

State Archives and Records Authority of New South Wales

General Retention and Disposal Authority: GA28

This authority covers records documenting the function of common administrative records created and maintained by New South Wales Public Offices

This general 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.

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State Archives and Records Authority of New South Wales

General Retention and Disposal Authority

Authority no GA28

SR file no 07/0435

Scope This general retention and disposal authority covers records documenting the function of common administrative records created and maintained by New South Wales Public Offices from 1940 onwards.

Public office This authority applies to all public offices under the State Records Act 1998.

Approval date 25/06/2007

See Part 1, 1.1 for details of amendments to the authority.

Part 1: The general retention and disposal authority

1.1 Statement of authority

GA No: GA28

Scope: This authority applies to common administrative and personnel records created and maintained by New South Wales Public Offices from 1940.

Public office: This authority applies to all public offices under the *State Records Act 1998*.

Original Approval Director, State Records Authority of NSW

25 June 2007

Amendments

2009

22 June 2009 amended to incorporate coverage of financial management records, superseding coverage previously provided by *General disposal authority: financial and accounting records (GDA7)*.

2012

21 September 2012 Amended to incorporate coverage of personnel records, superseding coverage previously provided by *General disposal authority: personnel records (GDA12)*.

2014

Revised 27 February 2014 - Summary of amendments:

- inclusion of an additional entry (2.6.5) covering recordings of calls to customer service officers or call centres (COMMUNITY RELATIONS – Customer service)
- amendment of entry 2.14.2 to include promotional or general information published or disseminated via websites, blogs or social media (COMMUNITY RELATIONS – Marketing)
- amendment of entry 16.15.1 to clarify the scope of leasing arrangements to which it can be applied (PROPERTY MANAGEMENT – Leasing-out)
- inclusion of an additional entry (16.15.3) covering long term leasing out arrangements (PROPERTY MANAGEMENT – Leasing-out)
- inclusion of an additional entry (16.15.4) covering short term hire or usage of properties (PROPERTY MANAGEMENT – Leasing-out)
- amendment of the disposal action for records demonstrating the structure and organisation of agency websites (entry 17.15.2) from required as State archives to retain until superseded or administrative or reference use ceases (entry 17.15.9) (PUBLICATION – Production)
- amendment of the disposal action for business forms or templates (class 17.15.4) to permit disposal after superseded, rather than requiring records to be retained for as long as the records transacted using the forms are kept (PUBLICATION – Production).

2015

Revised 27 February 2015 Amended to incorporate coverage for cardholder data associated financial management records (FINANCIAL MANAGEMENT – Accounting, entries 7.1.8 and 7.1.9).

Amended 24 July 2015 to remove specific reference to the NSW Recordkeeping Metadata Standard (NRKMS) data elements from entry 12.9.1 (INFORMATION MANAGEMENT - Control).

Revised 15 December 2015 Summary of amendments:

- inclusion of an additional entry (7.7.2) covering records of approvals for use and applications for issue of corporate credit or purchase cards.
- amendment of disposal action applying to final versions of business classification schemes (BCS), thesauri, authorised abbreviations and metadata rules and dictionaries so that these are no longer required as State archives. Entry 12.9.6 superseded by amended entry 12.9.7 (INFORMATION MANAGEMENT - Control).
- change of the function title GOVERNING & CORPORATE BODIES to GOVERNING & CORPORATE BODIES and amendment of scope to extend application to include the establishment and management of corporate entities, such as companies and corporations, as well as governing bodies, such as boards, trusts, councils, commissions etc.
- incorporation of an additional entry (9.8.3) to cover records documenting the establishment and registration of the organisation, or an entity controlled by it, as a corporate entity. Includes certificates, memoranda and articles of incorporation or association, company or corporate registers (e.g. share and seal registers, registers of directors, etc.).
- incorporation of an additional entry (9.8.4) to cover records relating to arrangements for the winding up of corporate-owned registered companies, subsidiaries or controlled entities. Includes notification of intentions, arrangements to discharge liabilities, removal from registration.
- change of the activity title of entry 16.10.0 to Flora, fauna & animal management and amendment of the scope to extend application to include the management of farm and other animals in property or areas under the control of the organisation.
- incorporation of an additional entry (16.10.3) to cover records relating to the management and care of farm or other animals.
- amendment of entry 16.14.3 to incorporate coverage for records documenting ongoing administrative matters associated with lease arrangements.
- amendment of entry 16.15.2 to incorporate coverage for records documenting ongoing administrative matters associated with leasing out arrangements.

2017

Revised August 2017 – Summary of amendments:

- amendment of entry 2.5.2 to include administrative arrangements for the delivery of training courses, workshops, information sessions, etc., by the organisation
- inclusion of additional entry 2.6.6 to cover evaluation forms or surveys providing feedback on the organisations services, events, programs or other activities.
- inclusion of additional entry 2.6.7 to cover records relating to the management of bookings for events, programs or other activities held by the organisation
- amendment of entries 2.7.1, 2.7.2 and 2.7.3 to include sponsorships of the organisation
- amendment of entry 2.8.1 to include additional examples of types of enquiries
- removal of entry 2.10.1 and expansion of entry 2.14.1 to include exhibitions and fundraising campaigns (exhibitions previously covered under 2.10.1)
- amendment of entry 2.14.4 to increase retention period from 5 to 7 years after completion of sponsorship or patronage arrangements

- removal of entry 2.23.1 and amendment of entry 2.23.2 to cover visits by community representatives or officials previously covered by 2.23.1 and previously required to be retained for 6 years after action completed
- amendment of entry 14.13.2 to increase retention period for monitoring of employees for work health and safety hazards increased from 30 to 40 years after action completed, or expiry of statutory limitation periods, whichever is longer
- inclusion of additional entries 16.25.1, 16.2.5.2 and 16.25.3 to cover traffic and parking management
- inclusion of additional entry 16.7.7 to cover Records relating to the design and installation of temporary equipment, spaces and structures for events, exhibitions, etc. Includes lighting, temporary stages, display panels, seating, signage and banners
- amendment of entry 16.7.1 to extend scope of coverage to include records relating to the naming of buildings and design competition records

2019

Revised 21 January 2019 – Summary of amendments:

- scope of class covering fraud and corruption by members of governing bodies (entry 9.9.1) expanded to include misconduct to provide coverage for allegations of child abuse.
- scope of existing entry covering allegations of abuse or neglect of children by staff (entry 15.8.1) expanded to include notifications and referrals of allegations and cases to external bodies.
- additional disposal action for records relating to the statutory reporting of incidents (entry 15.11.1) to require records relating to allegations of child abuse or neglect to be retained for a minimum of 100 years after action completed. This is consistent with the disposal action for records relating to allegations of child abuse or neglect by employees, and takes into account the recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse.
- Additional note under entry 19.4.4 that any records relating to the handling of allegations of sexual abuse of children by clients, visitors, service providers and members of the public received by the organisation should be retained for at least 45 years from date of the incident.
- additional see reference at COMMUNITY RELATIONS – Public reaction to see entry 19.4.4 for complaints containing allegation of abuse or neglect of children involving staff, contractors, volunteers, etc

2021

Revised 19 July 2021 – Summary of amendments:

- notes added to entries covering celebrations, events, marketing and publication (entries 2.4.1, 2.4.2, 2.14.1, 17.15.7 and 17.15.8) to cover audio visual programs and recordings following the revoking of *GDA11 Audio visual programs and recordings*.
- Inclusion of additional entry to cover routine visual surveillance and monitoring records (e.g. closed circuit television (CCTV) footage) which are not required for evidentiary, regulatory or other operational purposes (16.24.7) following the revoking of *GDA8 Video/visual surveillance records*

Revised 15 November 2021

- Note added to 15.4.3.

Revised 16 December 2021

The following changes were made to enable coverage for commercial services and consultancies, and functional planning, policies and procedures in GA28 rather than requiring them to be covered in separate functional authorities:

- Additional entries to cover the provision of services by the organisation of a commercial basis (new entries 4.0.3 and 4.0.4 and renaming of CONTRACTING-OUT to CONTRACTING OUT & COMMERCIAL SERVICES)
- Expansion of scope of entry 19.14.1 under STRATEGIC MANAGEMENT – Planning to include planning of core business functions and whole-of-government planning to standardise coverage.
- New entry under STRATEGIC MANAGEMENT – Policy to cover strategic or high-level policies for core functions and whole-of-government policy developed by the agency or where the agency provided substantial input (19.15.3).
- Expansion of scope of entry 19.15.1 under STRATEGIC MANAGEMENT – Policy to include operational policies.
- New entry under STRATEGIC MANAGEMENT – Procedures to cover procedures that relate to core statutory responsibilities where there is a high level of risk or potential impact to the community, or that are developed for whole-of-government use (entry 19.16.3).
- Amended entry under STRATEGIC MANAGEMENT – Procedures to cover operational procedures (19.16.1).

The following change was made to the entry covering certificates of title due to changes in the *Real Property Act*:

- Change of disposal action from retain until property is sold then transfer to new owner, to retain until administrative or reference use ceases (entry 16.1.4).

Part 2: Understanding and using the authority

1.1 Overview

Purpose of the authority

The purpose of the *General retention and disposal authority: administrative records* is to identify those administrative and personnel records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other common administrative 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 only and does not override any other obligations of an organisation to retain records.

See 2.3 Guidelines for implementation: Destroying records for more information.

Public offices authorised to use this authority

The *General retention and disposal authority: administrative records* applies to all public offices under the *State Records Act 1998*.

What records does the authority cover?

This authority authorises the disposal of most general and certain other common administrative, financial and personnel records, created and maintained in any format, by NSW public offices.

See *List of functions and common activities* for more information on records covered by the authority.

Date range of records covered

This authority applies to records wholly created after 1940 except where records are required as State archives, where it applies to records of any age. The disposal of records created before 1940 which are not required as State archives in this authority should be referred to State Archives and Records NSW.

Records relating to core or unique business functions

Public offices should refer to or prepare for State Archives and Records NSW approval separate retention and disposal authorisation to cover records relating to the organisation's core or unique business functions not covered by this authority. See State Archives and Records NSW web site for further advice and guidance relating to retention and disposal authorisation for records of core or unique business functions.

Records covered by normal administrative practice (NAP)

Certain records of a facilitative, ephemeral or duplicate nature can, in prescribed circumstances, be disposed of in accordance with the normal administrative practice (NAP) provisions of the State Records Act without the need of formal approval from State Archives and Records NSW.

See Schedule 2 of the *State Records Regulation 2015* for further information on what constitutes normal administrative practice in a public office.

Public offices should develop internal policies and procedures, based on Schedule 2 of the Regulation, to define and authorise what is meant by normal administrative practice for their organisation and to identify and document the types of records that are disposed of under this provision of the Act as part of the routinely implemented practices of the organisation.

Previous disposal authorities superseded

This authority supersedes previous disposal authorisation in the following authorities:

- Administrative records (GDA2) revised edition 1996
- Year 2000 project records (GDA6) 1999
- Financial and accounting records (GDA7) revised edition 1999
- Personnel records (GDA12) revised edition 2002
- Video/visual surveillance records GDA8 (2010)
- Audio visual programs and recordings (GDA11) 2002.

How long is the authority in force?

This authority will remain in force until it is superseded by a new authority or it is withdrawn from use by State Archives and Records NSW.

Use of this authority in conjunction with other retention and disposal authorities

This authority permits the disposal of most general and certain other common administrative records, created and maintained in any format, by NSW public offices.

Organisations with functional authorities

Organisations should use this authority in conjunction with applicable functional authorities and other approved general authorities. This authority does not override any approved minimum retention periods or disposal actions in functional authorities issued prior or subsequent to the approval of this authority, except where specified.

Where this authority identifies a longer retention period to that identified in a previously issued functional authority, organisations are advised to consider retaining records in accordance with the longer retention period identified in this authority as this is more likely to reflect current recordkeeping requirements.

Universities, local government, public health and other sectors with specific general authority coverage

Universities, local government, the public health sector and other sectors with specific general authority coverage should use this authority in conjunction with their sector-specific authorities and other approved general authorities. For functional and sector-related administrative records, the sector-specific authority should be used in the first instance. If there is no disposal coverage for required records, and the records are covered in this authority, they may use the relevant entries in this authority to sentence and dispose of these records. This authority does not override any approved minimum retention periods or disposal actions in sector-specific authorities issued prior or subsequent to the approval of this authority, except where specified.

Where this authority identifies a longer retention period to that identified in a previously issued sector-specific authority, organisations are advised to consider retaining records in accordance with the longer retention period identified in this authority as this is more likely to reflect current recordkeeping requirements.

Providing feedback

To suggest amendments or alterations to this authority please contact us via email at: govrec@records.nsw.gov.au.

Further assistance

State Archives and Records NSW provides guidance in the development and use of retention and disposal authorities as well as other aspects of records management. More information is available on our website at www.records.nsw.gov.au/recordkeeping.

To obtain assistance in the interpretation or implementation of this authority, or any of our general retention and disposal authorities, contact us at:

govrec@records.nsw.gov.au.

Guidelines for implementation

Introduction

Implementing retention and disposal authorities ensures that records are retained for the correct period of time and no longer (or shorter) than necessary. It also ensures that records are disposed of in a timely, routine and efficient manner. Undertaking sentencing and regular disposal of records ensures that the organisation is not exposed to unnecessary costs for retaining paper and digital records it no longer requires.

Comprehensive information about implementing disposal authorities is found in State Archives and Records NSW guideline *Implementing a disposal authority*.

Minimum retention periods

The authority specifies minimum retention periods for all records not required as State archives. A public office must not destroy or otherwise dispose of records before the minimum retention period has expired. If a public office desires to reduce the minimum retention period it must seek specific written approval from State Archives and Records NSW. Public offices may retain records for longer periods of time, subject to organisational need, without further reference to State Archives and Records NSW.

Retention of electronic records

Electronic records must be protected and readily accessible for the specified minimum retention period. See *Managing digital records* for information relating to managing the accessibility of technology dependent records.

Imaged records

Many public offices routinely image records. This may be the scanning of incoming correspondence or bulk digitisation of forms or vouchers or files. Most hard copy originals are authorised for destruction after imaging, provided a number of conditions are met. Public offices should check *General retention and disposal authority: original or source records that have been copied* for more information.

Destroying records

When the approved minimum retention period has been reached, appropriate arrangements for the destruction of records may be undertaken without further reference to State Archives and Records NSW, unless otherwise advised.

Persons using the authority should apply it with caution, bearing in mind that the approvals for disposal are given in terms of the State Records Act only. It is the responsibility of every public office to ensure that all legal and other requirements for retention of records have been met before disposing of any of its records. A public office must not destroy records if they are:

- subject to current or pending legal proceedings
- subject to an application for access under the *Government Information (Public Access) Act 2009*, the *Health Records and Information Privacy Act 2003* or the *Privacy and Personal Information Protection Act 1998*
- subject to a Government policy or directive not to be destroyed.

Circulating lists of records proposed to be destroyed to relevant action officers as part of routine procedures prior to any destruction being carried out may assist to ensure these issues are identified.

See *Destruction of records: a practical guide* for information on destruction methods and considerations.

Managing 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 identified in retention and disposal authorities as State archives and no longer in use for official purposes in the public office should be transferred to State Archives and Records NSW control. 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 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.

To obtain assistance regarding transferring material as State archives, contact Agency Services at: transfer@records.nsw.gov.au or (02) 9673 1788. For more information concerning entering into a distributed management agreement, contact the Senior Project Officer, Distributed Management at: distributed@records.nsw.gov.au or (02) 9673 1788.

Transfer of ownership must be approved

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

Interpretation of disposal triggers in this authority

It is very important that triggers are appropriately interpreted and understood by those implementing the authority. Sometimes they rely on information from elsewhere in the organisation, e.g. date of birth of an employee. Where possible, the organisation should build the recording of the dates or required information into standard records procedures so staff will know, for example, when a file should be marked as inactive or closed. Without this information being recorded, sentencing cannot take place in a streamlined or efficient manner.

After action completed:

This is the most common disposal trigger in the authority. 'Action completed' refers to the final transaction of business, i.e. the final document is attached to the file and the file is closed. An action does not include a file movement or audit (unless the organisation determines an audit is an action).

In the case of paper-based registers the date of the last entry in the register may be a suitable trigger for when action is completed (providing all actions associated with the matters recorded in the register have been completed). In the case of electronic registers, however, it may be more appropriate to apply the disposal action to individual entries in the register rather than the register as a whole (as the last action on the register as a whole may be indefinite). In this case the trigger can be calculated from the last time an individual entry in the register was updated or amended, or from when the data has become obsolete (i.e. when all the business for which the record was maintained has been completed).

Until ceases to be of administrative or reference use:

This trigger usually applies where ongoing use of the records is likely to be short term, or where ongoing reference use of the records is linked to the conduct of business processes and the determination of appropriate periods for retention relies on an organisation's assessment of its own business needs and uses. This can vary from one organisation to another depending on the nature of its business.

For the purposes of implementing the authority and facilitating the production of reports or triggers for the review of these records as part of a regular disposal program the organisation may wish to define a standard retention period for these types of records. Suitable standard retention periods can be defined through discussions with business units or action officers who use the records.

After expiry or termination:

This trigger is commonly used for contracts, agreements, licences etc. The organisation needs to determine how long this will be, based on the individual circumstances. In the case where there are set periods of operation built into contracts, agreements etc this will be straightforward to convert to an 'after action completed' trigger. However, any extension of the contract, agreement etc would require a change in the retention period.

After superseded:

This trigger usually relates to policies, procedures etc. The organisation needs to have a mechanism to note when policies, procedures etc are replaced so that the trigger can be applied.

Upon expiry of statutory limitation periods:

This trigger is used when the statutory limitation period for commencing a legal action or claim will vary from an adult to a child (e.g. when it is dependent on the person's age). The organisation is responsible for seeking advice regarding the expiry of the statutory limitation period before implementing the disposal action.

Managing the calculation of triggers and disposal processes

Public offices need to consider and plan how they are to manage the implementation of triggers. For some it may be possible to automate the process. For example, a date of birth may be entered into the public office's human resource management system and automatically applied as a 'after date of birth' trigger in the records management system.

If automation is not possible, the development of business rules or procedures may be required to ensure that information is communicated by the relevant business unit to the records management unit so that the trigger is applied.

When disposal dates have been reached, procedures should also be in place to ensure the circulation of lists or details of records proposed for destruction to relevant action officers for internal authorisation and approval before any disposal action takes place. These officers can identify if circumstances have changed, e.g. extensions of contracts or legal cases, which will affect the implementation of disposal decisions and may warrant the retention of records for longer periods as appropriate.

Implementing alternative disposal actions

Some disposal classes provide two or more alternative disposal decisions, depending on the nature of the records (e.g. most classes for records relating to agreements provide a minimum retention period of 12 years for specialty contracts and a minimum retention period of 7 years for standard contracts or agreements). These disposal decisions require the user to apply the correct decision.

To enable the automation of sentencing in electronic systems, all such disposal decisions are labelled with (A), (B) or (C). This letter can be added to the disposal class number in electronic systems, thereby providing a unique identifier for each disposal action.

Major/minor classes in the authority

On some occasions, classes are divided into 'major', 'significant' or 'substantive' versus 'minor' or 'routine' records or events. When these classes occur, there are usually examples provided of types of records or events that may fall into each category in order to guide organisations. For example, INDUSTRIAL RELATIONS - DISPUTES 11.4.1:

'Records relating to the management of industrial disputes of a significant nature where the organisation is a primary party to the negotiations or resolution of the dispute. Significant disputes can include those:

- resulting in a strike, ban or lock-out
- that set precedents, or
- that result in innovative or contentious changes to working conditions.'

As a guide, the types of events or matters that may be considered to fall within the category of 'significant' or 'major' include those that:

- affect the whole-of-government or portfolio function
- concern major liabilities or obligations of the organisation or the State
- relate to the development of legislation, regulations or policies
- relate to controversial matters (i.e. subject to formal or parliamentary inquiry or intense media scrutiny)
- have wide community interest
- otherwise significantly affect the organisation's functions or structure.

General Retention and Disposal Authority
Common administrative records created and maintained by New
South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

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Authority number: GA28

Dates of coverage: 1940+

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Authority number: GA28

Dates of coverage: 1940+

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Dates of coverage: 1940+

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Authority number: GA28

Dates of coverage: 1940+

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Dates of coverage: 1940+

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General Retention and Disposal Authority

Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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1.0.0 COMMITTEES

The activities associated with the management of internal, external or inter-agency committees, task forces, working groups or parties, etc. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas, etc.

See these entries for records relating to standing committees established by governing bodies of an organisation. Standing committees are considered to be committees where there is delegation from the governing body to undertake particular functions and where the committee has its own authority to make decisions and take action.

Note: It is recommended that organisations have in place established procedures and guidance regarding the capture of official sets of committee minutes, papers and associated correspondence into recordkeeping systems and the management and disposal of a committee member's own copies of committee records once membership ceases.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for travel or reimbursement of expenses for non-employees serving as members of committees.

See **GOVERNING & CORPORATE BODIES - Meetings** for records relating to meetings of governing bodies, such as boards, trusts, etc., and formal sub-committees of governing bodies. Sub-committees are considered to be committees established by the governing body and involving members of the governing body. Such committees report to, or make recommendations to, the governing body regarding issues impacting on the operations of the organisation but have no authority to make decisions and take action.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **PERSONNEL - Authorisation** for records relating to approvals and authorisations for travel or travel arrangements for employees serving as members of committees.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

1.0.1	<p>International</p> <p>Records relating to international committees where the organisation provides the state or national representative. Records include:</p> <ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. • records of nomination, appointment, resignation or termination of members • authorisations by the organisation to participate • agenda and minutes 	Required as State archives
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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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COMMITTEES

	<ul style="list-style-type: none"> • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed. 	
1.0.2	<p>Inter-government</p> <p>Records relating to inter-government committees where the organisation provides the State representative, e.g. Committees or Councils of State and national committees consisting of heads of government organisations, Ministers or statutory offices e.g. Solicitor Generals, Police Commissioners. Records include:</p> <ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. • records of nomination, appointment, resignation or termination of members • authorisations by the organisation to participate • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed. <p>Note: Decisions concerning the disposal of the records of inter-governmental organisations, e.g. the Border Rivers Commission or the Murray Darling Basin Commission must involve consultation between the relevant State or Territory archival authorities. These records are outside of the scope of this authority and separate disposal authorisation must be sought from State Archives and Records NSW.</p>	Required as State archives
1.0.3	<p>Inter-agency/external</p> <p>Records relating to inter-agency or external committees where (1) the organisation provides the secretariat and (2) the committee was established for the purposes of strategic planning or policy development and considers issues impacting on the core functions or responsibilities of the organisation. Records include:</p>	Required as State archives

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
<i>COMMITTEES</i>		
	<ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. • records of nomination, appointment, resignation or termination of members • authorisations by the organisation to participate • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed. <p>Note: In the case of committees established to support collaboration or integrated service delivery, organisations should consider entries 1.0.3 and 1.0.4 carefully to decide which entry is the most appropriate given the terms of reference of the committee and its purpose and significance or influence of its decision making.</p>	
1.0.4	<p>Inter-agency/external</p> <p>Records relating to inter-agency or external committees where (1) the organisation does not provide the secretariat or (2) where the organisation provides the secretariat but the Committee considers operational matters or matters relating to administrative or non-core functions of the organisation. Records include:</p> <ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. • records of nomination, appointment, resignation or termination of members • authorisations by the organisation to participate • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed. <p>Note: In the case of committees established to support collaboration or integrated service delivery, organisations should consider entries 1.0.3 and 1.0.4 carefully to decide which entry is the most appropriate</p>	<p>Retain minimum of 5 years after action completed, then destroy</p>

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
<i>COMMITTEES</i>		
	<p>given the terms of reference of the committee and its purpose.</p> <p>Note: There may be some records relating to inter-agency or external committees dealing with operational matters that warrant retention as State archives, particularly where the records of the committee document decision making with respect to the organisation's core functions or responsibilities or consideration of matters attracting significant public interest. This should be assessed as part of the development of an organisation's functional retention and disposal authority and where warranted the records of the relevant committee/s should be included in the organisation's own functional retention and disposal authority.</p>	
1.0.5	<p>Internal</p> <p>Records relating to internal committees established for strategic planning or policy development purposes which consider significant issues impacting on the core functions or responsibilities of the organisation. Records include:</p> <ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. • records of nomination, appointment, resignation or termination of members • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed. 	Required as State archives
1.0.6	<p>Internal</p> <p>Records relating to internal committees which form part of consultative arrangements with staff regarding working conditions, e.g. occupational health and safety committees, workplace relations committees. Records include:</p> <ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference, etc. • records of nomination, appointment, resignation or termination of members • agenda and minutes 	Retain minimum of 10 years after action completed, then destroy

Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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COMMITTEES

	<ul style="list-style-type: none"> • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed. 	
1.0.7	<p>Internal</p> <p>Records relating to internal committees which consider operational matters and issues concerning the administrative or general operational support functions of the organisation. Excludes committees which form part of consultative arrangements with staff regarding working conditions or occupational health and safety issues. Records include:</p> <ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference, etc. • records of nomination, appointment, resignation or termination of members • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed. <p>Note: There may be some records relating to committees dealing with operational matters that warrant retention as State archives, particularly where the records of the committee document decision making by the organisation with respect to its core functions or responsibilities, e.g. the records of grants or funding committees where the organisation has a functional responsibility for the disbursement of significant amounts of funding to industry, community groups or a particular sector, e.g. the records of registration or approval committees or panels where the organisation has a responsibility for licensing the conduct of certain activities or the registration of certain professions. This should be assessed as part of the development of an organisation's functional retention and disposal authority and where warranted the records of the relevant committee/s should be included in the organisation's own functional retention and disposal authority.</p> <p>Note: Retention period is a minimum only and organisations should carefully consider whether the</p>	Retain minimum of 5 years after action completed, then destroy

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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COMMITTEES

	nature of these records would require a longer retention period.	
1.0.8	<p>Advisory/consultative</p> <p>Records relating to meetings of advisory or consultative committees, councils, etc., i.e. committees consisting of external stakeholder representation, which advise on or oversee the operations of, or delivery of services in, an organisation or which provide advice to the Minister or Government on policy, priorities or strategy. Includes committees established by the organisation, committees required to be established by legislation or where the Premier or Minister establishes the committee and/or appoints its members. Records include:</p> <ul style="list-style-type: none"> • records of the establishment of the committee, its terms of reference, etc. • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed • major publications, reports and discussion papers. <p>Use the organisation's functional retention and disposal authority if the advisory committee produces additional records that are not covered by this entry or other relevant entries in this authority, e.g. records relating to the development or issue of industry standards, codes of practice or guidelines.</p>	Required as State archives
1.0.9	<p>Arrangements</p> <p>Records relating to administrative arrangements for committee meetings. Records include:</p> <ul style="list-style-type: none"> • meeting notifications • catering arrangements • venue bookings • accommodation and transport arrangements • related correspondence. 	Retain until administrative or reference use ceases, then destroy

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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COMMUNITY RELATIONS - Acquisition

2.0.0 COMMUNITY RELATIONS

The function of establishing rapport with the community and raising and maintaining the organisation's broad public profile. Includes marketing, advertising, media liaison, exhibitions, celebrations, ceremonies, speeches, official representation at functions and participation in community activities. Also includes relationships with professional organisations and industry, the management of customer services, handling reactions to those services, customer consultation and feedback.

