
State Archives and Records Authority of New South Wales

Functional Retention and Disposal Authority: FA272

This authority covers records documenting the function of legal aid

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 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 FA272

SR file no 09/0327

Scope

This functional retention and disposal authority covers records documenting the function of legal aid.

Public office

Legal Aid Commission of New South Wales (Legal Aid NSW)

Approval date

Alan Ventress
Director, State Records Authority of New South Wales
22/12/2008

Geoff Hinchcliffe
Executive Director, State Archives and Records Authority of New South Wales
21/08/2017
(Amendment of entry 1.6.1, superseding of entries 1.6.2 to 1.6.11 and addition of entries 1.6.12 and 1.6.13)

About the Functional Retention and Disposal Authority

Purpose of the authority

The purpose of this functional 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 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. The State Archives and Records Authority of New South Wales ('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 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 functions is to identify and preserve records as State archives. These are records which document the authority and functions of Government, its decision-making processes and the implementation and outcomes of those decisions, including the nature of their influence and effect on communities and individual lives. Criteria for the identification of State archives are listed in *Building the Archives: Policy on records appraisal and the identification of State archives*. The Policy also explains the roles and responsibilities of State Records and of public offices in undertaking appraisal processes and disposal activities.

Implementing 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 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. Advice on sentencing can be obtained from State Archives and Records NSW. 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 also 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 Records 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 control 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, 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, 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 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 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 Records 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 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 Archives and 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
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Kingswood NSW 2747
Telephone: (02) 9673 1788
E-mail: govrec@records.nsw.gov.au

Functional Retention and Disposal Authority Legal Aid

Authority no: FA272

Dates of coverage: Open

List of Functions and Activities covered

Function	Activity	Reference
CLIENT LEGAL AID SERVICES		1.0.0
	Alternative dispute resolution	1.1.0
	Client assessment and referral	1.2.0
	Duty Solicitor services	1.3.0
	Information services	1.4.0
	Legal advice and assistance	1.5.0
	Legal representation	1.6.0
	Policy	1.7.0
	Procedures	1.8.0
	Reviewing	1.9.0
COMMUNITY LEGAL EDUCATION		2.0.0
	Community legal education sessions	2.1.0
	Evaluation	2.2.0
	Information services	2.3.0

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List of Functions and Activities covered

Function	Activity	Reference
	Planning	2.4.0
	Reviewing	2.5.0
	Training	2.6.0
GRANTS OF LEGAL AID		3.0.0
	Appeals (Decisions)	3.1.0
	Committees	3.2.0
	Enquiries	3.3.0
	Evaluation	3.4.0
	Legal aid applications	3.5.0
	Planning	3.6.0
	Policy	3.7.0
	Procedures	3.8.0
	Reciprocity	3.9.0
	Reviewing	3.10.0
LAW REFORM		4.0.0

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List of Functions and Activities covered

Function	Activity	Reference
	Policy	4.1.0
	Procedures	4.2.0
	Research	4.3.0
	Submissions	4.4.0
PRIVATE PRACTITIONERS MANAGEMENT		5.0.0
	Agreements	5.1.0
	Audit	5.2.0
	Committees	5.3.0
	Grievances	5.4.0
	Investigations	5.5.0
	Panels	5.6.0
	Planning	5.7.0
	Policy	5.8.0
	Procedures	5.9.0
	Standards	5.10.0

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List of Functions and Activities covered

Function	Activity	Reference
	Training	5.11.0
PROFESSIONAL LIAISON		6.0.0
	Liaison	6.10
	Planning	6.2.0
SERVICES & SUPPORT PROGRAMS		7.0.0
	Agreements	7.1.0
	Audit	7.20
	Consultation	7.3.0
	Evaluation	7.4.0
	Grant funding	7.5.0
	Joint ventures	7.6.0
	Liaison	7.7.0
	Planning	7.8.0
	Policy	7.9.0
	Procedures	7.10.0

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List of Functions and Activities covered

Function	Activity	Reference
	Program management	7.11.0
	Reporting	7.12.0
	Reviewing	7.13.0
	Standards	7.14.0
FINANCIAL MANAGEMENT		8.0.0
	Debt recovery	8.1.0

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No	Function/Activity	Description	Disposal Action
1.0.0	CLIENT LEGAL AID SERVICES	<p>The function of providing legal assistance, advice and representation services to clients. (Legal aid services include the provision of direct client legal aid services to individuals or groups of individuals as defined in the <i>Legal Aid Commission Act 1979</i> in various areas of law, including civil, criminal and family law. Services may be provided by Commission staff or assigned private practitioners)</p> <p>See GRANTS OF LEGAL AID for records relating to the processing of applications for legal aid.</p> <p>See PRIVATE PRACTITIONERS MANAGEMENT for records relating to the management of the provision of services by private legal practitioners, including complaints against them.</p> <p>See SERVICES & SUPPORT PROGRAMS for records relating to the management of community programs such as the Community Legal Centres Funding Program.</p> <p>See also <i>General Retention and Disposal Authority – Administrative records:</i></p> <p>COMMITTEES for records of advisory, inter-agency, internal committees etc</p> <p>COMMUNITY RELATIONS – Customer service for records relating to the provision of interpreter services for clients</p> <p>GOVERNMENT RELATIONS – Agreements for Commonwealth funding agreements for the provision of legal aid and assistance services</p> <p>STRATEGIC MANAGEMENT – Audit for records relating to audits of the legal services provided by the organisation.</p> <p>STRATEGIC MANAGEMENT – Evaluation for records relating to the evaluation and monitoring of operational processes.</p> <p>STRATEGIC MANAGEMENT – Planning for records relating to strategic planning for the provision and delivery of legal services to clients.</p> <p>STRATEGIC MANAGEMENT – Reporting for records of reports concerning the provision and delivery of legal services to clients.</p>	

