

State Records Authority of New South Wales

Functional Retention and Disposal Authority: FA338

This authority covers records documenting the provision of community legal services

Issued to Alternative Dispute Resolution Directorate (Community Justice Centres)
(Department of Attorney General and Justice)

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

FA338

SR file no

09/0379

Scope

This functional retention and disposal authority covers records documenting the provision of community legal services, in particular mediation and alternative dispute resolution services.

Public office

Alternative Dispute Resolution Directorate (Community Justice Centres)
(Department of Attorney General and Justice)

Approval date

26/08/2013

Date

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Director
State Records Authority of New South Wales

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
Provision of community legal services, in particular mediation and alternative dispute resolution services to the public (Alternative Dispute Resolution Directorate)

Authority number: FA338

Dates of coverage: Open

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No	Function/Activity	Description	Disposal Action
1.0.0	COMMUNITY MEDIATION SERVICES	The provision of mediation and alternative dispute resolution services to the public.	
1.1.0	Advice & assistance	Activities relating to the provision of information and referral services. See Mediation and dispute resolution for records relating to the provision of mediation services to assist the resolution of disputes between parties	
1.1.1		Records relating to the handling of enquires or provision of information of a general nature regarding the availability of services or the general processes or options for progressing a matter or obtaining further information, advice or assistance.	Retain minimum of 2 years after action completed, then destroy
1.1.2		Referral services information and contact details.	Retain until administrative or reference use ceases, then destroy
1.1.3		Final versions of information resources or publications developed to educate or inform the public about alternative dispute resolution, mediation or other legal processes, rights, specific legal issues and/or the availability of legal aid, assistance or services. This includes online publications, guides and resources.	Required as State archives
1.1.4		Records relating to the development and drafting of published information resources.	Retain until administrative or reference use ceases, then destroy
1.2.0	Mediation and dispute	Activities associated with the provision of mediation, conflict management and	

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No	Function/Activity	Description	Disposal Action
<i>COMMUNITY MEDIATION SERVICES - Mediation and dispute resolution</i>			
	resolution	<p>alternative dispute resolution services to the community</p> <p>See COMMUNITY MEDIATION SERVICES - Advice & assistance for records relating to the provision of advice or assistance regarding disputes and mediation or alternative dispute resolution in general or the referral of people to other services and for information resources or publications concerning the disputes and the availability of assistance or services.</p>	
1.2.1		Records relating to dispute cases/matters. This includes cases/matters that proceed to mediation, cases involving pre-mediation that do not proceed to mediation and cases where one of the parties withdraws prior to mediation, fails or declines to attend the session or does not respond to contact. Includes requests or referral forms, preparation documents, correspondence with parties, statements, mediators notes and outcomes.	Retain minimum of 7 years after action completed, then destroy
1.3.0	Policies, procedures and guidelines	Activities associated with the development of directions or guidelines for carrying out processes or activities.	
1.3.1		Final versions of policies and procedures for the provision of legal services, advice and assistance to clients. Includes policies, procedures, manuals, guidelines and practice notes or alerts concerning the provision of mediation or dispute resolution services and legal assistance, information or referral services.	Required as State archives
1.3.2		Records relating to the development and implementation of policies and procedures for the provision of services and assistance to clients. Includes records of policy and procedures drafting, promulgation, update and review processes.	Retain minimum of 7 years after action completed, then destroy
1.4.0	Services planning and development	<p>Activities associated with the evaluation and review of services to support ongoing development and strategic planning for service delivery.</p> <p>See General Retention and Disposal Authority <i>Administrative records STRATEGIC MANAGEMENT - Planning</i> for records relating to strategic and operational</p>	