2.1.0 Acquisition

The process of gaining ownership or use of resources required for the conduct of business through purchase or requisition.

See **CONTRACTING-OUT** for records relating to acquisition of services through a contracting-out or outsourcing process.

See **EQUIPMENT & STORES - Acquisition** for records relating to the acquisition of equipment or stores where there is no tendering or contracting out process.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting acquisitions.

See **TENDERING** for records relating to receiving and assessing tenders.

2.1.1	<p>Records relating to the acquisition of services to support the conduct of community, public relations, marketing or public profile raising activities, e.g. newspaper cutting or media monitoring services, where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include:</p> <ul style="list-style-type: none"> • requests for quotes and orders • minutes or notes of meetings with service providers • performance and evaluation reports • related correspondence. 	Retain minimum of 7 years after action completed, then destroy
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2.2.0 Addresses

The activity of giving addresses for professional, community relations or sales purposes. Includes speeches and multi-media presentations.

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to administrative arrangements concerning the giving of addresses at those events.

See **COMMUNITY RELATIONS - Conferences** for records relating to addresses given at conferences and for conference proceedings.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations, travel or reimbursement of expenses for non-employees giving addresses, e.g. members of governing bodies or non-government speakers.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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COMMUNITY RELATIONS - Addresses

See **PERSONNEL - Authorisation** for records relating to approvals and authorisations for travel or travel arrangements for employees giving addresses.

See **STAFF DEVELOPMENT - Addresses** for records relating to addresses delivered to the staff of the organisation.

See **STAFF DEVELOPMENT - Training** for records relating to training or seminars delivered for staff development purposes.

2.2.1	Transcripts of final versions of addresses, speeches or papers delivered as part of lecture series held by organisation.	Required as State archives
2.2.2	Transcripts of final versions of addresses delivered by the Minister in their capacity as Minister or as a representative of the Government.	Required as State archives
2.2.3	Transcripts of final versions of addresses, speeches or papers delivered by members of governing bodies, chief or senior executives of the organisation at significant occasions or public events, including conferences.	Required as State archives
2.2.4	Transcripts of addresses, speeches or papers delivered by non-executive staff members, or those given by executive staff members at occasions or public events not considered to be significant.	Retain minimum of 2 years after action completed, then destroy
2.2.5	Records relating to the drafting of addresses. Records include: <ul style="list-style-type: none"> • background research • draft versions of addresses. 	Retain until administrative or reference use ceases, then destroy
2.2.6	Audio, video or other recordings of addresses.	Retain until administrative or reference use ceases, then destroy

2.3.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See **CONTRACTING-OUT** for records relating to acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

2.3.1	Records relating to the establishment, negotiation, maintenance and review of agreements supporting the	Retain minimum of 7 years after expiry
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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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COMMUNITY RELATIONS - Agreements

	<p>conduct of community, public relations, marketing or public profile raising activities, e.g. sponsorship agreements, agreements regarding the use of corporate logos, agreements relating to joint ventures. Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings with main stakeholders or parties to the agreement • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements. <p>Note: In some cases agreements may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement, e.g. a contract to undertake research may specify how long the agent carrying out the research is required to retain the data on which research findings are based. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.</p>	<p>or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy</p>
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Arrangements

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to arrangements concerning the organisation of celebrations, formal ceremonies and social functions, including the presentation of awards and the giving of addresses.

See **COMMUNITY RELATIONS - Exhibitions** for records relating to arrangements concerning the organisation of exhibitions.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for travel or reimbursement of expenses for non-employees, e.g. members of GOVERNING & CORPORATE BODIES.

See **PERSONNEL - Authorisation** for records relating to approvals and authorisation for travel or travel arrangements for employees.

2.4.0 Celebrations, ceremonies, functions

The activities associated with arranging and managing festivities, including celebrations, formal ceremonies and social functions, to honour a particular event, occasion or individual, or to conduct fundraising. Includes the presentation of awards.

See **COMMUNITY RELATIONS - Addresses** for records relating to addresses given at celebrations, ceremonies or functions.

See **COMMUNITY RELATIONS - Marketing** for records relating to marketing campaigns and advertising for celebrations, ceremonies or functions.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for travel arrangements or reimbursement of expenses for non-employees

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COMMUNITY RELATIONS - Celebrations, ceremonies, functions

attending celebrations, ceremonies or social functions, e.g. members of GOVERNING & CORPORATE BODIES.

See **PERSONNEL - Authorisation** for records relating to approvals and authorisation for travel or travel arrangements for employees who are attending celebrations, ceremonies or social functions.

2.4.1	<p>Key records relating to celebrations, ceremonies and functions of State significance or of major importance to the organisation, e.g. those marking major anniversaries of significant structures or events (Centenary of Federation, Sydney Harbour Bridge, etc.). Records include:</p> <ul style="list-style-type: none"> • programs • guest lists • selected official photographs of the event • reports. <p>Note: includes video productions and recordings.¹</p>	Required as State archives
2.4.2	<p>Key records relating to celebrations, ceremonies and functions that are not of State significance or of major importance to the organisation, e.g. receptions, openings and fundraising dinners. Records include:</p> <ul style="list-style-type: none"> • programs • guest lists • official photographs of the event • reports. <p>Note: includes video productions and recordings.²</p>	Retain minimum of 5 years after action completed, then destroy
2.4.3	<p>Records relating to administrative arrangements for all celebrations, ceremonies and functions, including arrangements for exhibition launches and the giving of addresses. Records include:</p> <ul style="list-style-type: none"> • invitations and acceptances • catering arrangements • venue bookings • organisation of entertainment • accommodation and transport arrangements • related correspondence. 	Retain until administrative or reference use ceases, then destroy

¹ Note added July 2021 to replace GDA11.

² Note added July 2021 to replace GDA11.

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COMMUNITY RELATIONS - Celebrations, ceremonies, functions

2.4.4	<p>Records relating to awards, prizes or honours received by the organisation, e.g. tourism industry awards, Premier's awards. Records include:</p> <ul style="list-style-type: none"> • correspondence concerning receipt of awards and presentation ceremonies • certificates of awards. <p>Note: If the award is an object it is not a State record, and is not covered by this Authority.</p> <p>See COMMUNITY RELATIONS - Submissions for records relating to nominations or submissions for organisational awards.</p> <p>See PERSONNEL - Performance management for records relating to awards given to individual employees.</p>	<p>Retain minimum of 5 years after action completed, then destroy</p>
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Ceremonies

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to arrangements for the organisation of celebrations, formal ceremonies and social functions, including the presentation of awards.

Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties, etc.

2.5.0 Conferences

The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity and reports of participants, etc.

See **COMMUNITY RELATIONS - Marketing** for records relating to marketing campaigns and advertising for conferences.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting conference activities.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for travel and reimbursement of expenses for non-employees, e.g. members of governing bodies, non-government speakers etc to attend conferences.

See **PERSONNEL - Authorisation** for records relating to approvals and authorisations for travel and travel arrangements for employees to attend conferences.

See **PUBLICATION - Production** for records relating to the preparation of conference materials for publication, e.g. graphic design, printing, binding, etc.

See **STAFF DEVELOPMENT - Conferences** for records relating to conferences arranged or attended by staff for skills or professional development purposes.

See **STAFF DEVELOPMENT - Training** for records relating to training or seminars delivered for staff development purposes.

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No.	Description of records	Disposal action
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COMMUNITY RELATIONS - Conferences

2.5.1	Final, approved versions of published or unpublished proceedings, reports and addresses from conferences, seminars or forums arranged by the organisation. Includes inter-agency and government conferences.	Required as State archives
2.5.2	Records relating to administrative arrangements for conferences, seminars, forums, training courses, workshops, information sessions arranged by the organisation. Records include: <ul style="list-style-type: none"> • records of program development • invitations to speakers and responses • registrations • venue bookings • accommodation and transport arrangements • catering arrangements. 	Retain until administrative or reference use ceases, then destroy
2.5.3	Records relating to addresses presented by employees at external conferences, seminars or forums. Note: If addresses are delivered by the Minister, members of governing bodies, chief or senior executives of the organisation at significant occasions or public events, including major conferences, use COMMUNITY RELATIONS - Addresses .	Retain minimum of 2 years after action completed, then destroy
2.5.4	Records relating to employee attendance at conferences or seminars held by other organisations for the purpose of delivering an address or otherwise participating in proceedings. Records include: <ul style="list-style-type: none"> • registration forms • programs • invitations. 	Retain until administrative or reference use ceases, then destroy

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

2.6.0 Customer service

The activities associated with establishing standards of customer service and administering specialised services provided to customers by the organisation.

See **COMMUNITY RELATIONS - Enquiries** for records relating to requests for and the handling of enquiries regarding routine information about the organisation and its services from customers.

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COMMUNITY RELATIONS - Customer service

See **COMMUNITY RELATIONS - Evaluation** for records relating to the evaluation of customer services.

See **COMMUNITY RELATIONS - Reporting** for records relating to reports on customer services including surveys of customers and statistics collection.

See **STRATEGIC MANAGEMENT - Customer service** for records relating to the development and review of organisation-wide strategies to deliver quality services to clients or stakeholders, including organisation-wide charters, standards or guarantees of service.

See **STRATEGIC MANAGEMENT - Planning** for records relating to customer service planning as part of broader strategic, corporate or business planning.

2.6.1	Final, approved versions of charters, standards or guarantees relating to the provision of services to clients.	Retain minimum of 2 years after superseded, then destroy
2.6.2	Records relating to the development and review of charters, standards or guarantees relating to the provision of services to clients. Records include: <ul style="list-style-type: none"> • background research • draft versions containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, and/or other stakeholders. 	Retain until administrative or reference use ceases, then destroy
2.6.3	Records relating to the administration of specialised customer services, e.g. help desks, websites, interpreters, services for disabled customers, outreach services, etc.	Retain minimum of 2 years after action completed, then destroy
2.6.4	Contact details of clients, e.g. e-mail lists, address lists.	Retain until administrative or reference use ceases, then destroy
2.6.5	Recordings of customer or client calls created/maintained to support the provision of customer services and monitoring of service standards and quality e.g. call centre recordings.	Retain until administrative or reference use ceases, then destroy
2.6.6	Evaluation forms or surveys providing feedback on the organisations services, events, programs or other activities.	Retain until administrative or reference use

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COMMUNITY RELATIONS - Donations

		ceases, then destroy
2.6.7	Records relating to the management of bookings for events, programs or other activities held by the organisation.	Retain minimum of 1 year after action completed, then destroy

2.7.0 Donations, sponsorships and fundraising

The activities associated with managing sponsorship of the organisation and money, items, artefacts or property donated to the organisation, or by the organisation or its employees to charities etc. Includes managing unsolicited donations.

See **INFORMATION MANAGEMENT - Donations** for records relating to the donation of information resources, e.g. books, to the organisation.

See **STRATEGIC MANAGEMENT - Corruption** for records relating to the receipt of gifts where records are maintained as an anti-corruption measure, e.g. gift registers.

2.7.1	Records relating to significant sponsorships, donations or bequests of money, items, artefacts or property that are of State significance, ongoing benefit or subject to public interest or debate.	Required as State archives
2.7.2	Records relating to sponsorships, donations or bequests of money, items, artefacts or property that are not of State significance, ongoing benefit or subject to public interest or debate. Includes records relating to donations of money or goods made by the organisation to other organisations, including charities.	Retain minimum of 7 years after donation is received and finalised or until terms have been fulfilled, whichever is longer, then destroy
2.7.3	Records relating to the refusal of donations and sponsorships offered to the organisation and sponsorships that do not proceed.	Retain minimum of 2 years after action completed, then destroy

2.8.0 Enquiries

The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation.

See the organisation's functional retention and disposal authority for records relating to the provision of formal advice regarding specific functions and activities of the organisation.

See **GOVERNMENT RELATIONS - Representations** for records relating to responses to Parliamentary questions and correspondence received by the Minister and directed to the organisation for preparation of a response (Ministerials).

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COMMUNITY RELATIONS - Enquiries

See **INFORMATION MANAGEMENT - Cases** for records relating to requests to access or alter information under relevant legislation, e.g. Freedom of Information (FOI), Privacy.

See **INFORMATION MANAGEMENT - Enquiries** for records relating to enquiries concerning information management services or holdings of the organisation.

See **PUBLICATION - Enquiries** for records relating to enquiries regarding the purchase, availability of or access to the organisation's publications.

2.8.1	Records relating to requests for and the handling of enquiries regarding routine information about the organisation and its services, e.g. hours of opening, availability of or access to services, etc.	Retain until administrative or reference use ceases, then destroy
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2.9.0 Evaluation

The process of determining the suitability of potential or existing programs, services or systems in relation to meeting the needs of the given situation. Includes ongoing monitoring.

See **COMMUNITY RELATIONS - Reviewing** for records relating to operational reviews of existing community relations programs and services.

See **STRATEGIC MANAGEMENT - Evaluation** for records relating to the evaluation of potential and existing services, programs or systems that cross functions or relate to the strategic management of the organisation.

2.9.1	Records relating to the evaluation of potential or existing community relations programs, services or initiatives. Records include: <ul style="list-style-type: none">• surveys of customers regarding potential or existing services• analysis of services• reports on evaluations.	Retain minimum of 5 years after action completed, then destroy
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2.10.0 Exhibitions

The activities associated with using organisational material in mounted displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programs of the organisation.

See the organisation's functional retention and disposal authority for records relating to exhibitions if they are a regular part of the organisation's core functions, e.g. museums, galleries, libraries and archives, or part of public consultation processes, e.g. public exhibition of development proposals for comment.

See **COMMUNITY RELATIONS - Addresses** for records relating to addresses given at exhibition launches.

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COMMUNITY RELATIONS - Exhibitions

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to events where exhibitions are launched.

See **COMMUNITY RELATIONS - Marketing** for records relating to marketing campaigns and advertising for exhibitions.

2.10.1	Superseded. See entry 2.14.1.	
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Functions

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to arrangements for the organisation of celebrations, formal ceremonies and social functions, including the presentation of awards.

Grant funding

See the organisation's functional retention and disposal authority for records relating to the provision of grants to other organisations.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the receipt and distribution of grant moneys.

See **STRATEGIC MANAGEMENT - Grant funding** for records relating to applying for and receiving grants, other than financial records.

2.11.0 Greetings

The activities associated with preparing and sending letters of appreciation or condolence. Includes mailing lists for Christmas cards.

2.11.1	Records relating to the preparation and dispatch or receipt of letters of introduction, appreciation or condolence or greeting cards. Records include mailing lists for greetings, e.g. Christmas card lists.	Retain until administrative or reference use ceases, then destroy
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2.12.0 Joint ventures

The activities involved in managing joint operations, collaboration or co-research between the organisation and external organisations and parties where there is a contract, joint contribution of funds and/or time.

See relevant entries in general and functional retention and disposal authorities for records relating to the work carried out under joint venture arrangements.

See **COMMUNITY RELATIONS - Agreements** for records relating to joint venture agreements which do not involve contracting-out or tendering.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

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COMMUNITY RELATIONS - Joint ventures

See **STRATEGIC MANAGEMENT - Joint ventures** for records relating to the establishment and monitoring of strategic alliances that relate to the core functions of the organisation or other strategic joint venture arrangements.

See **TENDERING** for records relating to receiving and assessing tenders.

2.12.1	<p>Records relating to the joint ventures undertaken with other organisations (government or non-government) for the purposes of raising or maintaining the profile of the organisation or a particular service or program. Includes negotiations for joint ventures that do not proceed. Records include:</p> <ul style="list-style-type: none"> • correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants • monitoring of arrangements • reporting on arrangements. <p>Note: If the joint venture involves contracts or agreements, retain in accordance with retention period specified in COMMUNITY RELATIONS - AGREEMENTS.</p>	Retain minimum of 5 years after action completed, then destroy
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2.13.0 Liaison

The activities associated with maintaining regular general contact between the organisation and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

See **COMMITTEES** for records relating to liaison processes conducted through committees, task forces, working groups or parties etc.

See **COMMUNITY RELATIONS - Joint ventures** for records relating to joint ventures undertaken with other organisations for the purposes of raising or maintaining the profile of the organisation or a particular service or program.

2.13.1	<p>Records relating to liaison activities undertaken with professional associations, professionals in related fields, private sector organisations and community groups that are not joint ventures. Includes collaboration on projects, exchange of information and membership issues.</p> <p>Note: Consideration may need to be given to retaining these records longer in some circumstances, e.g. where nature of the liaison means that records are required for accountability purposes with respect to</p>	Retain minimum of 3 years after action completed, then destroy
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COMMUNITY RELATIONS - Liaison

	liaison activities and the nature of the information exchanged.	
2.13.2	Records relating to names and contact details of officers within other government departments or community organisations kept for the purposes of referral etc.	Retain until superseded, then destroy

2.14.0 Marketing

The process of analysing, creating and promoting products and services. Includes market research, sales forecasting, advertising, promotion, pricing and product evaluation.

See **COMMUNITY RELATIONS - Agreements** for records relating to the establishment, negotiation, maintenance and review of sponsorship agreements and agreements regarding the use of corporate logos.

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to functions organised to launch a service, product or program etc and for published programs for events.

See **COMMUNITY RELATIONS - Donations** for records relating to donations or bequests of money, items, artefacts or property donated to the organisation.

See **COMMUNITY RELATIONS - Media relations** for records relating to media releases issued by the organisation.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions associated with marketing and fundraising activities.

See **PUBLICATION - Production** for records relating to the production of marketing publications, e.g. design and layout, arrangements for printing, binding etc.

2.14.1	Records relating to campaigns or advertising to raise or maintain the organisation's public profile, to fundraise, or to advertise a particular service, product, program or event. Records include: <ul style="list-style-type: none"> • marketing plans • publicity records regarding campaigns/advertising • promotional photographs and negatives used in campaigns/advertising • market research • the mounting of exhibitions, displays and shows including background research, briefs and designs, construction records, exhibition catalogues. 	Retain minimum of 5 years after action completed, then destroy
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COMMUNITY RELATIONS - Marketing

	Note ³ : includes promotional videos used in campaigns/advertising/awareness.	
2.14.2	Records relating to general promotional or explanatory information about the organisation, its services and activities and to the development of promotional objects, e.g. souvenirs. This includes background research, draft and final versions of information published on websites, blogs or via social media and publications designed to promote or publicise aspects of the organisation's activities, e.g. posters, brochures, leaflets and published histories.	Retain until withdrawn, superseded or reference use ceases, then destroy
2.14.3	Records relating to the process of seeking sponsorship or patronage. Records include: <ul style="list-style-type: none"> • reports and discussions analysing assets, existing sponsorship arrangements, potential sponsors and market opportunities • approaches to companies for strategic alliances or sponsorship arrangements. 	Retain minimum of 5 years after action completed, then destroy
2.14.4	Records relating to sponsorship and patronage programs proceeded with.	Retain minimum of 7 years after completion of sponsorship or patronage arrangements, then destroy
2.14.5	Records relating to sponsorship and patronage programs not proceeded with.	Retain minimum of 2 years after action completed, then destroy
2.14.6	Records relating to the administration of community-based gratuitous competitions/lotteries. Records include: <ul style="list-style-type: none"> • information on competition/lottery and rules • advertising • entry forms • notifications to winners. 	Retain minimum of 3 months after action completed, then destroy

³ Note added July 2021 when GDA11 superseded.

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COMMUNITY RELATIONS - Media relations

2.15.0 Media relations

The activities associated with establishing a relationship between the media and the organisation. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

2.15.1	Final, approved versions of media releases issued by the organisation.	Required as State archives
2.15.2	Records relating to administrative arrangements concerning the organisation's dealings with the media including the distribution of media releases, organisation of interviews and general media access.	Retain minimum of 2 years after action completed, then destroy
2.15.3	Copies of media items relating to the organisation's operations or events, functions etc hosted by or involving the organisation. Records include news and electronic media items, transcripts or recordings. See COMMUNITY RELATIONS - Acquisition for records relating to the acquisition of services such as news cutting services.	Retain until administrative or reference use ceases, then destroy

Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use COMMUNITY RELATIONS – MARKETING for records relating to meetings held in order to discuss marketing issues or coordinate campaigns etc, e.g. use COMMUNITY RELATIONS – PLANNING for records relating to meetings held for planning purposes.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

2.16.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning.

2.16.1	Final, approved versions of community relations plans and associated correspondence indicating who the	Retain minimum of 5 years after plan is
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COMMUNITY RELATIONS - Planning

	plans apply to and responsibilities for their implementation.	superseded, then destroy
2.16.2	Records relating to the development and review of the organisation's community relations plans. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

2.17.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

2.17.1	Final, approved versions of community relations policies, e.g. policies regarding marketing activities, advertising or sponsorship, community or media liaison, membership of professional associations, etc., and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Retain minimum of 5 years after policy is superseded, then destroy
2.17.2	Records relating to the development and review of the organisation's community relations policies, e.g. policies regarding marketing activities, advertising or sponsorship, community or media liaison, membership of professional associations, etc. Records include: <ul style="list-style-type: none"> • policy proposals • background research 	Retain minimum of 3 years after action completed, then destroy

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COMMUNITY RELATIONS - Procedures

	<ul style="list-style-type: none"> • records of consultations or meetings • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	
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2.18.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

2.18.1	Final, approved versions of manuals, handbooks, directives, etc., detailing the organisation's procedures regarding community relations and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.	Retain minimum of 5 years after procedures are superseded, then destroy
2.18.2	Records relating to the development and review of the organisation's community relations procedures. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

2.19.0 Public reaction

The process of handling public reaction to an organisation's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public. Also includes suggestions received.

See the organisation's functional retention and disposal authority for records relating to complaints handling where the organisation has a functional responsibility for the management of clients or complaints handling, e.g. Health Care Complaints Commission, NSW Ombudsman, Law Enforcement Conduct Commission.

See **COMMUNITY RELATIONS - Greetings** for records relating to the preparation and dispatch or receipt of letters of appreciation or condolence.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to formal or informal inquiries into a complaint or matter involving the organisation.

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COMMUNITY RELATIONS - Public reaction

See **GOVERNMENT RELATIONS - Representations** for records relating to responses to Parliamentary questions and correspondence received by the Minister and directed to the organisation for preparation of a response (Ministerials).

See **INFORMATION MANAGEMENT - Compliance** for records relating to complaints regarding breaches of privacy legislation.

See **PERSONNEL - Misconduct** for records relating to the investigation and handling of complaints or protected disclosures relating to an individual employee, or complaints containing allegation of abuse or neglect of children involving staff, contractors, volunteers, etc

2.19.1	Records relating to complaints or suggestions that require investigation or a specific response. Includes records of receipt, investigation and response and summary records facilitating the monitoring and tracking of complaints received and their handling, e.g. complaints registers. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 7 years after action completed, then destroy
2.19.2	Records relating to complaints or suggestions that result in referral to another organisation or body for response or a routine response.	Retain minimum of 2 years after action completed, then destroy

2.20.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **GOVERNMENT RELATIONS - Reporting** for records relating to the drafting, submission and final, approved versions of formal reports to government relating to the organisation's core functions and performance, e.g. annual reports or substantial ad hoc reports.