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Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
		See also <i>General Retention and Disposal Authority – Personnel records:</i> PERSONNEL – Discipline for complaints and grievances regarding the services provided by in-house solicitors.	
1.1.0	Alternative Dispute Resolution	The activities associated with the provision of mediation services to resolve disputes out of court. Includes processes such as counselling, mediation, arbitration, conferencing or other means of conciliation or arbitration.	
1.1.1		Records relating to the resolution of matters by mediation and arbitration. Records include: <ul style="list-style-type: none"> • case files • notes, minutes and transcripts of mediation proceedings • determinations • notifications of outcome. 	Retain minimum of 7 years after action completed, then destroy
1.2.0	Client Assessment and Referral	The activity of providing services to assist in-house solicitors to ensure the best legal outcome for legally aided clients.	
1.2.1		Records relating to the provision of services to assist in-house solicitors ensure the best legal outcome for clients. These outcomes may range from assistance prior to sentencing in criminal matters to assistance with medical assessments or referrals to social services. These records may include working papers associated with: <ul style="list-style-type: none"> • the preparation of sentencing submissions and psychosocial assessments in criminal matters • the preparation of family assessments and children’s wishes reports in family matters • the provision of referrals to a range of relevant community services or agencies for clients who may have special needs such as a disability, 	Retain minimum of 10 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
		<p>mental health problems, require counselling or family support, etc.</p> <ul style="list-style-type: none"> • arranging for medical reports or assessments of client. 	
1.3.0	Duty Solicitor Services	<p>The activities of providing a lawyer (called a duty solicitor) to all sittings of the local court and at some other courts and tribunals.</p> <p>Services provided involve appearing on behalf of a person and/or giving legal advice to a person in relation to an imminent court event. Duty in Local Court and Children's Court criminal matters does not include:</p> <ul style="list-style-type: none"> • committals • matters where a plea of not guilty has been entered • matters requiring expenditure. <p>See CLIENT LEGAL SERVICES – Legal representation for records relating to the provision of litigation and representation services to approved clients.</p>	
1.3.1		Records, including application forms for Duty Solicitor service, that document the clients' details, advice or representation services provided, and outcomes of the matter.	Retain minimum of 7 years after action completed, then destroy
1.3.2		Duty rosters relating to the provision of duty solicitor services. Rosters consist of list of proposed matters to be handled by individual solicitors.	Retain minimum of 2 years after action completed, then destroy
1.4.0	Information Services	<p>The activity of providing legal information services to the general community and legal practitioners. Includes the provision of information about the organisation, its services, how to apply for grants of legal aid and appointment of private practitioners.</p> <p>See COMMUNITY LEGAL EDUCATION – Information Services for records relating to the provision of legal educational programs and publications to the</p>	

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No	Function/Activity	Description	Disposal Action
		<p>community eg brochures, toolkits, etc., explaining the organisation's services and legal processes, as well as rights on a range of legal topics.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records – COMMUNITY RELATIONS</i> – Enquiries for records relating to the handling of general enquiries about the organisation and its services, eg opening hours.</p>	
1.4.1		<p>Records relating to the provision of legal information services over the phone or office counter to general community. Records include file notes, correspondence (including email) with enquirer etc</p> <p>Nature of enquiries/information provided may include:</p> <ul style="list-style-type: none"> • assistance with initial inquiries about a legal problem and legal processes • assistance given to clients on what to do next • advice given on the best place to go if they need further assistance. 	Retain minimum of 2 years after action completed, then destroy
1.5.0	Legal Advice and Assistance	<p>The activities associated with providing legal advice and non-litigation assistance services to individual clients which do not require the grant of legal aid and/or the provision of legal representation services.</p> <p>Includes the provision of advice and assistance in relation to child support matters and the provision of minor assistance services. Includes the giving of direct legal advice, drafting of simple correspondence and documents and making telephone calls on behalf of the client.</p> <p>See CLIENT LEGAL AID SERVICES – Legal Representation for records relating to the provision of legal representation to clients.</p>	
1.5.1		<p>Records relating to the provision of legal advice and specialised (eg child support) or minor assistance services to clients concerning specific legal matters. Records include notes and transcripts of advice given, interviews and telephone conversations, copies of letters/documents drafted, etc.</p>	Retain minimum of 7 years after action completed, then destroy

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1.6.0	Legal Representation	The activities of providing legal representation services to assist an individual or party in resolving a legal matter that is before a court or tribunal. See PRIVATE PRACTITIONERS MANAGEMENT for records relating to the appointment of private practitioners to provide representation services.	
1.6.1		Records relating to cases: <ul style="list-style-type: none"> • which are determined by the High Court • which set a precedent or illustrate systemic issues • where a life sentence is imposed in a criminal court. Records include: <ul style="list-style-type: none"> • case files • transcripts of hearings • judgements, orders and determinations • case reports • conflict checking. 	Required as State archives
1.6.2		Superseded see entry 1.6.12	
1.6.3		Superseded see entry 1.6.12.	
1.6.4		Superseded see entry 1.6.12.	
1.6.5		Superseded see entry 1.6.12.	
1.6.6		Superseded see entry 1.6.12.	
1.6.7		Superseded see entry 1.6.12	

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No	Function/Activity	Description	Disposal Action
1.6.8		Superseded see entry 1.6.13	
1.6.9		Superseded see entry 1.6.12.	
1.6.10		Superseded see entry 1.6.12	
1.6.11		Superseded see entry 1.6.13.	
1.6.12		Records relating to legal representation services provided to clients other than children including family, civil, administrative or criminal law (not involving a life sentence).	Retain minimum of 7 years after case or matter resolved, then destroy
1.6.13		Records relating to legal representation services provided to children. Records include: <ul style="list-style-type: none"> • case files • transcripts of hearings • judgements and determinations • case reports • conflict checking. 	Retain until child reaches 25 years of age or minimum of 7 years after case or matter resolved, whichever is longer, then destroy
1.7.0	Policy	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, and the basis from which the organisation's procedures are determined. See CLIENT LEGAL AID SERVICES – Standards for records relating to the development of the organisation's standards for the provision of legal services to clients.	

