

## State Records Authority of New South Wales

### **Functional Retention and Disposal Authority: FA323**

This authority covers records documenting the function of law reform

Issued to Law Reform Commission of NSW

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** FA323

**SR file no** 12/0200

**Scope** This functional retention and disposal authority covers records documenting the function of law reform 1966+.

**Public office** Law Reform Commission of NSW

**Approval date**

Jenni Stapleton  
A/Director  
State Records Authority of New South Wales

25/06/2012  
Date

## 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 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.

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 Records Authority ('State Records') reviews and approves organisations' retention and disposal authorities under the State Records Act.

This authority is the product of an appraisal process conducted in accordance with State Records' *Standard on the appraisal and disposal of State records*. 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.

State Records' 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 Records' 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 Records. 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 – Imaged records*). 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 Records regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Records' 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 Records 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 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 retention and disposal authority approved for use by 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 should be made and approved.

#### 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 Law reform (Law Reform Commission of NSW)

Authority number: FA323

Dates of coverage: 1966+

No	Function/Activity	Description	Disposal Action
1.0.0	<b>LAW REFORM</b>	The function of researching and proposing change to general law. Includes References from the Attorney-General and Community Law Reform projects.	
1.1.0	<b>Policy</b>	Activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.	
1.1.1		Records documenting the development and implementation of policies relating to the conduct of law reform enquiries. Includes policies on the conduct of research and consultation.	Required as State archives
1.2.0	<b>Procedures</b>	Standard methods of operating for research and propositions regarding changes to general law.  See <b>LAW REFORM - References</b> for records relating to procedures for the conduct of reviews.	
1.2.1		Records relating to the development and implementation of procedures supporting operational processes, e.g. procedures for organising consultation meetings, writing reports etc.	Retain minimum of 7 years after superseded, then destroy
1.3.0	<b>References</b>	The function of providing law reform advice on matters referred to the Commission. Includes research, consultation and production of papers and reports.	
1.3.1		Records relating to the establishment of a law reform project or reference, including references under the Community Law Reform Program. Includes: <ul style="list-style-type: none"> <li>• the initial referral from the Attorney-General</li> <li>• terms of reference</li> </ul>	Required as State archives

## Law reform

Authority number: FA323

Dates of coverage: 1966+

No	Function/Activity	Description	Disposal Action
<i>LAW REFORM - References</i>			
		<ul style="list-style-type: none"> <li>• constitution of a Division (Commissioners)</li> <li>• procedures for conduct of the review.</li> </ul>	
1.3.2		Records relating to suggestions or proposals for law reform received from the community, legal profession, judiciary, etc that are investigated by the Commission for potential reform. Includes records of Commission's preliminary investigation processes, background papers, referral of matters to the Attorney General, etc.	Required as State archives
1.3.3		Records relating to the receipt of suggestions for reform that are not investigated or are referred to another body. Includes suggestions that fall outside the Commission's jurisdiction, are already being reviewed, etc. Records include enquiries, referrals etc.	Retain minimum of 2 years after action completed, then destroy
1.3.4		Records relating to research undertaken or commissioned as part of the law reform project. Includes final, approved versions of research reports.	Required as State archives
1.3.5		Records relating to consultation undertaken with stakeholders and the public. Includes published consultation and discussion papers, submissions, requests for submissions, public/private meeting notes, briefing notes, lists of questions, speeches, etc.	Required as State archives
1.3.6		Records relating to arrangements for community consultation, briefings and meetings with stakeholders. Includes invitations, venue bookings and facility arrangements, expressions of thanks, catering etc.	Retain until administrative or reference use ceases, then destroy
1.3.7		Records relating to meetings of appointed Commissioners, Division staff and advisory panel members to consider submissions and research by staff and	Required as State archives

## Law reform

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### *LAW REFORM - References*

		consultants. Includes agenda and minutes, reports, deliberations.	
1.3.8		Records relating to the operational project management of individual references and law reform projects. Includes consultation, research and publication plans, team meetings, emails etc.	Retain minimum of 7 years after action completed, then destroy
1.3.9		Records relating to the issue of the Commission's report on the law reform project. Includes final approved report, drafts with significant changes.	Required as State archives