

# **State Archives and Records Authority of New South Wales**

## **Functional Retention and Disposal Authority: FA225**

This authority covers records documenting the function of government recordkeeping and archives management

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 Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.



# State Archives and Records Authority of New South Wales

## Functional Retention and Disposal Authority

**Authority no** FA225

**SR file no** 06/0464,  
17/0349

**Scope** This retention and disposal authority covers records documenting the function of government recordkeeping and archives management.

**Public office** State Archives and Records Authority of New South Wales

**Issued** 13 December 2006

**Revised** 24 January 2019  
Removal of entries covered by FA402

**Reissued** 14 September 2020  
Removal of entries covered by GA28 & addition of notes at 10.4.0

## **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 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 the State Archives and Records Authority of New South Wales (State Archives and 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 Archives and Records NSW does not disapprove. Advice on the State Records Act can be obtained from State Archives and 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 Archives and 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 Archives and Records NSW any information which affects the retention of the records covered by the authority.

State Archives and 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 Archives and 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 Archives and 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*). 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 Archives and Records 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 State Archives and Records NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Archives and Records NSW 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, 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 Archives and 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 Archives and 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 Archives and 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 Archives and 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 Archives and Records NSW must approve any amendment to this authority. Public offices that use the authority should advise State Archives and Records NSW of any proposed changes or amendments to the authority.

State Archives and 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 Archives and 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 Archives 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 Archives and Records NSW  
PO Box 516  
Kingswood NSW 2747  
Telephone: (02) 9673 1788  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

**Functional Retention and Disposal Authority**  
**Government recordkeeping and archives management**

**Authority number: FA225**

**Dates of coverage: Open**

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### 1.0.0 ACCESS SERVICES

The function of providing access to State archives to government and non-government clients. Includes:

- providing access to State archives closed to public access when authorised by the relevant public office
- providing copies of collection material in any format
- approving the public's use of Crown copyright in State archives in accordance with NSW Government terms and conditions
- planning, policies and procedures for access services
- managing Reading Rooms for the supervised consultation of archival material by users, including registration of users and issue of original and copied archival material
- digitising and/or microfilming State archives in order to make the material more accessible for public access
- managing requests for information from clients.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Access and use** for records relating to the provision of access to the State archives collection, including registration of users, issue of material, authorisations from public offices for access to closed records, and provision of copies to clients, including signed copyright declaration forms, requests to publish State archives, and research enquiries.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Conservation & preservation** for records relating to digitising and/or microfilming State archives in order to make the material more accessible for public access

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Planning, policies & procedures** for records relating to planning, policies and procedures for access services, including reporting on and reviewing access services.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records relating to formal consultation with user communities and client groups.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Customer service** for records relating to surveys of clients and users.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries about services concerned with providing access to the State archives eg opening hours, location of reading rooms etc.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Liaison** for records relating to liaison with user communities, client groups and other organisations in relation to public programs, access services and programs.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Public reaction** for records relating to complaints or suggestions about research services.

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See General Retention and Disposal Authority *Administrative records* **GOVERNING BODIES - Meetings** for records relating to reporting to the Board on access services.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for records relating to the development of the general agreement with the Attorney General regarding State Records' administration of copyright on behalf of the Crown.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Advice** for records relating to requests to use State archives where the Crown copyright issues are referred to the Attorney General or Crown Solicitor because of their complexity or significance.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Litigation** for records relating to compliance with subpoenas and discovery orders.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Reporting** for records relating to routine reporting on access services.

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## 2.0.0 ARCHIVES CONTROL

The function of managing the transfer of records into the control and custody of State Records. Includes maintaining location control of the archives, planning storage requirements, stocktaking, archival loans, deaccessioning and the transportation of State archives.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - ACQUISITION, DISPOSAL & CONTROL** for records relating to the transfer of records into control and custody, including donations and estrays, the description of the content and context of State archives, the permanent transfer of archives to another organisation, and the deaccessioning of items from the collection..