2.20.1	Records relating to formal reports regarding community relations activities, programs or services. Records include: <ul style="list-style-type: none"> • background research, e.g. surveys of clients • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
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COMMUNITY RELATIONS - Reporting

2.20.2	Periodic internal reports on general administrative matters used to monitor and document recurring activities regarding community relations programs and services. Records include: <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy
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Representatives

See **COMMITTEES** for records relating to representatives if they are serving on a formal committee.

See **STAFF DEVELOPMENT - Training** for records relating to the training of representatives.

Research

See the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation.

See the relevant function/activity for records relating to background research undertaken when developing particular products or documentation, e.g. use COMMUNITY RELATIONS – PLANNING, COMMUNITY RELATIONS – POLICY or COMMUNITY RELATIONS – PROCEDURES for records relating to background research for the development and review of plans, policies and procedures, use COMMUNITY RELATIONS – REPORTING for records relating to background research for the development of reports, including surveys and statistics collection.

See **COMMUNITY RELATIONS - Marketing** for records relating to market research.

2.21.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **COMMUNITY RELATIONS - Evaluation** for records relating to the evaluation and monitoring of community relations programs and services.

See **COMMUNITY RELATIONS - Planning** for records relating to the development and review of plans.

See **COMMUNITY RELATIONS - Policy** for records relating to the development and review of policies.

See **COMMUNITY RELATIONS - Procedures** for records relating to the development and review of procedures.

2.21.1	Records relating to the review of community relations programs and services. Records include:	Retain minimum of 5 years after action
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COMMUNITY RELATIONS - Submissions

	<ul style="list-style-type: none"> • documents establishing the review • background research, e.g. client surveys • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final versions of approved reports • project or action plans. 	completed, then destroy
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2.22.0 Submissions

The preparation and submission of a formal statement (e.g. report, statistics, etc) supporting a case or opinion held by the organisation which is submitted to another organisation, or within the organisation, for the purpose of either gain or support.

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to awards, prizes or honours received by the organisation.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to submissions regarding formal committees of inquiry initiated by government.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions to Cabinet or the Minister or other government organisations relating to core functions.

See **STRATEGIC MANAGEMENT - Grant funding** for records relating to applying for and receiving grants, other than financial records.

2.22.1	Records relating to successful and unsuccessful submissions to support proposed community, public relations, marketing or profile raising initiatives, including the submission of applications or nominations for awards offered by other organisations.	Retain minimum of 2 years after action completed, then destroy
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Suggestions

See **COMMUNITY RELATIONS - Public reaction** for records relating to suggestions from the public.

Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

2.23.0 Visits

The activities involved in arranging visits by the public, clients and students to the organisation, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by employees to other organisations.

See the relevant function/activity for records relating to visits made for a specific purpose, e.g. in order to participate in a meeting etc.

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COMMUNITY RELATIONS - Visits

See **GOVERNMENT RELATIONS - Visits** for records relating to visits made to the organisation by heads of State, Ministers or other government officials including interstate or overseas delegations.

See **PERSONNEL - Authorisation** for records relating to approvals and authorisations for travel or travel arrangements for employees.

See **PERSONNEL - Employee service history** for records relating to work experience students and volunteer placements.

See **STRATEGIC MANAGEMENT - Corruption** for records relating to gifts where records are maintained as an anti-corruption measure, e.g. gifts and benefits registers.

2.23.1	Superseded see 2.23.2.	
2.23.2	Records relating to visits or tours of the organisation by community representatives or officials, members of the general public, student groups, clients of the organisation, representatives of professional associations, community groups or other organisations. Records include: <ul style="list-style-type: none"> • arrangements for visits • reports of visits. 	Retain minimum of 3 years after action completed, then destroy
2.23.3	Summary records regarding visitor attendance etc, e.g. visitors books.	Retain until administrative or reference use ceases, then destroy
2.23.4	Records relating to visits made by the organisation's employees to other organisations (e.g. community, business) or professional associations with the view of promoting the image or services of the organisation. See COMMUNITY RELATIONS - Addresses for records relating to addresses made by employees on visits to other organisations or the community.	Retain minimum of 2 years after action completed, then destroy

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COMPENSATION - Advice

3.0.0 COMPENSATION

The function of providing compensation to personnel and visitors injured while proceeding to or from work, during working hours or on the organisation's premises or compensation to members of the public suffering personal injury, loss of or damage to property as a result of the organisation's actions. Includes the rehabilitation of injured workers and compensation for damage to property where such damage is claimed as the organisation's responsibility. Also includes insurance and claims for professional indemnity.

See **PERSONNEL - Advice** for records relating to the rehabilitation of employees where the rehabilitation is not related to a compensation case.

Accidents

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and records relating to rehabilitation of the employee as part of a compensation claim.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to the reporting of incidents and any subsequent investigation by the organisation or an external body.

Acquisition

See **COMPENSATION - Claims** for records relating to the acquisition of rehabilitation services or case managers that are not hired through a tendering or contracting-out process.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **PERSONNEL - Employee service history** for records relating to the employment and management of a rehabilitation provider or case manager as an employee of the organisation.

See **TENDERING** for records relating to receiving and assessing tenders.

3.1.0 Advice

The activities associated with offering opinions by or to the organisation as to an action or judgment. Includes the process of advising.

See **COMPENSATION - Claims** for records relating to advice on specific cases.

See **COMPENSATION - Insurance** for records relating to obtaining a licence for the organisation to self-insure and/or manage its own compensation liabilities.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by external or internal legal service providers.

3.1.1	Records relating to compensation advice, not related to a specific case. Records include information regarding the results of court decisions impacting on the management of compensation generally, i.e. not relating to a specific case involving the organisation.	Retain until administrative or reference use ceases, then destroy
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COMPENSATION - Claims

	<p>Note: In some cases records may contain information that impacts on the organisation's policies and procedures and influences its response to compensation issues and cases and may need to be retained for longer periods.</p>	
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Agreements

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

Appeals

See **COMPENSATION - Claims** for records relating to appeals regarding a compensation claim.

See **LEGAL SERVICES - Litigation** for records relating to appeals regarding a compensation claim.

Cases

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation, records relating to rehabilitation of employees and records relating to managing claims for the damage or destruction of property caused by an incident.

See **LEGAL SERVICES - Advice** for records relating to legal advice obtained from internal or external legal service providers on the management of specific cases.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to incidents and the provision of first aid treatment.

3.2.0 Claims

The process of administering and managing claims lodged after an incident as compensation for injury, death or denial of rights of a person, or damage to or destruction of property. Includes claims for recompense for stolen or lost property and professional indemnity claims.

Note: It is not recommended that papers relating to workers' compensation matters be attached to 'personnel files'. If compensation information has been attached to a personnel file, retain for this period or retain for the period of time the personnel file is required, as specified in the *General Retention and Disposal Authority - Administrative records*, whichever is longer.

See **LEGAL SERVICES - Litigation** for records relating to the management of appeals regarding claims that are taken to courts or tribunals, e.g. affidavits.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to incidents where there is no claim for compensation.

3.2.1	Records relating to an employee's claim for workers' compensation where an incident has resulted in serious personal injury or incapacity. Records include:	Retain minimum of 75 years after date of birth or minimum
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No.	Description of records	Disposal action
<i>COMPENSATION - Claims</i>		
	<ul style="list-style-type: none"> • incident/injury records • notifications to insurer, employer's reports of injury and supporting documents • records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted • claims for compensation and other related documentation, e.g. statements of witnesses • records of acceptance or denial of claim from insurer • correspondence and advice regarding the case, e.g. from the insurer, employee, doctors, injury management advisor or WorkCover NSW, including minutes or notes of meetings • reports, e.g. progress reports, assessments • medical certificates and other medical reports • claim reviews • records of disputes, including medical disputes, and conciliation • records of the outcomes of appeals, e.g. orders • agreements between parties • records relating to payment by the insurer • records of acquisition of services of case managers • injury management plans for injured employee • rehabilitation providers' reports • details of vocational retraining or workplace adjustment if required • medical certificates and reports • return to work plans • records of disputes over injury management or return to work, and mediation • records regarding fitness to continue assessment and medical retirement. <p>Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant.</p> <p>Note: if date of birth is unknown assume the person was 15 years at the time of the accident.</p>	of 7 years after action completed, whichever is longer, then destroy
3.2.2	Records relating to a claim for compensation in relation to an incident resulting in the death of an employee.	Retain minimum of 25 years after date of death or

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COMPENSATION - Claims

		minimum of 7 years after action completed, whichever is longer, then destroy
3.2.3	Records relating to an employee's claim for workers' compensation where an incident has not resulted in death, serious personal injury or incapacity. Records include: <ul style="list-style-type: none"> • incident/injury records • notifications to insurer, employer's reports of injury and supporting documents • records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted • claims for compensation and other related documentation e.g. statements of witnesses • records of acceptance or denial of claim from insurer • correspondence and advice regarding the case, e.g. from the insurer, employee, doctors, injury management advisor or WorkCover NSW, including minutes or notes of meetings • reports, e.g. progress reports, assessments • medical certificates and other medical reports • claim reviews • records of disputes, including medical disputes, and conciliation • records of the outcomes of appeals, e.g. orders • agreements between parties • records relating to payment by the insurer • records of acquisition of services of case managers • injury management plans for injured employee • rehabilitation providers' reports • details of vocational retraining or workplace adjustment if required • medical certificates and reports • return to work plans • records of disputes over injury management or return to work, and mediation 	Retain minimum of 25 years after action completed, then destroy

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No.	Description of records	Disposal action
<i>COMPENSATION - Claims</i>		
	<ul style="list-style-type: none"> • records regarding fitness to continue assessment and medical retirement. <p>Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant, but it is likely to occur within the retention period. Consideration may need to be given to retaining these records longer in some circumstances.</p>	
3.2.4	<p>Records relating to compensation claims for personal injury made by members of the public, including work experience students and volunteers or other persons who are not employees. Records include:</p> <ul style="list-style-type: none"> • incident/injury records • notifications to insurer, reports of injury and supporting documents • records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted • claims for compensation and other related documentation, e.g. statements of witnesses • records of acceptance or denial of claim from insurer • correspondence and advice regarding the case, including minutes or notes of meetings • reports, e.g. progress reports, assessments • medical certificates and other medical reports • claim reviews • records of disputes, including medical disputes, and conciliation • records of the outcomes of appeals, e.g. orders • agreements between parties • records relating to payment by the insurer. <p>Note: These types of claims are dealt with under third party insurance through the insurer.</p>	Retain minimum of 15 years after action completed or until upon expiry of statutory limitation periods, whichever is longer, then destroy
3.2.5	<p>Records relating to compensation claims for (a) damage to personal property or (b) loss suffered as a result of the organisation's actions. Records include copies of claims, reports and related correspondence.</p>	Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy
3.2.6	<p>Routine activity reports sent from insurers to the organisation regarding premiums and claims made under their insurance policy.</p>	Retain until administrative or reference use

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COMPENSATION - Compliance

	<p>See OCCUPATIONAL HEALTH & SAFETY - Reviewing for records relating to the use of activity reports in analysis and performance review.</p> <p>See OCCUPATIONAL HEALTH & SAFETY - Risk management for records relating to risk management processes using activity reports.</p>	ceases, then destroy
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc, including formal occupational health and safety committees.

3.3.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements regarding the provision or management of compensation to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor or assess the compliance of other organisations with policies, standards and requirements on compensation.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

3.3.1	Records relating to breaches of compensation compliance requirements that do not result in litigation, e.g. breaches of requirements for insurance or self insurer licence conditions etc. Includes penalties.	Retain minimum of 7 years after action completed, then destroy
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Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

3.4.0 Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover members of the public, customers and employees against loss, injury or death resulting from the actions of the organisation or incidents on the organisation's premises or whilst engaged during employment. Includes professional indemnity insurance.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and activity reports from insurers regarding claims made under a policy.

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COMPENSATION - Insurance

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

3.4.1	Insurance policies taken out by the organisation to protect against risk of claims for personal injury or property damage, e.g. workers compensation insurance, professional indemnity insurance, including information provided for renewals.	Retain minimum of 7 years after expiry of the policy, then destroy
3.4.2	Records relating to the administration of insurance policies. Records include notices of renewals, advice on premiums payable etc.	Retain minimum of 1 year after action completed, then destroy
3.4.3	Records relating to obtaining a licence for the organisation to self-insure and/or manage its own compensation liabilities. Records include: <ul style="list-style-type: none"> • records regarding the application process and advice of its outcome • records of audits as part of the process of seeking accreditation. 	Retain minimum of 7 years after licence expires, then destroy

Meetings

See the relevant function/activity for records relating to meetings that are held as part of the management or conduct of those activities or processes, e.g. use **COMPENSATION – CLAIMS** for records relating to meetings held in order to discuss or mediate the settlement of a claim, e.g. use **COMPENSATION – INSURANCE** for records relating to meetings held in order to discuss insurance policies.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc, including formal occupational health and safety committees.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

Payments

See **COMPENSATION - Claims** for records relating to payment by the insurer.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to payments managed by organisations that are self-insured.

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COMPENSATION - Policy

3.5.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **COMPENSATION - Compliance** for records relating to breaches of organisational compliance with policies.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

3.5.1	<p>Final, approved versions of policies relating to the provision of compensation, rehabilitation and injury management, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Includes policies relating to return to work programs developed by the organisation and copies of the injury management program established by the insurer.</p> <p>Note: Evidence of policies in place at a particular time may be of relevance for future claims or legal action involving the organisation. This may be the case for some rehabilitation and injury management matters. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of policies need to be retained for longer periods.</p>	Retain minimum of 5 years after policy is superseded, then destroy
3.5.2	<p>Records relating to the development and review of the organisation's compensation, rehabilitation and injury management policies. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 5 years after action completed, then destroy

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COMPENSATION - Procedures

3.6.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

3.6.1	<p>Final, approved versions of the organisation's manuals, handbooks and directives etc detailing approved procedures relating to the provision of compensation, rehabilitation and injury management, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Includes procedures relating to return to work programs developed by the organisation.</p> <p>Note: Evidence of procedures in place at a particular time may be of relevance for future claims or legal action involving the organisation. This may be the case for some rehabilitation and injury management matters. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of procedures need to be retained for longer periods.</p>	Retain minimum of 5 years after procedures are superseded, then destroy
3.6.2	<p>Records relating to the development and review of an organisation's compensation, rehabilitation and injury management procedures. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 5 years after action completed, then destroy

Rehabilitation

See **COMPENSATION - Claims** for records relating to the rehabilitation of an employee as part of a claim for compensation.

See **COMPENSATION - Policy** for records relating to rehabilitation programs developed by the organisation that do not relate to specific cases.

See **PERSONNEL - Advice** for records relating to rehabilitation of employees that is not linked to compensation claims.

3.7.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

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COMPENSATION - Reviewing

See **COMPENSATION - Policy** for records relating to the review of plans and policies.

See **COMPENSATION - Procedures** for records relating to the review of procedures.

3.7.1	Records relating to the review of the organisation's compensation, rehabilitation and injury management programs and operations. Records include: <ul style="list-style-type: none">• documents establishing the review• background research, e.g. analysis of compensation and rehabilitation data and accident investigation outcomes to establish trends• draft versions of reports containing significant changes/alterations or formally circulated for comment• final, approved versions of reports.	Retain minimum of 5 years after action completed, then destroy
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Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

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CONTRACTING-OUT

4.0.0 CONTRACTING-OUT & COMMERCIAL SERVICES

The activities involved in:

- arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services or shared services (provided by another organisation). Sometimes referred to as outsourcing.
- the provision of services by the organisation on a commercial basis.

See the relevant function/ACQUISITION for records relating to purchases that are not made via contracting-out or tendering processes, e.g. use EQUIPMENT & STORES - ACQUISITION for the acquisition of equipment and stores.

See the relevant function/POLICY or the relevant function/PROCEDURES for policies or procedures regarding contracting-out.

See the relevant function/activity for records relating to the actual work performed by consultants, contractors, vendors or employees from external bureau services.

See **TENDERING** for records relating to receiving and assessing tenders.

4.0.1	<p>Records relating to the hiring and use of consultants, contractors, vendors, suppliers, employees from external bureau services or the services of shared service providers.</p> <p>Records include:</p> <ul style="list-style-type: none"> • determinations of the need for services • specifications and conditions of engagement • invitations and receipts of bids • letters of engagement • correspondence and negotiations, including minutes or notes of meetings with main stakeholders • draft versions of agreements containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • performance and evaluation reports • variations to agreements. <p>Note: Specialty contracts include contracts under seal and deeds to property.</p> <p>Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement, e.g. a contract to undertake research may specify how long the agent carrying out the research is required to retain the data on which research findings are based.</p>	<p>(A) For specialty contracts:</p> <p>Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy</p> <p>(B) For standard contracts or agreements:</p> <p>Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy</p>
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CONTRACTING-OUT

	<p>In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.</p> <p>Note: Limitation periods for contractual agreements or arrangements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.</p>	
4.0.2	Summary records created to facilitate the management of consultants, contractors, vendors, suppliers or employees from external bureau services used by the organisation, e.g. registers of preferred contractors, contact details.	Retain until administrative or reference use ceases, then destroy
4.0.3	<p>Records relating to the management of commercial ventures and services where the organisation provides the service. Includes the provision of consultancies and other professional services. Includes:</p> <ul style="list-style-type: none"> • expressions of interest and tenders • negotiations, contracts, agreements and other formal arrangements regarding provision of services, commercial ventures, use of intellectual property, etc. • records relating to provision of products and services.⁴ 	Retain a minimum of 7 years after provision of services, or after terms and conditions of contracts are satisfied, then destroy
4.0.4	Records relating to commercial ventures and services that did not proceed or where the tender/expression of interest, etc., was unsuccessful. ⁵	Retain a minimum of 2 years after action completed, then destroy

⁴ Added December 2021.

⁵ Added December 2021.

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EQUIPMENT & STORES - Acquisition

5.0.0 EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of equipment as corporate assets.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from the use of equipment or stores within the workplace.

See **TECHNOLOGY & TELECOMMUNICATIONS** for records relating to the management of telecommunications and technological equipment such as telephones, facsimiles and computer hardware and software.

5.1.0 Acquisition

The process of gaining ownership or use of equipment and stores required for the conduct of business through purchase or requisition.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **EQUIPMENT & STORES - Evaluation** for records relating to the assessment of the suitability of potential or existing items of equipment or stores.

See **EQUIPMENT & STORES - Leasing** for records relating to the leasing of items of equipment.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting acquisition activities.

See **TENDERING** for records relating to receiving and assessing tenders.

5.1.1	<p>Records relating to the acquisition of equipment and stores where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include:</p> <ul style="list-style-type: none"> • formal requests for quotes and quotes received • business cases and/or approvals • orders • handover reports and goods inwards books • correspondence and negotiations, including minutes or notes of meetings or notes of discussions. 	<p>Retain minimum of 7 years after end of financial year in which transaction was completed, then destroy</p>
5.1.2	<p>Records relating to investigations into the acquisition of equipment & stores not proceeded with.</p>	<p>Retain until administrative or reference use</p>

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EQUIPMENT & STORES - Acquisition

		ceases, then destroy
5.1.3	Records relating to warranties and guarantees for equipment and stores.	Retain until warranty or guarantee expires or until item is disposed of, whichever is shorter, then destroy

5.2.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **EQUIPMENT & STORES - Acquisition** for records relating to warranties and guarantees.

See **EQUIPMENT & STORES - Leasing** for records relating to leasing agreements for equipment.

See **EQUIPMENT & STORES - Leasing-out** for records relating to leasing-out agreements for equipment.

See **TENDERING** for records relating to receiving and assessing tenders.

5.2.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision or supply of equipment and stores that do not form part of contracting-out or tendering arrangements, e.g. servicing agreements. Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings with main stakeholders • drafts exchanged between parties • final, approved versions of agreements • reviews of agreements. <p>Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.</p>	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy
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EQUIPMENT & STORES - Allocation

5.3.0 Allocation

The process of assigning equipment or stores to employees or organisational units.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the receipt and distribution of grant moneys.

See **FINANCIAL MANAGEMENT - Allocation** for records relating to Treasury allocations in response to the organisation's budget request.

5.3.1	Records relating to the allocation of equipment and stores to organisational units.	Retain minimum of 2 years after action completed, then destroy
5.3.2	Records relating to the allocation of equipment to individuals for their ongoing use.	Retain minimum of 2 years after return, disposal or reallocation of equipment, then destroy
5.3.3	Records relating to the usage of equipment, e.g. bookings.	Retain until administrative or reference use ceases, then destroy

5.4.0 Arrangements

The activities involved in making arrangements for the delivery and usage of equipment or stores.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to the identification of hazardous substances, e.g. the hazardous substances register.

5.4.1	Records relating to arrangements for the delivery of equipment and stores to the organisation. Records include delivery dockets. Note: Organisations covered by the <i>Corporations Act 2001</i> (Commonwealth) may be required to retain these records for a minimum of 7 years after end of financial year in which record was created. See EQUIPMENT & STORES - Acquisition for goods inward books.	Retain minimum of 2 years after end of financial year in which record was created, then destroy
5.4.2	Records relating to arrangements for the storage of non-hazardous equipment and stores within the organisation. Records include location management and stock control records.	Retain minimum of 2 years after action completed, then destroy

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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EQUIPMENT & STORES - Audit

	See PROPERTY MANAGEMENT - Maintenance for records relating to the storage, removal and off-site disposal of toxic or hazardous substances.	
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5.5.0 Audit

The activities associated with officially checking quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

See **EQUIPMENT & STORES - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding equipment and stores.

See **FINANCIAL MANAGEMENT - Audit** for records relating to formal audits of accounts or the management of financial resources.

5.5.1	Records relating to audits of the organisation's equipment and stores. Records include: <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • records of remedial action. 	Retain minimum of 6 years after action completed, then destroy
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5.6.0 Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for damage to or destruction of property. Includes recompense sought for stolen or lost property.

See **COMPENSATION - Claims** for records relating to compensation claims for damage to or loss of personal property made by employees or members of the public.

See **EQUIPMENT & STORES - Insurance** for records relating to the management of insurance policies for equipment and stores.

5.6.1	Records relating to insurance claims for damage and loss incurred to the organisation's equipment and stores.	Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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EQUIPMENT & STORES - Compliance

Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

5.7.0 Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with policies, standards and requirements on equipment and stores.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to the licensing or registration of a business, substance, place or type of work as required by occupational health and safety legislation.

5.7.1	<p>Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding the management or use of equipment and stores, e.g. compliance with Treasurer's Directions.</p> <p>Note: The retention period provided is a guideline only. Any records providing evidence of organisational compliance with statutory or mandatory operating requirements should be kept as long as the organisation has to account for its actions.</p>	Retain minimum of 7 years after action completed, then destroy
5.7.2	<p>Records relating to registering, licensing or obtaining permits for the use of equipment and plant. Records include:</p> <ul style="list-style-type: none"> • applications for registration or permit, renewals, cancellations or details regarding cancellation or suspension of permits, licences or registration • receipts for payment of fees (if relevant) • copies of permits, licences, certificates of registration • conditions of licensing or registration • applications for review of decisions regarding licensing or registration. 	Retain minimum of 7 years after licence, permit or certificate of registration expires or is terminated, then destroy

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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EQUIPMENT & STORES - Disposal

Construction

See **EQUIPMENT & STORES - Compliance** for records relating to the registration or licensing of equipment or plant.

See **EQUIPMENT & STORES - Evaluation** for records relating to investigations undertaken to determine the organisation's requirements for equipment or stores.

See **EQUIPMENT & STORES - Maintenance** for records relating to the maintenance of equipment and stores.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to the licensing or registration processes for a business, substance, place or type of work as required by occupational health and safety legislation.

See **PROPERTY MANAGEMENT - Construction** for records relating to the construction of premises or structures.

See **STRATEGIC MANAGEMENT - Intellectual property** for records relating to the management of intellectual property rights associated with equipment and plant designed by the organisation.

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders

5.8.0 Disposal

The process of disposing of equipment and stores no longer required by the organisation by sale, transfer, termination of lease, auction or destruction.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to removal of items from the organisation's asset register.

5.8.1	<p>Records relating to the disposal of equipment and stores, including leased equipment and stores, through any means including sale, transfer, auction, exchange, return or destruction. Records include:</p> <ul style="list-style-type: none"> • written notices and related correspondence, e.g. to and from leasing companies • handover reports • assessments and certifications of value of goods • independent valuation certificates verifying work undertaken on assets prior to valuation • written quotes • approvals to proceed • auction, sale or transfer records • related correspondence. 	Retain minimum of 7 years after disposal of asset, then destroy
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No.	Description of records	Disposal action
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EQUIPMENT & STORES - Evaluation

Distribution

See **EQUIPMENT & STORES - Allocation** for records relating to the allocation of equipment and stores to individuals or organisational units.

