

State Records Authority of New South Wales

Functional Retention and Disposal Authority: FA363

This authority covers records documenting the function of urban development

Issued to Sydney Harbour Foreshore Authority

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 FA363

SR file no 15/0173

Scope This functional retention and disposal authority covers records documenting the function of urban development.

Public office Sydney Harbour Foreshore Authority

Approval date

Geoff Hinchcliffe
Director
State Records Authority of New South Wales

05/05/2015
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*. It is the duty of a public office, in submitting a draft 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 – 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 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) 9673 1788
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**Functional Retention and Disposal Authority
Urban development (Sydney Harbour Foreshore Authority)**

Authority number: FA363

Dates of coverage: Open

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Dates of coverage: Open

No	Function/Activity	Description	Disposal Action
1.0.0	ASSET MANAGEMENT PORTFOLIO	<p>The function of managing land and property assets owned and/or managed by the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records relating to the management of internal, external or inter-agency committees, task forces, working groups or parties etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> CONTRACTING-OUT for records relating to the hiring and use of consultants, contractors, vendors, suppliers, employees from external sources</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT for records relating to acquisition, design, construction, disposal, leasing, maintenance, procedures and planning for property.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT for records relating to planning and risk management associated with management of the organisation's land and property assets</p>	
1.1.0	Property Management	<p>The activity of managing properties owned or managed by the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT for records relating to acquisition, disposal, conservation, repair, maintenance and leasing out of properties, including long term leasing such as 99 year leases.</p>	
1.1.1		Summary records of tenancy and occupation of buildings. Records include legacy tenancy cards and summary tenancy data.	Required as State archives
1.1.2		Records relating to the management of tenancies that provide a long term history of the use of heritage and significant buildings, including additions and alterations	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>ASSET MANAGEMENT PORTFOLIO - Property Management</i>			
		to buildings, and relationships with long-term tenants.	
1.1.3		Records relating to agreements and memoranda of understanding made for the management of properties and land on behalf of other agencies.	Retain minimum of 10 years after expiry or termination of agreement, then destroy
2.0.0	CORPORATE GOVERNANCE	<p>The function of managing the governance of the organisation and companies established by it.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records of advisory committees.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> GOVERNING BODIES for records of governing bodies including agenda, minutes, reports, disclosures of interests etc.</p>	
2.1.0	Compliance	The activities associated with complying with legislation applying to companies.	
2.1.1		Records relating to the establishment of companies and compliance with company law. Includes certificates of incorporation, memoranda and articles, register of directors, annual returns, share and seal registers.	Required as State archives
2.1.2		Records facilitating company management and arrangements for the winding up of corporate-owned registered companies or subsidiaries. Includes notification of intentions, arrangements to discharge liabilities, removal from registration and bank guarantees.	Retain minimum of 7 years after company closure, then destroy
3.0.0	EVENTS MANAGEMENT & VISITOR	The creation and planning of events and programs and management of event spaces.	

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No	Function/Activity	Description	Disposal Action
<i>EVENTS MANAGEMENT & VISITOR EXPERIENCE - Customer Services</i>			
	EXPERIENCE	<p>See URBAN DESIGN & PRECINCT DEVELOPMENT - Regulatory Compliance for records relating to the issue of licences or permits for busking, liquor, photography, filming, weddings etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Agreements for records relating to sponsorship agreements.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Compliance for records relating to accreditation of venues.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Leasing-out for records relating to the hiring out of venues and the public domain for short term events and functions.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> TENDERING for records relating to procurement, tenders and contracts.</p>	
3.1.0	Customer Services	<p>The activities associated with the monitoring and evaluation of services provided to customers.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Public reaction for records relating to complaints that require investigation or a specific response.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Marketing for records relating to marketing plans and market research.</p>	
3.1.1		Records of complaints and feedback regarding service associated with events and venue hire and responses to complaints.	Retain minimum of 3 years after action completed, then

