

# **State Archives and Records Authority of New South Wales**

## **Functional Retention and Disposal Authority: FA425**

This authority covers records documenting the function of Service NSW

This retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.



# State Archives and Records Authority of New South Wales

## Functional Retention and Disposal Authority

**Authority no** FA425

**SR file no** 22/0079

**Scope** This retention and disposal authority covers records documenting the function of Service NSW.

**Public office** Service NSW

**Approval date** 23 May 2022

## **About the Functional Retention and Disposal Authority**

### **Purpose of the authority**

The purpose of this 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 the State Archives and Records Authority of New South Wales (State Archives and Records NSW) with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Archives and Records NSW does not disapprove. Advice on the State Records Act can be obtained from State Archives and Records NSW.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. State Archives and Records NSW reviews and approves organisations' retention and disposal authorities under the *State Records Act*. It is the duty of a public office, in submitting a draft retention and disposal authority for approval, to disclose to State Archives and Records NSW any information which affects the retention of the records covered by the authority.

State Archives and Records NSW's decisions take into account both the administrative requirements of public offices in discharging their functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Archives and Records NSW's 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 Archives and Records NSW and of public offices in undertaking appraisal processes and disposal activities.

### **Implementing the authority**

This 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. For further advice 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 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 Archives and Records NSW when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Archives and Records NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Archives and Records NSW 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, government directives and changing social or community expectations. A public office **must not** dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, formal applications for access) where the records may be required as evidence.

Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded. See *Destruction of records: a practical guide*.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Archives and Records NSW recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office **must not** permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Archives and Records NSW.

### **Administrative change**

This retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Archives and Records NSW for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Archives and Records NSW to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

### **Amendment and review of this authority**

State Archives and Records NSW must approve any amendment to this authority. Public offices that use the authority should advise State Archives and Records NSW of any proposed changes or amendments to the authority.

State Archives and Records NSW recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Archives and Records NSW may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements, procedures or to operating environments which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Archives Records NSW and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

#### Contact Information

State Archives and Records NSW  
PO Box 516  
Kingswood NSW 2747  
Telephone: (02) 9673 1788  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)



## Functional Retention and Disposal Authority Service NSW

Authority number: FA425

Dates of coverage: Open

List of Functions and Activities covered
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## 1.0.0 SERVICE DELIVERY

The function of developing and managing services to the public online, over the phone, or face to face. Types of services might include those:

- provided on behalf of partner agencies
- developed and provided by the organisation as part of business development
- provided under the direction of the ministry.

See the *General retention and disposal authority: Public Health Services patient records EPIDEMIOLOGY AND SURVEILLANCE – Data collection (entry 8.1.3)* for the disposal of Covid-19 contact tracing records.

See *the partner agency's relevant functional retention and disposal authority* for records managed on their behalf - e.g. transactional records

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Accounting** for records relating to the receipt and processing of transaction fees or refunds

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Policy** for records relating to setting and revising fees and fee structures for delivering services on behalf of the organisation's partner agencies

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Reporting** for records relating to the provision of advice and reports to the minister or government regarding partnerships, service delivery, the administration of grants, annual reports or other reports of the organisation's performance

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to negotiating, creating, renewing or terminating agreements, deeds, MOUs, statements of work, or similar arrangements with the organisation's partners, including agreements that do not proceed.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to approved third parties delivering services on behalf of the organisation, e.g., Store in Store services

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to establishing and managing relationships with partners, including negotiation and establishment of agreements with partners, ongoing liaison, dispute resolution.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Policy** for records relating to developing policies and procedures that establish the rules and standard methods for establishing and managing relationships with partner agencies.