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No	Function/Activity	Description	Disposal Action
1.7.1		<p>Records relating to the development of policies for the provision of legal services to clients. Includes the Delegation Instrument, policies on when legal aid is available for Civil, Criminal and Family Law matters, policies concerning the management of private practitioners and panels and the assessment of applications for legal aid. Records include:</p> <ul style="list-style-type: none"> • final, approved versions of policies • significant drafts • policy proposals and background research • outcomes of consultations. 	Required as State archives
1.8.0	Procedures	<p>Standard methods of operating laid down by an organisation according to formulated policies.</p> <p>See CLIENT LEGAL AID SERVICES – Information Services for guidelines and publications relating to the provision of legal services by the organisation, issued for the public.</p>	
1.8.1		Final, approved versions of manuals, handbooks, directives etc detailing the organisation's procedures for the provision of legal services to clients.	Required as State archives
1.8.2		Records relating to the development of manuals, handbooks, directives. Records include background research and substantive drafts, etc.	Retain minimum of 3 years after action completed, then destroy
1.9.0	Reviewing	<p>The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.</p> <p>See also <i>General Retention and Disposal Authority – Administrative records</i> STRATEGIC MANAGEMENT – Evaluation for records relating to the evaluation and monitoring of operational processes.</p>	

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No	Function/Activity	Description	Disposal Action
1.9.1		Reports or recommendations on the outcomes of reviews of client legal services.	Required as State archives
1.9.2		Records relating to the conduct of reviews of client legal services. Records include: <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 5 years after review is completed, then destroy
2.0.0	COMMUNITY LEGAL EDUCATION	<p>The function of developing and delivering strategies, services and products to educate the community in legal rights, responsibilities and processes. Includes legal education strategies, services and products developed in conjunction with partner and stakeholder organisations, and the development of partnerships with external organisations. Also includes the provision of training to paralegals in stakeholder and partner organisations to deliver community legal education.</p> <p>See PRIVATE PRACTITIONERS MANAGEMENT – Training for training provided to private legal practitioners responsible for the provision of legal services to the organisation’s clients.</p> <p>See SERVICES & SUPPORT PROGRAMS for records relating to the ongoing management and monitoring of established programs and services.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records:</i></p> <p>COMMITTEES for records of advisory, inter-agency, internal committees etc</p> <p>COMMUNITY RELATIONS – Enquiries for records of enquiries from the public or external agencies relating to the community legal education programs.</p> <p>COMMUNITY RELATIONS – Liaison for liaison activities undertaken with other government and non-government organisations to deliver community legal education.</p> <p>CONTRACTING-OUT for records relating to the use of registered training organisations to deliver training to Legal Aid NSW’s community legal education</p>	

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No	Function/Activity	Description	Disposal Action
		<p>service providers.</p> <p>STAFF DEVELOPMENT – Training for records relating to the training of the organisation’s staff.</p>	
2.1.0	Community Legal Education Sessions	<p>The activities associated with developing strategies and services in conjunction with identified stakeholder agencies to coordinate or improve the delivery of legal information and education.</p> <p>See COMMUNITY LEGAL EDUCATION – Evaluation for records relating to the evaluation and monitoring of community legal education sessions.</p> <p>See COMMUNITY LEGAL EDUCATION – Information services for presentation packages delivered at sessions.</p> <p>See COMMUNITY LEGAL EDUCATION – Planning for activities relating to the development and review of plans for the community legal education sessions.</p> <p>See COMMUNITY LEGAL EDUCATION – Reviewing for records relating to operational reviews of existing community legal education sessions.</p>	
2.1.1		<p>Records relating to the coordination of community legal education and information sessions. Records may include:</p> <ul style="list-style-type: none"> • background research • notes of consultation with stakeholders on identifying topics, objectives, target groups and delivery methods • plans and reports relating to the development and delivery of specific education and information sessions. 	Retain minimum of 7 years after action completed, then destroy
2.2.0	Evaluation	<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.</p> <p>See COMMUNITY LEGAL EDUCATION – Reviewing for records relating to the operational reviews of existing or ongoing programs.</p>	

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No	Function/Activity	Description	Disposal Action
2.2.1		Records relating to the evaluation of potential programs, services and systems for the development and delivery of community legal education, eg evaluations of pilot educational programs and projects.	Retain minimum of 5 years after action completed, then destroy
2.3.0	Information Services	<p>The preparation of information resources to assist the delivery of education eg brochures, toolkits, etc., explaining the organisation's services and legal processes, as well as rights on a range of legal topics.</p> <p>See CLIENT LEGAL AID SERVICES – Information services for records relating to legal information services provided over the phone or office counter to the general community.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records PUBLICATION</i> – Production for records relating to the design, layout, production and distribution of publications.</p>	
2.3.1		Final/master versions of resources or publications developed by the organisation to educate or inform the general public or targeted community groups about legal processes and/or rights on a range of legal topics and/or rights of access to legal aid/assistance.	Required as State archives
2.3.2		Final/master versions of presentations delivered at community legal education/information sessions.	Retain minimum of 7 years after action completed, then destroy
2.3.3		Records relating to the development and review of the content of published resources or presentation material.	Retain until administrative or reference use ceases, then destroy
2.4.0	Planning	The process of formulating ways to deliver community legal education projects and pilot programs.	