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Advice** for records relating to advice provided to public offices about transferring control or custody of archives where the transfer does not occur.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Conservation & preservation** for records relating to general conservation treatments and preservation monitoring other than where archives are treated prior to loan.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Inventory, Movement & Storage** for records relating to collection locations, movements and stocktaking.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Loans** for records relating to loans of State archives, including temporary retrieval of archival records by owner agencies.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Planning, policies & procedures** for records relating to the development and implementation of archives control plans, policies, procedures and standards e.g. Implementation plans.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Donations, sponsorships and fundraising** for records relating to donations of gifts, publications etc

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries concerning to the control of State archives.

See General Retention and Disposal Authority *Administrative records* **GOVERNING BODIES - Meetings** for records relating to advice provided to the Board about transferring control and custody of archives.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Security** for records relating to security arrangements for State archives.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Reporting** for records relating to periodic reports on activities of business units.

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### 3.0.0 ARCHIVES PRESERVATION

The function of managing the preservation of State archives. Includes repository management, environmental control, preventative conservation, conservation treatment, preservation copying, disaster management and the provision of advice to public offices.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Advice** for records relating to the provision of advice on preservation.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Conservation & preservation** for records relating to managing the preservation of the State archives, including environmental controls, and the the reformatting of State archives for preservation purposes.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Planning, policies & procedures** for records relating to the development and issue of archives preservation policies and procedures.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Inventory, Movement & Storage** for records relating to stocktaking.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to contracting out of archives preservation or preservation work.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT** for records relating to the acquisition, design, construction and disposal of specialised premises for records and archives storage.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Planning** for records relating to planning for the preservation of State archives.

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### 4.0.0 BOARD

See General Retention and Disposal Authority *Administrative records* **GOVERNING BODIES** for records relating to the Board.

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### 5.0.0 DISTRIBUTED ARCHIVES

The function of managing State archives that are held, or are likely to be held, outside the custody of State Records under a distributed management agreement. Includes the transfer of custody of records.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Advice** for records relating to advice about transferring control of records under a distributed management agreement.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Agreements** for records relating to the management of joint ventures regarding distributed archives.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Planning, policies & procedures** for records relating to the implementation of distributed archives plans, policies and procedures.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **EVENT & PUBLIC PROGRAM MANAGEMENT - Events and public programs** for records relating to the management of grant funding and distribution of grants to regional repositories or other organisations/bodies e.g. Archives in the Bush funding.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries about distributed management of State archives.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Liaison** for records relating to consulting with public offices or the community or the recordkeeping profession on distributed management practices, needs or concerns.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Reporting** for records relating to reports on distributed archives activities.

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### 6.0.0 ESTRAYS

The function of identifying, inspecting, transferring, appraising and managing possible estrays.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT** for records relating to the management of estrays.

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*GUIDANCE- Consultation*

## 7.0.0 GUIDANCE

The function of providing advice to public offices on any aspect of their recordkeeping. Includes the development of guidance and tools.

See **REGULATION** for records relating to the development and issue of regulatory instruments such as disposal authorities or standards.

### 7.1.0 Advice

The activity of advising public offices on all aspects of the management of records under their control.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COMMERCIAL ACTIVITIES** for records relating to consultancy work undertaken on a commercial basis.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Advice** for records relating to the provision of advice to public offices.

### 7.2.0 Consultation

The activity of consulting with public offices or the community or the recordkeeping profession on guidance practices, needs or concerns.

7.2.1	Records relating to consultation on the development of tools, products and guidance.	Retain minimum of 10 years after product superseded or withdrawn, then destroy
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### 7.3.0 Distribution

The activity of distributing guidance products and tools.

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Distribution** for records relating to the distribution of published guidance and tools.

### 7.4.0 Drafting

The activity of preparing drafts of guidelines.

See **GUIDANCE - Products** for records relating to the drafting of guidance products or tools.

7.4.1	Records relating to drafting of guidance products or tools.	Retain minimum of 10 years after superseded or withdrawn, then destroy
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### 7.5.0 Endorsement

The activity of endorsing external guidance and tools for reference/use in the NSW public sector.



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*GUIDANCE- Endorsement*

7.5.1	Records relating to the endorsement of externally produced guidance and tools for use in the NSW public sector. Includes copy of publication or product endorsed.	Retain minimum of 10 years after endorsement of the product is superseded or withdrawn, then destroy
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### 7.6.0 Enquiries

The activity of handling general enquiries about State Records' guidance products and services.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries about guidance products and services.