See **EQUIPMENT & STORES - Arrangements** for records relating to the delivery and storage of equipment and stores.

5.9.0 Evaluation

The process of determining the suitability of potential or existing items of equipment or stores in relation to meeting the needs of the given situation. Includes ongoing monitoring.

See **EQUIPMENT & STORES - Acquisition** for records relating to the acquisition of equipment and stores.

See **EQUIPMENT & STORES - Reviewing** for records relating to the review of equipment and stores.

5.9.1	<p>Records relating to investigations undertaken to determine the organisation's requirements for equipment or stores. Records include:</p> <ul style="list-style-type: none">assessments of whole-of-government solutions, i.e. period contracts, buyers guides, endorsed suppliersjustifications of decisions on how to proceedrecords of the development and issue of specifications and/or business casesrecords of the evaluation and selection of storage areas. <p>Also includes records relating to evaluation and monitoring undertaken for existing equipment.</p>	<p>Retain minimum of 2 years after action completed, then destroy</p>
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Inspections

See the organisation's functional retention and disposal authority for records relating to the conduct of inspections of other organisations as part of core functions.

See **EQUIPMENT & STORES - Audit** for records relating to formal audits of items of equipment and stores.

See **EQUIPMENT & STORES - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding equipment and stores.

See **EQUIPMENT & STORES - Stocktake** for records relating to stocktakes of equipment and stores.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections undertaken for occupational health and safety reasons.

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No.	Description of records	Disposal action
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EQUIPMENT & STORES - Installation

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from plant or asbestos or hazardous materials.

5.10.0 Installation

The activities involved in placing equipment in position and connecting and adjusting it for use.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from the use of equipment, plant or hazardous materials.

See **PROPERTY MANAGEMENT - Construction** for records relating to installations of equipment and plant undertaken as part of construction or renovation projects that involve structural changes.

See **TECHNOLOGY & TELECOMMUNICATIONS - Installation** for records relating to the placing of technology and telecommunications equipment in position and connecting and adjusting it for use.

5.10.1	Records relating to the installation and configuration of equipment and plant that does not involve structural changes to premises or sites of installation.	Retain minimum of 2 years after installation is completed, then destroy
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5.11.0 Insurance

The process of taking out premiums to cover loss or damage to equipment and stores.

See **COMPENSATION - Claims** for records relating to compensation claims by employees or others for personal injury, loss or damage to property.

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

5.11.1	<p>Insurance policies covering equipment and stores including information provided for renewals and summary records facilitating the management of policies, e.g. registers of insurance policies.</p> <p>Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 7 years after expiry of the policy, then destroy
5.11.2	Records relating to the administration of insurance policies. Records include notices of renewals, advice on premiums payable etc.	Retain minimum of 1 year after action completed, then destroy

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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EQUIPMENT & STORES - Leasing

Inventory

See **EQUIPMENT & STORES - Stocktake** for records relating to stocktakes of equipment and stores.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of equipment as corporate assets.

5.12.0 Leasing

The activities involving in leasing items of equipment from another organisation.

See **EQUIPMENT & STORES - Disposal** for records relating to the disposal of leased equipment and stores.

See **EQUIPMENT & STORES - Maintenance** for records relating to the maintenance of leased equipment and stores.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting leasing activities.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from the use of items of equipment or plant.

5.12.1	Records relating to the administration and management of leased equipment, including: <ul style="list-style-type: none"> • signed copies of lease agreements • reports received from leasing companies. 	Retain minimum of 7 years after lease expires or is terminated, and equipment is returned, then destroy
5.12.2	Records relating to leasing which is not proceeded with.	Retain minimum of 2 years after action completed, then destroy

5.13.0 Leasing-out

The activities involved in leasing-out equipment and stores to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc of both parties. Also includes subleasing.

See **EQUIPMENT & STORES - Leasing** for records relating to leasing from another organisation.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting leasing-out activities.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from equipment, plant or hazardous materials.

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No.	Description of records	Disposal action
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EQUIPMENT & STORES - Leasing-out

5.13.1	Records relating to arrangements for leasing-out the organisation's equipment or stores to other organisations. Records include signed copies of lease agreements.	Retain minimum of 7 years after lease expires or is terminated, and equipment is returned, then destroy
5.13.2	Records relating to leasing-out which is not proceeded with.	Retain minimum of 2 years after action completed, then destroy

5.14.0 Maintenance

The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of equipment and stores.

See **CONTRACTING-OUT** for records relating to maintenance of equipment and stores undertaken as part of maintenance contracts.

See **EQUIPMENT & STORES - Agreements** for records relating to maintenance of equipment and stores undertaken as part of servicing agreements.

See **FINANCIAL MANAGEMENT - Asset register** for summary records which provide accountability for purchase.

5.14.1	Records relating to tests, repairs, maintenance, inspections, commissioning or alteration of plant and equipment that are relevant to controlling risks associated with the use or operation of that particular item of plant or equipment.	Retain until plant or equipment is disposed of, then destroy
5.14.2	Records relating to tests, repairs, maintenance inspections, commissioning or alteration of plant and equipment not relating to controlling risks associated with a particular item of plant or equipment.	Retain minimum of 2 years after action completed, then destroy

Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use EQUIPMENT & STORES – ALLOCATION for records relating to meetings held in order to decide where equipment and stores will be allocated.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

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No.	Description of records	Disposal action
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EQUIPMENT & STORES - Policy

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

5.15.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **EQUIPMENT & STORES - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding equipment and stores.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross functional or organisation-wide matters.

5.15.1	<p>Final, approved versions of the organisation's policies relating to the acquisition, disposal, use and maintenance of equipment and stores and associated correspondence indicating who the policies apply to and responsibilities for their implementation.</p> <p>Note: There may be some policies relating to the acquisition or disposal of equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.</p>	Retain minimum of 5 years after policy is superseded, then destroy
5.15.2	<p>Records relating to the development and review of the organisation's policies relating to the acquisition, disposal, use and maintenance of equipment and stores. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment 	Retain minimum of 3 years after action completed, then destroy

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No.	Description of records	Disposal action
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EQUIPMENT & STORES - Procedures

	<ul style="list-style-type: none"> • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	
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5.16.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

5.16.1	<p>Final, approved versions of manuals, handbooks, directives, etc., detailing procedures regarding the acquisition and disposal, use and maintenance of equipment and stores and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.</p> <p>Note: There may be some procedures relating to the acquisition or disposal of equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.</p>	Retain minimum of 5 years after procedures are superseded, then destroy
5.16.2	<p>Records relating to the development and review of procedures regarding the acquisition, disposal, use and maintenance of equipment and stores. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy
5.16.3	<p>Operating manuals and instructions for equipment or plant.</p> <p>See OCCUPATIONAL HEALTH & SAFETY - Procedures for records relating to procedures addressing safety issues for the use of equipment or plant.</p>	Retain until superseded or equipment or plant is disposed of, then destroy or transfer to new owner

5.17.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

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No.	Description of records	Disposal action
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EQUIPMENT & STORES - Reporting

5.17.1	<p>Records relating to formal external reports regarding equipment and stores. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
5.17.2	<p>Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities, e.g. statistics monitoring usage of equipment and stores. Records include:</p> <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

5.18.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **EQUIPMENT & STORES - Audit** for records relating to formal audits of items of equipment and stores.

See **EQUIPMENT & STORES - Evaluation** for records relating to investigations undertaken to determine the organisation's requirements for equipment or stores.

See **EQUIPMENT & STORES - Policy** for records relating to the review of policies.

See **EQUIPMENT & STORES - Procedures** for records relating to the review of procedures.

5.18.1	<p>Records relating to the review of items of equipment and stores and of systems and processes associated with their acquisition, disposal, maintenance etc. Records include:</p> <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports 	Retain minimum of 5 years after action completed, then destroy
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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EQUIPMENT & STORES - Security

	<ul style="list-style-type: none"> • project or action plans. 	
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Risk management

See **EQUIPMENT & STORES - Insurance** for records relating to the management of insurance policies for equipment and stores.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from equipment, plant or hazardous materials

See **STRATEGIC MANAGEMENT - Risk management** for records relating to the identification and assessment of organisational risks regarding equipment and stores as part of broader strategic risk management processes.

5.19.0 Security

The activities associated with measures taken to protect equipment and stores from accidental or intentional damage or from unauthorised access.

See **PERSONNEL - Misconduct** for records relating to disciplinary action taken against personnel for security breaches.

See **TECHNOLOGY & TELECOMMUNICATIONS - Security** for records relating to security protection against unauthorised access to technology and telecommunications systems.

See General Retention and Disposal Authority *Video/visual surveillance records* for video and visual surveillance recordings of property.

5.19.1	Records relating to the loss of or damage to equipment and stores. Records include investigations into theft or intentional damage and referral of alleged incidents to law enforcement authorities. See FINANCIAL MANAGEMENT - Corruption for records relating to misappropriations of funds.	Retain minimum of 7 years after action completed, then destroy
5.19.2	Records relating to combinations and/or control of keys for accessing items of equipment or plant, including safes or filing cabinets. Records include registers recording details of the issue of keys etc.	Retain until superseded, then destroy

5.20.0 Stocktake

The activities associated with the examination, counting and valuing of equipment and stores in the organisation with a view to reassessing the need for replacing them, identifying missing items and determining the condition of the existing items.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to changes to the asset register.

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No.	Description of records	Disposal action
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EQUIPMENT & STORES - Stocktake

5.20.1	<p>Records relating to the inventory and stocktake of equipment and stores. Includes examining, counting and valuing equipment and stores. Records include:</p> <ul style="list-style-type: none">• stock/stores control records• stock reconciliations• stocktake reports• stocktaking sheets/records. <p>Note: If the organisation is covered by the Commonwealth <i>Corporations Act 2001</i>, these records should be retained for a minimum of 7 years after end of financial year in which record was created.</p>	<p>Retain minimum of 2 years after action completed, then destroy</p>
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Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

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No.	Description of records	Disposal action
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ESTABLISHMENT - Evaluation

6.0.0 ESTABLISHMENT

The function of establishing and changing the organisational structure through establishing and reviewing positions. Includes classification and grading of positions and the preparation of organisational charts.

See **PERSONNEL - Recruitment** for records relating to recruitment to individual positions.

Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

6.1.0 Evaluation

The process of determining the suitability of potential or existing programs, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.

See **ESTABLISHMENT - Restructuring** for records relating to the establishment or review of organisational structures.

6.1.1	Records relating to the evaluation of positions against existing or planned organisational structures to support corporate requirements and resource needs.	Retain minimum of 5 years after action completed, then destroy
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Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use ESTABLISHMENT – POLICY for records relating to meetings held in order to discuss the formulation of policies, e.g. use ESTABLISHMENT – RESTRUCTURING for records relating to meetings held in order to discuss restructuring issues.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

6.2.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **ESTABLISHMENT - Restructuring** for records relating to organisational charts.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning including organisation-wide establishment plans.

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No.	Description of records	Disposal action
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ESTABLISHMENT - Planning

6.2.1	Final, approved versions of plans for the structure/establishment of sections or business units and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 7 years after plan is superseded, then destroy
6.2.2	Records relating to the development and review of plans for the structure/establishment of sections or business units. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

6.3.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross functional or organisation-wide matters.

6.3.1	Final, approved versions of establishment policies, e.g. policies regarding classification and grading of positions, establishment and review of positions etc, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Retain minimum of 7 years after policy is superseded, then destroy
6.3.2	Records relating to the development and review of establishment policies, e.g. policies regarding classification and grading of positions, establishment and review of positions etc. Records include: <ul style="list-style-type: none"> • policy proposals 	Retain minimum of 3 years after action completed, then destroy

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ESTABLISHMENT - Procedures

	<ul style="list-style-type: none"> • background research • records of consultations or meetings • draft versions of policies containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	
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6.4.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

6.4.1	Final, approved versions of manuals, handbooks, directives etc detailing the organisation's establishment procedures, e.g. procedures regarding classification and grading of positions, establishment and review of positions etc, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.	Retain minimum of 5 years after procedures are superseded, then destroy
6.4.2	Records relating to the development and review of manuals, handbooks, directives etc detailing the organisation's establishment procedures, e.g. procedures regarding classification and grading of positions, establishment and review of positions etc. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

6.5.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **GOVERNMENT RELATIONS - Reporting** for records relating to the drafting, submission and final, approved versions of formal reports to government relating to the organisation's core functions and performance, e.g. annual reports or substantial ad hoc reports.

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ESTABLISHMENT - Reporting

6.5.1	Records relating to formal reports regarding the establishment or review of organisational structures. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/ alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
6.5.2	Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding the establishment or review of organisational structures. Records include: <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

Reviewing

See **ESTABLISHMENT - Evaluation** for records relating to the evaluation of positions.

See **ESTABLISHMENT - Planning** for records relating to the development and review of plans.

See **ESTABLISHMENT - Policy** for records relating to the development and review of policies.

See **ESTABLISHMENT - Procedures** for records relating to the development and review of procedures.

See **ESTABLISHMENT - Restructuring** for records relating to the establishment or review of organisational structures.

6.6.0 Restructuring

The activities involved in the reassessment of the activities, goals and structure of an organisation. Includes consideration of the number of employees, their position descriptions, equipment and other resources required to meet objectives.

See **ESTABLISHMENT - Variations** for records relating to the implementation of changes to positions as a result of restructures.

See **GOVERNING & CORPORATE BODIES - Authorities** for records relating to instruments of authority for GOVERNING & CORPORATE BODIES.

See **STRATEGIC MANAGEMENT** for records relating to privatisation and corporatisation.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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ESTABLISHMENT - Restructuring

6.6.1	<p>Records relating to the establishment of new organisational structures, or to the review of existing structures and programs which result in significant changes to core functional areas or the organisation as a whole, e.g. in the event of an amalgamation or change to or transfer of functional responsibilities. Records include:</p> <ul style="list-style-type: none"> • background research • copies of instruments giving effect to machinery of government changes • draft versions of reports containing substantial changes/alterations or formally circulated for comment • final, approved versions of proposals concerning changes • final, approved versions of organisational charts resulting from the restructure. 	Required as State archives
6.6.2	<p>Records relating to the review of existing structures and programs which do not result in significant changes to core functional areas or the organisation as a whole. Records include:</p> <ul style="list-style-type: none"> • background research • copies of instruments giving effect to machinery of government changes • draft versions of reports containing substantial changes/alterations or formally circulated for comment • final, approved versions of proposals concerning changes. • final, approved versions of organisational charts resulting from the restructure. 	Retain minimum of 5 years after action completed, then destroy

Vacancies

See **PERSONNEL - Recruitment** for records relating to recruitment to individual positions.

6.7.0 Variations

The activities involved in varying, creating and abolishing individual positions.

See **ESTABLISHMENT - Evaluation** for records relating to the job evaluation of particular positions or gradings.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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ESTABLISHMENT - Variations

6.7.1	<p>Records relating to the creation, variation, abolition or transfer of positions and assigned duties. Records include:</p> <ul style="list-style-type: none"> • proposals and authorisations for creation, variation or abolition • minutes or notes of meetings regarding the parameters of new positions or changes to existing positions • position descriptions and statements of duty. <p>Note: Signed copies of position descriptions or statements of duties should be retained for longer periods. See PERSONNEL - Employee service history.</p> <p>Note: These records should be retained as long as they are required to validly support the position. 'Action completed' can be interpreted as when the position is altered, varied or abolished.</p>	Retain minimum of 7 years after action completed, then destroy
6.7.2	Records relating to varying positions and assigned duties when the changes are not proceeded with.	Retain minimum of 2 years after action completed, then destroy

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Accounting

7.0.0 FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating and maintaining accounting system controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants and managing funds in the form of allocations from the Consolidated Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

See the organisation's functional retention and disposal authority for records relating to financial management if the organisation's main activities involve a financial management role, e.g. Treasury, superannuation fund management and administration.

7.1.0 Accounting

The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the organisation. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the organisation's accounting systems and internal controls.

See **FINANCIAL MANAGEMENT - Asset register** for registers of accountable books and forms.

See **FINANCIAL MANAGEMENT - Financial statements** for records relating to the preparation and review of financial statements and summaries.

See **FINANCIAL MANAGEMENT - Policy** for records relating to the organisation's accounting policies.

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reports regarding the management of the organisation's finances.

See **FLEET MANAGEMENT - Compliance** for records relating to the calculation of fringe benefits tax (FBT) liabilities.

7.1.1	Records documenting the organisation's financial transactions. Includes revenue, expenditure, debt recovery and deposits.	Retain minimum of 7 years after end of financial year in which transaction was completed, then destroy
7.1.2	Records relating to the establishment and management of bank accounts. Includes the closure of accounts.	Retain minimum of 7 years after account closed, then destroy
7.1.3	Records relating to bonds or bank guarantees/securities.	Retain until matter completed, then return to applicant or bank

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No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Accounting

7.1.4	Records relating to the management of incidental benefits received by employees in the course of their official duties, e.g. frequent flyer points.	Retain minimum of 7 years after action completed, then destroy
7.1.5	Records relating to the assessment and payment of taxation. Includes income tax, fringe benefits tax (FBT), goods and services tax (GST), sales tax, payroll tax, fuel tax and pay as you go (PAYG) withholding. Records include: <ul style="list-style-type: none"> • tax assessments • business activity statements • tax invoices. <p>Note: If the records form the primary record of the organisation's financial transactions they should be retained as per class 7.1.1 above.</p> <p>Note: Organisations covered by the Corporations Act 2001 (Commonwealth) may be required to retain these records for a minimum of 7 years after end of financial year in which record was created.</p>	Retain minimum of 5 years after end of financial year in which record was created, then destroy
7.1.6	Records relating to handling money and managing the organisation's finances which are not the primary record of the organisation's financial transactions.	Retain minimum of 2 years after end of financial year in which record was created, then destroy
7.1.7	Records relating to the organisation's chart of accounts.	Retain until administrative or reference use ceases, then destroy
7.1.8	Records containing sensitive cardholder authentication data captured as part of an electronic financial transaction. Information may include but is not limited to: <ul style="list-style-type: none"> • card verification value (CAV2, CID, CVC2 or CVV2) • full magnetic stripe data • Personal Identification Number (PIN)/PIN Block. <p>Note: Management of these records should be in accordance with the <i>Payment Card Industry - Data Security Standard (PCI-DSS)</i>.</p>	Retain until transaction completed, then destroy

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Dates of coverage: 1940+

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FINANCIAL MANAGEMENT - Accounting

7.1.9	<p>Records containing cardholder data captured as part of an electronic financial transaction including information printed, processed, transmitted or stored in any form on a payment.</p> <p>Information may include, but is not limited to:</p> <ul style="list-style-type: none"> • Primary Account Number (PAN) • cardholder name • expiry date • service code. <p>Note: Management of these records should be in accordance with the <i>Payment Card Industry - Data Security Standard (PCI-DSS)</i>.</p>	Retain minimum of 3 months after last business, legal and/or regulatory action, then destroy
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Acquisition

See the relevant function/ACQUISITION for records relating to gaining ownership or use of property and other items where there is no tendering or contracting-out process, e.g. use EQUIPMENT & STORES - ACQUISITION for records relating to gaining ownership or use of equipment and stores, e.g. use FLEET MANAGEMENT - ACQUISITION for records relating to the acquisition of vehicles, vehicle accessories, fuel and services.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting acquisition activities.

See **TENDERING** for records relating to receiving and assessing tenders.

7.2.0 Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

See **GOVERNMENT RELATIONS - Advice** for records relating to the provision of advice to the portfolio Minister or other government organisations concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by internal or external legal service providers.

7.2.1	<p>Records relating to the provision or receipt of detailed and significant financial advice to executive or senior management, the Minister or other NSW bodies regarding external financial and annual reporting requirements. Includes detailed and high level advice on the application of specific accounting standards and policies, financial or annual reporting legislation and accounting treatments.</p>	Required as State archives
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No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Advice

7.2.2	Records relating to advice received from organisations regarding new developments and issues warranting supplementary or new appropriation funding, including records of funding/enhancement bids etc.	Required as State archives
7.2.3	Records relating to advice regarding general financial management and accounting practices including financial advice concerning routine operational matters, e.g. wage cases, property matters.	Retain minimum of 10 years after action completed, then destroy

7.3.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

7.3.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements regarding management of the organisation's financial resources, e.g. credit card contracts. Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings with main stakeholders • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements. <p>Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.</p>	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy
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7.4.0 Allocation

The process of assigning money to employees or organisational units.

7.4.1	Records relating to the allocation of funds from Treasury and allocations within the organisation. Includes restrictions and variations to funding allocations.	Retain minimum of 10 years after action completed, then destroy
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Asset register

7.5.0 Asset register

The activities involved in recording all assets owned by the organisation. Includes the date of purchase, depreciation expense, written down value as well as stocktaking and auditing notations.

Note: Assets include physical facilities such as land, buildings, factories, roads, schools and their infrastructure, and products of value such as plant, equipment, machinery, motor vehicles, tools, furniture, furnishings, office equipment, scientific apparatus, books and appliances which have useful lives of more than one year.

See the relevant function/activity for records relating to the acquisition, operation, maintenance and disposal of assets, e.g. use **EQUIPMENT & STORES - ACQUISITION** for records relating to the acquisition of equipment and stores, e.g. use **FLEET MANAGEMENT - DISPOSAL** for records relating to the disposal of vehicles, e.g. use **PROPERTY MANAGEMENT - DISPOSAL** for records relating to the disposal of property, e.g. use **TECHNOLOGY & TELECOMMUNICATIONS - MAINTENANCE** for records relating to the maintenance of technology and telecommunications equipment.

See **EQUIPMENT & STORES - Acquisition** for summary records created to facilitate the management of items owned by the organisation which have useful lives of less than 12 months (i.e. are not classified as assets).

See **PROPERTY MANAGEMENT - Acquisition** for summary records created to facilitate the management of property owned by the organisation, e.g. deed registers, property registers, land registers.

7.5.1	<p>Registers documenting the assets and/or accountable items in the possession of the organisation.</p> <p>Note: With paper-based registers, retain minimum of 7 years after last item entered has been disposed of, then destroy. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	<p>Retain minimum of 7 years after asset is disposed of, then destroy</p>
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7.6.0 Audit

The activities associated with officially checking fiscal, quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

See **PERSONNEL - Misconduct** for records relating to action taken against individual employees if misuse or fraud is detected.

See **STRATEGIC MANAGEMENT - Audit** for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Audit

7.6.1	<p>Records relating to audits of the organisation's accounts or financial management records, systems and processes which:</p> <ul style="list-style-type: none"> • identify serious misuse or wastage of public money • set a precedent, and/or • lead to a major change in policies. <p>Records include:</p> <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of audit reports containing significant changes/alterations or formally circulated for comment • final, approved versions of audit reports • records of remedial action. 	Required as State archives
7.6.2	<p>Records relating to audits of the organisation's accounts or financial management records, systems and processes which do not:</p> <ul style="list-style-type: none"> • identify serious misuse or wastage of public money • set a precedent, and/or • lead to a major change in policies. <p>Records include:</p> <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of audit reports containing significant changes/alterations or formally circulated for comment • final, approved versions of audit reports • records of remedial action. 	Retain minimum of 6 years after action completed, then destroy

7.7.0 Authorisation

The process of seeking and granting permission to undertake a requested action.

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Authorisation

See **PERSONNEL - Authorisation** for records relating to authorisations for employees to travel.

See **STRATEGIC MANAGEMENT - Authorisation** for records relating to delegations of authority.

7.7.1	Records relating to approvals and authorisations for travel or reimbursement of expenses etc for personnel or others.	Retain minimum of 7 years after end of financial year in which record was created, then destroy
7.7.2	Records of approvals for use and applications for issue of corporate credit or purchase cards.	Retain minimum of 7 years after authorisation is withdrawn or superseded, then destroy

7.8.0 Budgeting

The process of planning the use of expected income and expenditure over a specified period.

See **FINANCIAL MANAGEMENT - Allocation** for records relating to Treasury allocations in response to the organisation's budget request.

See **GOVERNMENT RELATIONS - Reporting** for periodic reports required to be submitted to external government organisations regarding budget estimates.

7.8.1	Budget estimates, including estimates for expenditure on new policy proposals or programs, and supporting documents prepared for external approval, e.g. by the organisation's parent department or Minister. Includes variations on estimates.	Required as State archives
7.8.2	Records relating to the development and review of budget estimates. Records include: <ul style="list-style-type: none"> • budget estimates and supporting documents prepared for internal use • calculations and costings for annual, forward, draft, revised and additional estimates • submissions from business units or offices within the organisation. 	Retain minimum of 6 years after preparation, then destroy
7.8.3	Records relating to the organisation's spending progress or revenue collection against allocations within the budget estimates.	Retain minimum of 2 years after end of financial year in which record was

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No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Compliance

		created, then destroy
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

7.9.0 Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to measure the compliance of other organisations with policies, standards and requirements on financial management.

See **FINANCIAL MANAGEMENT - Audit** for records relating to formal audits against compliance requirements.

See **FINANCIAL MANAGEMENT - Policy** for records relating to the drafting and review of financial policies.