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### *SERVICE DELIVERY - Customer Profile Management*

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Procedures** for records relating to the development of procedures regarding the provision of service arrangements with partner agencies

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Reporting** for records relating to reports to management on partnerships and performance management

### **1.1.0 Customer Profile Management**

1.1.1	Records relating to the establishment and management of profiles for individual citizens or businesses to perform government services, including personal details.	Retain a minimum of 30 days after profile is permanently deactivated, then destroy
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*SERVICE DELIVERY - Customer Service*

### 1.2.0 Customer Service

The activities associated with providing services to customers on behalf of the organisation's partner agencies or as part of the organisation's business activities.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Customer service** for bookings and arrangements for customer appointments with the organisation or made on behalf of other government agencies

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Customer service** for records relating to the calls from customers to support the provision of customer services. Also refer to the individual partner agreements

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Public reaction** for records relating to enquiries or complaints received from the members of the public that require a routine response or result in referral to another organisation and do not result in an update to the customer's profile of transaction data

1.2.1	<p>Records relating to services provided to the organisation's customers. Records include:</p> <ul style="list-style-type: none"> <li>• case management files</li> <li>• receipt, investigation and response to a customer enquiry or complaint</li> <li>• customer correspondence</li> <li>• summary records facilitating the monitoring and tracking of enquiries or complaints received and their handling, e.g. complaints registers.</li> </ul> <p><b>Note:</b> records created on behalf of partner agencies are not covered by this disposal authority. Please refer to the retention and disposal authorities issued to the partner agencies.</p>	Retain minimum of 7 years after action completed, then destroy
1.2.2	Records relating to enquiries or complaints received from the members of the public that require a routine response or result in referral to another organisation and do not result in an update to the customer's profile of transaction data.	Retain minimum of 2 years after action completed, then destroy
1.2.3	Reminders, updates or other alerts or similar notifications to the customer distributed by the organisation.	Retain minimum of 2 years after administrative or reference use ceases, then destroy

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*SERVICE DELIVERY - Grant management*

### 1.3.0 Grant management

The activities associated with administering act of grace payments, economic stimulus packages, funds, incentives or other financial assistance to the public, businesses, community groups, non-government organisations or other stakeholders.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Reporting** for records relating to providing reports on grant administration to the minister.

See General Retention and Disposal Authority *Administrative records* **LEGAL SERVICES - Litigation** for records relating to managing lawsuits or legal proceedings between the organisation and other parties in a court or other tribunal.

1.3.1	<p>Records relating to the administration of act of grace payments, economic stimulus packages, grants, rebates, incentives etc. to the public, small businesses, community groups, etc. Records include:</p> <ul style="list-style-type: none"> <li>• communication plans and advice</li> <li>• application forms and supporting documentation (e.g. Income Tax Returns, BAS, bank statements)</li> <li>• proof of identity checklists</li> <li>• customer account data</li> <li>• eligibility assessment reports</li> <li>• advice of application outcomes</li> <li>• ongoing liaison and correspondence with applicants</li> <li>• unsuccessful applications.</li> </ul> <p><b>Note:</b> proof of identity documents should be sighted and returned to the applicant when they are no longer required for business purposes and have been verified.</p>	Retain minimum of 10 years after action completed, then destroy
1.3.2	Records relating to the administration of applications for small grants where there is no assessment process beyond proof of identity, e.g. vouchers for dining, swimming lessons etc.	Retain minimum of 2 years after action completed, then destroy
1.3.3	Records relating to investigations into suspected or actual fraudulent applications for financial assistance. Records include:	Retain minimum of 10 years after action completed, then destroy

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### *SERVICE DELIVERY - Partnerships liaison*

	<ul style="list-style-type: none"><li>• communications advice</li><li>• outcomes of assessment</li><li>• documentation requested from the applicant in the course of the investigation</li><li>• intelligence and investigation records from law enforcement and other entities such as the Australian Taxation Office</li><li>• internal fraud assessments and reports</li><li>• case files and records of correspondence shared with and sent to law enforcement</li><li>• conviction reports and court documents, where a case is prosecuted.</li></ul>	
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#### **1.4.0 Partnerships liaison**

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to the management of commercial ventures and services where the organisation provides the service.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to the establishment and monitoring of joint ventures with other organisations (government or non-government)

1.4.1	Records relating to routine liaison, meetings and regular general contact with partners regarding the delivery of services. Records include: <ul style="list-style-type: none"><li>• correspondence, including minutes or notes of meetings with partners</li><li>• action and decision registers.</li></ul>	Retain minimum of 2 years after reference use ceases, then destroy
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*SERVICE DELIVERY - Procedures*

### 1.5.0 Procedures

The activities associated with developing and reviewing procedures regarding the provision of service arrangements in collaboration with partner agencies.