### 7.7.0 Evaluation

The activity of evaluating the suitability of equipment, systems or services for their use in guidance.

See **GUIDANCE - Products** for records relating to the evaluation of products.

7.7.1	Records relating to evaluation of external guidance products and tools.	Retain minimum of 10 years after endorsement of the product is superseded or withdrawn, or 5 year after last action if product not proceeded with, then destroy
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### 7.8.0 Joint Ventures

The activity of managing a joint operation between State Records and another party (where there is a contract, joint contribution of funds and/or time) relating to the provision of guidance.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to joint ventures with other organisations to develop guidance.

### 7.9.0 Liaison

The activity of maintaining regular contact with non government organisations regarding recordkeeping guidance in government.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Liaison** for records relating to liaison with non-government organisations or groups on guidance activities, products and tools.

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*GUIDANCE- Licensing*

### 7.10.0 Licensing

The activity of licensing organisations or individuals to use the organisation's guidance products and tools.

7.10.1	Records relating to the development of types of licence agreements. Includes types of licence agreements for Keyword AAA (KWAAA), Keyword for Councils (KFC) and other products.	Retain minimum of 7 years after licence type is superseded, then destroy
7.10.2	Records of individual licensing arrangements for the use of products. Includes licensing arrangements for products such as the Thesaurus of General Administrative Terms (GADM), Local Government Thesaurus (LOGOV), Keyword AAA, Keyword for Councils and whole of government arrangements.	Retain minimum of 7 years after superseded or terminated, then destroy

### 7.11.0 Planning

The activity of planning guidance services.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Planning** for records relating to planning guidance services.

### 7.12.0 Policy

The activity of developing and issuing policies relating to guidance services.

7.12.1	Records relating to the development and issue of policies on licensing, distribution, provision and use of guidance and products, including Keyword and thesaurus products. Includes final versions of policies.	Required as State archives
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### 7.13.0 Procedures

The activity of developing and issuing procedures relating to guidance services.

7.13.1	Records relating to the development and issue of procedures on licensing, distribution, provision and use of guidance and products, including Keyword and thesaurus products. Includes final versions of procedures.	Retain minimum of 10 years after procedure superseded or withdrawn, then destroy
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### 7.14.0 Products

The activity of producing guidance products and tools. Includes developing, managing, and promoting products.

7.14.1	Final versions of issued guidance products, including licensed products but not including software loadable versions of retention and disposal authorities or	Required as State archives
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### GUIDANCE- Products

	licensed products..	
7.14.2	Records relating to developing and producing guidance products and tools including licensed products e.g. KWAAA and KFC, software versions of general retention and disposal authorities, leaflets e.g. 'What have records got to do with me?'	Retain minimum of 10 years after superseded or withdrawn, then destroy
7.14.3	Final versions of software loadable versions of retention and disposal authorities or licensed products.	Retain minimum of 10 years after software version is superseded or withdrawn, then destroy

### 7.15.0 Reporting

The activity of preparing reports on guidance services for internal or external audiences.

See General Retention and Disposal Authority *Administrative records* **GOVERNING BODIES** for records relating to reporting to the Board.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Reporting** for records relating to reporting on guidance services.

### 7.16.0 Research

The activity of conducting research into guidance tools and products.

7.16.1	Records of research to assist in the development of recordkeeping guidance products and tools.	Retain until reference use ceases, then destroy
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### 7.17.0 Reviewing

The activity of reviewing guidance products, processes, procedures, standards and systems.

See **GUIDANCE - Products** for records relating to the review of guidance.