See **LEGAL SERVICES - Litigation** for records relating to the prosecution of the organisation for breaches of compliance requirements.

7.9.1	<p>Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding financial management, e.g. registration of Australian Business Number (ABN), Australian Company Number (ACN), Data Universal Numbering System Number (DUNS), accounting standards.</p> <p>Note: Retention period is provided as a guideline only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.</p>	<p>Retain minimum of 7 years after registration lapses or is superseded, or action completed, then destroy</p>
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Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

7.10.0 Corruption

The processes which allow the disclosure of corruption, and strategies for the prevention of corruption (including fraud).

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No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Corruption

See **GOVERNING & CORPORATE BODIES - Corruption** for records relating to allegations of fraud or corruption made about a member of the organisation's governing body.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to formal inquiries involving the organisation.

See **PERSONNEL - Misconduct** for records relating to investigations into corruption allegations made against an employee, including protected disclosures.

See **STAFF DEVELOPMENT - Training** for records relating to training of employees in appropriate standards of conduct and reporting allegedly corrupt behaviour.

See **STRATEGIC MANAGEMENT - Corruption** for records relating to the management of gifts given to the organisation, e.g. gifts registers kept as an anti-corruption measure.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of plans relating to corruption prevention or control.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the development and review of policies relating to corruption prevention or control.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to the development and review of procedures relating to corruption prevention or control.

7.10.1	<p>Records relating to specific instances of theft, fraud, misappropriation or negligence. Includes:</p> <ul style="list-style-type: none"> • actual, attempted or suspected fraud, theft, misappropriation or negligence • doubtful debts • irrecoverable revenue, debts and overpayments • recovery of debt • waivering of debt • write offs • deficiencies/losses. <p>Records include:</p> <ul style="list-style-type: none"> • reports of investigations • records documenting liaison with external authorities. 	Retain minimum of 10 years after action completed, then destroy
7.10.2	Records relating to financial management arrangements supporting the organisation's fraud control plan.	Retain minimum of 7 years after plan is superseded, then destroy

Donations

See the organisation's functional retention and disposal authority for money provided to other organisations in the form of grants.

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FINANCIAL MANAGEMENT - Evaluation

See **COMMUNITY RELATIONS - Donations** for records relating to donations or bequests of money, items, artefacts or property, other than financial records of money received or given.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the receipt and distribution of donations.

See **INFORMATION MANAGEMENT - Donations** for records relating to the donation of information resources, e.g. books to the organisation.

See **STRATEGIC MANAGEMENT - Corruption** for records relating to the receipt of gifts where records are maintained as an anti-corruption measure, e.g. gift registers.

7.11.0 Evaluation

The process of determining the suitability of potential or existing programs, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.

7.11.1	Records relating to the evaluation of potential and existing financial management programs, systems and services.	Retain minimum of 5 years after action completed, then destroy
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7.12.0 Financial statements

The process of compiling annual statements presented in prescribed form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year.

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reporting on the management of the organisation's finances.

See **GOVERNMENT RELATIONS - Reporting** for records relating to the organisation's annual report.

7.12.1	<p>Records relating to the preparation and review of financial statements and summaries. Includes annual statements of assets and liabilities, balance sheets, profit and loss statements, operating statements of financial position and cash flow statements. Records include:</p> <ul style="list-style-type: none"> • final, signed off statements • working papers and supporting documents needed to explain the methods by which financial statements are made up and adjustments to be made in preparing financial statements. <p>Note: When financial statements and summaries are presented to financial and other committees and placed on file, they should be disposed of in</p>	Retain minimum of 7 years after end of financial year in which record was created, then destroy
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FINANCIAL MANAGEMENT - Financial statements

	accordance with the relevant entries under COMMITTEES (GA28, 1.0.0).	
7.12.2	Periodic interim financial statements and summaries prepared for management on a regular basis, e.g. weekly or monthly.	Retain minimum of 1 year after end of financial year in which record was created, then destroy

Grant funding

See the organisation's functional retention and disposal authority for records relating to the provision of grants to other organisations.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the receipt and distribution of grants.

See **STRATEGIC MANAGEMENT - Grant funding** for records relating to applying for and receiving grants, other than financial records.

Inventory

See **EQUIPMENT & STORES - Stocktake** for records relating to inventories and stocktakes of equipment and stores.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the management of assets.

See **PROPERTY MANAGEMENT - Acquisition** for land registers.

Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use **FINANCIAL MANAGEMENT - ADVICE** for records relating to meetings held in order to receive financial advice, e.g. use **FINANCIAL MANAGEMENT - AUDIT** for records relating to meetings held in order to discuss audits of financial management, e.g. use **FINANCIAL MANAGEMENT - PLANNING** for records relating to meetings held in order to discuss planning for financial management.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

Payments

See **FINANCIAL MANAGEMENT - Accounting** for records relating to payments.

See **FINANCIAL MANAGEMENT - Salaries** for records relating to payments.

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No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Planning

7.13.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning.

7.13.1	Final, approved versions of plans for the management of the organisation's financial services, including economic appraisals, etc., and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 5 years after plan is superseded, then destroy
7.13.2	Records relating to the development and review of plans for the management of the organisation's financial services, including economic appraisals etc. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

7.14.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

7.14.1	Records relating to the organisation's policies for the management of financial resources, including policies on treasury management and accounting. Records include:	Retain minimum of 7 years after policy is superseded, then destroy
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FINANCIAL MANAGEMENT - Procedures

	<ul style="list-style-type: none"> • policy proposals • background research • records of consultations or meetings • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc • final, approved versions of policies • associated correspondence indicating who the policies apply to and responsibilities for their implementation. 	
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7.15.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to cross-functional or organisation-wide procedures.

See **TECHNOLOGY & TELECOMMUNICATIONS - Procedures** for records relating to procedures for technology and telecommunications systems.

7.15.1	<p>Records relating to manuals, handbooks, directives etc detailing the organisation's procedures for the management of financial resources, including procedures for treasury management and accounting. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. • final, approved versions of procedures • associated correspondence indicating who the procedures apply to and responsibilities for their implementation. 	<p>Retain minimum of 7 years after procedures are superseded, then destroy</p>
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Reporting

7.16.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **FINANCIAL MANAGEMENT - Financial statements** for records relating to the submission of financial statements.

See **GOVERNMENT RELATIONS - Reporting** for records relating to the drafting, submission and final, approved versions of formal reports to government relating to the organisation's core functions and performance, e.g. annual reports or substantial ad hoc reports.

See **TECHNOLOGY & TELECOMMUNICATIONS - Reporting** for records relating to the development and review of reports regarding technology and telecommunications.

7.16.1	<p>Records relating to reports regarding the management of the organisation's finances, e.g. reports to Treasury on yearly premium renewals for insurance policies.</p> <p>Records include:</p> <ul style="list-style-type: none"> • background research • records relating to the outcomes of consultation with employees, unions, other stakeholders etc • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
7.16.2	<p>Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding financial management programs and services. Records include:</p> <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

7.17.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **FINANCIAL MANAGEMENT - Audit** for records relating to formal audits of the organisation's accounts or financial management records, systems and processes.

See **FINANCIAL MANAGEMENT - Planning** for records relating to the development and review of plans for the management of financial resources.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Reviewing

See **FINANCIAL MANAGEMENT - Policy** for records relating to the development and review of policies for the management of financial resources.

See **FINANCIAL MANAGEMENT - Procedures** for records relating to the development and review of procedures for the management of financial resources.

7.17.1	Records relating to the review of financial programs and services. Records include: <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • project or action plans. 	Retain minimum of 5 years after action completed, then destroy
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Risk management

See **STRATEGIC MANAGEMENT - Risk management** for records relating to the identification and assessment of financial risks as part of broader strategic risk management processes.

7.18.0 Salaries

The process of managing the payment of salaries to personnel.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the assessment of fringe benefits tax and PAYG withholding.

See **PERSONNEL - Advice** for records relating to terms and conditions regarding allowances.

See **PERSONNEL - Leave, attendance and absences** for records relating to attendance, applications for leave and the administration of leave.

7.18.1	Records documenting the payment of wages to employees. Note: WorkCover NSW advises that wages consist of total gross earnings (before tax deductions) and some other payments, including: -salary or wages-overtime, shift and other allowances-over-award payments-bonuses and commissions-payments for sick leave, public holidays and the associated leave loadings-the value of any substitutes for cash-employer superannuation contributions-the grossed-up value of fringe benefits-long service leave payments-termination payments-trust distributions to workers where the distribution is in lieu of wages for work done for the trust.	Retain minimum of 7 years after end of financial year in which record was created, then destroy
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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Salaries

7.18.2	Records supporting the payment of wages to employees. Records include forms and documents used to process and update information in payroll systems.	Retain minimum of 2 years after end of financial year in which record was created, then destroy
7.18.3	Records relating to salary rates registers.	Retain until administrative or reference use ceases, then destroy

Standards

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies, key direction statements and initiatives.

See **STRATEGIC MANAGEMENT - Standards** for records relating to the development and implementation of standards or benchmarks that provide a framework for the conduct of the organisation's operations or assessment of its performance.

Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

7.19.0 Treasury management

The process of managing the funds of the organisation in an efficient and economical manner by ensuring an effective system of internal control is in operation. Includes investments and loans.

See the organisation's functional retention and disposal authority for records relating to the administration of schemes to loan money to individuals or other organisations.

See **FINANCIAL MANAGEMENT - Policy** for records relating to the organisation's policies on treasury management.

7.19.1	Records relating to the organisation's Treasury Management strategy.	Required as State archives
7.19.2	Records relating to operations, and individual appropriations, borrowings, investments and loans to other organisations or individuals. Note: 'Transaction completed' for records relating to investments and borrowings should be interpreted as when investments are liquidated or matured, or when borrowings are repaid or rolled over.	Retain minimum of 7 years after end of financial year in which transaction was completed, then destroy

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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FINANCIAL MANAGEMENT - Treasury management

7.19.3	<p>Records relating to unclaimed money. Records include copies of returns and registers used to record unclaimed money.</p> <p>Note: With paper-based registers, retain minimum of 7 years after last entry in the register, then destroy. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 7 years after date return lodged, then destroy
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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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FLEET MANAGEMENT - Accidents

8.0.0 FLEET MANAGEMENT

The function of acquiring, managing, maintaining, repairing and disposing of vehicles. Vehicles are any means of conveyance owned or used by the organisation to transport people or items.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of the organisation's fleet as a corporate asset.

8.1.0 Accidents

The activities involved with dealing with mishaps causing damage to the organisation's vehicles. Also includes measures to prevent incidents occurring.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees.

See **FLEET MANAGEMENT - Claims** for records relating to insurance claims for damage to vehicles.

See **LEGAL SERVICES - Litigation** for records relating to legal action resulting from an incident.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to accidents involving employees or members of the public.

8.1.1	<p>Records relating to incidents involving vehicles maintained or used by the organisation. Records include:</p> <ul style="list-style-type: none"> • vehicle accident and investigation reports • copies of documents authorising use of the vehicle • copies of driver/operator/pilot licences or certificates of competency • copies of bookings/logs and other evidence supporting use of the vehicle. <p>Note: When an accident results in a compensation claim for personal injury relevant records should be copied for the compensation file.</p> <p>Note: Consideration may need to be given to retaining these records longer in some circumstances, e.g. where the incident results in a compensation claim for personal injury.</p>	Retain minimum of 7 years after action completed, then destroy
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8.2.0 Acquisition

The process of gaining ownership or use of vehicles and related goods required for the conduct of business through purchase or requisition.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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FLEET MANAGEMENT - Acquisition

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting acquisitions.

See **FLEET MANAGEMENT - Leasing** for records relating to the administration and management of leased or hired vehicles.

See **TENDERING** for records relating to receiving and assessing tenders.

8.2.1	<p>Records relating to the acquisition of vehicles and vehicle accessories, including vehicles purchased through motor vehicle supply contracts. Records include:</p> <ul style="list-style-type: none"> • quotes • evaluations of period contracts or alternatives • justifications/business cases • orders • handover reports • correspondence. 	Retain minimum of 7 years after disposal of vehicle, then destroy
8.2.2	<p>Records relating to the acquisition of fuel and services, including e-tags, tollway schemes etc required to support the fleet management process where there is no tender or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include records of fuel cards issued and cancelled.</p>	Retain minimum of 7 years after action completed, then destroy

Agreements

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **FLEET MANAGEMENT - Leasing** for records relating to the administration and management of leased or hired vehicles.

See **FLEET MANAGEMENT - Leasing-out** for records relating to the leasing-out of the organisation's vehicles.

See **TENDERING** for records relating to receiving and assessing tenders.

Allowances

See **FINANCIAL MANAGEMENT - Salaries** for records relating to for records relating to vehicle allowances.

8.3.0 Arrangements

The activities involved in making arrangements for the delivery and usage of vehicles or related goods.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions associated with meeting fringe benefits tax (FBT) obligations.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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FLEET MANAGEMENT - Arrangements

See **FINANCIAL MANAGEMENT - Salaries** for records relating to fringe benefits tax (FBT) arrangements in employee salary packages.

8.3.1	Records relating to arrangements for using vehicles. Records include: <ul style="list-style-type: none"> • booking schedules • trip instructions • travel itineraries and programs • records of checks for appropriate authorisations. 	Retain minimum of 2 years after action completed, then destroy
8.3.2	Vehicle running sheets/log books.	Retain minimum of 5 years after the end of the Fringe Benefits Tax year, then destroy

8.4.0 Authorisation

The process of seeking and granting permission to use organisational vehicles.

See **STRATEGIC MANAGEMENT - Authorisation** for records relating to delegations of authority.

8.4.1	Records relating to requests and approvals authorising the use of vehicles involving financial arrangements. Records include: <ul style="list-style-type: none"> • records of permission to use private vehicles for official business • records of permission to undertake maintenance and repairs • records of permission for private use of fuel cards and arrangements for reimbursement. 	Retain minimum of 7 years after action completed, then destroy
8.4.2	Records relating to requests and approvals authorising the use of vehicles not involving financial arrangements. Records include: <ul style="list-style-type: none"> • records of permission to carry non-employees as passengers • records of permission for home garaging of vehicles • records of permission for Senior Executive Officers to use vehicles while on leave • records of permission for learner drivers to drive a vehicle. 	Retain minimum of 2 years after authority expires, then destroy

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No.	Description of records	Disposal action
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FLEET MANAGEMENT - Claims

8.5.0 Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for damage to or destruction of vehicles. Includes disputes over rights and ownership and recompense sought for stolen vehicles.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees.

8.5.1	Records relating to insurance claims for damage to vehicles. Records include copies of claims, reports and related correspondence.	Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy
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Committees

See **COMMITTEES** for records relating to formation, meetings and decisions of committees, task forces, working groups or parties etc.

8.6.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess compliance of other organisations with fleet management regulations, standards or policies etc.

See **FLEET MANAGEMENT - Infringements** for records relating to driving or traffic infringements regarding vehicles maintained or used by the organisation.

8.6.1	Records relating to the organisation's compliance with regulatory standards including modifications to the manufacturer's delivered vehicle including any engineering certifications, photographs, costs and supporting records. Note: Retention period is provided as a guideline only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.	Retain minimum of 7 years after action completed, then destroy
8.6.2	Records relating to the registration of the organisation's vehicles. Records include records of inspections and renewals.	Retain until registration has expired, been renewed or vehicle sold, then destroy

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No.	Description of records	Disposal action
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FLEET MANAGEMENT - Compliance

8.6.3	Records relating to the calculation of Fringe Benefits Tax (FBT) liabilities.	Retain minimum of 5 years after the end of the FBT year, then destroy
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Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

8.7.0 Disposal

The process of disposing of vehicles no longer required by the organisation by sale, transfer, termination of lease, auction or destruction.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the removal of items from the organisation's asset register.

8.7.1	Records relating to the disposal of vehicles through any means including sale, transfer, auction, exchange, return or destruction etc. Records include: <ul style="list-style-type: none"> • independent valuations • certifications of work undertaken on vehicles prior to disposal • written quotes • auction records • correspondence • handover reports for leased vehicles. 	Retain minimum of 7 years after disposal of vehicle, then destroy
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Evaluation

See **FLEET MANAGEMENT - Acquisition** for records relating to the evaluation of period contracts or alternatives by public sector organisations not covered by the NSW Motor Vehicle Policy or those who have procurement requirements for vehicles with specific work related applications.

8.8.0 Infringements

The activities associated with handling breaches of rules. Includes driving or traffic infringements.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the payment of fines.

See **LEGAL SERVICES - Litigation** for records relating to infringements that result in litigation.

See **PERSONNEL - Misconduct** for records relating to disciplining employees for infringements.

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No.	Description of records	Disposal action
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FLEET MANAGEMENT - Infringements

8.8.1	Records relating to driving or traffic infringements regarding vehicles maintained or used by the organisation. Records include: <ul style="list-style-type: none"> • copies of infringement notices • correspondence with relevant authorities • supporting documentation. 	Retain minimum of 2 years after action completed, then destroy
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8.9.0 Insurance

The process of taking out premiums to cover loss or damage to vehicles.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees.

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

See **FLEET MANAGEMENT - Claims** for records relating to insurance claims for damage to vehicles.

8.9.1	Vehicle insurance policies including information provided for renewals and summary records facilitating the management of policies, e.g. registers of insurance policies. Note: With paper-based registers, retain minimum of 7 years after expiry of last policy in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 7 years after expiry of the policy, then destroy
8.9.2	Records relating to the administration of insurance policies. Records include notices of renewals, details of amounts of cover, advice on premiums payable etc.	Retain minimum of 2 years after action completed, then destroy

8.10.0 Leasing

The activities involved in leasing vehicles from another organisation.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions associated with leasing vehicles.

See **FLEET MANAGEMENT - Acquisition** for records relating to the acquisition of vehicles.

See **FLEET MANAGEMENT - Compliance** for records relating to Fringe Benefits Tax reports received from a leasing company.

See **FLEET MANAGEMENT - Disposal** for records relating to the disposal of leased vehicles.

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No.	Description of records	Disposal action
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FLEET MANAGEMENT - Leasing

8.10.1	Records relating to the administration and management of leased or hired vehicles, including: <ul style="list-style-type: none"> • agreements • reports received from leasing companies • vehicle exemption reports. 	Retain minimum of 7 years after lease or hire arrangement expires or is terminated, then destroy
8.10.2	Records relating to leasing which is not proceeded with.	Retain minimum of 2 years after action completed, then destroy

8.11.0 Leasing-out

The activities involved in leasing-out vehicles to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc of both parties. Also includes subleasing.

8.11.1	Records relating to arrangements for leasing-out part of the organisation's fleet. Records include signed copies of lease agreements.	Retain minimum of 7 years after lease expires or is terminated, then destroy
8.11.2	Records relating to leasing-out which is not proceeded with.	Retain minimum of 2 years after action completed, then destroy

8.12.0 Maintenance

The activities associated with the upkeep, repair and servicing of vehicles.

See **CONTRACTING-OUT** for records relating to acquisition of services through a contracting-out or outsourcing process.

8.12.1	Records relating to repairs, modifications and maintenance of owned vehicles (excluding maintenance contracts). Records include maintenance record books.	Transfer to new owner after sale or retain minimum of 6 months after write off of vehicle, then destroy
8.12.2	Records relating to repairs and maintenance of leased vehicles (excluding maintenance contracts). Records include maintenance record books.	Transfer to leasing company after lease expires or is terminated, or retain until expiry

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No.	Description of records	Disposal action
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FLEET MANAGEMENT - Planning

		or termination or lease, then destroy
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Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use FLEET MANAGEMENT – Leasing for records relating to meetings held to negotiate leasing for vehicles, e.g. use FLEET MANAGEMENT – Maintenance for records relating to meetings held in order to discuss maintenance work undertaken on organisational vehicles.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

8.13.0 Planning

The process of formulating ways in which strategic objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning.

8.13.1	Final, approved versions of the organisation's fleet management plans, e.g. fleet improvement plans for reductions in fuel use, greenhouse gas emissions and better average fuel consumption, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 5 years after plan is superseded, then destroy
8.13.2	Records relating to the development and review of the organisation's fleet management plans, e.g. fleet improvement plans for reductions in fuel use, greenhouse gas emissions and better average fuel consumption. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

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FLEET MANAGEMENT - Policy

8.14.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **FLEET MANAGEMENT - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements relating to fleet management.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

8.14.1	<p>Final, approved versions of fleet management policies, e.g. policies on personal use of organisational vehicles, use of parking spaces, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.</p> <p>Note: There may be some policies relating to the acquisition or disposal of the organisation's fleet that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.</p>	Retain minimum of 5 years after policy is superseded, then destroy
8.14.2	<p>Records relating to the development and review of the organisation's fleet management policies, e.g. policies on personal use of organisational vehicles, use of parking spaces etc. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

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FLEET MANAGEMENT - Procedures

8.15.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

8.15.1	<p>Final, approved versions of organisation manuals, handbooks, directives etc detailing fleet management procedures, e.g. procedures on acquisition of new and replacement vehicles, maintenance procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.</p> <p>Note: There may be some procedures relating to the acquisition or disposal of the organisation's fleet that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.</p>	Retain minimum of 5 years after procedures are superseded, then destroy
8.15.2	<p>Records relating to the development and review of manuals, handbooks, directives etc detailing the organisation's fleet management procedures, e.g. procedures on selection of new and replacement vehicles, maintenance procedures. Records include:</p> <ul style="list-style-type: none"> • background research • records of consultations • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

8.16.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **FINANCIAL MANAGEMENT - Financial statements** for records relating to accounting for leases in financial statements.

See **PUBLICATION - Production** for records relating to production of the organisation's annual reports and other published reports.

8.16.1	Records relating to the development and review of reports relating to fleet management, e.g. financials,	Retain minimum of 5 years after action
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FLEET MANAGEMENT - Reporting

	utilisation, fuel expenditure, running costs, value of reportable fringe benefits provided to employees, reporting in line with Government Energy Management Policy, reporting on accidents/incidents and theft involving organisational vehicles. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	completed, then destroy
8.16.2	Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding fleet management. Records include: <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

8.17.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **FLEET MANAGEMENT - Planning** for records relating to the review of plans.

See **FLEET MANAGEMENT - Policy** for records relating to the review of policy.

See **FLEET MANAGEMENT - Procedures** for records relating to the review of procedures.

8.17.1	Records relating to the review of fleet management arrangements and systems or of the organisation's transport needs, e.g. reviews of fleet size and composition. Records include: <ul style="list-style-type: none"> • measurements and reviews of needs, arrangements or components of system • reports on review and recommendations. 	Retain minimum of 5 years after action completed, then destroy
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Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting out or outsourcing process.

See **FLEET MANAGEMENT - Acquisition** for records relating to the acquisition of vehicles where the tender is managed by State Fleet.

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FLEET MANAGEMENT - Reviewing

See **TENDERING** for records relating to receiving and assessing tenders.

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No.	Description of records	Disposal action
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FLEET MANAGEMENT - Reviewing

9.0.0 GOVERNING & CORPORATE BODIES

The establishment and management of corporate entities, such as companies and corporations and of governing bodies such as boards, trusts, councils, commissions, etc.

Includes compliance with legislative registration requirements, management of the nomination, appointment and separation of governing body members, administration of meetings of governing bodies or formal subcommittees established by them. Also includes arrangements for travel, leave entitlements, allowances and remuneration for duties performed.

Note: Decisions concerning the disposal of the records of inter-governmental organisations, e.g. the Border Rivers Commission or the Murray Darling Basin Commission must involve consultation between the relevant State or Territory archival authorities. These records are outside the scope of this authority and separate authorisation must be sought from State Archives and Records NSW.

See **COMMITTEES** for records relating to standing committees established by governing bodies (i.e. committees where there is delegation from the governing body to undertake particular functions and where the committee has its own authority to make decisions and take action).

Accidents

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation by members of governing bodies.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to incidents involving members of governing bodies.

Addresses

See **COMMUNITY RELATIONS - Addresses** for records relating to addresses made by members of governing bodies.

See **COMMUNITY RELATIONS - Conferences** for records relating to addresses made by members of governing bodies.

9.1.0 Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Also includes the process of advising.

See **GOVERNMENT RELATIONS - Advice** for records relating to advice provided to the portfolio Minister regarding the administration and operation of the organisation's governing body.

See **GOVERNMENT RELATIONS - Representations** for records relating to responses to correspondence received by the Minister (Ministerials) or Members of Parliament regarding the organisation's governing body.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation to Cabinet or the Minister or other government organisations relating to core functions.

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GOVERNING & CORPORATE BODIES - Advice

9.1.1	Records relating to the receipt and provision of advice regarding the administration and operation of the organisation's governing body.	Required as State archives
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9.2.0 Agreements

The process associated with the establishment, negotiation, maintenance and review of agreements.

See **GOVERNING & CORPORATE BODIES - Membership** for records relating to agreements regarding the terms and conditions of members' appointments and duties.

See **GOVERNING & CORPORATE BODIES - Performance management** for records relating to performance agreements with the Minister or other relevant authority.

