

State Records Authority of New South Wales

**Functional Retention and Disposal
Authority: DA142**

Approved: 4 March 2003

Community Relations Commission

This authority covers records documenting the function of *community services and cultural diversity*.

Functional Retention and Disposal Authority

DA no DA142

SR file no 02/0349

Public office Community Relations Commission

Scope This functional retention and disposal authority covers records documenting the function of *community services and cultural diversity*.

Authority This functional retention and disposal authority is issued under section 21(2)(c) of the *State Records Act 1998*. It has been approved by the Board of the State Records Authority in accordance with section 21(3) of the State Records Act.

Authorised

David Roberts
Director
State Records Authority of New South Wales

4/3/2003
Date

How to use the Functional Retention and Disposal Authority

The disposal process

Disposing of State records involves assessing the value of records for future use, identifying those State records that have continuing value as State archives and identifying how soon the remainder can be destroyed or otherwise disposed of. Disposal can also involve transfer of ownership or custody of records and the alteration of records.

This functional retention and disposal authority is issued 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.

This authority has been prepared as part of the records disposal program of the agency. Two primary objectives of this program are to ensure that records are kept for as long as they are of value and to enable the destruction or other disposal of records once they are no longer of value. State Records' decisions take into account both the administrative requirements of the public office in discharging its functional responsibilities and the potential research use of the records by the NSW Government and the public. 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.

Purpose of the authority

This functional retention and disposal authority authorises the destruction or other disposal of State records as required by the State Records Act.

Using 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 is to be used to sentence records. Sentencing is the examination of records in order to identify the disposal class to which they belong. This process enables the sentencing officer to determine the appropriate disposal action for the records. Advice on sentencing can be obtained from State Records.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal classes from being used to sentence records which perform the same function. The information 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 Disposal Authority – Records of short term value that have been imaged*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technologically dependent records is available for the periods prescribed.

Disposal action

Records that are identified as being required as State archives should be stored in controlled environmental conditions. Control of these records should be transferred to State Records when they cease to be in use for official purposes.

Records that have been identified as being authorised for destruction may only be destroyed once a public office has ensured that all requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office may 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, FOI requests) 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.

In some cases State Records may withhold authorisation for the disposal of a particular disposal class or possibly a whole function or activity. This would be used where records have been identified as having some immediate short term requirements for retention such as pending legal action. These records will need to be re-appraised at the end of a designated period. This re-appraisal process is necessary as the circumstances which instigate the need for the records to be retained for a longer period may also affect the 'value' of the records.

Regardless of whether a record has been authorised 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 authorisation of State Records.

Custody

The custody column in the functional retention and disposal authority is designed to assist public offices in identifying storage requirements for records prior to destruction or transfer. The directions in this column are recommendations only and are *not* mandatory. The type of information includes directions on how long records should be retained in the office and how long they should be kept in off-site/ secondary storage. A recommendation to retain records in the agency for more than 25 years does not imply that a *still in use determination* has been approved by State Records (see Part 4, Section 28 of the State Records Act 1998).

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 functional 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 State Records should be notified. The public office that inherits the new function will need the approval of State Records to use any existing functional retention and disposal authority to sentence the records that document the function/s.

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 will be made and authorised.

Contact Information

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Functional Retention and Disposal Authority Community Relations Commission

DA No: DA142

Dates of coverage: 1988+

No	Function/Activity	Description	Disposal Action	Custody
1.0.0	COMMUNITY LANGUAGE ALLOWANCE SCHEME (CLAS)	<p>The function of administering examinations for the Community Language Allowance Scheme (CLAS).</p> <p>The Commission administers an examination that, if the applicant passes, provides one aspect of eligibility to receive the allowance.</p>		
1.1.0	Accreditation of Examiners	Activities associated with the accreditation of professional or recognised interpreters to conduct CLAS examinations.		
1.1.1		Records relating to the accreditation of examiners.	Retain minimum of 10 years after action completed, then destroy	
1.2.0	Appeals, grievances and complaints			
1.2.1		Records of appeals, grievances and complaints relating to examination results.	Retain minimum of 5 years after action completed, then destroy	
1.3.0	Certificates			
1.3.1		<p>Copies of certificates of achievement for candidates who pass the examination.</p> <p>NB: Original certificates are forwarded to candidates.</p>	Retain minimum of 10 years after action completed, then destroy	
1.4.0	Examinations	Activities associated with assessing the performance of candidates based on a standard marking guide.		