7.17.1	Records relating to the review of guidance, tools and products.	Retain minimum of 10 years after product superseded or review completed, then destroy
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# Government recordkeeping and archives management

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*GUIDANCE- Reviewing*

## 8.0.0 INTELLECTUAL CONTROL

The function of establishing control over the informational content of archives by ascertaining and documenting their provenance, and from the processes of arrangement and description. Includes planning, developing, implementing, organising, maintaining, and preparing procedures for archives documentation systems e.g. Business Operating System (BOS) Intellectual Control, Archives Online Regional Network (ACORN) and the demonstration database and compliance with descriptive standards set by professional associations, nationally and internationally. Includes the development of State Records' products such as guides and indexes including those produced by State Records' volunteers.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Acquisition, disposal & control** for records relating to arrangement and description of archives, including intellectual control products.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Planning, policies & procedures** for records relating to consulting with public offices or the community in the development of intellectual control systems, including procedures, and the implementation of intellectual control plans, policies, procedures or standards e.g. series system implementation, and planning of intellectual control systems and practices, and development of policies and procedures on intellectual control systems and practices.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COMMERCIAL ACTIVITIES** for records relating to licensing of external parties to use the organisation's control systems and products.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Liaison** for records relating to consultation undertaken in the process of developing guides and indexes, and liaison with external organisations regarding intellectual control systems and practices.

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Distribution** for records relating to the distribution of guides and indexes.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to joint ventures that are concerned with developing intellectual control systems or products.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Reporting** for records relating to reporting on intellectual control projects and activities.

See General Retention and Disposal Authority *Administrative records* **TENDERING** for records relating to the evaluation of tenders for intellectual control products.

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*GUIDANCE- Reviewing*

### 9.0.0 PUBLIC PROGRAMS

The function of developing and delivering a program of activities aimed at raising public awareness and understanding of the State archives collection and its preservation. Includes talks and tours, workshops, seminars, educational programs, exhibitions and open days.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **EVENT & PUBLIC PROGRAM MANAGEMENT - Events and public programs** for records relating to planning and mounting of exhibitions and outreach programs.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Customer service** for records relating to bookings for public program activities, whether or not payment is required.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for records relating to exhibitions held to raise or maintain the organisation's public profile, to fundraise, or to advertise a particular service, product, program or event.

# Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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REGULATION- Access Directions

## 10.0.0 REGULATION

The function of regulating the compliance of public offices with recordkeeping legislation. Includes the management of access directions, special access, disposal regulation, the development and implementation of standards, codes of best practice and regulatory aspects of custody and control of State records.

See **GUIDANCE** for records relating to providing advice on any aspect of recordkeeping in Government.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Advice** for records relating to advice or information provided regarding the identification, management and/or recovery of estrays.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Acquisition, disposal & control** for records relating to the transfer of records into the control or custody of the organisation.

### 10.1.0 Access Directions

The activity of working with public offices to set and manage directions that open or close records to public access, including the authorising of early access to records that are less than 30 years old.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Access and use** for records relating to providing access to State archives closed to public access when authorised by a public office.

10.1.1	Records relating to setting and managing directions and authorisations made by public offices for public access to records.	Required as State archives
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### 10.2.0 Advice

The activity of advising public offices about the application of regulatory requirements under recordkeeping legislation.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Advice** for records relating to advice on the application of legislation.

### 10.3.0 Agreements

The activity associated with the establishment, maintenance, review and negotiation of agreements.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Agreements** for records relating to agreements made under the terms of the State Records Act.

### 10.4.0 Compliance Monitoring

The activity of monitoring compliance by public offices with records management requirements. Includes monitoring activities such as surveying or auditing. Also includes documenting and assessing sources, reports and allegations of suspected non-compliance to determine whether investigation and follow up may be required.

## Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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### REGULATION- Compliance Monitoring

10.4.1	Records relating to record management surveys and audits. Includes final versions of survey instruments and audit programs and final reports of results. Note: includes assessments.	Required as State archives
10.4.2	Records of survey responses from public offices and analysis of data. Note: includes assessments.	Retain minimum of 20 years after action completed, then destroy
10.4.3	Records relating to monitoring compliance of an individual public office with State Records Act and standards and codes of best practice issued under the Act.	Retain minimum of 20 years after action completed, then destroy
10.4.4	Records relating to analysis of published reports (e.g. ICAC, Audit Office, Ombudsman) to identify recordkeeping issues for further investigation, and documentation of unsubstantiated allegations.	Retain minimum of 5 years after action completed, then destroy

### 10.5.0 Consultation

The activity of consulting with public offices or the community or the recordkeeping profession on regulation practices, needs or concerns and the development of regulatory products eg standards, policies.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to arrangements for undertaking consultation.