9.2.1	Records relating to the establishment, negotiation, maintenance and review of agreements relating to the accountabilities of the body or the conduct of its responsibilities, e.g. agreements between the Minister and members of governing bodies, memoranda of understanding or accountability instruments. Records include: <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements. 	Required as State archives
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9.3.0 Appeals

The activities involved in the process of appeals against decisions by application to a higher authority.

9.3.1	Records relating to an appeal made by a member of a governing body to a higher authority on decisions made with respect to the operation of the governing body.	Required as State archives
9.3.2	Records relating to an appeal made by a member of a governing body to a higher authority on decisions made with respect to the rights and entitlements of individual membership, e.g. entitlements on removal.	Retain minimum of 10 years after action completed, then destroy

9.4.0 Arrangements

The activities involved in arranging for a journey or trip.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNING & CORPORATE BODIES - Arrangements

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for members of GOVERNING & CORPORATE BODIES or their sub-committees to travel.

See **GOVERNING & CORPORATE BODIES - Membership** for records relating to the payment of allowances or reimbursement of expenses.

9.4.1	<p>Records relating to arrangements for members of GOVERNING & CORPORATE BODIES or their sub-committees to travel. Records include:</p> <ul style="list-style-type: none"> • itineraries • determinations of allowances • accommodation and transport arrangements and bookings. 	Retain minimum of 2 years after action completed, then destroy
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9.5.0 Audit

The activities associated with officially checking quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

See **FINANCIAL MANAGEMENT - Audit** for records relating to formal audits of accounts or the management of financial resources.

See **STRATEGIC MANAGEMENT - Audit** for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.

See **STRATEGIC MANAGEMENT - Compliance** for records relating to managing compliance with quality management processes.

9.5.1	<p>Records relating to audits of the governance practices or performance of governing bodies and their subcommittees which:</p> <ul style="list-style-type: none"> • result in the suspension or dismissal of members • set a precedent, and/or • lead to a major change in policies. <p>Records include:</p> <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence 	Required as State archives
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Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNING & CORPORATE BODIES - Audit

	<ul style="list-style-type: none"> • draft versions of audit reports containing significant changes/alterations or formally circulated for comment • final, approved versions of audit reports or responses to audit report findings or recommendations • records of remedial action. 	
9.5.2	<p>Records relating to audits of the governance practices or performance of governing bodies and their subcommittees which do not:</p> <ul style="list-style-type: none"> • result in the suspension or dismissal of members • set a precedent, or • lead to a major change in policies. <p>Records include:</p> <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of audit reports containing significant changes/alterations or formally circulated for comment • final, approved versions of audit reports or responses to audit report findings or recommendations • records of remedial action. 	Retain minimum of 6 years after action completed, then destroy

9.6.0 Authorisation

The process of seeking and granting permission to undertake a requested action.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for members of governing bodies or their sub-committees to travel.

See **GOVERNING & CORPORATE BODIES - Arrangements** for records relating to arrangements for members of governing bodies or their sub-committees to travel.

See **GOVERNING & CORPORATE BODIES - Meetings** for records relating to approvals given by the governing body and recorded in minutes of meetings.

See **GOVERNMENT RELATIONS - Authorisation** for records relating to delegations of authority from the Minister to the organisation.

9.6.1	Records relating to delegations for members of governing bodies or their sub-committees to enter into	Required as State archives
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Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNING & CORPORATE BODIES - Authorisation

	agreements or arrangements that bind the organisation. Includes records of Ministerial delegation.	
9.6.2	Records relating to other delegations for members of governing bodies or their sub-committees, i.e. that do not involve entering into agreements or arrangements that bind the organisation.	Retain minimum of 7 years after expiry of delegation, then destroy

9.7.0 Authorities

The activities associated with the establishment of new governing bodies or to alteration of existing structures of governing bodies. Includes instruments of authority.

9.7.1	Records relating to the issue of instruments of authority, e.g. by a central agency, to establish new governing bodies or alter existing structures of governing bodies, e.g. non-statutory charters.	Required as State archives
9.7.2	Records relating to the receipt by the organisation of instruments of authority to establish new governing bodies or alter existing structures of governing bodies, e.g. non-statutory charters.	Retain minimum of 10 years after governing body ceases to exist or instrument is superseded, then destroy

Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of other committees, task forces, working groups and parties etc, including standing committees.

See **GOVERNING & CORPORATE BODIES - Meetings** for records relating to meetings of governing bodies and sub-committees of governing bodies.

9.8.0 Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject.

See **LEGAL SERVICES - Advice** for records relating to legal advice from internal or external legal service providers.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the governing body for breaches of compliance requirements.

9.8.1	Summary records documenting disclosures of pecuniary interest by members of governing bodies. Records include conflict of interest registers and registers of related party transactions.	Required as State archives
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNING & CORPORATE BODIES - Compliance

9.8.2	<p>Declarations and disclosures of pecuniary interest by members of governing bodies.</p> <p>See FINANCIAL MANAGEMENT for records relating to taxation, fringe benefits and instances of fraud or misappropriation.</p>	<p>(A) Where a summary record exists:</p> <p>Retain minimum of 10 years after member's term expires, then destroy</p> <p>(B) Where no summary record exists:</p> <p>Required as State archives</p>
9.8.3	<p>Records documenting the establishment and registration of the organisation, or an entity controlled by it, as a corporate entity. Includes certificates, memoranda and articles of incorporation or association, company or corporate registers (e.g. share and seal registers, registers of directors, etc.).</p>	<p>Required as State archives</p>
9.8.4	<p>Records relating to arrangements for the winding up of corporate-owned registered companies, subsidiaries or controlled entities. Includes notification of intentions, arrangements to discharge liabilities, removal from registration.</p> <p>See STRATEGIC MANAGEMENT - Agreements for agreements regarding the transfer of responsibilities and ownership of assets such as property, information, etc., due to privatisation of a controlled subsidiary or entity</p>	<p>Retain minimum of 7 years after action completed, then destroy</p>

Conferences

See **COMMUNITY RELATIONS - Conferences** for records relating to conferences arranged by the organisation and for addresses given by members of governing bodies or their sub-committees at external conferences.

See **GOVERNING & CORPORATE BODIES - Training and development** for records relating to training and professional development for members of governing bodies.

9.9.0 Corruption

The processes which allow the disclosure of corruption, and strategies for the prevention of corruption (including fraud).

9.9.1	<p>Records relating to allegations of fraud, corruption or misconduct involving a member of the organisation's governing body.</p>	<p>Required as State archives</p>
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNING & CORPORATE BODIES - Meetings

Evaluation

See **STRATEGIC MANAGEMENT - Evaluation** for records relating to the evaluation of potential and existing programs, services and systems that cross functions or relate to the strategic management of the organisation.

9.10.0 Meetings

The activities associated with gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the organisation. Includes arrangements, agenda, taking of minutes, etc.

Note: It is recommended that organisations have in place established procedures and guidance regarding the capture of official sets of minutes, papers and associated correspondence into recordkeeping systems and the management and disposal of a member's own copies of meeting records or business or committee papers once their membership of the governing body ceases.

See this function and activity for records relating to meetings of GOVERNING & CORPORATE BODIES such as boards, trusts etc and formal sub-committees of GOVERNING & CORPORATE BODIES.

See **COMMITTEES** for records relating to the formation, meetings and decisions of other strategic or operational committees, task forces, working groups or parties, including standing committees established by GOVERNING & CORPORATE BODIES (i.e. committees where there is delegation from the governing body to undertake particular functions and where the committee has its own authority to make decisions and take action).

See **GOVERNING & CORPORATE BODIES - Arrangements** for records relating to arrangements for members of GOVERNING & CORPORATE BODIES or their sub-committees to travel.

9.10.1	<p>Records relating to the meetings of GOVERNING & CORPORATE BODIES, such as boards, trusts, etc., and meetings of sub-committees. Records include:</p> <ul style="list-style-type: none"> • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed at meetings. 	Required as State archives
9.10.2	<p>Records relating to administrative arrangements for meetings including records or correspondence relating to:</p> <ul style="list-style-type: none"> • meeting notifications • catering arrangements • venue bookings • related correspondence. 	Retain until administrative or reference use ceases, then destroy

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNING & CORPORATE BODIES - Membership

9.11.0 Membership

The activities associated with managing the nomination, appointment, resignation or termination of members of governing bodies, the disclosure and recording of their pecuniary interests and arrangements for the payment of remuneration and other allowances.

See **GOVERNING & CORPORATE BODIES - Advice** for records relating to the provision of advice to central coordinating agencies on the nomination, appointment, reappointment, resignation or termination of members to governing bodies .

See **GOVERNING & CORPORATE BODIES - Arrangements** for records relating to arrangements for members of governing bodies or their sub-committees to travel.

9.11.1	<p>Records relating to the nomination, appointment, reappointment, resignation or termination of members of governing bodies or their sub-committees. Records include:</p> <ul style="list-style-type: none"> • records of the selection process • approvals • letters of appointment, resignation or termination • letters informing the organisation of the appointment • gazettal notices • terms and conditions of appointment • instruments of appointment • signed copies of codes of conduct • related correspondence. 	Required as State archives
9.11.2	Summary records facilitating the management of details of membership or appointments governing bodies or their sub-committees, e.g. registers of members or appointments.	Required as State archives
9.11.3	Records relating to the election of staff representatives to governing bodies or their sub-committees. Includes ballot papers and eligibility lists.	Retain minimum of 6 months after appointments are finalised, then destroy
9.11.4	<p>Records relating to the determination and approval of payment of members of governing bodies or their sub-committees as remuneration for the performance of their duties. Records include:</p> <ul style="list-style-type: none"> • taxation declaration records • group certificates 	Retain minimum of 10 years after member's term expires, then destroy

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNING & CORPORATE BODIES - Performance management

	<ul style="list-style-type: none"> • records relating to the recovery of over-payments • list of scheduled members fees and approvals • records relating to the payment of allowances • pay history and superannuation deduction records • records of redundancy payments • records of special remuneration packaging arrangements including Fringe Benefits Tax (FBT) arrangements • records regarding the negotiation of remuneration. 	
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9.12.0 Performance management

The process of identifying, evaluating and developing the performance of members of governing bodies so that the organisation's goals and objectives are achieved and the member benefits through recognition and performance feedback.

9.12.1	Records relating to evaluating the performance of members of governing bodies by the Minister or other relevant authority. Records include: <ul style="list-style-type: none"> • performance agreements • reviews of performance. 	Retain minimum of 10 years after member's term expires, then destroy
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Planning

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate or business planning.

9.13.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNING & CORPORATE BODIES - Policy

9.13.1	Final, approved versions of policies and codes of conduct for members of governing bodies and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Required as State archives
9.13.2	Records relating to the development and review of policies and codes of conduct for members of governing bodies. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 7 years after action completed, then destroy

9.14.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **GOVERNING & CORPORATE BODIES - Training and development** for records relating to training in procedures.

9.14.1	Final, approved versions of manuals, handbooks, directives, etc., detailing procedures for members of governing bodies and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.	Retain minimum of 7 years after procedures are superseded, then destroy
9.14.2	Records relating to the development and review of procedures for members of governing bodies. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

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Dates of coverage: 1940+

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GOVERNING & CORPORATE BODIES - Training and development

Reporting

See **GOVERNMENT RELATIONS - Reporting** for records relating to reports by the governing body to government organisations.

See **PUBLICATION - Production** for records relating to the design, layout, printing etc of reports, including annual reports.

Representatives

See **COMMITTEES** for records relating to involvement of members of governing bodies or their sub-committees in other internal committees or in external committees.

Reviewing

See **GOVERNING & CORPORATE BODIES - Authorities** for records relating to instruments of authority to establish new governing bodies or alter existing structures of governing bodies.

See **STRATEGIC MANAGEMENT - Legislation** for records relating to reviews of legislation and regulations that may impact on the governing body.

See **STRATEGIC MANAGEMENT - Reviewing** for records relating to the review of strategic programs and services, including reviews of the administration and operation of governing bodies.

Separations

See **GOVERNING & CORPORATE BODIES - Membership** for records relating to the resignation or termination of members of the organisation's governing body.

9.15.0 Training and development

The activities associated with the professional development of members governing bodies. Includes the development of training materials and delivery arrangements for training and the involvement of members of governing bodies in conferences, seminars and workshops.

See **COMMUNITY RELATIONS - Addresses** for records relating to addresses made by members of governing bodies.

See **GOVERNING & CORPORATE BODIES - Arrangements** for records relating to arrangements for members of governing bodies or their sub-committees to travel.

9.15.1	Final, approved versions of training materials for courses run internally by the organisation for members of governing bodies or their sub-committees, e.g. induction training. Records include: <ul style="list-style-type: none"> • programs • lecture notes • handouts. 	Retain until course or training material is superseded, then destroy
9.15.2	Records relating to the development of training materials for courses run internally by the organisation	Retain until administrative or

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No.	Description of records	Disposal action
<i>GOVERNING & CORPORATE BODIES - Training and development</i>		
	for members of governing bodies or their sub-committees, e.g. induction training.	reference use ceases, then destroy
9.15.3	Records relating to administrative arrangements for the conduct of training courses or attendance at workshops, seminars or conferences by members of governing bodies or their sub-committees. Records include: <ul style="list-style-type: none"> • records of applications • records of confirmation of attendance • venue bookings • records of equipment hire • catering arrangements. 	Retain until administrative or reference use ceases, then destroy
9.15.4	Summary records created to facilitate the management and monitoring of the provision of occupational health and safety training to members of governing bodies or their sub-committees, e.g. occupational health and safety training registers. Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 75 years after action completed, then destroy

Visits

See **COMMUNITY RELATIONS - Visits** for records relating to visits made by members of GOVERNING & CORPORATE BODIES to other organisations or professional associations in Australia or overseas.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations to travel or for the reimbursement of expenses for members of governing bodies or their sub-committees.

See **GOVERNMENT RELATIONS - Visits** for records relating to visits made by members of governing bodies to other government organisations in Australia or overseas.

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GOVERNMENT RELATIONS - Addresses

10.0.0 GOVERNMENT RELATIONS

The function of administering the formal relationship between the organisation and those processes of government not covered by other general administrative or functional keywords. Includes the organisation's relationship with Ministers and Members of Parliament and the political processes of Government; liaison with bodies carrying out investigations and participation in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Local, State, Commonwealth or overseas governments.

Note: 'Government' organisations include government agencies, and also universities, hospitals and state owned corporations. Relations may be with a variety of other governments, government agencies, universities, hospitals and state owned corporations, Local Government, Commonwealth and overseas governments.

See the organisation's functional retention and disposal authority for records relating to specific relationships, agreements or arrangements with other government agencies/organisations which impact on the conduct or performance of particular core functions.

10.1.0 Addresses

The activity of giving addresses to government audiences or at government occasions. Includes speeches and multi-media presentations.

See **COMMUNITY RELATIONS - Addresses** for records relating to addresses given at significant occasions or public events.

See **COMMUNITY RELATIONS - Conferences** for records relating to addresses given at conferences and for conference proceedings.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for travel or reimbursement of expenses for non-employees giving addresses, e.g. members of GOVERNING & CORPORATE BODIES.

See **PERSONNEL - Authorisation** for records relating to approvals and authorisation for travel or travel arrangements for employees giving addresses.

See **STAFF DEVELOPMENT - Addresses** for records relating to addresses delivered to the staff of the organisation.

See **STAFF DEVELOPMENT - Training** for records relating to training or seminars delivered for staff development purposes.

10.1.1	Transcripts of final versions of addresses, speeches or papers delivered by the Minister in their capacity as Minister or as a representative of the Government.	Required as State archives
10.1.2	Transcripts of final versions of addresses, speeches or papers delivered by members of governing bodies, chief or senior executives of the organisation at significant government occasions.	Required as State archives
10.1.3	Transcripts of final versions of addresses, speeches or papers delivered non-executive staff members, or	Retain minimum of 2 years after action

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GOVERNMENT RELATIONS - Addresses

	those given by executive staff members at government occasions not considered to be significant.	completed, then destroy
10.1.4	Records relating to the development of addresses, speeches or papers. Records include: <ul style="list-style-type: none"> • background research • draft versions of addresses • voice recordings. 	Retain until administrative or reference use ceases, then destroy

10.2.0 Advice

The activities associated with offering opinions by the organisation as to an action or judgement. Includes the process of advising.

See **GOVERNMENT RELATIONS - Reporting** for records relating to the drafting, submission and final, approved versions of formal reports to government.

See **GOVERNMENT RELATIONS - Representations** for records relating to responses to Parliamentary questions and correspondence received by the Minister and directed to the organisation for preparation of a response (Ministerials).

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by internal or external legal service providers.

10.2.1	Records relating to the provision of advice to the portfolio Minister or other government organisations concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities where a detailed response has been provided. Records include: <ul style="list-style-type: none"> • briefing notes and minutes providing advice to the Minister • comments on Cabinet submissions and proposals • correspondence. 	Required as State archives
10.2.2	Records relating to the provision of advice to the portfolio Minister or other government organisations where the advice does not concern substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities or where there is minimal response by the organisation, e.g. 'no comment.'	Retain minimum of 5 years after action completed, then destroy

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GOVERNMENT RELATIONS - Agreements

10.3.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See the organisation's functional retention and disposal authority for records relating to specific relationships, agreements or arrangements with other government organisations which impact on the conduct or performance of particular core functions.

See **CONTRACTING-OUT** for records relating to acquisition of services through a contracting-out or outsourcing process.

See **STRATEGIC MANAGEMENT - Agreements** for records relating to the establishment, negotiation, maintenance and review of agreements with non-government organisations.

See **TENDERING** for records relating to receiving and assessing tenders.

10.3.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements with other government organisations:</p> <ul style="list-style-type: none"> • concerning policies and procedures applying to the whole of government • concerning changes to the performance of statutory functions of the organisation, or • having implications for major liabilities or obligations of the organisation. <p>Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements. 	Required as State archives
10.3.2	<p>Records relating to the establishment, negotiation, maintenance and review of agreements with other government organisations not:</p> <ul style="list-style-type: none"> • concerning policies and procedures applying to the whole of government • concerning changes to the performance of statutory functions of the organisation, or • having implications for major liabilities or obligations of the organisation. <p>Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings 	<p>(A) For specialty contracts:</p> <p>Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy</p> <p>(B) For standard contracts or agreements:</p>

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GOVERNMENT RELATIONS - Authorisation

	<ul style="list-style-type: none"> • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements. <p>Note: Specialty contracts include contracts under seal and deeds to property.</p> <p>Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.</p> <p>Note: Limitation period for causes of action or breaches of contractual arrangements or agreements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.</p>	Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy
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10.4.0 Authorisation

The process of seeking and granting permission to undertake a requested action.

See **STRATEGIC MANAGEMENT - Authorisation** for records relating to delegations of authority to employees.

10.4.1	Records relating to delegations of authority from the Minister to the organisation.	Required as State archives
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc, e.g. Committees or Councils of State or of inter-government Portfolio Ministers.

10.5.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal or regulatory standards or requirements to which the organisation is subject.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with legislation, policies etc.

See the organisation's functional retention and disposal authority for records relating to failures to meet compliance requirements concerning the organisation's core functions, e.g. licensing, breaches of industry standards.

See the relevant function/COMPLIANCE for records relating to compliance or failures to meet compliance requirements concerning administrative matters, e.g. use

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GOVERNMENT RELATIONS - Compliance

INFORMATION MANAGEMENT - COMPLIANCE for records relating to compliance with the State Records Act.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to formal inquiries involving the organisation.

See **GOVERNMENT RELATIONS - Reporting** for records relating to reporting on compliance to other government bodies, or compliance with reporting requirements, e.g. submission of annual reports and other formal reports.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

See **STRATEGIC MANAGEMENT - Compliance** for records relating to managing compliance with quality, risk or continuous improvement management processes.

10.5.1	Records relating to the provision of documents to Parliament in compliance with orders, e.g. Standing Order 52. Records include disputes regarding claims of privilege.	Required as State archives
10.5.2	Records relating to copies of documents supplied to Parliament in accordance with orders, e.g. Standing Order 52. Includes records indicating there are no relevant documents to supply.	Retain until administrative or reference use ceases, then destroy

10.7.0 Conferences

See **COMMUNITY RELATIONS - Conferences** for records relating to conferences held either by the organisation or by other organisations, including final, approved versions of conference proceedings.

See **COMMUNITY RELATIONS - Reporting** for records relating to the reports of conferences attended.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting conference activities.

See **PERSONNEL - Authorisation** for records relating to approvals and authorisations for travel and travel arrangements and bookings for employees to attend conferences.

See **PUBLICATION - Production** for records relating to the preparation of conference materials for publication, e.g. graphic design, printing, binding etc.

See **STAFF DEVELOPMENT - Conferences** for records relating to conferences arranged or attended by staff for skills or professional development purposes.

Customer service

See **COMMUNITY RELATIONS - Customer service** for records relating to the development and review of charters, standards or guarantees relating to the provision of services to clients, including government clients.

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GOVERNMENT RELATIONS - Compliance

See **INFORMATION MANAGEMENT - Customer service** for records relating to standards of customer service and administering specialised information management services provided to customers.

See **STRATEGIC MANAGEMENT - Customer service** for records relating to the development and review of organisation-wide strategies to deliver quality services to clients or stakeholders, including organisation-wide charters, standards or guarantees of service.

Enquiries

See **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries from other government organisations or the public regarding routine information about the organisation and its services.

See **GOVERNMENT RELATIONS - Advice** for records relating to the provision of advice to the portfolio Minister or other government organisations.

See **GOVERNMENT RELATIONS - Representations** for records relating to responses to Parliamentary questions and correspondence received by the Minister and directed to the organisation for preparation of a response (Ministerials).

Implementation

See the relevant function/PLANNING, POLICY or PROCEDURES for records relating to the development and implementation of plans, policies or procedures for the organisation.

See **STAFF DEVELOPMENT - Training** for training provided to employees as part of the implementation of plans, policies and procedures.

10.6.0 Inquiries

The activities associated with liaising with bodies carrying out inquiries, and participating in them. Inquiries are investigations carried out by persons or bodies who have been empowered to inquire and report on a subject, such as Royal Commissions and Parliamentary and Ombudsman's inquiries. Includes the organisation's participation in the inquiry by providing evidence in the form of records, submissions or employees.

Note: The following entries do not relate to the records maintained by the Inquiry, Commission or investigative body itself. See *General retention and disposal authority: records of Royal Commissions, Special Commissions of Inquiry, Commissions of Inquiry and Inquiries established by Letters Patent or Ministerial Directive (GA 31)* or the relevant functional retention and disposal authority.

See **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries from government or the public regarding routine information about the organisation and its services.

See **GOVERNMENT RELATIONS - Compliance** for records relating to the provision of documents to Parliament in compliance with Standing Order 52.

See **INFORMATION MANAGEMENT - Cases** for records relating to reviews or appeals of decisions to the Ombudsman or Administrative Decisions Tribunal regarding Freedom of Information (FOI) cases.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNMENT RELATIONS - Inquiries

10.6.1	<p>Records relating to formal inquiries involving the organisation or where the organisation submits a detailed response. Records include:</p> <ul style="list-style-type: none"> • statements and submissions • legal advice from internal and external legal service providers • responses to final reports and records of implementation of recommendations. <p>Note: Copies of transcripts of evidence or inquiry proceedings can be destroyed in accordance with the normal administrative practice (NAP) provisions of the <i>State Records Act 1998</i> when no longer required for reference purposes. The original transcripts would be held by the inquiring body.</p>	Required as State archives
10.6.2	Records relating to formal inquiries not involving the organisation or where the organisation submits a nil response.	Retain minimum of 5 years after action completed, then destroy
10.6.3	Records relating to matters referred from watchdog bodies, such as the Independent Commission Against Corruption (ICAC), NSW Ombudsman etc, to the organisation for initial investigation and response.	Retain minimum of 10 years after action completed, then destroy

Joint ventures

See relevant entries in general and functional retention and disposal authorities for records relating to the work generated by joint venture arrangements.

See **COMMUNITY RELATIONS - Joint ventures** for records relating to joint ventures undertaken with other organisations for the purposes of raising or maintaining the profile of the organisation or a particular service or program.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **PUBLICATION - Joint ventures** for records relating to joint ventures undertaken with other organisations for the purposes of researching, drafting or producing publications.

See **STRATEGIC MANAGEMENT - Joint ventures** for records relating to the establishment and monitoring of strategic alliances that relate to the core functions of the organisation or other strategic joint venture arrangements.

See **TENDERING** for records relating to receiving and assessing tenders.

10.7.0 Legislation

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

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GOVERNMENT RELATIONS - Legislation

See the relevant function/COMPLIANCE for records relating to compliance with legislation that may have an impact on the operations of a particular area, e.g. use OCCUPATIONAL HEALTH & SAFETY – COMPLIANCE for records relating to compliance with occupational health and safety legislation.

See **GOVERNMENT RELATIONS - Advice** for records relating to advice provided to Cabinet, the Minister and other government organisations on legislation.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of legislative or regulatory proposals of other government organisations.

See **LEGAL SERVICES - Advice** for records relating to legal advice sought and received on the interpretation of legislation.