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No	Function/Activity	Description	Disposal Action
2.4.1		Final, approved versions of plans for community legal education projects and pilot programs, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 7 years after action completed, then destroy
2.4.2		Records relating to the development and review of the plans for the community legal education projects or pilot programs.	Retain minimum of 3 years after action completed, then destroy
2.5.0	Reviewing	<p>The activities involved in re-evaluating or re-examining programs and services (including reviews of processes, standards and systems etc). Includes recommendations and advice resulting from these activities.</p> <p>See COMMUNITY LEGAL EDUCATION – Evaluation for records relating to the evaluation of the suitability of potential or pilot community legal education programs, services and projects.</p>	
2.5.1		Reports or recommendations documenting the outcomes of community legal education program or services reviews	Required as State archives
2.5.2		<p>Records relating to the conduct of reviews of community legal education programs and services. Records include:</p> <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 5 years after action completed, then destroy
2.6.0	Training	The activities associated with developing and providing training and education services to external stakeholders.	
2.6.1		Training materials produced by contracted training organisations for courses	Retain minimum of 3 years after materials

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		delivered by them.	superseded or course delivery ceases, then destroy
2.6.2		Records relating to administrative arrangements for training courses. Records may include: <ul style="list-style-type: none"> • applications • confirmation of attendance • venue bookings • equipment hire • catering arrangements. 	Retain until administrative or reference use ceases, then destroy
3.0.0	GRANTS OF LEGAL AID	<p>The function of managing the allocation of grants of legal aid. Includes the processing of applications for legal aid, and the development of policies, practices and procedures governing the grants of legal aid.</p> <p>See CLIENT LEGAL AID SERVICES for records relating to the provision of direct client legal services to individuals or groups of individuals.</p> <p>See CLIENT LEGAL AID SERVICES – Legal representation for records relating to an appeal against a decision made in a court for a client legal case.</p> <p>See PRIVATE PRACTITIONERS MANAGEMENT for records relating to the management and training of private legal practitioners and panels.</p> <p>See <i>General Retention and Disposal Authority – Administrative records</i> STRATEGIC MANAGEMENT – Audit for records relating to audits of the organisation’s legal aid granting process.</p>	
3.1.0	Appeals (Decisions)	Activities associated with the handling of appeals against decisions concerning the grant or provision of legal aid.	
3.1.1		Records relating to the handling of appeals against decisions concerning the	Retain minimum of 7 years after action

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No	Function/Activity	Description	Disposal Action
		refusal of legal aid services. Records may include: <ul style="list-style-type: none"> • appeal form submitted by applicant • supporting documents relevant to the appeal • Legal Aid Review Committee's reports, decisions and resolutions. 	completed, then destroy
3.2.0	Committees	Committees established for the purposes of reviewing decisions concerning the refusal of legal aid services.	
3.2.1		Records of committees established to determine appeals against the refusal of legal aid services (Legal Aid Review Committees established under s53 of the Act). Records include: <ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference etc • agenda and resolutions. 	Required as State archives
3.3.0	Enquiries	The activities associated with the handling of requests from the general public or another organisation for information about the allocation of grants. See GRANTS OF LEGAL AID – Legal Aid Applications for records of enquiries directly relevant to an application.	
3.3.1		Records relating to the handling of enquiries from the public or external agencies relating to the grants program. Records may include: <ul style="list-style-type: none"> • notes of telephone conversations • notes of conversations • correspondence. 	Retain minimum of 2 years after action completed, then destroy
3.4.0	Evaluation	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	

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Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
		situation. Includes ongoing monitoring.	
3.4.1		Reports or recommendations on the outcomes of evaluations of protocols, service systems or processes or initiatives for the assessment and allocation of grants of legal aid.	Required as State archives
3.4.2		Records relating to the conduct of evaluations of potential or existing grants of legal aid protocols, service systems or processes or initiatives. Records may include: <ul style="list-style-type: none"> • surveys of customers/clients regarding potential or existing services • research and analysis of services, performance, drafting of reports, recommendations etc. 	Retain minimum of 5 years after action completed, then destroy
3.5.0	Legal Aid Applications	The activities associated with managing applications from individuals or groups of individuals for grants of legal aid.	
3.5.1		Records relating to the receipt and assessment of grants applications. Records include eligibility assessment, determination of grants of legal aid, assignment of work to in-house staff or private legal practitioners, and costs recovered.	Retain minimum of 7 years after action completed, then destroy
3.5.2		Register of grant applications received.	Retain minimum of 20 years after action completed, then destroy
3.6.0	Planning	The process of formulating the organisation's plan for the administration of grants of legal aid and priorities. <i>See General Retention and Disposal Authority – Administrative Records</i> STRATEGIC MANAGEMENT – Planning for records relating to strategic, corporate and business planning.	

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No	Function/Activity	Description	Disposal Action
3.6.1		<p>Records relating to the development of strategic, high-level plans for the establishment and management of grants programs and services. Records include:</p> <ul style="list-style-type: none"> • final, approved versions of plans • significant drafts, eg such as those circulated for consultation • background research • notes and minutes of meetings and consultations with stakeholders. 	Required as State archives
3.6.2		<p>Records relating to the development of project and operational plans for the establishment and management of grants programs and services. Records include:</p> <ul style="list-style-type: none"> • final, approved versions of plans • significant drafts, e.g. such as those circulated for consultation • background research • notes and minutes of meetings and consultations with stakeholders • records and correspondence outlining implementation responsibilities. 	Retain minimum of 7 years after plan is superseded or project is completed, then destroy
3.7.0	Policy	<p>The activities associated with developing operational policies concerning the grants of legal aid, for example, policies on eligibility testing such as means and merit tests, client contributions, assignment of work, etc.</p> <p>See CLIENT LEGAL AID SERVICES – Policy for policies relating to the delivery of direct client legal services.</p> <p>See PRIVATE PRACTITIONERS MANAGEMENT – Policy for policies relating to the management of assigned private legal practitioners.</p>	
3.7.1		<p>Records relating to the development of policies regarding the grants of legal aid and priorities. Records include:</p> <ul style="list-style-type: none"> • final, approved versions of policies • significant drafts 	Required as State archives

