

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA234**

This authority covers records documenting the function of rural issues management

Issued to Department of Lands

This functional retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Records Authority of New South Wales in accordance with section 21(3) of the Act.



# State Records Authority of New South Wales

## Functional Retention and Disposal Authority

**Authority no** FA234

**SR file no** 04/0644

**Scope**

This functional retention and disposal authority covers records documenting the function of *rural issues management*, from 1996 onwards.

**Public office**

Department of Lands

**Approval date**

	18/04/2007
David Roberts	Date
Director	
State Records Authority of New South Wales	

## **About 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 to the agency and its stakeholders 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 Retention and Disposal Authority – Imaged records*). 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 arrangements for records identified as State archives (ie with a Disposal action of 'Required as State archives'). The directions in this column are recommendations only and are *not* mandatory. The type of information may include directions on how long records should be retained in the office and how long they should be kept in off-site, off-line or secondary storage prior to their transfer as State archives. A recommendation to retain records in the agency for more than 25 years does not imply that a *still in use determination* (see Part 4, Section 28 of the State Records Act 1998) or that a distributed management agreement (see Part 4, Section 30 of the State Records Act 1998) has been approved by State Records. Advice on arrangements for managing and transferring State archives can be obtained from State Records.

## **Administrative change**

This functional retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable 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 the public office that inherits the new function should contact State Records to discuss use of any existing functional retention and disposal authority issued to a predecessor organisation.

## **Amendment and review of this authority**

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

State Records recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Records may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements or procedures which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Records and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments will be made and authorised.

### Contact Information

State Records  
PO Box 516 Kingswood NSW 2747  
Telephone: (02) 8247 8627  
Facsimile: (02) 8247 8626  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

**Functional Retention and Disposal Authority**  
**Department of Lands - Office of Rural Affairs and the Regional Consultative Communities Council**

Authority no: FA234

Dates of coverage: 1996+

List of Functions and Activities covered
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Function	Activity	Reference
RURAL ISSUES MANAGEMENT		1.0.0
	Addresses (presentations)	1.1.0
	Agreements	1.2.0
	Enquiries	1.3.0
	Evaluation	1.4.0
	Joint Ventures	1.5.0
	Liaison	1.6.0
	Meetings	1.7.0
	Planning	1.8.0
	Policy	1.9.0
	Procedures	1.10.0
	Project Management	1.11.0
	Reporting	1.12.0
	Reviewing	1.13.0

**Functional Retention and Disposal Authority**  
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<b>Function</b>	<b>Activity</b>	<b>Reference</b>
PUBLICATION		2.0.0
	Production	2.1.0

**Functional Retention and Disposal Authority**  
**Department of Lands - Office of Rural Affairs and the Regional Consultative Communities Council**

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No	Function/Activity	Description	Disposal Action	Custody*
1.0.0	<b>RURAL ISSUES MANAGEMENT</b>	<p>The function of supporting people and communities within country NSW to promote advances in social, economic, cultural and environmental development (which may cross multiple agencies). Includes the formal community consultative process, facilitating improved service delivery, issue identification, advice and initiative facilitation and providing formal commentary on rural impacts of any proposed government legislation.</p> <p>For records relating to arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services (sometimes referred to as outsourcing) see <i>General Retention and Disposal Authority – Administrative records</i>: CONTRACTING OUT.</p> <p>For records relating to activities involved in receiving and assessing tenders see <i>General Retention and Disposal Authority – Administrative records</i>: TENDERING.</p> <p>For records relating to committees other than the Regional Communities Consultative Council (RCCC) see <i>General Retention and Disposal Authority – Administrative records</i>: COMMITTEES. For records of RCCC meetings see <b>RURAL ISSUES MANAGEMENT – Meetings</b>.</p>		
1.1.0	<b>Addresses (presentations)</b>	<p>The activity of giving addresses for professional, community relations or sales purposes. Includes speeches and multi-media presentations.</p> <p>For records relating to arrangements to participate in or</p>		