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No	Function/Activity	Description	Disposal Action
<i>EVENTS MANAGEMENT & VISITOR EXPERIENCE - Customer Services</i>			
			destroy
3.1.2		Records relating to the management of visitor attendance and feedback. Includes summary records, visitor books, compilation reports of visitor comments.	Retain minimum of 3 years after reference use ceases, then destroy
3.2.0	Education Services	<p>The activities associated with providing education programs to schools and other organisations or groups.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> STRATEGIC MANAGEMENT - Joint ventures for records relating to joint ventures and the development of partnership agreements for the delivery of public educational programs in collaboration with external providers such as Aboriginal guide teams.</p>	
3.2.1		Records relating to the planning and development of educational products developed or commissioned by the organisation, for example the history of historic sites such as The Rocks and the organisation's archaeological excavation programs. Includes research and final versions.	Required as State archives
3.2.2		Records relating to the administration and routine operation of educational programs including bookings for programs, draft and background program material, program worksheets etc.	Retain minimum of 3 years after action completed, then destroy
3.3.0	Events	The activities associated with creating, planning and managing events.	
3.3.1		Records relating to the planning, management, scheduling and staging of one off, seasonal and long running annual events, including layout, lighting, performers and risk management. Records include:	Retain minimum of 5 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>EVENTS MANAGEMENT & VISITOR EXPERIENCE - Events</i>			
		<ul style="list-style-type: none"> • schedules and maps • photographs • interpretations • presentations. 	
3.3.2		Records of bookings and ticketing for events and activities.	Retain minimum of 2 years after action completed, then destroy
4.0.0	HERITAGE MANAGEMENT SERVICES	<p>The management and exhibition of heritage items including objects and artefacts found in precincts managed by the organisation. Includes undertaking archaeological investigations and the provision of advice on conservation issues.</p> <p>See EVENTS MANAGEMENT & VISITOR EXPERIENCE - Education Services for records relating to archaeological dig programs.</p> <p>See URBAN DESIGN & PRECINCT DEVELOPMENT - Regulatory Compliance for records relating to heritage applications for works proposed.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for the activities associated with the management of internal, external or inter-agency committees, task forces, working groups or parties etc.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> INFORMATION MANAGEMENT - Acquisition for records relating to the purchase or acquisition of images of heritage buildings.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY</p>	

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No	Function/Activity	Description	Disposal Action
<i>HERITAGE MANAGEMENT SERVICES - Archaeology</i>			
		<p>MANAGEMENT - Conservation for management plans and conservation registers for buildings, properties or sites of heritage significance.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Construction for photographs of buildings and sites capturing an image of how they look prior to alteration and photographs used to monitor deterioration in condition over time.</p>	
4.1.0	Archaeology	Activities relating to archaeological investigations undertaken in sites owned or managed by the organisation.	
4.1.1		Records relating to the investigation and monitoring of archaeological sites. Includes final assessment reports, unique data, diaries and drawings, high quality photographs of relics.	Required as State archives
4.1.2		Records of a routine nature relating to archaeological investigations. Records include project administration, site meeting records, etc.	Retain minimum of 3 years after action completed, then destroy
4.2.0	Collection management	<p>The activities relating to the acquisition, evaluation, description, arrangement, storage, access, retrieval and use of objects and artefacts held by the organisation.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> INFORMATION MANAGEMENT - Control for photographic collection databases and control records.</p>	
4.2.1		<p>Records relating to the acquisition, management, disposal or deaccessioning of items. Includes records documenting:</p> <ul style="list-style-type: none"> • the discovery of items, or negotiations and agreements for the purchase, sale, donation, deposit, transfer, return or repatriation of items 	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>HERITAGE MANAGEMENT SERVICES - Collection management</i>			
		<ul style="list-style-type: none"> • the provenance, history, significance or meaning of items • summary records documenting collection items over time, including the history of use of an item, significant conservation treatment, or incidents of damage. 	
4.2.2		Summary records supporting the control and management of collection items. This may include registers, indexes, inventories, location control records, etc., supporting the identification, tracking, location, storage and control of items within the collection not required as primary source of summary documentation of the provenance, source of acquisition or disposal of collection items.	Retain until no longer required for reference or for the ongoing management of or provision of access to collection items, then destroy
4.2.3		Records of a routine nature relating to the conservation and care of the collection. Includes project administration, site meeting records, etc.	Retain minimum of 3 years after action completed, then destroy
4.2.4		Key records relating to the staging of exhibitions. Includes concept design and planning records, photographic records of the exhibition, programs and catalogues, textual description and interpretation of display items.	Required as State archives
4.2.5		Records of the administration, staging and arrangement of exhibitions, including maintenance, repairs, cleaning, security arrangements for exhibition items etc. Records include background research, exhibitions plans and objectives, records documenting the layout, installation and preparation of items for the exhibition, etc.	Retain minimum of 5 years after action completed, then destroy
4.2.6		Selected representative photographs taken or commissioned by the organisation of events, aerial shots, historic sites, buildings and new developments in the precincts	Required as State

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<i>HERITAGE MANAGEMENT SERVICES - Collection management</i>			
		<p>it manages. Includes:</p> <ul style="list-style-type: none"> • advertising and marketing photographs, for example, from the Design Studio • photographic recordings of The Rocks taken every ten years. <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMUNITY RELATIONS - Marketing for other marketing photographs.</p>	archives
4.2.7		Records relating to the development of policies and procedures associated with archaeological and museum collection management. Records include background information, drafts and final versions, strategic plans and objectives.	Required as State archives
4.2.8		Records relating to inward and outward loans of items for displays and exhibition purposes.	Retain minimum of 5 years after action completed, then destroy
4.2.9		Records relating to routine enquiries received from researchers, schools, other institutions and the general public regarding collection items or potential donations of items. Includes offers of items which are not successful.	Retain minimum of 2 years after action completed, then destroy
5.0.0	URBAN DESIGN & PRECINCT DEVELOPMENT	<p>Activities relating to the development of precincts and improvement of infrastructure. Includes ensuring development conforms to heritage and environmental guidelines.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> COMMITTEES for records relating to the membership and management of committees.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> TENDERING</p>	