10.5.1	Records relating to consultation undertaken in developing retention and disposal authorities and regulatory instruments eg standards, codes best practice.	Retain minimum of 10 years after superseded or withdrawn, then destroy
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### 10.6.0 Disposal Authorisation

The activity of authorising and regulating the disposal of public records across the NSW Public Sector.

10.6.1	Records relating to authorising disposal for specific public offices or authorising general retention and disposal authorities. Includes the approval of retention and disposal authorities by the Board or its predecessors and the issue of disposal authorities.	Required as State archives
10.6.2	Register of Disposal Authorities and associated Index. Includes Disposal Recommendations.	Required as State archives

## Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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REGULATION- Distribution

### 10.7.0 Distribution

The activity of disseminating regulatory instruments and monitoring tools.

10.7.1	Records relating to the distribution of regulatory instruments, eg standards and general retention and disposal authorities, and monitoring tools, eg surveys.	Retain minimum of 5 years after action completed, then destroy
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### 10.8.0 Drafting

The activity of preparing preliminary drafts of regulatory instruments.

10.8.1	Records relating to the drafting of regulatory instruments such as standards, codes of best practice, general retention and disposal authorities, surveys, generic access directions and compliance-oriented procedures and generic distributed management agreements.	Retain minimum of 10 years after instrument is superseded or withdrawn, then destroy
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### 10.9.0 Enquiries

The activity of handling requests for information about the regulatory process.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries about State Records' role in regulating compliance with the State Records Act.

### 10.10.0 Evaluation

The activity of evaluating the suitability of external products for their use in regulating the compliance of NSW public offices.

10.10.1	Records relating to the evaluation of external products eg standards for use in NSW where the standard is endorsed for use.	Retain minimum of 10 years after product evaluated is superseded or withdrawn, then destroy
10.10.2	Records relating to the evaluation of products not selected for use.	Retain minimum of 5 years after action completed, then destroy

### 10.11.0 Implementation

The activity of implementing regulatory instruments eg standards where the implementation does not involve an activity elsewhere defined.



## Government recordkeeping and archives management

Authority number: FA225

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No.	Description of records	Disposal action
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### REGULATION- Implementation

10.11.1	Records relating to the implementation of regulatory instruments eg implementation plans regarding promulgation of the instrument.	Retain minimum of 10 years after action completed, then destroy
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### 10.12.0 Investigations

The activity of investigating allegations concerning suspected non-compliance with the State Records Act 1998, an agreement struck under the Act, an approved disposal authority, an access direction or a whole of government standard issued by the organisation.

See **REGULATION - Compliance Monitoring** for records relating to analysis of reports of suspected non-compliance and for monitoring compliance by public offices with records management requirements.

10.12.1	Records relating to the investigation of public offices regarding specific cases of non-compliance or suspected non-compliance with the Act, with agreements struck under the Act or with issued standards where the advice relates to a serious matter that has been reported to the Board.	Required as State archives
10.12.2	Records relating to the investigation of public offices regarding specific cases of non-compliance or suspected non-compliance with the Act, with agreements struck under the Act or with issued standards that do not result in a report to the Board.	Retain minimum of 20 years after action completed, then destroy

### 10.13.0 Joint ventures

The activity of managing a joint operation between the organisation and another party (where there is a contract, joint contribution of funds and/or time) relating to regulation of compliance of public offices.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to joint ventures for the regulation of compliance of public offices with the State Records Act.

### 10.14.0 Liaison

The activity of maintaining regular contact with external organisations relating to the regulation of compliance of public offices with the State Records Act or Archives Act.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Liaison** for records relating to liaison with external organisations eg other archive institutions regarding the compliance of public offices with legislation and associated requirements.

### 10.15.0 Planning

The activity of planning regulatory programs, activities and instruments. Includes planning for monitoring tools and the development of standards and retention and disposal authorities.

## Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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### REGULATION- Policy

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Planning** for records relating to planning of regulatory programs, activities and instruments.