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No	Function/Activity	Description	Disposal Action	Custody
1.4.1		Records relating to the assessment of an individual candidates performance eg score sheets, sound recordings etc.	Retain minimum of 5 years after action completed, then destroy	
1.5.0	Nomination	Activities associated with preparations for and management of the candidate nomination process.		
1.5.1		Records relating to preparations for and the management and processing of agency nominations of employees as CLAS examination candidates.	Retain minimum of 1 year after action completed, then destroy	
1.6.0	Registration	Registration of examination candidates.		
1.6.1		Summary records of applicants who undertake the examination.	Retain minimum of 20 years after action completed, then destroy	
1.7.0	Reports	Advice to agencies of candidate performance.		
1.7.1		Records of reports and information given to agencies on the candidate's performance.	Retain minimum of 5 year after action completed, then destroy	
1.8.0	Results	Grades/marks of individual assessment components.		
1.8.1		Records relating to the grading/marking of the CLAS examination undertaken by candidates.	Retain minimum of 5 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody
1.8.2		Records relating to changes or amendments to assessment results.	Retain minimum of 5 years after end of appeal period, then destroy	
2.0.0	COMMUNITY RELATIONS SERVICES	The function of maintaining and developing good community relations within ethnic communities, between ethnic communities, the mainstream community and within the community of communities of NSW.		
2.1.0	Advice	The activities associated with the provision of advice to the Commission on matters of relevance to its functions and objectives eg advice provided by the Regional Advisory Councils.		
2.1.1		Records of advice provided to the Commission on regional and rural issues, policy and coordination and best practice project documents and agreements.	Required as State archives	Transfer to State Records 10 years after action completed
2.2.0	Community Interaction	<p>Activities associated with consulting with specific ethnic communities and/or other generalist community groups in order to advise and assist them.</p> <p><i>See also General Disposal Authority – Administrative Records – COMMUNITY RELATIONS – Enquiries and Liaison for records relating to the provision of general information or handling of routine enquiries</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody
2.2.1		<p>Records relating to formal consultation and liaison with individual ethnic groups or groupings of communities eg. Chinese community generally, or meetings with Chinese organisations such as Australian Chinese Community Association or Chinese elderly etc. Records include:</p> <ul style="list-style-type: none"> • Community Profiles eg. Arabic community, Lebanese community, Muslim community. • Consultations eg. Settlement Services Coalition. • Specific issues of historical significance ie. Community Reference Groups 	Required as State archives	Transfer to State Records 10 years after action completed
2.2.2		General correspondence on issues arising within the communities.	Retain minimum of 6 years after action completed, then destroy	
2.3.0	Community Partnership Schemes	<p>Activities associated with working jointly with a range of community organisations on particular projects that can be adopted as best practice models by other communities or regions of the State eg Community Harmony Program.</p> <p><i>See General Disposal Authority – Financial and Accounting Records – FINANCIAL MANAGEMENT – Budgeting for records relating to budget estimates.</i></p>		
2.3.1		Records relating to project initiation, development and guidelines.	Required as State archives	Transfer to State Records 10 years after action completed
2.3.2		Records relating to successful proposals. This includes submissions, assessments and reports, the provision of advice and support, the formulation of funding agreements and memorandum of understanding.	Required as State archives	Transfer to State Records 10 years after action completed