\* SEE *HOW TO USE THE FUNCTIONAL RETENTION AND DISPOSAL AUTHORITY*

## Department of Lands - Office of Rural Affairs and the Regional Consultative Communities Council

Authority no: FA234

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No	Function/Activity	Description	Disposal Action	Custody*
		attend conferences See <i>General Retention and Disposal Authority – Administrative records.</i>		
1.1.1		Papers presented by representatives of the Council or the Office of Rural Affairs (ORA) at conferences, seminars, events etc relating to rural issues and the activities or initiatives of the Council, Office or Government to address them.	<b>Required as State archives</b>	Transfer as State archives 5 years after action completed
1.2.0	<b>Agreements</b>	The processes associated with the establishment, maintenance, review and negotiation of agreements.  For records relating to agreements involving the management of joint operations see <b>RURAL ISSUES MANAGEMENT – Joint Ventures</b>		
1.2.1		Records documenting the establishment, maintenance, review and negotiation of agreements or memorandums of understanding with Government and non-Government entities for programs or initiatives relating to the delivery or provision of services in rural areas.  Includes consultant agreements with local councils or the Heritage Office, agreements with Rural Fire Service, MOUs with Central West Rural Financial Counselling Service or federally funded Community Technology Centres.	Retain minimum of 10 years after expiry or termination of agreement, then destroy	
1.3.0	<b>Enquiries</b>	The activities associated with the handling of requests for information or advice by the general public or another organisation.  For records relating to Ministerials see the <i>General Retention</i>		

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## Department of Lands - Office of Rural Affairs and the Regional Consultative Communities Council

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No	Function/Activity	Description	Disposal Action	Custody*
		<p><i>and Disposal Authority – Administrative records:</i> GOVERNMENT RELATIONS.</p> <p>For records relating to general enquiries for information about the organisation and its services see the <i>General Retention and Disposal Authority – Administrative records:</i> COMMUNITY RELATIONS.</p> <p>For records relating to formal liaison undertaken by ORA/RCCC see <b>RURAL ISSUES MANAGEMENT – Liaison.</b></p>		
1.3.1		Records relating to the receipt and handling of enquiries from members of the public, stakeholders etc that are referred to another organisation for response or involve active follow up beyond the provision of a standard or routine response.	Retain minimum of 6 years after action completed, then destroy	
1.4.0	<b>Evaluation</b>	<p>The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.</p> <p>For final reports and recommendations relating to the evaluation and monitoring of programs that proceed see <b>RURAL ISSUES MANAGEMENT – Project management.</b></p> <p>For records relating to reviewing policies or programs of other agencies see <b>RURAL ISSUES MANAGEMENT – Reviewing.</b></p>		
1.4.1		Final reports and recommendations relating to the evaluation of proposed programs and services that are not	Retain minimum of 10 years after last	

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## Department of Lands - Office of Rural Affairs and the Regional Consultative Communities Council

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No	Function/Activity	Description	Disposal Action	Custody*
		proceeded with.	action, then destroy	
1.4.2		Working papers relating to the conduct of the evaluation process and supporting the production of final reports and recommendations regarding existing or proposed programs and services.	Retain minimum of 5 years after last action, then destroy	
1.5.0	<b>Joint Ventures</b>	The activities involved in managing joint operations between departments, either within the organisation or with other organisations, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations.		
1.5.1		Records relating to joint ventures aimed at addressing or improving rural services provision where the Office is the lead NSW Government member of the joint venture.  Includes joint venture agreements, progress reports, reviews of arrangements and records of formal consultation or discussions dealing with substantive issues or business concerning the management of the venture.	<b>Required as State archives</b>	Transfer as State archives 10 years after last action completed
1.5.2		Records relating to joint venture projects where the Office is involved but is not the lead NSW Government member of the joint venture.  Includes joint venture agreements, progress reports, reviews of arrangements and records of formal consultation or discussions dealing with substantive issues or business concerning the management of the venture.	Retain minimum of 6 years after action completed or 6 years after expiry of contract or agreement, whichever is the longer, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
1.5.3		Records relating to joint venture proposals that do not proceed.	Retain minimum of 3 years after last action, then destroy	
1.6.0	<b>Liaison</b>	<p>The activities associated with maintaining general contact between the organisation and other government agencies or non-government groups such as professional associations, professionals in related fields, private sector organisations, and community groups.</p> <p>Includes sharing of informal advice and discussions, membership of professional associations, and collaborating on projects that are not joint ventures.</p> <p>For records of formal consultation/contact/discussions dealing with substantive issues or business processes see <b>RURAL ISSUES MANAGEMENT – Meetings, Project management and Joint Ventures</b>.</p>		
1.6.1		Records relating to liaison activities undertaken with other Government bodies, authorities, emergency services, customer liaison groups, and other stakeholders to facilitate or promote initiatives or activities of the Office or the Council.	Retain minimum of 6 years after last action, then destroy	
1.7.0	<b>Meetings</b>	The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Also includes meetings held with government and non-government agencies. Includes arrangements, agenda, taking of minutes etc.		