#### 10.16.0 Policy

The activity of developing and issuing policies relating to regulation of public offices.

10.16.1	Records relating to the development and issue of internal policies on the regulation of compliance with legislation. Includes final versions of policies.	Required as State archives
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#### 10.17.0 Policy Approval

The activity of approving government-wide policies and procedures for recordkeeping developed by the organisation for application by public offices.

10.17.1	Records relating to the approval of government-wide recordkeeping policies that apply to public offices. Includes final versions of policy.	Required as State archives
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#### 10.18.0 Procedures

The activity of developing and issuing internal procedures relating to the regulation of public offices.

10.18.1	Records relating to the development and issue of internal procedures relating to the regulation of public offices. Includes final versions of procedures.	Retain minimum of 10 years after superseded or withdrawn, then destroy
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#### 10.19.0 Reporting

The activity of preparing reports on regulation for internal or external audiences.

10.19.1	Records relating to reporting on regulatory activities. Includes final reports other than those submitted as part of the Board process.	Retain minimum of 10 years after action completed, then destroy
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#### 10.20.0 Research

The activity of conducting research to support the development of regulation.

10.20.1	Final reports of survey research into records management practices.	Required as State archives
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## Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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### REGULATION- Research

10.20.2	Records relating to research to inform the development of regulatory programs and instruments. Includes responses to surveys of records management practices and background research supporting the development of standards and disposal authorities.	Retain until reference use ceases, then destroy
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### 10.21.0 Reviewing

The activity of reviewing regulation processes, policies, procedures, and instruments. Includes recommendations and advice resulting from these activities.

10.21.1	Records relating to reviewing regulatory processes and instruments, including monitoring frameworks.	Retain minimum of 10 years after review completed, then destroy
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### 10.22.0 Special access

The activity of managing access to State archives under section 58 of the State Records Act, 1998. Access may be given to a particular person, persons or class of persons.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COLLECTIONS MANAGEMENT - Access and use** for records relating to management of special access requests.

### 10.23.0 Standards approval

The activity of approving standards and codes of best practice in all areas of records management for NSW public offices under the State Records Act, 1998.

10.23.1	Records relating to the submission of standards, codes to the Board for approval. Includes final versions of standards as issued and codes of best practice, tables of commentary, and gazettal of standards and codes of best practice.	Required as State archives
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### 10.24.0 Still In Use Determination

The activity of assisting public offices to make determinations that records are still in use for official purposes.

10.24.1	Records relating to the preparation of 'still in use determinations' for the records of specific public offices.	Retain minimum of 10 years after determination ceases to be in place, then destroy
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# Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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*STORAGE SERVICES- Advice*

## 11.0.0 STORAGE SERVICES

The function of providing a record storage, retrieval and destruction service on a commercial basis. Includes activities associated with the storage of records and intellectual control mechanisms. Also includes the retrieval and transportation of records requested by clients.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for records relating to marketing of storage services.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to contracting-out of storage services.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT** for records relating to the acquisition, design, and construction of specialised premises relating to Storage services.

### 11.1.0 Advice

The activity of providing advice to external parties about records storage and associated services.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Advice** for records relating to advice provided to public offices regarding management of non-current records, including those stored by the Government Records Repository (GRR).

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS – Enquiries** for records relating to requests for and the handling of enquiries regarding routine information about the organisation and its services from customers.

11.1.1	Records relating to the provision of advice to external parties about records storage and associated services provided by the organisation where the advice relates to a serious matter that has been reported to the Board.	Required as State archives
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### 11.2.0 Arrangement and Description

The activity of describing non-current records and their context to enable their proper management and facilitate their location and retrieval.

11.2.1	Records relating to series information relating to record holdings and administrative histories.	Retain minimum of 20 years after records ceased to be in custody, then destroy
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### 11.3.0 Consultancy

The activity of undertaking records management consultancy services for public offices such as boxing and listing of records, preparation of disposal authorities, records culling.

## Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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### *STORAGE SERVICES- Destruction services*

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COMMERCIAL ACTIVITIES** for records relating to the administering and managing of commercial ventures and services.

#### **11.4.0 Destruction services**

The activity of providing a secure records destruction service to client agencies.

