

State Records Authority of New South Wales

Functional Retention and Disposal Authority: FA329

This authority covers records documenting the function of public sector workforce planning and management

Issued to Public Service Commission

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.

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Functional Retention and Disposal Authority

Authority no FA329

SR file no 13/0025

Scope This functional retention and disposal authority covers records documenting the function of public sector workforce planning and management from 1976 onwards.

Public office Public Service Commission

Approval date

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

25/02/2013
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

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**Functional Retention and Disposal Authority
Public sector workforce planning and management
(Public Service Commission)**

Authority number: FA329

Dates of coverage: 1976+

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**Functional Retention and Disposal Authority
Public sector workforce planning and management
(Public Service Commission)**

Authority number: FA329

Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
1.0.0	WORKFORCE MANAGEMENT	<p>The function of managing the public sector workforce. Includes sector wide workforce planning, coordination and management and provision of advice to Government on policy, strategic direction and sector reform.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PERSONNEL for records relating to the management of the organisation's own staff</p>	
1.1.0	Advice	<p>The receipt and provision of advice by or to the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> LEGAL SERVICES - Advice for records relating to the receipt of legal advice concerning the interpretation of legislation</p> <p>See WORKFORCE MANAGEMENT - Performance monitoring and review for records relating to enquiries concerning the provision of workforce survey or reporting data</p> <p>See WORKFORCE MANAGEMENT - Personnel management systems and services for records relating to enquiries concerning use of support systems or services such as e-Recruitment</p>	
1.1.1		<p>Records relating to the receipt or provision of advice by the organisation concerning policies, strategies, standards or practices for the public sector workforce. This includes advice in relation to its management, structure, service delivery methods, work practices, reform or in relation to the impact of any proposed Government initiatives on the workforce. Records include briefing notes (includes background briefs and question time briefs) and minutes provided to the Minister or Executives and comments, correspondence, reports or recommendations received by the organisation or provided to Government concerning policy proposals, reform initiatives, etc.</p>	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>WORKFORCE MANAGEMENT - Advice</i>			
1.1.2		Records relating to the provision of advice to agencies concerning workforce management matters e.g. general advice concerning requirements, responsibilities and obligations or the implementation or management of practices or standards. Records include notes of telephone calls where advice is provided or correspondence exchanged with an agency in response to an enquiry.	Retain minimum of 10 years after action completed, then destroy
1.1.3		Guidance, fact sheets or similar information resources developed to advise or assist employees in understanding obligations, rights and entitlements, to promote or influence workplace cultures or practices or to promote and raise awareness of the objectives of particular policies, strategies or initiatives.	Required as State archives
1.2.0	Awards and honours	<p>The conferral of awards or honours on public servants and public service organisations in recognition of service or achievements.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Celebrations, ceremonies, functions for records relating to arrangements for award ceremonies</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Marketing for records relating to the promotion or advertisement of awards programs</p>	
1.2.1		Records relating to the issue of awards recognising the achievement of agencies or of individual employees or office holders. Includes records of nominations, recommendations of review panels and judging committees and Premier's approval.	Required as State archives
1.3.0	Education, training and development	<p>The development or delivery of training and education to develop the skills and capacity of the public sector workforce.</p> <p>See WORKFORCE MANAGEMENT - Personnel management systems and services for records relating to the provision of training or assistance with the use</p>	

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No	Function/Activity	Description	Disposal Action
<i>WORKFORCE MANAGEMENT - Education, training and development</i>			
		<p>of human resources management systems or tools</p> <p>See WORKFORCE MANAGEMENT - Policy and planning for records relating to the development of policies and strategies concerning the education, training, skills and capacity development of the workforce.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records relating to representation on national or State training or educational committees</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Marketing for records relating to the promotion of education, training or development programs and opportunities</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Joint ventures for records relating to agreements and arrangements with other State and federal government agencies or with service providers concerning the development or delivery of training and education programs</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> TENDERING or CONTRACTING OUT for records relating to the issue and assessment of tenders for the provision of courses or training services or the evaluation of contracted service providers</p>	
1.3.1		<p>Records relating to the development, monitoring, evaluation and review of education, training and development programs and services for public sector employees. Records include proposals and business cases, program authorisations, plans for the implementation of program and services and reports or recommendations on the outcomes, evaluation or review of particular programs or initiatives.</p>	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>WORKFORCE MANAGEMENT - Education, training and development</i>			
1.3.2		Training packages developed to assist agencies in implementing standards and practices e.g. online training practices relating to merit selection, performance management, etc.	Required as State archives
1.3.3		Records relating to applications for entry into and assistance to undertake training and development programs or courses of study. Records include application forms, including applications for associated scholarships or assistance to undertake program, correspondence with applicants and course providers, advice about the result of the application and progress and results of the participant.	Retain minimum of 5 years after action completed, then destroy
1.3.4		Records relating to arrangements to conduct or deliver development, training and education activities or events. Includes records relating to the confirmation of attendance or registration of participants, coordination of speakers, programs, presentations delivered, participant evaluations.	Retain minimum of 5 years after action completed, then destroy
1.3.5		Records relating to the development of procedures for the management of learning and development programs and services, including guidelines for education providers and students. Records include background research, draft versions, etc.	Retain minimum of 5 years after superseded, then destroy
1.4.0	Performance monitoring and review	<p>Monitoring and evaluating or examining the effectiveness or performance of agencies or of particular programs, policies or initiatives.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> CONTRACTING-OUT for records relating to contracting out of projects.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> TECHNOLOGY & TELECOMMUNICATIONS for records relating to the development of systems to support the capture and analysis workforce data</p>	
1.4.1		Records relating to reviews and investigations of the administration or management of an agency (or agencies). Records include review or investigation	Required as State