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No	Function/Activity	Description	Disposal Action
		<ul style="list-style-type: none"> • policy proposals and background research • outcomes of consultations. 	
3.8.0	Procedures	Standard methods of operating for the handling and determination of grants of legal aid.	
3.8.1		Final/master versions of manuals, handbooks, directives, guidelines etc detailing the organisation's procedures regarding the granting of legal aid, eg procedures for eligibility testing such as Means and Merit Tests, client contributions, assignment of work, etc.	Required as State archives
3.8.2		Records relating to the development and review of the organisation's procedures granting legal aid. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 3 years after procedures are superseded, then destroy
3.9.0	Reciprocity	The activity regarding application of rules employed in making decisions on grants of Legal Aid to applicants who may live in other states or have proceedings in other states. Applicants may be a client or a legal Aid office in another state.	
3.9.1		Records relating to disputes over jurisdiction which result in major changes in agency policy. Records may include: <ul style="list-style-type: none"> • decisions over jurisdiction • formal correspondence between agencies. 	Required as State archive
3.9.2		Records of disputes over jurisdiction which do not result in major changes in agency policy. Records may include:	Retain minimum of 10 years after action completed, then

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No	Function/Activity	Description	Disposal Action
		<ul style="list-style-type: none"> • decisions over jurisdiction • formal correspondence between agencies. 	destroy
3.9.3		Records relating to routine enquiries for information on jurisdictional issues. Records include: <ul style="list-style-type: none"> • notes of conversations • correspondence • records of telephone calls 	Retain minimum of 2 years after action completed, then destroy
3.10.0	Reviewing	The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.	
3.10.1		Reports or recommendations on the outcomes of reviews of the management and allocation of grants of legal aid.	Required as State archives
3.10.2		Records relating to the conduct of reviews of the management and allocation of grants of legal aid. Records include: <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 5 years after review is completed, then destroy
4.0.0	LAW REFORM	The function of participating in and responding to law reform debates or proposals for changes to legislation. Includes making submissions to inquiring bodies by drawing on the specialist and expert knowledge of the staff. <i>See General Retention and Disposal Authority – Administrative Records</i> GOVERNMENT RELATIONS for matters relating to the formal relationship between the organisation and those processes of government such as Legal Aid NSW's relationship with Ministers and Members of Parliament and the political processes	

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No	Function/Activity	Description	Disposal Action
		<p>of Government; liaison with bodies carrying out investigations and participating in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Local, State, Commonwealth or overseas governments.</p> <p><i>See General Retention and Disposal Authority – Administrative Records:</i></p> <p>COMMITTEES for records of advisory, inter-agency, internal committees etc</p> <p>STRATEGIC MANAGEMENT – Legislation for records relating to the development, review or amendment of Legal Aid’s enabling legislation.</p>	
4.1.0	Policy	The activities associated with the organisation’s policies for law reform activities and priorities.	
4.1.1		Final, approved versions of policies relating to the conduct of or priorities for law reform activities.	Required as State archives
4.1.2		<p>Records relating to the development and review of the organisation’s law reform policies. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • draft versions of policies containing significant changes/alterations or formally circulated for comment. 	Retain until ceases to be of administrative or reference use, then destroy
4.2.0	Procedures	Standard methods of operating laid down by an organisation according to formulated policies.	
4.2.1		Final/master versions of manuals, handbooks, directives, guidelines etc detailing the organisation’s procedures regarding law reform submissions, activities and processes.	Retain minimum of 5 years after superseded, then destroy

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No	Function/Activity	Description	Disposal Action
4.2.2		Records relating to the development and review of the organisation's procedures for law reform activities and processes. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 3 years after action completed, then destroy
4.3.0	Research	The activities involved in investigating or enquiring into matters or issues with respect to potential or proposed reform of the law.	
4.3.1		Reports consolidating the outcomes of research collected with respect to potential or proposed law reform matters.	Retain minimum of 10 years after completed, then destroy
4.3.2		Research data collected or collated for law reform purposes including literature searches and reviews, statistics, surveys of other jurisdictions and other raw data.	Retain until ceases to be of administrative or reference use, then destroy
4.4.0	Submissions	The preparation and submission of a formal statement (eg report, statistics etc) supporting a case or opinion held by the organisation which is submitted to another organisation for the purpose of either gain or support. <i>See General Retention and Disposal Authority – Administrative Records</i> GOVERNMENT RELATIONS – Submissions for records relating to submissions to the Minister and/or Commonwealth regarding the function and activities of the organisation.	
4.4.1		Records relating to submissions to external bodies, including the Minister and/or Commonwealth, on matters relating to reform of the law. Records include: <ul style="list-style-type: none"> • records of submission requests • records of background research and consultations and associated reports or 	Required as State archives

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No	Function/Activity	Description	Disposal Action
		<p>analyses in relation to the submission</p> <ul style="list-style-type: none"> • final submissions. 	
4.4.2		Copies of other organisations' submissions to external bodies which are commented on or impact on the operations of Legal Aid NSW.	Retain minimum of 5 years after last action, then destroy
4.4.3		Submission Register. Summary records created to document the submissions sent to originating agencies.	Retain until administrative or reference use ceases, then destroy
5.0.0	PRIVATE PRACTITIONERS MANAGEMENT	<p>The function of managing private practitioners in the provision of legal aid services. Includes the establishment and management of panels of private legal practitioners to achieve an agreed level of services for legally aided clients, and fairness and transparency in the allocation of legal aid work to private legal practitioners. Also includes the development of professional practice standards, investigation of complaints made against panel members and other assigned practitioners, and the provision of access to training and information sharing co-ordinated by the organisation.</p> <p>See CLIENT LEGAL AID SERVICES for records relating to legal aid services for persons receiving assistance.</p>	
5.1.0	Agreements	The processes associated with the establishment, negotiation, maintenance and review of agreements.	
5.1.1		<p>Records relating to the management of agreements with approved legal practitioners regarding the provision of legal aid services assigned by the organisation. Records include:</p> <ul style="list-style-type: none"> • signed agreements with practitioners • correspondence with practitioners regarding agreements. 	Retain minimum of 7 years after termination of agreement or after action completed, whichever is later, then destroy