1.5.1	<p>Records relating to the formulation and review of knowledge articles, guidelines and procedures in collaboration with partner agencies to deliver services on their behalf and per their policies.</p> <p>Records include:</p> <ul style="list-style-type: none"><li>• copies of partner agency policies and directives that form the basis of how the organisation provides services on behalf of its partners per partnership agreements</li><li>• final approved versions &amp; research</li><li>• notes of meetings or reports analysing issues and the outcomes of consultation partner agencies, and frontline services.</li><li>• draft versions containing significant changes or formally circulated for comment.</li></ul>	Retain minimum of 7 years after superseded, then destroy
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*SERVICE DELIVERY - Product and service development*

### 1.6.0 Product and service development

The activities associated with developing and reviewing, and delivering new products and services on behalf of partner agencies per partnership agreements

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for records relating to identifying future business opportunities, including those with partner agencies

See General Retention and Disposal Authority *Administrative records* **TECHNOLOGY & TELECOMMUNICATIONS - Application development and management** for records relating to developing or acquiring, testing and implementing systems, applications and databases to enable or support the provision of the organisation's services to citizens or business, such as MyAccount

1.6.1	Records relating to the development, reviewing and delivery of new or revised products, services or service delivery models. Records include: <ul style="list-style-type: none"><li>• project management records</li><li>• reporting</li><li>• background research etc</li></ul>	Retain minimum of 7 years after action completed, then destroy
1.6.2	Records relating to identifying future business opportunities, including those with partner agencies. Records include: <ul style="list-style-type: none"><li>• business analysis, market research, feasibility studies, business cases</li><li>• implementation plans</li><li>• roadmaps</li><li>• correspondence and negotiations, including minutes or notes of meetings.</li></ul>	Retain minimum of 5 years after action completed, then destroy

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*SERVICE DELIVERY - Quality Assurance Monitoring*

### 1.7.0 Quality Assurance Monitoring

The activities associated with implementing quality assurance controls to ensure compliance with partner agency policies, directives or other requirements stipulated in the partner agreements

1.7.1	<p>Records relating to developing quality assurance frameworks in conjunction with partner agencies which form the standard operating procedures for service delivery. Includes procedures, guides, checklists etc. Records include:</p> <ul style="list-style-type: none"> <li>• final approved versions</li> <li>• background research</li> <li>• notes of meetings or reports analysing issues and the outcomes of consultation with stakeholders</li> <li>• draft versions containing significant changes or formally circulated for comment</li> <li>• correspondence with partner agencies.</li> </ul>	Retain minimum of 7 years after superseded, then destroy
1.7.2	<p>Records relating to the implementation of quality assurance controls to ensure compliance with partner in conjunction with partner agency policies, directives, or other requirements stipulated in the partnership agreements. Records include:</p> <ul style="list-style-type: none"> <li>• frontline service health checks</li> <li>• routine quality assurance reporting</li> <li>• front line certification against quality assurance requirements</li> <li>• risk assessments conducted into new or modified transactions</li> <li>• operational plans and schedules for monitoring</li> <li>• staff and manager interviews and surveys</li> <li>• final status and improvement reports for frontline services as a result of the monitoring.</li> </ul>	Retain minimum of 2 years after action completed, then destroy
1.7.3	<p>Records relating to investigations into critical transaction errors either reported by the agency, a staff member or the customer. Records include:</p>	Retain minimum of 7 years after action



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*SERVICE DELIVERY - Quality Assurance Monitoring*

	<ul style="list-style-type: none"><li>• transaction exception and critical error reports</li><li>• agency notifications</li><li>• investigation report</li><li>• partner liaison.</li></ul>	completed, then destroy
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