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No	Function/Activity	Description	Disposal Action
<i>WORKFORCE MANAGEMENT - Performance monitoring and review</i>			
		project plans, correspondence and notes of consultation or liaison with the agency concerning review or investigation processes and outcomes, discussion or working papers (e.g. collated research and survey data), review or investigation committee papers, final reports or submissions relating to the findings and recommendations of the review or investigation and records relating to the monitoring or review of the implementation of recommendations arising from the review or investigation.	archives
1.4.2		Records relating to reviews of public service employment structures and conditions. Includes reviews of senior executive (SES) remuneration structures, of agency based agreements to ensure they are within government policy and financial guidelines, of savings implementation plans submitted by agencies. Records include documents establishing the review, meetings with agencies, final reports, recommendations and action plan.	Required as State archives
1.4.3		Records relating to programs or projects initiated for the purpose of assisting agencies to improve performance or achieve service outcomes or to implement Government strategies, policies or practices. Records include project or program briefs and action plans, notes of consultation and meetings with agencies, reports or recommendations.	Required as State archives
1.4.4		Reports relating to the profile or status of the public sector workforce or the status or outcomes of workforce management or reform initiatives. This includes agency specific and sector wide annual, quarterly and ad hoc reports compiled from surveys, system data or reporting by agencies.	Required as State archives
1.4.5		Statistical or raw data set collections, such a workforce profile data, compiled for reporting or research purposes and providing an ongoing resource for monitoring, comparative analysis or research into the status of or changes to the workforce over time.	Required as State archives
1.4.6		Records relating to the collection of public sector workforce data. Records include data collection or survey form templates, completed forms used for collation of	Retain minimum of 10 years after

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No	Function/Activity	Description	Disposal Action
<i>WORKFORCE MANAGEMENT - Performance monitoring and review</i>			
		data and routine system reporting to support collation or analysis of data, data specifications and guidelines, data quality audits.	action completed, then destroy
1.4.7		Records relating to consultation with or the provision of assistance to agencies on workforce surveys or data collection. Includes training and guidelines developed to assist use of data collection systems, feedback or queries received from agencies concerning the submission of or access to workforce information, records of arrangements for and feedback from information or Q&A sessions held with agencies concerning workforce information collection processes e.g. advertisements for feedback sessions, booking arrangements, registrations of participants, feedback from participants.	Retain minimum of 5 years after action completed, then destroy
1.4.8		Reference documentation compiled to support review or investigation processes. Includes copies of published documents or materials relating to agencies under review such as copies of legislation and regulations, guidelines and policies, information on the agency or its services.	Retain until administrative or reference use ceases, then destroy
1.5.0	Personnel management systems and services	<p>The development and implementation of systems or services to support the administration personnel management processes within agencies.</p> <p>See WORKFORCE MANAGEMENT - Education, training and development for records relating to training developed to assist employees in implementing workplace standards, practices, codes of conduct, etc.</p> <p>See WORKFORCE MANAGEMENT - Policy and planning for records relating to the development of policies and strategies for management of the workforce and associated programs or projects and reporting on the overall evaluation or outcomes of system or service initiatives</p> <p>See WORKFORCE MANAGEMENT - Performance monitoring and review for records relating to programs or projects initiated for the purpose of assisting</p>	