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No	Function/Activity	Description	Disposal Action
<i>COMMUNITY MEDIATION SERVICES - Services planning and development</i>			
		planning processes	
1.4.1		Reports or recommendations on the outcomes of evaluations or reviews carried out to assess the suitability of (pilot, potential or existing) programs and service delivery methods in meeting the needs of clients or achieving policy or program objectives. Includes reports of needs analysis, surveys or assessments, etc. carried out to support ongoing service development or the assessment of pilots or new program initiatives.	Required as State archives
1.4.2		Records relating to the management of projects and programs implemented in the agency. Records include program or project budgets and funding arrangements, program framework and plans, governance documentation and reports.	Retain minimum of 7 years after action completed, then destroy
2.0.0	MEDIATOR APPOINTMENTS AND ACCREDITATION	The processes associated with the accreditation and appointment of individuals to provide mediation services.	
2.1.0	Accreditation	Activities associated with the accreditation of individuals to provide mediation services.	
2.1.1		Records relating to the approval or recognition of the organisation as a mediator accreditation body under national or industry schemes.	Retain minimum of 7 years after action completed, then destroy
2.1.2		Records relating to successful applications from individuals for accreditation to provide mediation services. Records include submitted application and renewal forms and associated supporting material and correspondence with the applicant concerning the application and its approval or renewal.	Retain minimum of 7 years after accreditation lapses, then destroy

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No	Function/Activity	Description	Disposal Action
<i>MEDIATOR APPOINTMENTS AND ACCREDITATION - Accreditation</i>			
2.1.3		Records relating to unsuccessful applications from individuals for accreditation to provide mediation services. Records include submitted application and renewal forms and associated supporting material and correspondence with the applicant concerning the outcome of the application.	Retain minimum of 2 years after action completed, then destroy
2.1.4		Records relating to the receipt and handling of enquiries regarding accreditation requirements or processes.	Retain minimum of 2 years after action completed, then destroy
2.2.0	Appointments	The activities relating to the appointment of individuals to provide mediation or alternative dispute resolution services for or on behalf of the organisation.	
2.2.1		Records relating to successful applications for appointment as a mediator. Records include application, curriculum vitae, educational and assessment documentation, recommendations and confirmation or advice of appointment.	Retain minimum of 7 years after panel appointment ceases, then destroy
2.2.2		Records relating to unsuccessful applications for appointment as a mediator. Records include applications and associated documentation and advice of outcome of application.	Retain minimum of 2 years after action completed, then destroy
2.3.0	Complaints	The activity of investigating complaints made about mediators or mediation services.	
2.3.1		Records of complaints made against mediators. Records include letter of complaint, correspondence with and complainant or mediator, notes or records of interviews, findings, conclusions and reports.	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>MEDIATOR APPOINTMENTS AND ACCREDITATION - Policies, procedures and guidelines</i>			
2.4.0	Policies, procedures and guidelines	<p>Activities associated with the development of directions or guidelines for carrying out processes or activities.</p> <p>See COMMUNITY MEDIATION SERVICES - Policies, procedures and guidelines for policies, practice standards, etc., for providing services to clients</p>	
2.4.1		<p>Records relating to the development and implementation of policies and procedures for managing mediator accreditation or appointment processes. Includes final versions and records of policy and procedures drafting, update and review processes.</p>	Retain minimum of 7 years after superseded, then destroy
2.5.0	Training and information resources	<p>The activity of developing or providing education, training and information resources.</p> <p>See COMMUNITY MEDIATION SERVICES - Advice & assistance for information resources and publications developed to educate or inform the public about alternative dispute resolution, mediation and other legal services or assistance.</p>	
2.5.1		<p>Training materials and resources prepared for the education or advice of mediators regarding the provision of services on behalf of the Department.</p>	Retain minimum of 7 years after superseded, then destroy
2.5.2		<p>Information resources or publications relating to mediator accreditation or appointment requirements and processes. Includes published fact or information sheets, forms or web page content for potential applicants outlining accreditation or application requirements, etc.</p>	Retain until withdrawn or superseded, then destroy
2.5.3		<p>Records relating to the development and drafting of training materials and information resources.</p>	Retain until administrative or reference use

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No	Function/Activity	Description	Disposal Action
<i>MEDIATOR APPOINTMENTS AND ACCREDITATION - Training and information resources</i>			
			ceases, then destroy