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No	Function/Activity	Description	Disposal Action	Custody*
		For records relating to the provision of advice to the Minister or other government organisations on rural issues and policy development see <b>RURAL ISSUES MANAGEMENT – Policy</b> .		
1.7.1		Records of meetings of the Regional Communities Consultative Council (RCCC).  Includes minutes, agenda, reports, submissions, and other meeting papers.	<b>Required as State archives</b>	Transfer as State archives 10 years after last action completed
1.7.2		Records of meetings where the Office is chair or secretariat or the subject matter covers policy or strategy relating to rural affairs. Includes master sets of minutes, agenda and related papers.	<b>Required as State archives</b>	Transfer as State archives 10 years after last action completed
1.7.3		Records of meetings dealing with routine operational matters. Includes master set of minutes and agenda and related papers.	Retain minimum of 10 years after last action, then destroy	
1.8.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.  For records relating to strategic, corporate, or business planning for the agency as a whole, see <i>General Retention and Disposal Authority – Administrative Records: STRATEGIC MANAGEMENT</i> .		
1.8.1		Approved strategic plans for rural issues management. Includes the approved version of the RCCC workplan.	Retain minimum of 10 years after plan superseded, then	

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No	Function/Activity	Description	Disposal Action	Custody*
			destroy	
1.8.2		Final versions of operational, business, or customer service delivery plans supporting rural issues management.	Retain minimum of 5 years after plan superseded, then destroy	
1.8.3		Records supporting the development of strategic and operational work or service delivery plans for rural issues management. Includes proposals, working papers, review drafts, comments etc.	Retain minimum of 5 years after last action, then destroy	
1.9.0	<b>Policy</b>	<p>The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.</p> <p>This includes input into the development of government policy and the provision of advice to government to ensure that rural issues are appropriately addressed at all levels within the NSW Government.</p> <p>For records relating to the development of the organisation's own operating policies or policies dealing with routine administrative matters see <i>General Retention and Disposal Authority – Administrative records</i>.</p> <p>For records relating to the development of policy guidelines for other agencies on addressing rural issues see <b>RURAL ISSUES MANAGEMENT – Procedures</b>.</p>		
1.9.1		Records relating to agency input into the development of rural policy and the provision of advice, submissions or	<b>Required as State archives</b>	Transfer as State archives 10 years