See **STRATEGIC MANAGEMENT - Legislation** for records relating to the development, implementation and review of legislation and regulations concerning the operations and functional responsibilities of the organisation.

10.7.1	Records relating to the preparation and passage of legislation through Parliament. Records include: <ul style="list-style-type: none"> • records documenting consultation with relevant organisations and stakeholders and regulatory impact statements • records of preparation of Explanatory Memoranda. 	Required as State archives
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10.8.0 Meetings

The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the organisation and its relationships with other government organisations or government processes. Includes arrangements, agenda, taking of minutes etc.

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use GOVERNMENT RELATIONS –INQUIRIES for records relating to meetings held in order to discuss the conduct and progress of formal Inquiries, e.g. use GOVERNMENT RELATIONS – LEGISLATION for records relating to meetings held in order to discuss drafts or changes to legislation.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

10.8.1	Records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations that do not relate to particular functions. Records include:	Required as State archives
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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GOVERNMENT RELATIONS - Meetings

	<ul style="list-style-type: none"> • agenda and minutes or notes of meetings • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed and resolutions passed. <p>Note: Retention period is for records relating to meetings that do not specifically relate to any other activities. If meetings relate to other activities, classify under relevant activity.</p>	
10.8.2	Records relating to administrative arrangements for meetings. Records include: <ul style="list-style-type: none"> • meeting notifications • catering arrangements • venue bookings • related correspondence. 	Retain until administrative or reference use ceases, then destroy

10.9.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See the organisation's functional retention and disposal authority for records relating to policies regarding specific core functions.

See the relevant function/POLICY for records relating to policies developed by the organisation regarding specific administrative functions, e.g. use INFORMATION MANAGEMENT – POLICY for records relating to information management policies.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

10.9.1	Final, approved versions of policies relating to the management and handling of formal relationships with other government organisations or government processes, e.g. policies concerning the handling of Ministerials or communications with the Minister's office, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Retain minimum of 7 years after policy is superseded, then destroy
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No.	Description of records	Disposal action
<i>GOVERNMENT RELATIONS - Policy</i>		
10.9.2	<p>Records relating to the development and review of policies relating to the management and handling of formal relationships with other government organisations or government processes, e.g. policies concerning the handling of Ministerials or communications with the Minister's office. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy
10.9.3	Records relating to advice or notifications regarding policies and procedures that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.	Retain until ceases to be of administrative or reference use, then destroy

10.10.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

10.10.1	Final, approved versions of the organisation's manuals, handbooks, directives etc detailing procedures relating to the management and handling of formal relationships with other government organisations or government processes, e.g. procedures concerning the handling of Ministerials or communications with the Minister's office, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.	Retain minimum of 7 years after procedures are superseded, then destroy
10.10.2	Records relating to the development and review of procedures relating to the management and handling of formal relationships with other government organisations or government processes, e.g. procedures concerning the handling of Ministerials or	Retain minimum of 3 years after action completed, then destroy

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No.	Description of records	Disposal action
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GOVERNMENT RELATIONS - Reporting

	<p>communications with the Minister's office. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	
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10.11.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **PUBLICATION - Production** for records relating to the design, layout, printing etc of reports, including annual reports.

10.11.1	<p>Final, approved versions of published and unpublished reports to government relating to the organisation's core functions and performance, e.g. annual reports or substantial ad hoc reports.</p>	Required as State archives
10.11.2	<p>Records relating to the development of published and unpublished reports to government relating to the organisation's core functions and performance, e.g. annual reports or substantial ad hoc reports. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 6 years after action completed, then destroy
10.11.3	<p>Records relating to periodic reports required to be submitted to external government organisations regarding programs and services, e.g. statistics, reports relating to budget estimates etc and reports of minor significance that are not related to core functions. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

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GOVERNMENT RELATIONS - Reporting

10.11.4	Responses to non-mandatory surveys requested by other government organisations including central controlling agencies.	Retain until administrative or reference use ceases, then destroy
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10.12.0 Representations

The activities involved in preparing responses to questions raised in Parliament by Members of Parliament on behalf of their constituents. Also includes representations directed from the Minister or Members of Parliament to the organisation seeking a formal response.

See **GOVERNMENT RELATIONS - Advice** for records relating to briefing notes for the Minister.

10.12.1	Records relating to responses to correspondence received by the Minister (Ministerials) or Members of Parliament from peak industry organisations, leading community interest groups, influential stakeholders or individuals and referred to the organisation, concerning issues of major significance to the organisation and/or the community. Records include: <ul style="list-style-type: none"> • copies of letters received • draft responses • minutes providing details for the Minister • requests from the Minister's office for changes • final responses. 	Required as State archives
10.12.2	Records relating to responses to correspondence received by the Minister (Ministerials) or Members of Parliament from peak industry organisations, leading community interest groups, influential stakeholders or individuals and referred to the organisation, and referred to the organisation, concerning issues which are not of major significance to the organisation and/or the community. Records include: <ul style="list-style-type: none"> • copies of letters received • draft responses • minutes providing details for the Minister • requests from the Minister's office for changes • final responses. 	Retain minimum of 2 years after action completed, then destroy

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GOVERNMENT RELATIONS - Representations

10.12.3	Records relating to the preparation of Ministerial responses to questions raised in Parliament. Records includes question time briefs.	Retain minimum of 5 years after action completed, then destroy
10.12.4	Records relating to communications sent to the Minister, including about the management of Ministerial directives and background material, statistics and reports on representations.	Retain minimum of 2 years after action completed, then destroy

Representatives

See **COMMITTEES** for records relating to the organisation's representatives on government committees.

See **STAFF DEVELOPMENT - Training** for records relating to the training of representatives.

Research

See the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation.

See the relevant function/activity for records relating to background research undertaken when developing particular products or documentation, e.g. use GOVERNMENT RELATIONS – ADVICE for records relating to research for briefing notes, question time briefs and house notes for the Minister, e.g. use GOVERNMENT RELATIONS – POLICY or GOVERNMENT RELATIONS – PROCEDURES for records relating to background research for the development and review of policies or procedures.

Reviewing

See **GOVERNMENT RELATIONS - Policy** for records relating to the review of policies.

See **GOVERNMENT RELATIONS - Procedures** for records relating to the review of procedures.

See **STRATEGIC MANAGEMENT - Reviewing** for records relating to the review of strategic programs and services.

Security

See **PROPERTY MANAGEMENT - Security** for records relating to building security arrangements.

10.13.0 Submissions

The preparation and submission of a formal statement (e.g. report, statistics, etc.) supporting a case or opinion held by the organisation which is submitted to another organisation for the purpose of either gain or support.

See **GOVERNMENT RELATIONS - Advice** for records relating to briefing notes, question time briefs and house notes for the Minister.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to submissions regarding formal committees of inquiry initiated by government.

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No.	Description of records	Disposal action
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GOVERNMENT RELATIONS - Submissions

See **GOVERNMENT RELATIONS - Legislation** for records relating to the preparation and passage of legislation through Parliament.

10.13.1	<p>Records relating to submissions to Cabinet or the Minister or other government organisations relating to core functions. Records include:</p> <ul style="list-style-type: none"> • Cabinet minutes requesting submissions • background research • records of consultations • draft versions of submissions containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc. • final, approved versions of submissions. 	Required as State archives
10.13.2	<p>Records relating to submissions to the Minister or government organisations relating to administrative matters, e.g. exemptions for employing personnel during staff freezes. Records include:</p> <ul style="list-style-type: none"> • background research • records of consultations • draft versions of submissions containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. • final, approved versions of submissions. 	Retain minimum of 5 years after action completed, then destroy
10.13.3	<p>Records relating to submissions by the organisation on the development or review of legislative or regulatory proposals of other government organisations or the development or review of government-wide policies developed by central coordinating agencies, e.g. anti-discrimination, Charter of Principles for a Culturally Diverse Society, etc.</p>	Retain minimum of 5 years after action completed, then destroy

10.14.0 Visits

The activities involved in arranging visits by other organisations, the public and students to the organisation, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by employees to other organisations.

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GOVERNMENT RELATIONS - Visits

See the organisation's functional retention and disposal authority for records relating to visits that are undertaken as part of the performance of core functions.

See **COMMUNITY RELATIONS - Visits** for records relating to visits by clients, the public, students and community representatives or officials.

See **GOVERNMENT RELATIONS - Addresses** for records relating to addresses made by employees on visits to other government organisations.

See **PERSONNEL - Authorisation** for records relating to approvals and authorisations for travel or travel arrangements for employees.

See **STRATEGIC MANAGEMENT - Corruption** for records relating to the management of gifts from visitors where records are kept as an anti-corruption measure, e.g. gifts and benefits registers.

10.14.1	Records relating to visits made to the organisation by Heads of State, Ministers, or other government officials including interstate or overseas delegations. Records include: <ul style="list-style-type: none"> • invitations • itineraries and programs • visit reports • records of security arrangements additional to standard security • letters of appreciation. 	Retain minimum of 6 years after action completed, then destroy
10.14.2	Records relating to visits made by the organisation's employees to other government organisations in Australia or overseas.	Retain minimum of 2 years after action completed, then destroy

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INDUSTRIAL RELATIONS - Agreements

11.0.0 INDUSTRIAL RELATIONS

The function of establishing formal relations with the organisation's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled within the organisation or by an external arbiter and reports of the state of industrial relations within the organisation.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions to the Minister or Cabinet regarding the impact of industrial relations legislation on the organisation.

See **PERSONNEL - Grievances** for records relating to employee grievances.

See **PERSONNEL - Misconduct** for records relating to disciplining employees.

Advice

See **GOVERNMENT RELATIONS - Reporting** for records relating to notification of disputes and briefings to government on industrial relations matters.

See **INDUSTRIAL RELATIONS** relevant activity for records relating to advice given or received on industrial relations issues, e.g. use INDUSTRIAL RELATIONS – AGREEMENTS for advice given or received during the process of negotiating agreements or awards, e.g. use INDUSTRIAL RELATIONS – DISPUTES for records relating to advice given or received regarding the management of disputes.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by external or internal legal service providers on industrial relations matters

11.1.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements and awards. Includes enterprise agreements, standard agreements and certified agreements resulting from negotiation or bargaining.

See **CONTRACTING-OUT** for records relating to acquisition of services through a contracting-out or outsourcing process.

See **PERSONNEL - Employee service history** for records relating to individual workplace agreements.

See **TENDERING** for records relating to receiving and assessing tenders.

11.1.1	<p>Records relating to the establishment, negotiation, maintenance and review of awards or agreements heard or certified by the central arbitration or determining body where the organisation is the main participant in negotiations. Includes enterprise and contract agreements and standard agreements used as the basis for Australian Workplace Agreements. Records include:</p> <ul style="list-style-type: none"> • background research • records of consultations 	Retain minimum of 10 years after expiry of agreement, then destroy
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INDUSTRIAL RELATIONS - Agreements

	<ul style="list-style-type: none"> • draft versions of awards or agreements exchanged between parties • final, approved versions of awards or agreements • arbitrated variations and consent variations to awards. <p>Note: Final, approved versions of awards or agreements and variations to awards may need to be kept for longer periods if relevant to compensation cases.</p>	
11.1.2	Records relating to the establishment, negotiation, maintenance and review of awards or agreements heard or certified by the central arbitration or determining body where the organisation is not the main participant in negotiations. Includes final, approved versions of agreements and records relating to implementation of agreements.	Retain minimum of 5 years after expiry of agreement, then destroy
11.1.3	Records relating to the establishment, negotiation, maintenance and review of agreements concerning the implementation of working conditions or practices within a particular workplace that are not heard or certified by the central arbitration or determining body, e.g. agreements between management and unions on behalf of employees, such as agreements for flexible work practices, working from home, or skill based competencies. Includes negotiations, final, approved versions of agreements and records relating to implementation of agreements.	Retain minimum of 5 years after expiry of agreement, then destroy
11.1.4	Records relating to negotiations regarding conditions and awards that have not resulted in agreements.	Retain minimum of 5 years after action completed, then destroy

Allowances

See **FINANCIAL MANAGEMENT - Salaries** for records relating to financial transactions for the payment of allowances, e.g. payments authorised by industrial instruments, payments to attend meetings and events regarding industrial relations such as Workplace Relations Committee meetings.

See **PERSONNEL - Advice** for records relating to the management of terms and conditions regarding allowances.

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INDUSTRIAL RELATIONS - Appeals

11.2.0 Appeals

The activities involved in the process of appealing against decisions by application to a higher authority.

See **PERSONNEL - Misconduct, Grievances or Recruitment** for records relating to appeals made to external organisations, e.g. Government and Related Employees Appeals Tribunal (GREAT), Transport Appeals Board (TAB) and Statutory and Other Offices Remuneration Tribunal.

11.2.1	Records relating to appeals against a decision or order made to an external industrial relations body, e.g. the Industrial Relations Commission, where the organisation is the major participant in negotiations.	Retain minimum of 15 years after action completed, then destroy
11.2.2	Records relating to appeals against a decision or order made to an external industrial relations body, e.g. the Industrial Relations Commission, where the organisation is not the major participant in negotiations.	Retain minimum of 5 years after action completed, then destroy

11.3.0 Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for loss incurred by industrial action.

See **INDUSTRIAL RELATIONS - Insurance** for records relating to the management of insurance policies.

11.3.1	Records relating to insurance claims for damage or loss incurred by the organisation resulting from industrial action, e.g. claim for impact on revenue resulting from industrial action.	Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc including workplace relations committees.

Compliance

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with industrial relations regulations, policies, standards etc.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

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INDUSTRIAL RELATIONS - Disputes

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

11.4.0 Disputes

The process of handling any disagreement pertaining to awards, agreements, demarcation issues, breaches of injunctions, secret ballots, etc. Includes activities involved in dealing with a failure or refusal to attend or perform work such as lock-outs, strikes etc.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by external or internal legal service providers about industrial relations disputes.

See **PERSONNEL - Misconduct** for records relating to disciplining employees.

11.4.1	<p>Records relating to the management of industrial disputes of a significant nature where the organisation is a primary party to the negotiations or resolution of the dispute. Significant disputes can include those:</p> <ul style="list-style-type: none"> • resulting in a strike, ban or lock-out • that set precedents, or • that result in innovative or contentious changes to working conditions. <p>Records include:</p> <ul style="list-style-type: none"> • notifications to the Minister • records of liaison with the relevant lead organisation • records of discussions, meetings and conferences between parties • records of hearings by the arbitration or determining body (e.g. Industrial Relations Commission, Australian Industrial Relations Commission and predecessor organisations) • records of hearings before the Federal Court and predecessor organisations • communications with employees. 	Required as State archives
11.4.2	<p>Records relating to the management of industrial disputes of a minor nature, or of a significant nature where the organisation is not a primary party to the negotiations or resolution of the dispute.</p>	Retain minimum of 5 years after action completed, then destroy

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INDUSTRIAL RELATIONS - Grievances

Enterprise bargaining

See **INDUSTRIAL RELATIONS - Agreements** for records relating to the establishment, negotiation, maintenance and review of awards or agreements including enterprise and contract agreements and standard agreements used as the basis for Australian Workplace Agreements.

See **PERSONNEL - Employee service history** for records relating to individual workplace agreements.

11.5.0 Grievances

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion or higher duties.

See **INDUSTRIAL RELATIONS - Disputes** for records relating to grievances which escalate into disputes or industrial action.

See **PERSONNEL - Grievances** for records relating to individual grievances raised by employees.

11.5.1	Records relating to the handling and resolution of employee grievances and complaints raised by representatives on behalf of employees that have unit, organisational or sector-wide impact. Includes records relating to liaison with employees, union representatives and the lead organisation.	Retain minimum of 10 years after action completed, then destroy
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Industrial action

See **INDUSTRIAL RELATIONS - Disputes** for records relating to disputes including those that result in industrial action.

Inspections

See **INDUSTRIAL RELATIONS - Disputes** for records relating to inspections carried out as a result of industrial relations disputes.

11.6.0 Insurance

The process of taking out premiums to cover loss or damage incurred by the organisation resulting from industrial action.

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

11.6.1	Insurance policies including information provided for renewals.	Retain minimum of 7 years after expiry of policy, then destroy
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INDUSTRIAL RELATIONS - Insurance

11.6.2	General insurance records. Records include: <ul style="list-style-type: none"> • routine correspondence such as notice of renewals, advice on premiums payable • statistics. 	Retain minimum of 1 year after action completed, then destroy
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11.7.0 Meetings

The activities associated with gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the organisation and its relationships with unions, employee associations, etc. Includes arrangements, agenda, taking of minutes etc.

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use **INDUSTRIAL RELATIONS - AGREEMENTS** for records relating to meetings held to negotiate agreements, e.g. use **INDUSTRIAL RELATIONS - DISPUTES** for records relating to meetings between parties involved in dispute resolution, e.g. use **INDUSTRIAL RELATIONS - GRIEVANCES** for records relating to meetings with employees over grievances.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties, etc., including workplace relations committees.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

11.7.1	Records relating to ad hoc meetings held regarding industrial relations issues, e.g. ad hoc meetings between management and unions or employee associations. Does not include records relating to meetings for the resolution of substantive industrial relations issues, e.g. disputes.	Retain minimum of 5 years after action completed, then destroy
11.7.2	Administrative arrangements for meetings. Records include: <ul style="list-style-type: none"> • meeting notifications • catering arrangements • venue bookings • accommodation and transport arrangements • related correspondence. 	Retain until administrative or reference use ceases, then destroy

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No.	Description of records	Disposal action
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INDUSTRIAL RELATIONS - Planning

11.8.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate or business planning.

11.8.1	Final, approved versions of plans for industrial relations, e.g. dispute contingency plans, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 5 years after plan is superseded, then destroy
11.8.2	Records relating to the development and review of the organisation's industrial relations plans, e.g. dispute contingency plans. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc. 	Retain minimum of 3 years after action completed, then destroy

11.9.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

11.9.1	Final, approved versions of policies on industrial relations issues, e.g. policies on working from home, flexible work practices, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Retain minimum of 10 years after policy is superseded, then destroy
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Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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INDUSTRIAL RELATIONS - Policy

	<p>Note: Records may need to be retained for longer periods if relevant to disputes or grievances or workers compensation claims.</p>	
11.9.2	<p>Records relating to the development and review of policies on industrial relations issues, e.g. policies on working from home, flexible work practices. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc. 	Retain minimum of 5 years after action completed, then destroy

11.10.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

11.10.1	<p>Final, approved versions of manuals, handbooks, directives, etc., detailing industrial relations procedures, e.g. procedures regarding flexible work practices, working from home, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.</p> <p>Note: Records may need to be retained for longer periods if relevant to disputes or grievances or workers compensation claims.</p>	Retain minimum of 10 years after procedures are superseded, then destroy
11.10.2	<p>Records relating to the development and review of the organisation's industrial relations procedures, e.g. procedures regarding flexible work practices, working from home. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment 	Retain minimum of 5 years after action completed, then destroy

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No.	Description of records	Disposal action
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INDUSTRIAL RELATIONS - Reporting

	<ul style="list-style-type: none"> • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders. 	
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11.11.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **PUBLICATION - Production** for records relating to the design, layout, printing, etc., of the organisation's reports, including annual reports.

11.11.1	Records relating to formal reports regarding industrial relations programs, services and systems. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
11.11.2	Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding industrial relations programs and services. Records include: <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

Research

See the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation.

See the relevant function/activity for records relating to background research undertaken when developing particular products or documentation, e.g. use INDUSTRIAL RELATIONS – AGREEMENTS for records relating to research for the formulation of agreements and awards, e.g. use INDUSTRIAL RELATIONS – PLANNING, INDUSTRIAL RELATIONS – POLICY or INDUSTRIAL RELATIONS – PROCEDURES for records relating to background research for the development and review of plans, policies and procedures.

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No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Acquisition

12.0.0 INFORMATION MANAGEMENT

The function of managing the organisation's information and knowledge resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes, and the provision of services to internal and external customers, based on information resources. Knowledge management initiatives, the management of archival records and requests for access under relevant legislation, such as Freedom of Information (FOI), records and privacy legislation, are also covered under this function.

See the organisation's functional retention and disposal authority for records relating to specific information that is created and managed as part of the performance of the organisation's functions, e.g. spatial information, scientific information.

See **PUBLICATION - Production** for records relating to the design and updating of the content of websites.

See **TECHNOLOGY & TELECOMMUNICATIONS** for records relating to management of technology and telecommunications resources.

12.1.0 Acquisition

The process of gaining ownership or use of resources required for the conduct of business through purchase or requisition.

See **COMMUNITY RELATIONS - Acquisition** for records relating to the acquisition of services such as news cutting services.

See **COMMUNITY RELATIONS - Liaison** for records relating to joining organisations, e.g. professional associations, to obtain subscriptions to publications.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **EQUIPMENT & STORES - Acquisition** for records relating to the acquisition of equipment and stores, e.g. file covers.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting acquisitions.

See **INFORMATION MANAGEMENT - Donations** for records relating to the donation of information resources, e.g. books, to the organisation.

See **TECHNOLOGY & TELECOMMUNICATIONS - Acquisition** for records relating to the acquisition of technology and telecommunications equipment and systems.

See **TENDERING** for records relating to receiving and assessing tenders.

12.1.1	<p>Records relating to the acquisition of information management resources, e.g. books, and information services, online services, telephone information lines, etc., where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include:</p> <ul style="list-style-type: none"> • orders 	<p>Retain minimum of 7 years after action completed, then destroy</p>
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No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Agreements

	<ul style="list-style-type: none"> • subscriptions and renewals • related correspondence. 	
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Advice

See **INFORMATION MANAGEMENT** relevant activity for records relating to advice given or received by the organisation regarding particular issues concerning information management, e.g. use INFORMATION MANAGEMENT – COMPLIANCE for records relating to advice received regarding compliance issues, e.g. use INFORMATION MANAGEMENT – DISPOSAL for records relating to advice received from State Archives and Records NSW regarding disposal.

See **INFORMATION MANAGEMENT - Cases** for records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI).

See **INFORMATION MANAGEMENT - Customer service** for records relating to advice on customer services regarding information management provided by the organisation.

See **INFORMATION MANAGEMENT - Enquiries** for records relating to the handling of enquiries relating to the information management services or holdings of the organisation.

12.2.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **INFORMATION MANAGEMENT - Customer service** for records relating to charters, standards or guarantees relating to the provision of information management services to clients.

See **TENDERING** for records relating to receiving and assessing tenders.

12.2.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision of information or knowledge management services or the management of information resources that do not form part of contracting-out or tendering arrangements, e.g. agreements for Kinetica services with the National Library of Australia, agreements with State Archives and Records NSW for the distributed management of State archives, licensing agreements for thesauri, records confidentiality agreements with external organisations, agreements to share or access records or information resources etc. Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings with main stakeholders 	<p>Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy</p>
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No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Appeals

	<ul style="list-style-type: none"> • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements. 	
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12.3.0 Appeals

The activities involved in the process of appealing against decisions by application to a higher authority.

See **INFORMATION MANAGEMENT - Cases** for records relating to appeals against decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI).

12.3.1	Records relating to matters that are referred to the relevant Minister for determination or review, e.g. requests made under s.7(5) or s.17 of the <i>State Records Act</i> .	Required as State archives
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12.4.0 Audit

The activities associated with officially checking quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

See **FINANCIAL MANAGEMENT - Audit** for records relating to formal audits of accounts or the management of financial resources.

See **INFORMATION MANAGEMENT - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or requirements regarding information management to which the organisation is subject.

See **INFORMATION MANAGEMENT - Evaluation** for records relating to the evaluation of potential or existing information management programs, services and systems that are not formal audits.

See **INFORMATION MANAGEMENT - Inventory** for records relating to inventories of library materials or records censuses undertaken to monitor location control.

See **INFORMATION MANAGEMENT - Reviewing** for records relating to the review of potential or existing information management programs, services and systems that are not formal audits.

See **STRATEGIC MANAGEMENT - Audit** for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.

12.4.1	Records relating to information management audits, e.g. audits regarding compliance with records or	Retain minimum of 6 years after action
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INFORMATION MANAGEMENT - Authorisation

	privacy legislation or quality management standards, performance audits etc. Records include: <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • records of remedial action. 	completed, then destroy
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12.5.0 Authorisation

The process of seeking and granting permission to undertake a requested action.

See **CONTRACTING-OUT** for records relating to authorisation when it forms part of a contract between the organisation and the external party.

See **INFORMATION MANAGEMENT - Agreements** for records relating to agreements regarding the provision of information or knowledge management services or the management of information resources that do not form part of contracting-out or tendering arrangements.

See **INFORMATION MANAGEMENT - Cases** for records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), privacy, etc., and for discretionary access to the organisation's records.

See **INFORMATION MANAGEMENT - Disposal** for records relating to internal authorisation for the disposal of records.

12.5.1	Records relating to authorisations for employees to access records that have been transferred to other organisations following administrative change, privatisation or the outsourcing of functions.	Retain minimum of 6 years after authorisation expires, then destroy
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12.6.0 Cases

The activities associated with maintaining individual case files relating to requests for or decisions regarding public access to records under relevant legislation, e.g. Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the organisation.