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<i>WORKFORCE MANAGEMENT - Personnel management systems and services</i>			
		agencies to improve performance or achieve service outcomes	
1.5.1		Records relating to projects or programs established to assist the development or implementation of systems or services supporting the administration of personnel or human resources management within agencies (e.g. e-Recruitment, HR eXpert). Includes records relating to the establishment, planning for or reporting on implementation of the project or program, records of communications, liaison and consultation with agencies to pilot, test or support development and uptake of the system or service.	Retain minimum of 10 years after action completed, then destroy
1.5.2		Records relating to the provision of assistance to agencies with the administration of personnel management processes or systems. Includes records of enquiries or assistance provided concerning the use of personnel management systems or services, online training packages or guidelines and manuals developed for system users Note: Action completed may be the update or superseding of training materials or user manuals and guides	Retain minimum of 5 years after action completed, then destroy
1.5.3		Information or reference resources compiled to assist agencies administer personnel management process e.g. HR eXpert information resources	Retain until superseded or reference use ceases, then destroy
1.6.0	Policy and planning	The development and implementation of policies and strategic directions or initiatives to guide the management and development of the public sector workforce.	
1.6.1		Records relating to the development of policies and strategies for the management or administration of the public sector workforce. This includes policies and strategies in relation to its development, management, structure, service delivery	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>WORKFORCE MANAGEMENT - Policy and planning</i>			
		methods, work practices or reform. Records include final versions of policy or strategy documents, background research, drafts containing significant changes/alterations or formally circulated for comments, submissions and comments received concerning strategy or policy proposals, notes of meetings or consultation with stakeholders, reference groups, etc.	
1.6.2		Records relating to programs or projects initiated for the purpose of implementing workforce management or broader Government policy, strategy or reform initiatives. Records include program or project briefs and action plans, notes of meetings or consultation with stakeholder agencies, records documenting the evaluation, assessment or reporting on the outcomes of the project or program and training resources developed to assist implementation.	Required as State archives
1.6.3		Records relating to the development and establishment of operational (non-corporate) policies to support the conduct or implementation of programs, processes or activities by the organisation. Includes final versions of policy documents, draft versions circulated for comment of feedback and comments or feedback received from consultation processes.	Required as State archives
1.7.0	Standards and practices	<p>The establishment of standards and practices for management of the public sector workforce.</p> <p>See WORKFORCE MANAGEMENT - Education, training and development for training packages developed for employees</p> <p>See WORKFORCE MANAGEMENT - Personnel management systems and services for records relating to the development and implementation of systems and services to support the administration of personnel or human resources management processes within agencies</p>	
1.7.1		Records relating to the development and establishment of standards, procedures and guidelines for the management and administration of the public sector workforce. Records include approved and final versions of any issued standards,	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>WORKFORCE MANAGEMENT - Standards and practices</i>			
		procedures and guidelines (e.g. the Personnel Handbook, Merit Selection and recruitment guidelines, Incentive scheme implementation guides, etc.) and associated circulars or memoranda, proposals, research papers, draft versions circulated for approval or comment and records of the outcomes of consultation with agencies, unions and other stakeholders.	
1.7.2		Records relating to projects and programs established to assist in the reform, ongoing management or the implementation of workforce management standards, practices, policies and procedures. Records includes program or project action plans, notes of meetings or consultation with stakeholder agencies, records documenting the evaluation, assessment or reporting on the outcomes of the project or program and training resources developed to assist implementation e.g. employee's toolkit for capability assessment and career planning.	Required as State archives
1.7.3		Records relating to the authorisation of public sector (including senior executive) employment conditions and remuneration and approvals for establishment changes involving either increases in remuneration or the upgrading of establishment positions or an increase in the number of establishment positions. Records include submissions/requests for authorisation/approval, internal assessment of request and advice re confirmation/refusal of request.	Required as State archives
1.7.4		Record relating to applications for exemptions to advertise Senior Executive Service (SES) positions. Records include requests received and decisions on the applications.	Retain minimum of 5 years after action completed, then destroy
2.0.0	BOARDS AND COMMITTEES	The selection and appointment of persons to serve on boards or committees of public authorities.	
2.1.0	Advice	The receipt and provision of advice by or to the organisation.	
2.1.1		Records relating to the provision of advice to Government agencies concerning	Retain minimum of

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No	Function/Activity	Description	Disposal Action
<i>BOARDS AND COMMITTEES - Standards and guidelines</i>			
		board or committee selection and appointment processes e.g. general advice concerning requirements and responsibilities or the implementation and management of practices and standards.	10 years after action completed, then destroy
2.2.0	Standards and guidelines	The establishment of standards and guidelines for board and committee appointments.	
2.2.1		Standards, guidelines and handbooks relating to board or committee selection processes, appointments, remuneration, standards of conduct, etc. This includes standards, guidelines and handbooks developed for use by agencies or for board or committee members.	Required as State archives
2.2.2		Records relating to the drafting and development of standards, guidelines and handbooks for board or committee selection processes, appointments, remuneration, standards of conduct, etc.	Retain minimum of 10 years after action completed, then destroy