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No	Function/Activity	Description	Disposal Action	Custody*
		comments to the Premier, portfolio Minister or other government organisations on policy, legislation or government initiatives with implications for rural communities in NSW. Includes submissions, impact statements, final policy documents, working papers, reports or responses to requests for advice etc.		after last action completed
1.10.0	<b>Procedures</b>	<p>Standard methods of operating laid down by an organisation according to formulated policy.</p> <p>For internal guidelines/procedures dealing with routine administrative matters see <i>General Retention and Disposal Authority – Administrative Records</i>.</p> <p>For records relating to the design and production of manuals, guidelines for publication etc see <i>General Retention and Disposal Authority – Administrative Records: PUBLICATION</i>.</p>		
1.10.1		Master sets of manuals, guidelines, handbooks, instructions etc developed to assist other organisations to assess or address issues impacting on rural and regional communities.	<b>Required as State archives</b>	
1.10.2		Records relating to the development and drafting of the content of manuals, guidelines, handbooks and instructions. Includes working papers, research papers, draft versions, comments etc.	Retain minimum of 5 years after last action, then destroy	
1.11.0	<b>Project Management</b>	Activities associated with the management of projects to identify issues, gaps and opportunities and develop solutions that enhance service provision to the people and communities of country NSW.		

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No	Function/Activity	Description	Disposal Action	Custody*
		<p>For records relating to the development of policy statements or provision of advice to government on rural issues or initiatives see <b>RURAL ISSUES MANAGEMENT – Policy</b>.</p> <p>For final versions and records relating to content development of manuals, guidelines or instructions to assist policy development within other government organisations see <b>RURAL ISSUES MANAGEMENT – Procedures</b>.</p> <p>For records relating to projects involving the management of joint operations with other organisations See <b>RURAL ISSUES MANAGEMENT – Joint Ventures</b>.</p>		
1.11.1		Records relating to projects representing major new initiatives in rural and regional service provision. This may include projects involving the investigation of issues or the development of guidelines to assist rural service providers in dealing with particular issues impacting on rural communities.	<b>Required as State archives</b>	Transfer as State archives 20 years after last action completed
1.11.2		Records relating to projects that do not represent major new initiatives in rural and regional service provision.	Retain minimum of 20 years after finalisation of project, then destroy	
1.12.0	<b>Reporting</b>	The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements of findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and		

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No	Function/Activity	Description	Disposal Action	Custody*
		returns.		
1.12.1		Records relating to end of term reporting by the RCCC to the Minister.	<b>Required as State archives</b>	Transfer as State archives 10 years after completed
1.12.1		Periodic internal reports relating to operational matters.	Retain minimum of 6 years after last action, then destroy	
1.13.0	<b>Reviewing</b>	<p>The activities involved in reviewing policies or programs of other agencies.</p> <p>For records relating to end of term reporting by the RCCC to the Minister See <b>RURAL ISSUES MANAGEMENT – Reporting</b>.</p> <p>For final reports or recommendations relating to the monitoring or re-evaluation of the agency’s own projects or of projects under programs administered by the agency see <b>RURAL ISSUES MANAGEMENT – Project management</b>.</p> <p>For working papers relating to the evaluation, monitoring or re-evaluation of the agency’s own projects or projects under programs administered by the agency see <b>RURAL ISSUES MANAGEMENT – Evaluation</b>.</p>		
1.13.1		Records documenting reviews of programs and operations of other organisations with respect to rural impact or affect on the management of rural issues. Includes documents establishing the review, the final report and action plan.	Retain minimum of 10 years after last action, then destroy	

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No	Function/Activity	Description	Disposal Action	Custody*
1.13.2		Working papers relating to the conduct of reviews of other organisations programs and operations.	Retain minimum of 2 years after action completed, then destroy	
2.0.0	<b>PUBLICATION</b>	<p>The function of having works, irrespective of format, issued for sale or general distribution internally or to the public.</p> <p>for records relating to the development and final versions of manuals, guidelines or instructions see <b>RURAL ISSUES MANAGEMENT – Procedures</b>.</p> <p>For general information brochures, leaflets etc about the organisation and its services see the <i>General Retention and Disposal Authority – Administrative records: COMMUNITY RELATIONS</i>.</p> <p>For records relating to the design, production and distribution of published materials see <i>General Retention and Disposal Authority – Administrative records: PUBLICATION</i>.</p>		
2.1.0	<b>Production</b>	The process involved in producing material into an end result or output e.g. a product or publication.		
		Brochures and posters produced by the agency to provide information to regional and rural communities on how to access government or other services.	Retain minimum of 10 years after last action, then destroy	

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