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No	Function/Activity	Description	Disposal Action
5.2.0	Audit	<p>The activities associated with officially checking fiscal, quality assurance and operational records, systems or processes to confirm services have been provided in compliance with requirements.</p> <p>See PRIVATE PRACTITIONERS MANAGEMENT – Investigation for records relating to investigations of breaches of service provision agreements and practice standards.</p>	
5.2.1		<p>Records relating to audits of practitioners in respect to claims for payment; compliance with practice standards; compliance with the terms and conditions of a service provision agreement; compliance with the organisation’s guidelines, policies and delegations; and substantial or unresolved complaints concerning service delivery. Records include:</p> <ul style="list-style-type: none"> • request for documents • briefing notes and internal memos • meeting notes • correspondence with practitioner and professional association • reports of findings. 	Retain minimum of 7 years after action completed, then destroy
5.3.0	Committees	<p>Committees established for the purposes of selecting and monitoring panels of practitioners appointed to provide legal aid services. Includes the Panel Selection and Panel Monitoring Committees.</p> <p>See PRIVATE PRACTITIONERS MANAGEMENT – Panels for records relating to applications for appointment to practitioner panels.</p>	
5.3.1		<p>Records relating to the formation, meetings and decisions of committees that are established for assessing panel applications, recommending panel appointments, or for monitoring the performance of practitioner panels, and making recommendations including suspension of work assignment or the removal of a practitioner from a panel.</p>	Required as State archives

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No	Function/Activity	Description	Disposal Action
		<p>Records include:</p> <ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference, memoranda of understanding etc • records of nomination, appointment, resignation or termination of members • Disclosure/Conflict of Interest Notifications • agenda and minutes • recommendations and resolutions • correspondence arising from business discussed or resolutions passed. 	
5.4.0	Grievances	<p>Activities relating to the handling and resolution of grievances regarding services provided by or the conduct of private practitioners.</p> <p>See CLIENT LEGAL AID SERVICES – Grievances for records relating to the handling and resolution of grievances regarding the services provided by in-house solicitors.</p> <p>See PRIVATE PRACTITIONERS MANAGEMENT –Investigations for formal investigations of breaches of service provision agreement</p>	
5.4.1		<p>Records relating to the receipt and review of complaints about private legal practitioners. Records include:</p> <ul style="list-style-type: none"> • briefing notes and internal memos • meeting notes • correspondence with practitioner and professional association • correspondence to and from the complainant, regardless of transmission (fax, email, letter, phone call) • notes of telephone conversations • summary records maintained for the purposes of compiling statistics and tracking progress of complaints handling. 	Retain minimum of 7 years after action completed then destroy

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No	Function/Activity	Description	Disposal Action
5.5.0	Investigations	<p>The activities associated with investigating a private legal practitioner for breaches of service agreements and/or practice standards as a result of a complaint or a panel audit.</p> <p>See PRIVATE PRACTITIONERS MANAGEMENT – Grievances for records relating to the handling of complaints about private legal practitioners.</p>	
5.5.1		<p>Records relating to investigations of complaints made against private legal practitioners, or investigations of practitioners resulting from panel audits. Records include:</p> <ul style="list-style-type: none"> • briefing notes and internal memos • meeting notes • correspondence with practitioner and professional association • reports of findings • correspondence to and from the complainant, regardless of transmission in the format of fax, email, letter, or phone call • file notes of telephone conversations. 	Retain minimum of 7 years after action completed then destroy
5.6.0	Panels	<p>The activities associated with forming and managing specialised panels of private practitioners for the provision of services to aided clients.</p>	
5.6.1		<p>Records relating to the receipt and assessment of applications for appointment to panels. Records include:</p> <ul style="list-style-type: none"> • applications from practitioners, and supporting documentation • acknowledgement letters • requests for further information to process application • letters to practitioners. 	Retain minimum of 7 years after last action or after applicant ceases to be on panel, whichever is the later, then destroy
5.6.2		<p>Records relating to administrative arrangements concerning the panel applications</p>	Retain minimum of 2

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No	Function/Activity	Description	Disposal Action
		and appointment. Records include: <ul style="list-style-type: none"> • correspondence on routine matters • mailing lists • task lists. 	years after action completed, then destroy
5.6.3		Final/master versions of information packages for practitioner panel applicants and appointees. Records include: <ul style="list-style-type: none"> • information for new and current applicants • associated practice standards and service agreements • information/guidance for Panel Referees, etc. 	Retain minimum of 7 years after superseded, then destroy
5.6.4		Records relating to the development of information packages for practitioner panel applicants and appointees. Records include: <ul style="list-style-type: none"> • background research • draft versions of documents containing significant changes/alterations or formally circulated for comment. 	Retain until administrative or reference use ceases, then destroy
5.7.0	Planning	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.	
5.7.1		Records relating to planning for the establishment and monitoring of practitioner panels. Records include: <ul style="list-style-type: none"> • schedule for the conduct of audits • project plans for the establishment of new or additional panels. 	Retain minimum of 7 years after superseded, then destroy
5.8.0	Policy	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.	

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No	Function/Activity	Description	Disposal Action
5.8.1		Final/master versions of policies regarding the establishment of panels and the selection, monitoring and allocation of work to private practitioners.	Required as State archives
5.8.2		Records relating to the development and review of the organisation's policies for the establishment of panels and the selection, monitoring and allocation of work to private practitioners. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations or meetings • draft versions of policies containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 3 years after policy is superseded, then destroy
5.9.0	Procedures	Procedures relating to the management of private practitioners in the provision of legal aid services.	
5.9.1		Final, approved versions of manuals, handbooks, directives, guidelines etc detailing the organisation's procedures with regard to the management of private practitioners and panels.	Required as State archives
5.9.2		Records relating to the development and review of the organisation's procedures for the management of private practitioners and panels. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 3 years after procedures are superseded, then destroy
5.10.0	Standards	The process of developing and implementing practice standards for practitioners in panels and other assigned matters.	
5.10.1		Final/master versions of practice standards.	Required as State