11.4.1	Records relating to the destruction of records under instructions from client agencies. Includes client authorisation for the organisation to destroy records held in storage and records documenting boxes and their contents destroyed by the organisation.	Retain minimum of 20 years after destruction of records, then destroy
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#### **11.5.0 Environmental Control**

The activity of monitoring and maintaining appropriate environments for the storage of records.

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Conservation** for records relating to the monitoring of environmental conditions in archival storage areas.

#### **11.6.0 Location Control**

The activity of physically tracking the location of records within repositories and recall/relocation to a client.

11.6.1	Records relating to current and previous locations of client records in storage.	Retain until administrative use ceases, then destroy
11.6.2	Records relating to routine administration of location tracking system eg Hole Reports, shelf audits.	Retain minimum of 1 year after action completed, then destroy
11.6.3	Records relating to the receipt of records into storage that are delivered by clients.	Retain minimum of 1 year after action completed, then destroy

#### **11.7.0 Planning**

The activity of planning records storage, retrieval and destruction services.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Planning** for records relating to commercial business planning and operational planning for the provision of storage services.

#### **11.8.0 Policy**

The activity of developing and issuing policies relating to records storage services.

## Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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### *STORAGE SERVICES- Records Transfer*

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT – Policy** for records relating to developing and issuing policies relating to records storage services.

#### **11.9.0 Procedures**

The activity of developing and issuing procedures relating to storage services.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT – Procedures** for records relating to developing and issuing procedures relating to storage services.

#### **11.10.0 Quotations**

The activity of quoting for the provision of storage, transport, retrieval, destruction and consultancy services to potential and existing clients.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COMMERCIAL ACTIVITIES** for records relating to quoting for the provision of storage, transport, retrieval, destruction and consultancy services to potential and existing clients.

#### **11.11.0 Records Transfer**

The activity of managing the temporary transfer of custody of records from public offices to the organisation.

11.11.1	Records relating to accession of records into storage. Includes: <ul style="list-style-type: none"><li>• application to store records</li><li>• lists of boxes/ box contents provided by client</li><li>• Transaction Register</li><li>• accession records</li><li>• Accession Register.</li></ul>	Retain minimum of 20 years after records cease to be in custody, then destroy
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#### **11.12.0 Reporting**

The activity of preparing reports on storage services for internal or external audiences.

See General Retention and Disposal Authority *Administrative Records* **STRATEGIC MANAGEMENT – Reporting** for records relating to reporting on the findings of the results of examinations or investigation.

See General Retention and Disposal Authority *Administrative records* **GOVERNING BODIES** for records relating to reports submitted to the Board.

#### **11.13.0 Research**

The activity of investigating or enquiring into records storage, retrieval or destruction services.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT – Evaluation** for records relating to the process of determining the suitability of potential or existing programs, services or systems in relation to meeting the needs of the given situation.

## Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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*STORAGE SERVICES- Retrieval*

### 11.14.0 Retrieval

The activity of processing requests by public offices for the temporary or permanent return of records held in commercial storage. Includes refileing of records that were temporarily returned to the client.

11.14.1	Records of client retrieval and filing requests.	Retain minimum of 20 years after action completed, then destroy
11.14.2	Records relating to processing of client retrievals and filing.	Retain minimum of 20 years after records cease to be in custody, then destroy
11.14.3	Records relating to clients requests for records to be returned permanently.	Retain minimum of 20 years after records cease to be in custody, then destroy
11.14.4	Records relating to requests for retrieval of records from third parties e.g. courts, public.	Retain minimum of 20 years after action completed, then destroy

### 11.15.0 Service fees

The activity of managing accounts relating to fees charged for the storage, retrieval and destruction of records, and consultancy services.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Accounting** for records relating to purchase orders/service requests, copies of invoices.

### 11.16.0 Space Administration

The activity of assessing and planning records storage needs on a strategic level. Includes rationalising type and quantity of storage available under existing and future budget considerations, and in relation to estimations of the growth of the records collection in physical custody of the organisation.

11.16.1	Records relating to the strategic assessment and planning of records storage needs.	Retain minimum of 5 years after assessment or plan is superseded or withdrawn, then destroy
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## Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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*STORAGE SERVICES- Transportation*

### **11.17.0 Transportation**

The activity of managing the safe transportation of records.