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No	Function/Activity	Description	Disposal Action	Custody
2.3.3		Records relating to unsuccessful proposals.	Required as State archives	Transfer to State Records 10 years after action completed
2.3.4		Administrative records such as information packages, advertising etc.	Retain minimum of 2 years after action completed, then destroy	
2.4.0	Community Projects	Activities associated with managing projects to address priority areas as they affect community relations in NSW. Projects are funded for a set period, with set terms of reference eg. Anti Racism Project, City Watch Project, Youth Partnership Project.		
2.4.1		Records relating to project initiation and development including final, approved or published version of reports or recommendations produced as an outcome of the project.	Required as State archives	Transfer to State Records 10 years after action completed
2.4.2		Records relating to project administration (including the arrangement of meetings, distribution of documents etc).	Retain minimum of 2 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody
3.0.0	CORPORATE MANAGEMENT	The function of applying broad systematic management planning, which identifies the corporate mission, objectives and strategies to provide direction for the future. Includes the formulation and amendment of legislation which provides the legislative basis for the organisation. <i>See also General Disposal Authority – Administrative Records – STRATEGIC MANAGEMENT</i>		
3.1.0	Appointments	Appointment of Commissioners, Convenors, members of the Regional Advisory Councils and Grants Advisory Committee.		
3.1.1		Records relating to appointments to the Commission and its advisory committees such as nominations, approvals, letters of appointment, negotiations, conditions and related correspondence. Includes disclosed conflicts of interest, reappointments, resignations and terminations.	Required as State archives	Transfer to State Records 10 years after action completed
3.2.0	Commission Meetings	The conduct of meetings of the Commission to determine and consider corporate direction, organisational priorities, policy and the strategic development of the Commission		
3.2.1		Master set of minutes, agenda and related meeting papers	Required as State archives	Transfer to State Records 10 years after action completed
3.2.2		Other copies of minutes, agenda and related papers	Retain minimum of 2 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody
3.2.3		Records relating to routine administrative arrangements for and the organisation of Commission meetings eg travel arrangements, bookings	Retain minimum of 1 year after action completed, then destroy	
3.3.0	Committees	<p>Activities associated with the management of Advisory Committees directly relating to the Commission's functional responsibilities (eg. Regional Advisory Councils and Grants Advisory Committee).</p> <p>See Appointments for records relating to the appointment of Council or Committee members</p> <p>See also <i>General Disposal Authority – Administrative Records – COMMITTEES</i></p>		
3.3.1		Master set of minutes, agenda and related meeting papers.	Required as State archives	Transfer to State Records 10 years after action completed
3.3.2		Other copies of minutes, agenda and related papers.	Retain minimum of 2 years after action completed, then destroy	
3.3.3		Records relating to routine administrative arrangements for and the organisation of Committee meetings eg travel arrangements, bookings	Retain minimum of 1 year after action completed, then destroy	
3.4.0	Enquiries	Formal enquiries and investigations conducted by the Commission.		

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No	Function/Activity	Description	Disposal Action	Custody
3.4.1		Records relating to the conduct of formal enquiries or investigations by the Commission. This includes records of background research, the gathering and analysis of data or information and the final approved or published version of reports or recommendations produced as an outcome of the enquiry or investigation	Required as State archives	Transfer to State Records 10 years after action completed
3.4.2		Records relating to drafting of final reports or recommendations. Includes notes, annotations, drafts, requests for comment or information, etc.	Retain minimum of 5 years after last action, then destroy.	
3.4.3		Records relating to the administration of an enquiry or investigation. Includes arrangements for meetings, visits and consultations, distribution of documents etc.	Retain minimum of 2 years after last action, then destroy.	
4.0.0	ETHNIC AFFAIRS PRIORITIES STATEMENTS (EAPS)	The function of assisting government agencies to implement their Ethnic Affairs Priorities Statements (EAPS) program, to monitor EAPS performance and compliance across NSW Government sector and to report to the Minister on the status of EAPS.		
4.1.0	Policy and Advice	Activities associated with informing the Minister, Government and Commission of the overall progress of the EAPS program, of issues arising in relation to particular aspects of it and recommended future directions and administrative arrangements for it.		

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No	Function/Activity	Description	Disposal Action	Custody
4.1.1		Records relating to the provision of advice, reports, briefings, recommendations etc concerning the EAPS program. This includes records of Ministerial and Commission briefings, EAPS status reporting, input into Government Reviews affecting EAPS, and recommended future directions.	Required as State archives	Transfer to State Records 10 years after action completed
4.1.2		Records relating to the formulation of policies and standards frameworks for the implementation of EAPS and monitoring of EAPS performance and compliance. This includes master copies of policy documents, Standards or guidelines issued relating to the EAPS program.	Required as State archives	Transfer to State Records 10 years after action completed
4.2.0	Projects	Projects aimed to support the development and administration of the EAPS program.		
4.2.1		Records relating to project initiation and development including final, approved or published version of reports or recommendations produced as an outcome of the project.	Retain minimum of 10 years after last action, then destroy	
4.2.2		Records relating to project administration (including the arrangement of meetings, distribution of documents etc)	Retain minimum of 2 years after action completed, then destroy	
4.3.0	Reporting and Compliance	Activities associated with monitoring agency compliance with EAPS reporting requirements		