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No	Function/Activity	Description	Disposal Action
			archives
5.10.2		<p>Records relating to the development and implementation of practice standards that set out strategies to assist legal practitioners in the delivery of quality legal services and help to ensure the effective, efficient and economic delivery of high quality legal services. Records include:</p> <ul style="list-style-type: none"> • background research • records of consultations • draft versions of proposed standards or benchmarks containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with the Law Society of New South Wales, the New South Wales Bar Association and other related parties 	Retain until administrative or reference use ceases, then destroy
5.11.0	Training	<p>The activities associated with the development of training materials and delivery of training to practitioners in relation to Legal Aid NSW's policies and procedures and how to perform duty aid work.</p> <p>See COMMUNITY LEGAL EDUCATION – Training for records relating to training provided to local communities and target groups.</p>	
5.11.1		<p>Final, approved versions of training materials developed for private practitioners performing or providing legal aid services. Records include:</p> <ul style="list-style-type: none"> • training programs • lecture notes • handouts. 	Retain until training materials are superseded or course delivery ceases, then destroy
5.11.2		<p>Records relating to the development and review of the organisation's private practitioner training materials. Records include:</p> <ul style="list-style-type: none"> • background research 	Retain until administrative or reference use ceases, then destroy

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No	Function/Activity	Description	Disposal Action
		<ul style="list-style-type: none"> • draft versions of documents containing significant changes/alterations or formally circulated for comment. 	
5.11.3		<p>Records relating to administrative arrangements for training courses arranged by the organisation for stakeholder groups. Records include:</p> <ul style="list-style-type: none"> • records of applications • records of confirmation of attendance • venue bookings • records of equipment hire • catering arrangements. 	Retain until administrative or reference use ceases, then destroy
6.0.0	PROFESSIONAL LIAISON	<p>The function of establishing and maintaining contact and communication with other members of the legal profession, including law firms, legal practitioners, Courts and Legal Aid bodies at a National and State level. Includes liaison with the NSW Law Society, BAR NSW and other bodies on development of standards affecting the legal profession in NSW. Also includes liaison with the Courts and other identified stakeholders to discuss ways of improving the representation of parties requiring legal assistance, and the progress of cases through the Courts.</p> <p>See LAW REFORM – Submissions for records of submissions to external bodies relating to reform of the law.</p> <p>See PRIVATE PRACTITIONERS MANAGEMENT for records relating to the establishment and management of panels of private legal practitioners for the provision of legal aid services.</p>	
6.1.0	Liaison	<p>The activities associated with maintaining regular general contact between the organisation and other legal service providers and professional associations. Includes sharing informal advice and discussions, membership of professional associations, and collaborating on projects that are not joint ventures.</p> <p>See <i>General Retention and Disposal Authority – Administrative Records COMMITTEES</i> for records of advisory and inter-agency committees or committees</p>	

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No	Function/Activity	Description	Disposal Action
		established for consultative purposes.	
6.1.1		Records relating to liaison activities undertaken with other legal service providers and professional associations. Includes collaboration on projects, exchange of information on membership issues, etc.	Retain minimum of 7 years after last action, then destroy
6.1.2		Records of names and contact details of officers within other government departments or community organisations kept for the purposes of referral, etc.	Retain until administrative or reference use ceases, then destroy
6.2.0	Planning	The activities associated with the development and implementation of the organisation's plans for professional liaison projects.	
6.2.1		Final, approved versions of project plans for professional liaison projects, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 7 years after plan is superseded, then destroy
6.2.2		Records relating to the development and review of project plans for professional liaison projects. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings. 	Retain minimum of 3 years after action completed, then destroy
7.0.0	SERVICES & SUPPORT PROGRAMS	The function of supporting established services and programs through ongoing monitoring and management. Includes administration of funding provided by the Commonwealth and the State governments to services or programs such as Community Legal Centres and Women's Domestic Violence Court Assistance Program (WDVCAP), as well as program management for the funding.	

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No	Function/Activity	Description	Disposal Action
7.1.0	Agreements	The process associated with the establishment, negotiation, maintenance and review of agreements.	
7.1.1		Records relating to the establishment, negotiation, maintenance and review of agreements for the delivery of community programs supporting equity of access to the law. Records include: <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings with main stakeholders • drafts containing significant changes/alterations and final, approved versions of agreements • reviews of agreements. 	Retain minimum of 7 years after termination of agreement or after action completed, whichever is later, then destroy
7.2.0	Audit	The activities associated with officially checking fiscal, quality assurance and operational records, systems or processes to confirm services have been provided in compliance with requirements. See PRIVATE PRACTITIONERS MANAGEMENT – Audit for records relating to the audit of approved private legal practitioners.	
7.2.1		Records relating to the audit of funded service providers in respect to funding allocated to them; compliance with the terms and conditions of a service provision agreement; and compliance with the organisation’s guidelines, policies and delegations.	Retain minimum of 7 years after action completed, then destroy
7.3.0	Consultation	The processes associated with discussing particular community program matters or issues with experts or with interested stakeholders to obtain their opinions or advice. Includes consultation with the community. <i>See General Retention and Disposal Authority – Administrative records COMMITTEES for records of advisory, inter-agency committees, etc.</i>	
7.3.1		Reports, recommendations and resolutions on the outcomes of consultation processes.	Required as State archives

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No	Function/Activity	Description	Disposal Action
7.3.2		Records relating to discussion on particular community program matters or issues with experts or with interested stakeholders to obtain their opinions or advice. Records include: <ul style="list-style-type: none"> • background research • meeting minutes • advice and briefing papers. 	Retain minimum of 7 years after action completed, then destroy
7.4.0	Evaluation	The process of determining the suitability of potential or existing programs, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.	
7.4.1		Reports on the outcomes of evaluations of programs and services.	Required as State archives
7.4.2		Records relating to the conduct of evaluations of potential or existing funding or community support programs, services or initiatives. Records include: <ul style="list-style-type: none"> • surveys of clients or service users regarding potential or existing services • analysis of services. 	Retain minimum of 5 years after action completed, then destroy
7.5.0	Grant Funding	The activities associated with administering the provision of funding (eg funding from Commonwealth and State government; Public Purpose Fund, etc) to service providers/agents in the provision/delivery of community programs.	
7.5.1		Records relating to the receipt and assessment of applications from service providers for the provision/delivery of community programs.	Retain minimum of 7 years after action completed, then destroy
7.5.2		Records relating to the development and review of information resources and guidance for funding applicants. Records include drafts and final versions.	Retain until administrative or reference use ceases,