11.17.1	Records relating to the delivery and pick up of temporary records to and from clients by drivers.	Retain minimum of 1 year after action completed, then destroy
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## Government recordkeeping and archives management

Authority number: FA225

Dates of coverage: Open

No.	Description of records	Disposal action
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*TRAINING SERVICES- Course development & delivery*

### 12.0.0 TRAINING SERVICES

The function of managing and providing training courses in records/archives management best practice. Includes the development, revision and delivery of courses, including the management of partnerships with training developers or providers. Includes training to staff members of regional archive repositories in the management of archives, intellectual control and preservation.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS** for records relating to briefings provided on records/archives management, including records managers forums.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for records relating to marketing of training courses.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to contracting out development or delivery of training.

#### 12.1.0 Arrangements

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to arrangements for training courses and placements.

#### 12.2.0 Cases

The activity of managing cases of development and delivery of customised training, sometimes for a fee.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **COMMERCIAL ACTIVITIES** for records relating to the provision of training under commercial arrangements to organisations outside of NSW Government.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to contracting - out the development and delivery of training.

#### 12.3.0 Course development & delivery

The activity of planning, developing and presenting training courses. Includes developing and compiling session plans, outlines, objectives, outcomes, timetables, lecture notes, and the preparation of course books.

12.3.1	Records relating to delivered training courses. Includes final approved versions of training materials.	Retain minimum of 10 years after superseded, then destroy
12.3.2	Records relating to the planning, development and revision of specific training courses.	Retain minimum of 1 year after action completed, then destroy

#### 12.4.0 Enquiries

The activity of handling general requests for information about training services.

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*TRAINING SERVICES- Course development & delivery*

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries about training program and services.

### 12.5.0 Enrolment

The activity of taking participant bookings for training courses and placements.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Customer service** for records relating to enrolments in courses and evaluation of courses

### 12.6.0 Evaluation

The activity of evaluating the suitability of external products or services for their use in training.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Evaluation** for records relating the process of determining the suitability of potential or existing programs, services or systems in relation to meeting the needs of the given situation, including ongoing monitoring.

### 12.7.0 Joint ventures

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to managing joint development or delivery of records and archives management training.

### 12.8.0 Planning

The activity of planning records and archives management training.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **EVENT & PUBLIC PROGRAM MANAGEMENT - Events and public programs** 3.3.4 for records relating to planning the overall training program or services.

### 12.9.0 Policy

The activity of developing and issuing policy on records and archives management training.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **EVENT & PUBLIC PROGRAM MANAGEMENT - Events and public programs** 3.3.6 for records relating to the development of policies for the management and delivery of training.

### 12.10.0 Procedures

The activity of developing and issuing procedures relating to archives and records management training.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **EVENT & PUBLIC PROGRAM MANAGEMENT - Events and public programs** 3.3.6 for records relating to the development of training procedures.

### 12.11.0 Professional Placement

The activity of developing and delivering training in records and archives management for staff from regional repositories.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **EVENT & PUBLIC PROGRAM MANAGEMENT - Events and public**

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Dates of coverage: Open

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*TRAINING SERVICES- Course development & delivery*

**programs** 3.3.4 for records relating to training of staff from regional repositories and public offices about managing custody of State archives.

### 12.12.0 Reporting

The activity of preparing reports on training services activities for internal or external audiences.

See Functional Retention and Disposal Authority *Cultural, recreational and sporting institutions* **EVENT & PUBLIC PROGRAM MANAGEMENT - Events and public programs** 3.3.4 for records relating to reporting on training services.

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### LEGACY RECORDS

#### 13.0.0 LEGACY RECORDS

Correspondence files predating 1965 and containing records relating to the disposal, transfer and management of State archives. The earliest correspondence was received by the State Library and Mitchell Library and was transferred to Archives Office.

13.1.1	Subject and Departmental correspondence files predating 1965. Subject files include internal management, archives management and policy matters. The Departmental files contain correspondence with Government departments about records disposal and records transfer matters.	Required as State archives
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