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No	Function/Activity	Description	Disposal Action
<i>URBAN DESIGN & PRECINCT DEVELOPMENT - Horticultural Management</i>			
		for records relating to receiving and assessing tenders.	
5.1.0	Horticultural Management	<p>The activities associated with managing and designing gardens and parks in public spaces managed by the organisation. Includes the landscaping of parks, reserves, roadsides, gardens and playing fields.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> PROPERTY MANAGEMENT - Procedures for records relating to procedures for the management of parks and gardens.</p>	
5.1.1		<p>Records relating to the design of parks and gardens, and the planting and monitoring of heritage listed, protected or unique trees and plants. Includes:</p> <ul style="list-style-type: none"> • landscape architectural plans, designs, specifications, photographs and drawings • significant tree and plant registers • inspection and treatment reports and recommendations • planting information, including location details, number planted, removal information. 	Required as State archives
5.1.2		<p>Records relating to the planting, maintenance and monitoring of trees and plants which are not heritage listed, protected or unique. Records include:</p> <ul style="list-style-type: none"> • maintenance schedules • records of tree pruning, maintenance and removal • inspection and treatment reports and recommendations 	Retain minimum of 10 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>URBAN DESIGN & PRECINCT DEVELOPMENT - Horticultural Management</i>			
		<ul style="list-style-type: none"> • planting information, including location details. • grounds managers diaries • receipt and provision of advice 	
5.1.3		Records relating to the receipt and provision of internal and external advice concerning horticultural planning, management and maintenance.	Retain minimum of 5 years after action completed, then destroy
5.2.0	Planning	The process of formulating ways in which objectives can be achieved. Includes the determination of services and needs, and the solution to those needs.	
5.2.1		Records relating to the development of strategic and master plans for the management and development of precincts or sites. Records include: <ul style="list-style-type: none"> • commissioned studies • public submissions • economic development plans • advice from consultants or other agencies • development authorities for the site or precinct • final and draft plans. 	Required as State archives
5.2.2		Working papers and background documentation to strategic plans.	Retain minimum of 5 years after action completed, then

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No	Function/Activity	Description	Disposal Action
<i>URBAN DESIGN & PRECINCT DEVELOPMENT - Precinct Operations</i>			
			destroy
5.3.0	Precinct Operations	The activities relating to the maintenance and provision of security for parks and public domains. See General Retention and Disposal Authority <i>Video/visual surveillance records</i> PROPERTY MANAGEMENT - Security 3.1.1 for records of CCTV security footage	
5.3.1		Records relating to cleaning, waste management and pest control.	Retain minimum of 2 years after action completed, then destroy
5.3.2		Records relating to the management of security in public domains and at events. Records include risk assessments, security incident reports, access authorisations and minor security breaches and investigations.	Retain minimum of 7 years after action completed, then destroy
5.4.0	Regulatory Compliance	The activities relating to the monitoring and enforcing of compliance with statutory and other regulations for the use of land, facilities, services and the conduct and safety of persons.	
5.4.1		Summary records or registers of development and building applications and consents.	Required as State archives
5.4.2		Records relating to development control of heritage listed or other significant buildings. Records include: <ul style="list-style-type: none"> • development applications and determinations • permit applications, exemptions and approvals or rejections for works proposed. 	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>URBAN DESIGN & PRECINCT DEVELOPMENT - Regulatory Compliance</i>			
5.4.3		Records relating to approved applications for development control involving major works for buildings which are not heritage listed or significant. Records include: <ul style="list-style-type: none"> • development applications and determinations • permit applications, exemptions and approvals for works proposed. 	Retain minimum of 10 years after action completed or until structure is removed or demolished, whichever is longer, then destroy
5.4.4		Records relating to approved applications for development controls involving minor works where the building is not heritage listed or significant.	Retain minimum of 10 years after after issue of final certification, then destroy
5.4.5		Records relating to applications for development controls where the building is not heritage listed or significant and the applications are refused, withdrawn or cancelled.	Retain minimum of 7 years after action completed, then destroy
5.4.6		Records relating to the receipt and determination of applications for permits for regulated activities, for example, crane operations, hoardings, busking, weddings, photography, hazardous goods etc. Includes infringements and penalties issued for offences against regulations.	Retain minimum of 7 years after action completed, then destroy
5.4.7		Records relating to notifications issued in the interest of public safety, such as notices given on the use of pesticides.	Retain minimum of 20 years after action completed, then destroy