and disposal authorities. | | |
| 19.8.3  STRATEGIC MANAGEMENT - Grant funding & allocation | Records relating to successful applications submitted by the organisation to other organisations for grants or funds. | Retain minimum of 7 years after grant activity has ceased and conditions of funding have been met, then destroy |
| **Justification/Remarks:** Previously records relating to successful applications for grants or funds which lead to the establishment of new and significant programs, events and outcomes were required as State archives, and other applications for 6 years after action completed.  It is now proposed to remove this requirement as grant applications are routine records. Reporting on any significant programs will be retained as State archives under GA28 GOVERNMENT RELATIONS - Reporting or in the relevant class for the program in the functional retention and disposal authorities. | | |
| 19.8.4  STRATEGIC MANAGEMENT - Grant funding & allocation | Records relating to unsuccessful applications for grants or funds submitted by the organisation to other organisations. | Retain minimum of 2 years after action completed, then destroy |
| **Justification/Remarks:** Added text to clarify difference between the organisation submitting and organisation receiving applications. | | |
| 19.8.5  STRATEGIC MANAGEMENT - Grant funding & allocation | Registers or summary records of applications for grants or funding made to the organisation that identify the nature of the application and reasons for acceptance or rejection. | Required as State archives |
| **Justification/Remarks:** New entry to allow GA28 to be used for grant and funding applications received by the organisation rather than having to cover them in individual functional retention and disposal authorities. This will standardise the decisions applying to grant records. Retention of summary records of grant applications received is consistent with a number of existing retention and disposal authorities and with Victoria and National Archives of Australia.  Summary records document the nature of assistance provided by government to support the implementation of services and address issues. | | |
| 19.8.7  STRATEGIC MANAGEMENT - Grant funding & allocation | Records of applications for grants or funding made to the organisation that are approved. Includes applications and supporting documents, determinations, correspondence with recipients, advice, acquittal, complaints, progress reports etc.  See Functional Retention and Disposal Authority *Premier's Department* for records relating to grants approved or rejected by the Premier.  See General Retention and Disposal Authority *Records of a Ministers' Office* for records relating to grants approved or rejected by Ministers.  See Functional Retention and Disposal Authority *Service NSW* for applications managed by Service NSW.  See *General retention and disposal authority: local government* for applications managed by councils. | Retain minimum of 7 years after grant activity has ceased and conditions of funding have been met, then destroy |
| **Justification/Remarks:** New entry to allow GA28 to be used for grant and funding applications received by the organisation rather than having to cover them in individual functional retention and disposal authorities. This will standardise the decisions applying to grant records. Confirms Board decision of 27 retention and disposal authorities.  It does not apply to grants considered by the Premier or Ministers which are covered in the retention and disposal authorities for Premier's Department and Ministers' Offices, or grants managed by Service NSW.  This is consistent with Victoria, Northern Territory, Western Australian, Queensland, Tasmania (for receipt of grant funds and administration), National Archives of Australia.  Retention period allows for ongoing administrative, accountability or reference purposes. It also encompasses limitation periods for potential legal action or disputes concerning fulfilment of terms and conditions of the grant approved for the applicant. Summary records of successful application are required as State archives (19.8.5).  The entry in FA372, requiring applications for grants to be retained as State archives, will be superseded by this entry. | | |
| 19.8.8  STRATEGIC MANAGEMENT - Grant funding & allocation | Records of applications for grants or funding made to the organisation that are unsuccessful or withdrawn. Includes complaints and appeals (where applicable), determinations, correspondence etc | Retain minimum of 2 years after action completed, then destroy |
| **Justification/Remarks:** New entry to allow GA28 to be used for grant and funding applications received by the organisation rather than having to cover them in individual functional retention and disposal authorities. This will standardise the decisions applying to grant records. Consistent with a number of disposal authorities applying in NSW as well as Western Australian, Victoria, Northern Territory, South Australia, National Archives of Australia and Queensland. | | |