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4.3.1		Records relating to the submission of EAPS reports to the Commission by agencies. This includes EAPS reports submitted by key agencies and EAPS reporting content from the agency's Annual Report.	Required as State archives	Transfer to State Records 10 years after action completed
5.0.0	GOVERNMENT SECTOR	The function of advising on areas of Government policy development where the policies may refer to cultural diversity and community relations.		
5.1.0	Advice	<p>The provision of advice on issues with a perspective relating to community relations or cultural diversity.</p> <p><i>See General Disposal Authority – Financial and Accounting Records – FINANCIAL MANAGEMENT – Budgeting for records relating to budget estimates.</i></p>		
5.1.1		Records relating to the provision of advice by the Commission to Government on issues which have a perspective relating to community relations or cultural diversity. This includes Cabinet minutes, Ministerial briefings etc.	Required as State archives	Transfer as State Records 10 years after action completed
5.2.0	Agreements	The processes associated with the establishment of agreements between the Commission and one or more agencies to focus on a particular area of the target agency's activity to improve performance in that area.		
5.2.1		Records relating to the establishment, implementation and monitoring of agreements. This includes records of the agreement or Memorandum of Understanding and meetings relating to the agreement.	Required as State archives	Transfer as State Records 10 years after action completed

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5.3.0	Policy	Activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.		
5.3.1		Records relating to the formulation of responses/ commentary on policy matters affecting NSW society with reference to community relations. Includes records of research, consultation papers, significant drafts and final versions of policy papers/statements and associated submissions, briefings and reports.	Required as State archives	Transfer to State Records 10 years after action completed
5.4.0	Projects	Discrete activities of research into or documentation of some aspect of Government performance impacting on or of relevance to community relations or cultural diversity.		
5.4.1		Records relating to project initiation and development including final, approved or published version of reports or recommendations produced as an outcome of the project.	Required as State archives	Transfer to State Records 10 years after action completed
5.4.2		Records relating to project administration (including the arrangement of meetings, distribution of documents etc)	Retain minimum of 2 years after action completed, then destroy	
5.5.0	Reporting	Reporting to the Minister in accord with the legislation of the Commission. <i>See also General Disposal Authority – Administrative records – GOVERNMENT RELATIONS - Reporting</i>		
5.5.1		Reports prepared by the Commission relating to cultural diversity and the state of community relations in NSW eg the Community Relations Report	Required as State archives	Transfer to State Records 10 years after action completed

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No	Function/Activity	Description	Disposal Action	Custody
6.0.0	GRANTS PROGRAM	<p>The function of administering Community Relations Commission (CRC) grants to community organisations to conduct projects for multicultural communities.</p> <p>See CORPORATE MANAGEMENT for records relating to appointments to and minutes of the Grants Advisory Committee</p>		
6.1.0	Advertisements			
6.1.1		Records relating to the placement of advertisements for the grants program and associated routine correspondence.	Retain minimum of 2 years after action completed then, destroy	
6.2.0	Applications	Activities associated with the processing of applications to CRC for grant funding		
6.2.1		Summary records of applications to CRC for grants assistance such as the Register of Grants.	Required as State archives	Transfer to State Records 20 years after action completed
6.2.2		<p>Records relating to successful applications. Records include:</p> <ul style="list-style-type: none"> • Application form • Agreement • Acquittals • Report 	Retain minimum of 7 years after action completed, then destroy	

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6.2.3		Records relating to unsuccessful applications. Records include: <ul style="list-style-type: none"> • Application form • Correspondence 	Retain minimum of 2 years after action completed, then destroy	
6.3.0	Monitoring	Activities associated with monitoring projects for which funding has been granted.		
6.3.1		Records relating to the monitoring of acquittal reports against the approved purpose of the project.	Retain minimum of 7 years after action completed, then destroy	
7.0.0	INTERPRETING, TRANSLATING AND MULTICULTURAL STUDIES (ITMS)	The function of administering examinations for the Interpreting, Translating and Multicultural Studies course (ITMS). The Commission administers an examination for Year 11 and Year 12 students wishing to demonstrate their competency in English and a community language.		
7.1.0	Applications	Activities associated with the processing of applications for the ITMS examination.		
7.1.1		Records of administration relating to the preparation for and management of the application process, examination and associated correspondence.	Retain minimum of 2 years after action completed, then destroy	
7.2.0	Examinations	Activities associated with assessing the performance of candidates.		