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No	Function/Activity	Description	Disposal Action
			then destroy
7.6.0	Joint Ventures	The activities involved in managing joint operations, collaboration or co-research between the organisation and identified stakeholders, ie legal and non-legal service providers to facilitate the delivery of special legal programs, eg the Cooperative Legal Service Delivery Program (CLSD Program).	
7.6.1		<p>Records relating to the establishment of formal working arrangements or partnerships with identified stakeholders, eg Community Legal Centres and Service Providers, for the purposes of delivering special legal programs. Records include:</p> <ul style="list-style-type: none"> • correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants • monitoring of arrangements • reporting on arrangements • service agreements. 	Retain minimum of 7 years after action completed, then destroy
7.7.0	Liaison	<p>The activities associated with maintaining regular general contact between the organisation and other legal service providers in relation to collaboration on projects for community programs that are not joint ventures.</p> <p>See PROFESSIONAL LIAISON – Liaison for records relating to liaison with other legal aid service providers/agents on matters that cross functions, or with professional associations on membership matters.</p>	
7.7.1		<p>Records relating to liaison activities undertaken with other legal service providers and agents in relation to proposals and projects for community programs that are not joint ventures.</p> <p>Records include:</p> <ul style="list-style-type: none"> • development of Memoranda Of Understanding (MOU) • establishment and fostering of working relationships with other agencies. 	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
7.8.0	Planning	<p>The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.</p> <p>See COMMUNITY LEGAL EDUCATION – Planning for project plans for community legal education programs.</p> <p>See <i>General Retention and Disposal Authority – Administrative records</i> STRATEGIC MANAGEMENT – Planning for records relating to the development of strategic plans for the delivery or services or service support.</p>	
7.8.1		Final, approved versions of project and program plans for community legal projects and/or for the operation of established community programs.	Retain minimum of 7 years after plan is superseded, then destroy
7.8.2		<p>Records relating to the development and review of project and program plans for community legal projects and/or for the operation of established community programs. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with stakeholders, etc. 	Retain minimum of 5 years after action completed, then destroy
7.9.0	Policy	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation’s operating procedures are determined.	
7.9.1		Final, approved versions of legal aid services policies concerning community programs delivery and priorities, for example to whom, when, how, why and with what funding community programs were delivered.	Required as State archives
7.9.2		Records relating to the development and review of the organisation’s community	Retain until

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No	Function/Activity	Description	Disposal Action
		<p>program policies. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations or meetings • draft versions of policies containing significant changes/alterations or formally circulated for comment. 	administrative or reference use ceases, then destroy
7.10.0	Procedures	Standard methods of operating laid down by an organisation according to formulated policies.	
7.10.1		Final, approved versions of manuals, handbooks, directives, guidelines, etc., detailing the organisation's procedures regarding funding allocations and disbursements, and the management of service providers/agents, etc.	Retain minimum of 7 years after action completed, then destroy
7.10.2		<p>Records relating to the development and review of the organisation's community programs procedures. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 3 years after procedure is superseded, then destroy
7.11.0	Program Management	The activities associated with the routine management of specific programs according to defined guidelines and priorities.	
7.11.1		<p>Records of routine management of specific programs according to defined guidelines and priorities. Records include:</p> <ul style="list-style-type: none"> • program guidelines • communication with service providers on the management of the program • progress reports. 	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
7.12.0	Reporting	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 providing formal statements or findings of the results of the examination or investigation.	
7.12.1		Records relating to formal internal and external reports regarding Community Programs and services. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alternations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
7.12.2		Records relating to internal periodic reports on general administrative matters used to monitor and document recurring activities to support community programs and services. Records include: <ul style="list-style-type: none"> • background research • statistical information about users and their use of services • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after funding period expires, then destroy
7.13.0	Reviewing	The activities involved in re-evaluating or re-examining existing community programs and services. See SERVICES AND SUPPORT PROGRAMS – Evaluation for records relating to the evaluation of the suitability of and monitoring of potential or existing community programs and services. See SERVICES AND SUPPORT PROGRAMS – Planning, Policy or Procedures for records relating to the development and review of plans, policies or procedures.	

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No	Function/Activity	Description	Disposal Action
7.13.1		Reports on the outcomes of reviews of community programs and services.	Required as State archives
7.13.2		Records relating to the conduct of reviews of existing community programs and services. Records include: <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of reports containing significant changes/alterations. 	Retain minimum of 5 years after action completed, then destroy
7.14.0	Standards	The process of developing and implementing practice standards for legal service providers/agents regarding the delivery of community programs.	
7.14.1		Final versions of practice standards for legal services providers/agents responsible for the delivery of community programs.	Required as State archives
7.14.2		Records relating to the development and implementation of practice standards for legal service providers/agents regarding the delivery of community programs. Records include: <ul style="list-style-type: none"> • background research • records of consultations • draft versions of proposed standards or benchmarks containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 7 years after standards superseded, then destroy
8.0.0	FINANCIAL MANAGEMENT	The function of managing the organisation's financial resources. <i>See also General Retention and Disposal Authority – Administrative Records FINANCIAL MANAGEMENT and General Retention and Disposal Authority – Financial and Accounting Records for records relating to the management of the organisation's income and expenditure and financial resources.</i>	
8.1.0	Debt Recovery	The activity associated with the recovery of debt from clients who are required to	

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No	Function/Activity	Description	Disposal Action
		pay part of their legal fees.	
8.1.1		Records relating to client debts. Includes debts secured with a caveat on a Land Title.	Retain minimum of 7 years after debt recovered or written off, then destroy
8.1.2		Summary details/records documenting caveats over land title, eg Caveat Register.	Retain minimum of 7 years after caveat lifted, then destroy