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7.2.1		Records relating to the assessment of an individual candidates performance eg. test sheets.	Retain minimum of 5 years after action completed, then destroy	
7.2.0	Reports	Activities associated with reporting the results of examinations.		
7.2.1		Records reporting examination results (to the Commission and nominating schools).	Retain minimum of 5 years after action completed, then destroy	
7.3.0	Results	Grades/marks of individual assessment.		
7.3.1		Records relating to the grading/marking of the ITMS examination undertaken by candidates.	Retain minimum of 5 years after action completed, then destroy	
8.0.0	INTERPRETING AND TRANSLATION	The function of providing interpreting and translation services to government departments and agencies, private and commercial organisations, community groups and individuals.		
8.1.0	Interpreting	The process of interpreting one language into another language verbally.		
8.1.1		Records relating to the provision of interpreter services. This includes bookings for interpreting.	Retain minimum of 6 months after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody
8.2.0	Translation	The activity of translating one language into another language in writing e.g. personal documents, qualifications, pamphlets, books as well as technical and more complex material.		
8.2.2		Records relating to the provision of translation services. Includes bookings for translations. NB: Original documents for translation are not retained, however a photocopy is kept of the original document.	Retain minimum of 6 months after action completed, then destroy	
9.0.0	MULTICULTURAL ENTRY SCHEME (MES)	The function of administering examinations for the Multicultural Entry Scheme (MES). The Commission administers an examination for Year 12 students wishing to obtain advanced standing for entry into the Faculty of Health Sciences of the University of Sydney.		
9.1.0	Applications	Activities associated with the processing of applications for the MES examination.		
9.1.1		Records of administration relating to the preparation for and management of the application process, examination and associated correspondence.	Retain minimum of 2 years after action completed, then destroy	
9.2.0	Examinations	Activities associated with assessing the performance of candidates.		
9.2.1		Records relating to the assessment of an individual candidates performance eg. test sheets.	Retain minimum of 5 years after action completed, then destroy	
9.3.0	Reports	Activities associated with reporting the results of examinations.		

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9.3.1		Records reporting examination results (to the Faculty of Health Sciences of the University of Sydney, the nominees and the Commission).	Retain minimum of 5 years after action completed, then destroy	
9.4.0	Results	Grades/marks of individual assessment.		
		Records relating to the grading/marking of the MES examination undertaken by candidates.	Retain minimum of 5 years after action completed, then destroy	
10.0.0	MULTICULTURAL MARKETING AWARDS	The function of giving annual awards to recognised businesses who have been responsible for an outstanding multicultural campaign.		
10.1.0	Addresses	Records of speeches made by the Premier at the presentation dinner. <ul style="list-style-type: none"> • Presentations • Transcripts 	Required as State archives	Transfer to State Records 10 years after action completed
10.2.0	Nominations			
10.2.1		Successful Nominations. Records include: <ul style="list-style-type: none"> • Nomination forms (successful) • Certificates/Awards/Prizes • Registers of award winners 	Required as State archives	Transfer to State Records 10 years after action completed
10.2.2		Unsuccessful Nominations. Records include: <ul style="list-style-type: none"> • Nomination forms (unsuccessful) • Correspondence 	Retain minimum of 2 years after action completed, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody
10.3.0	Presentation Dinner	Gala dinner for the presentation of awards.		
10.3.1		Records relating to administrative arrangements for the dinner. Records include acceptances, arrangements, bookings, catering, invitations, mailing lists etc.	Retain minimum of 2 years after action completed, then destroy	
10.3.2		Promotional material produced for the dinner and awards. Records include programs, photographs, reports etc.	Retain minimum of 5 years after action completed, then destroy	