See **INFORMATION MANAGEMENT - Compliance** for records relating to breaches or suspected breaches regarding access to information.

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INFORMATION MANAGEMENT - Cases

See **INFORMATION MANAGEMENT - Reporting** for records relating to Freedom of Information (FOI) reporting, including Statements of Affairs, Summary of Affairs and periodical reports.

See **INFORMATION MANAGEMENT - Security** for records relating to security breaches affecting information resources.

12.6.1	<p>Records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the organisation, where the decision to grant or refuse access or alteration:</p> <ul style="list-style-type: none"> • sets a precedent, or • leads to a major change in policies. <p>Records include:</p> <ul style="list-style-type: none"> • applications • records of decisions or directions • related correspondence • records of alterations or notations to records claimed to be incomplete, incorrect, irrelevant, out of date or misleading • records relating to internal or external reviews or appeals of decisions. 	Required as State archives
12.6.2	<p>Records relating to recurring or protracted requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the organisation, where the decision to grant or refuse access or alteration does not:</p> <ul style="list-style-type: none"> • set a precedent, or • lead to a major change in policies. <p>Records include:</p> <ul style="list-style-type: none"> • applications • records of decisions or directions • related correspondence • records of alterations or notations to records claimed to be incomplete, incorrect, irrelevant, out of date or misleading • records relating to internal or external reviews or appeals of decisions. 	Retain minimum of 10 years after action completed, then destroy

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<i>INFORMATION MANAGEMENT - Cases</i>		
12.6.3	<p>Records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the organisation, where the request is not recurring or protracted and the decision to grant or refuse access or alteration does not:</p> <ul style="list-style-type: none"> • set a precedent, or • lead to a major change in policies. <p>Records include:</p> <ul style="list-style-type: none"> • applications • records of decisions or directions • related correspondence • records of alterations or notations to records claimed to be incomplete, incorrect, irrelevant, out of date or misleading • records relating to internal or external reviews or appeals of decisions. 	Retain minimum of 5 years after action completed, then destroy
12.6.4	<p>Records relating to requests for access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the organisation, where:</p> <ul style="list-style-type: none"> • the request was withdrawn • the request lapsed because of non payment of application fees • the request was not relevant to the organisation • the applicant was referred to another organisation, or • information was not supplied because it was already readily available to the public. 	Retain minimum of 2 years after action completed, then destroy
12.6.5	<p>Summary records or registration systems created to facilitate the management of access requests and their outcomes, e.g. Freedom of Information (FOI) registers.</p> <p>Note: With paper-based registers, retain minimum of 5 years after last entry in the register. With electronic registers, retain minimum of 5 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 5 years after action completed, then destroy
12.6.6	Records relating to the handling of requests for discretionary access to the organisation's records that does not involve the application of legislation such as	Retain minimum of 5 years after action

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INFORMATION MANAGEMENT - Cases

	Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the organisation, e.g. access provided to family members or researchers given outside these Acts. Includes approvals and refusals.	completed, then destroy
12.6.7	Records relating to requests for the suppression of information in public registers maintained by the organisation, in accordance with privacy legislation. Includes approvals and refusals.	Retain minimum of 5 years after action completed, then destroy

Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

12.7.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with legislation, government policies etc.

See **INFORMATION MANAGEMENT - Audit** for records relating to formal internal or external information management audits against compliance requirements.

See **INFORMATION MANAGEMENT - Cases** for records relating to specific cases regarding access to or alteration of the organisation's information, e.g. applications for access under Freedom of Information (FOI), privacy or records legislation.

See **INFORMATION MANAGEMENT - Planning** for records relating to the development and review of information management plans such as Privacy Management Plans or Health Privacy Management Plans.

See **INFORMATION MANAGEMENT - Policy** for records relating to the development and review of information management policies such as Codes of Practice under the privacy legislation, records management policies etc.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

12.7.1	Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding information management which do not involve individual cases, e.g. records documenting compliance with the <i>Library Act 1939</i> , international standards such as AS ISO 15489 <i>Records Management</i> , <i>State Records Act 1998</i> and standards released under the Act or privacy or information protection and security requirements.	Retain minimum of 6 years after action completed, then destroy
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INFORMATION MANAGEMENT - Compliance

	<p>Records include:</p> <ul style="list-style-type: none"> • records of inspections by monitoring organisations such as State Archives and Records NSW to monitor compliance • advice provided on compliance issues. <p>Note: Retention period is provided as a guideline only. Any records providing evidence of organisational compliance with statutory or administrative requirements must be kept as long as the organisation has to account for its actions.</p>	
12.7.2	<p>Records relating to requests for exemption from complying with statutory requirements, e.g. requests to the Privacy Commissioner to exempt the organisation from complying with an information protection principle or health privacy principle, requests to State Records to exempt an organisation from the application of standards etc. Records include:</p> <ul style="list-style-type: none"> • requests for exemption • correspondence with relevant bodies concerning requests including advice given and received • records of negotiation or refusal of requests • directions from relevant bodies exempting the organisation from compliance. 	Retain minimum of 10 years after exemption is refused, revoked or superseded, then destroy
12.7.3	<p>Records relating to breaches or suspected breaches of privacy. Records include:</p> <ul style="list-style-type: none"> • complaints • records of investigations • correspondence with stakeholders • records of conciliation • reports and recommendations • records of remedial action. 	Retain minimum of 10 years after action completed, then destroy
12.7.4	<p>Records relating to breaches or suspected breaches of statutory requirements for the management of records or information resources other than privacy, e.g. breaches of the State Records Act 1998, FOI reporting obligations etc. Records include:</p> <ul style="list-style-type: none"> • complaints • reports of breaches/suspected breaches • records of investigations • correspondence with stakeholders 	Retain minimum of 5 years after action completed, then destroy

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INFORMATION MANAGEMENT - Compliance

	<ul style="list-style-type: none"> • records of conciliation • reports and recommendations • records of remedial action. <p>See STRATEGIC MANAGEMENT - Compliance for records relating to breaches of requirements in relation to use of the organisation's intellectual property rights, including breaches of copyright.</p>	
12.7.5	Records relating to still in use determinations made by the organisation in accordance with State Archives and Records NSW legislation. Includes reviews and approval by the Minister responsible for the organisation.	Retain minimum of 1 year after determination has expired or been revoked, or until the records have been transferred as State archives, then destroy

12.8.0 Conservation

The activities involved in the preservation, protection, maintenance, restoration and enhancement of information resources.

See the organisation's functional retention and disposal authority for records relating to conservation when it supports a core function or is a functional responsibility of the organisation, e.g. a library, museum or archive.

See **STRATEGIC MANAGEMENT - Planning** for records relating to business continuity or counter disaster plans.

12.8.1	Records relating to ongoing preservation measures for the protection of collections of information resources. Includes the monitoring of light, temperature and humidity and pest control in storage areas, packaging, etc., and project management records for conservation projects.	Retain minimum of 5 years after action completed, then destroy
12.8.2	Records relating to specialised conservation treatments, e.g. major repairs, treatment of pest infestations, etc., undertaken on particular record items when the records are required as State archives. Includes conservation treatments provided by consultants.	Transfer to State Archives and Records NSW when records are transferred or retain in organisation if records are managed under a distributed management agreement

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INFORMATION MANAGEMENT - Conservation

12.8.3	Records relating to specialised conservation treatments, e.g. major repairs, treatment of pest infestations etc undertaken on particular record items when the records are not required as State archives. Includes conservation treatments provided by consultants.	Retain until treated records are disposed of, then destroy
12.8.4	Records relating to routine conservation treatments of the organisation's office records, library and other information resources. Includes book binding and minor repairs.	Retain until administrative or reference use ceases, then destroy

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

12.9.0 Control

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design, etc., to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

See **INFORMATION MANAGEMENT - Disposal** for records relating to the implementation of disposal decisions.

See **INFORMATION MANAGEMENT - Policy** for records relating to the development and review of retention and disposal authorities produced for the organisation.

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the application, allocation and maintenance of metadata in electronic systems.

12.9.1	<p>Primary control records for records required as State archives,* which are required to facilitate access and give meaning and context to the records over time. Records <i>may</i> include:</p> <ul style="list-style-type: none"> • indexes • correspondence/file registers or registration systems • metadata. <p>* Note: This includes current records as well as records maintained as part of an organisation's own archives.</p> <p>Note: Before transfer, State Archives and Records NSW should be contacted to discuss what control</p>	Required as State archives
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INFORMATION MANAGEMENT - Control

	<p>records the organisation holds for records required as State archives so that an assessment can be made of their value in facilitating ongoing access/preservation to State archives.</p>	
12.9.2	<p>Primary control records for records which are required as State archives but which are not required to facilitate access and give meaning and context to the records over time. Records include:</p> <ul style="list-style-type: none"> • indexes • correspondence/file registers or registration systems • metadata. <p>Note: Retention period is a minimum only. Records control systems for particular functions or activities may be required for longer periods depending on the risks associated with the conduct of particular activities and the potential for or likelihood of the organisation being required to provide evidence of the destruction of records. These should be determined in relation to the organisations' business needs.</p> <p>Note: Before disposal, State Archives and Records NSW should be contacted to discuss what control records the organisation holds so that an assessment can be made of their value in facilitating ongoing access.</p>	<p>Retain minimum of 20 years after records to which they relate are finally disposed of, then destroy</p>
12.9.3	<p>Primary control records for records not required as State archives. Records include:</p> <ul style="list-style-type: none"> • indexes • correspondence/file registers or registration systems • metadata. <p>Note: Retention period is a minimum only. Records control systems for particular functions or activities may be required for longer periods depending on the risks associated with the conduct of particular activities and the potential for or likelihood of the organisation being required to provide evidence of the destruction of records. These should be determined in relation to the organisations' business needs.</p>	<p>Retain minimum of 20 years after records to which they relate are destroyed or finally disposed of, then destroy</p>
12.9.4	<p>Secondary control records. Records include:</p> <ul style="list-style-type: none"> • file or container movement records (if secondary to the main registers and indexes) 	<p>Retain until administrative or reference use ceases, then destroy</p>

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<i>INFORMATION MANAGEMENT - Control</i>		
	<ul style="list-style-type: none"> • reference sets of control records (e.g. within branches/regions of organisation where master control records are retained centrally) • resubmit, barcode and location lists • superseded sets of control records where information has been fully transferred to a new system • workflow tracking systems facilitating the tracking and monitoring of cases where the systems are not acting as records management systems, e.g. Ministerial tracking systems, minor case management tracking systems. <p>See the organisation's functional retention and disposal authority for major case management or registration systems that are concerned with the management of core functions.</p>	
12.9.5	Control records relating to the organisation's library systems. Records include: <ul style="list-style-type: none"> • catalogues • authority files of subject headings • classification schemes • thesauri created by libraries for specialised use • loan and inter-library loan records. 	Retain until administrative or reference use ceases, then destroy
12.9.6	Superseded. See entry 12.9.7.	
12.9.7	Records relating to the development, implementation, maintenance and review of business classification schemes (BCS), thesauri, authorised abbreviations and metadata rules and dictionaries. This includes records of final versions, revisions and updates, implementation advice and guidance and supporting research. <p>Note: Where records, as part of the transfer process, are identified as being required to maintain meaning and context for records transferred as State archives see entry 12.9.1 above.</p>	Retain until administrative or reference use ceases, then destroy
12.9.8	Records relating to the receipt and dispatch of the organisation's mail. Includes receipts and/or registers for registered and certified mail. <p>Note: With paper-based registers, retain minimum of 3 years after last entry in the register. With electronic registers, retain minimum of 3 years after last update</p>	Retain minimum of 3 years after action completed, then destroy

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INFORMATION MANAGEMENT - Control

	or amendment to an entry, or after data has become obsolete, then destroy.	
12.9.9	Records relating to the recall and return of records from offsite storage or from State archives.	Retain minimum of 2 years after return of record, then destroy

12.10.0 Customer service

The activities associated with establishing standards of customer service and administering specialised services provided to customers by the organisation.

See **INFORMATION MANAGEMENT - Agreements** for records relating to the establishment, negotiation, maintenance and review of service level agreements between information management providers and the rest of the organisation.

See **INFORMATION MANAGEMENT - Enquiries** for records relating to enquiries concerning the information management services or holdings of the organisation.

12.10.1	Final, approved versions of charters, standards or guarantees relating to the provision of information management services to clients.	Retain minimum of 2 years after superseded, then destroy
12.10.2	Records relating to the development and review of charters, standards or guarantees relating to the provision of information management services to clients. Records include: <ul style="list-style-type: none"> • background research • draft versions containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain until administrative or reference use ceases, then destroy
12.10.3	Records relating to the administration of specialised information services to support the provision of customer services, e.g. help/information desks, translation services, outreach services etc.	Retain minimum of 2 years after action completed, then destroy
12.10.4	Records relating to advice on customer services regarding information management provided by the organisation.	Retain minimum of 2 years after action completed, then destroy
12.10.5	Records relating to suggestions received from personnel and the public in relation to information management services.	Retain until administrative or reference use

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INFORMATION MANAGEMENT - Customer service

		ceases, then destroy
12.10.6	Contact details of clients, e.g. email lists, telephone lists.	Retain until superseded, then destroy

Data administration

See **INFORMATION MANAGEMENT - Control** for records relating to the research, development, implementation, maintenance and review of system data standards such as metadata rules and dictionaries.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to migration strategies and quality assurance checks for migration.

See General Retention and Disposal Authority *imaged records* for records that have been copied using imaging or microfilming technologies.

12.11.0 Disposal

The process of disposing of records or information resources no longer required by the organisation. Includes destruction or transfer to State Archives and Records NSW, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into low-cost or archival storage.

Note: Control systems should be updated with disposal information.

See **INFORMATION MANAGEMENT - Control** for primary control records for records required as State archives.

See **INFORMATION MANAGEMENT - Policy** for records relating to the development and review of retention and disposal authorities produced for the organisation.

12.11.1	Records relating to the implementation of records disposal decisions. Includes internal lists and approval for the destruction of records, advice State Archives and Records NSW regarding authorisation for the disposal of records and certificates of destruction. Excludes internal decisions to extend retention periods. Note: Records may be required for long periods as evidence of accountable destruction. Records regarding core business functions and areas of risk may need to be retained for longer periods.	Retain minimum of 20 years after action completed, then destroy
12.11.2	Records relating to internal decisions to extend records retention periods. Note: If these decisions are to be incorporated into revisions of retention and disposal authorities, retain in accordance with the relevant entry under INFORMATION MANAGEMENT - POLICY.	Retain until decision is superseded or until records are destroyed, whichever is shorter, then destroy

Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
<i>INFORMATION MANAGEMENT - Disposal</i>		
12.11.3	<p>Records relating to the transfer of records as State archives. Records include:</p> <ul style="list-style-type: none"> • transfer proposals • lists of series proposed for transfer • series information • consignment lists • records of notification from State Archives and Records NSW of approval • proof of receipt of records by State Archives and Records NSW • amended consignment lists from State Archives and Records NSW • related correspondence. <p>Note: These records are not required as State archives. However, they should be retained by the organisation as a record of exactly what was transferred to archives and for the organisation's reference so they know what records they continue to be responsible for.</p>	Retain in organisation or transfer to successor organisation as required
12.11.4	<p>Records relating to the transfer of records to commercial storage. Records include:</p> <ul style="list-style-type: none"> • consignment lists • proof of receipt of records by storage provider • related correspondence. 	Retain while records remain in commercial storage, then destroy
12.11.5	Records relating to the temporary transfer of records to the custody of another organisation as a consequence of administrative arrangements. Records include listings or details of records transferred.	Retain as long as the custodial relationship exists and until the records are returned, then destroy
12.11.6	Records relating to the transfer of records to successor organisations as a consequence of changes in administrative arrangements or functions or privatisation.	Retain minimum of 20 years after action completed, then destroy
12.11.7	Records relating to the recovery of records and their return to official custody, i.e. the recovery of estrays. (Estrays are records of the organisation that have passed into private ownership, generally without approval). Records include:	Retain minimum of 7 years after action completed, then destroy

Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Disposal

	<ul style="list-style-type: none"> • minutes or notes of meetings and correspondence with State Archives and Records NSW and the organisations or individuals who have custody • records of decisions regarding management and recovery • reports of outcomes. 	
12.11.8	Records relating to the culling of library or information resource collections.	Retain minimum of 7 years after action completed, then destroy
12.11.9	<p>Existing master collections of major publications produced by the organisation or its predecessor and retained, e.g. in the organisation's library, where they are unlikely to have been captured in recordkeeping systems.</p> <p>Note: Organisational publications should be covered in the organisation's functional retention and disposal authority. This entry allows the discretionary intake of particular publications as State archives. Its application will be limited. Minor publications, e.g. newsletters or promotional materials, or final, authorised versions of publications captured into recordkeeping systems, such as reports or policies, can be sentenced using entries elsewhere in this authority and the organisation's own functional retention and disposal authority.</p>	Required as State archives

12.12.0 Distribution

The activities associated with disseminating information items through loans, deliveries or other customer services.

12.12.1	<p>Records relating to the distribution of information resources, e.g. correspondence, paper files, media items, mail. Records include:</p> <ul style="list-style-type: none"> • distribution lists • advice on changes of location. 	Retain until administrative or reference use ceases, then destroy
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12.13.0 Donations

The activities associated with managing the donation of information resources to the organisation. Includes managing unsolicited donations.

See the organisation's functional retention and disposal authority for records relating to the donation of items to collecting institutions.

Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Donations

See **COMMUNITY RELATIONS - Donations** for records relating to donations of money, items, artefacts or property to the organisation, or refused offers of donations.

12.13.1	Records relating to the donation of information resources, e.g. books, to the organisation. Includes liaison regarding conditions of donation.	Retain minimum of 7 years after donation is received and finalised or minimum of 7 years after terms have been fulfilled, whichever is longer, then destroy
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12.14.0 Enquiries

The activities associated with the handling of requests for information about the information services of the organisation by the general public or another organisation.

See the organisation's functional retention and disposal authority for records relating to enquiries when the organisation provides an enquiry service as part of their core functions, e.g. State Library of NSW, State Archives and Records NSW.

See **COMMUNITY RELATIONS - Enquiries** for records relating to requests for and the handling of enquiries regarding routine information about the organisation and its services, e.g. hours of opening.

See **INFORMATION MANAGEMENT - Cases** for records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI).

See **INFORMATION MANAGEMENT - Customer service** for records relating to advice on customer services regarding information management provided by the organisation.

12.14.1	Records relating to the handling of enquiries from the public or government organisations relating to the information management services or holdings of the organisation.	Retain minimum of 2 years after action completed, then destroy
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12.15.0 Evaluation

The process of determining the suitability of potential or existing programs, services or systems in relation to meeting the needs of the given situation. Includes ongoing monitoring.

See **INFORMATION MANAGEMENT - Audit** for records relating to formal internal and external audits of information management services, programs and systems.

See **INFORMATION MANAGEMENT - Control** for records relating to the analysis of functions and records to produce business classification schemes (BCS) etc.

See **INFORMATION MANAGEMENT - Implementation** for records relating to the implementation and initial monitoring of information management systems and projects within the organisation.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Evaluation

See **INFORMATION MANAGEMENT - Reviewing** for records relating to the review of information management programs and services.

See **STRATEGIC MANAGEMENT - Evaluation** for records relating to the evaluation of potential and existing programs, services and systems that cross functions or relate to the strategic management of the organisation.

12.15.1	Records relating to the evaluation of potential or existing information management programs, services and systems, e.g. records and library materials, operational services for clients of libraries, archives and records management units, information systems etc.	Retain minimum of 5 years after action completed, then destroy
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12.16.0 Implementation

The activities associated with carrying out or putting into action plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes the information management aspects in the operation of manual or automated databases, applications or systems, but excludes the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met.

See **INFORMATION MANAGEMENT - Evaluation** for records relating to evaluation prior to implementation and ongoing monitoring.

See **INFORMATION MANAGEMENT - Planning** for records relating to the development and review of information management plans.

See **INFORMATION MANAGEMENT - Policy** for records relating to the development and review of information management policies.

See **INFORMATION MANAGEMENT - Procedures** for records relating to the development and review of information management procedures.

See **STAFF DEVELOPMENT - Training** for records relating to training provided to employees as part of the implementation of information projects or new systems.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of business continuity plans or counter disaster plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of business continuity or counter disaster plans.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reporting on the effects of disasters.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to the technical aspects of managing systems implementation.

12.16.1	Records relating to the implementation and initial monitoring of information management systems and projects within the organisation, including recordkeeping, knowledge management and library	Retain minimum of 7 years after action completed, then destroy
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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Intellectual property

	management systems and projects. Includes pilots and post implementation reviews.	
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Inspections

See **INFORMATION MANAGEMENT - Audit** for records relating to formal internal and external audits of information management services, programs and systems.

See **INFORMATION MANAGEMENT - Compliance** for records relating to complying with standards, and inspections by monitoring organisations such as State Archives and Records NSW.

See **INFORMATION MANAGEMENT - Conservation** for records relating to inspections undertaken as part of conservation measures.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections and investigations undertaken for occupational health and safety reasons.

12.17.0 Intellectual property

The activities involved in managing the organisation's intellectual property rights or obligations.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the payment of money.

See **PUBLICATION - Intellectual property** for records relating to managing applications for permission to reproduce published or unpublished materials.

See **STRATEGIC MANAGEMENT - Agreements** for records relating to intellectual property agreements.

See **STRATEGIC MANAGEMENT - Intellectual property** for records relating to the establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.

12.17.1	Records relating to the management of copying services in the organisation. Includes the administration of payments made to collecting societies and sampling undertaken to support the payment process.	Retain minimum of 7 years after action completed, then destroy
12.17.2	Copyright declaration forms signed by users of the organisation's information services.	Retain minimum of 4 years after action completed, then destroy

12.18.0 Inventory

The activities associated with listing and preparing lists of items and assets relating to information management in the possession of the organisation.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the management of assets.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Inventory

12.18.1	Routine inventories of library materials or records censuses undertaken to monitor location control.	Retain until administrative or reference use ceases (e.g. once control systems are updated), then destroy
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12.19.0 Marketing

The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, promotion, pricing and product evaluation.

See **COMMUNITY RELATIONS - Media relations** for records relating to media releases issued by the organisation.

12.19.1	Records relating to the promotion of the services of library, records management and information management units, e.g. notices to clients regarding collection additions or new services available.	Retain until administrative or reference use ceases, then destroy
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Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use INFORMATION MANAGEMENT – AUDIT for records relating to meetings held in order to discuss information audits, e.g. use INFORMATION MANAGEMENT – CONSERVATION for records relating to meetings held in order to discuss the progress of conservation projects, e.g. use INFORMATION MANAGEMENT – PLANNING for records relating to meetings held in order to discuss information management planning.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

12.20.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **INFORMATION MANAGEMENT - Policy** for records relating to Privacy Codes of Practice and information management policies.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning and the development and review of business continuity or counter disaster plans.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Planning

12.20.1	Final, approved versions of plans for information management projects, systems and activities within an organisation, e.g. Privacy Management Plans, operational plans, records and information management plans, vital records plans, etc., and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 5 years after plan is superseded, then destroy
12.20.2	Records relating to the development and review of the organisation's information management plans, e.g. Privacy Management Plans, operational plans, records and information management plans, vital records plans, etc. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

12.21.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **INFORMATION MANAGEMENT - Compliance** for records relating to the organisation's compliance with information management policies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

12.21.1	Final, approved versions of information management policies, e.g. information management security policies, library and recordkeeping/records management policies, email policies, policies for the management of digital records, Privacy Codes of Practice, Health Privacy Codes of Practice, etc., and	Retain minimum of 5 years after policy is superseded, then destroy
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Policy

	associated correspondence indicating who the policies apply to and responsibilities for their implementation.	
12.21.2	<p>Records relating to the development and review of the organisation's information management policies e.g. information management security policies, library and recordkeeping/records management policies, email policies, policies for the management of digital records, Privacy Codes of Practice, Health Privacy Codes of Practice etc. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc. 	Retain minimum of 3 years after action completed, then destroy
12.21.3	<p>Retention and disposal authorities issued by State Archives and Records NSW and authorised for the organisation to use.</p> <p>Note: While State Archives and Records NSW retains copies of all approved retention and disposal authorities it is recommended organisations also retain copies of any authorities applying to the records created and maintained by them for as long as the authority is in force and for appropriate periods for future reference to account for authorised disposal of records.</p>	Retain until superseded and until ceases to be of administrative or reference use, then destroy
12.21.4	<p>Records relating to the development and review of retention and disposal authorities produced for the organisation. Records include:</p> <ul style="list-style-type: none"> • background research • correspondence with State Archives and Records NSW • records of consultations • draft versions containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, business units, stakeholders, etc. 	Retain minimum of 10 years after action completed, then destroy

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Procedures

Privacy

See **INFORMATION MANAGEMENT - Agreements** for records relating to the establishment, negotiation, maintenance and review of records confidentiality agreements.

See **INFORMATION MANAGEMENT - Audit** for records relating to formal privacy audits in relation to the management of information.

See **INFORMATION MANAGEMENT - Cases** for records relating to applications for internal review conducted under privacy legislation, and requests for the suppression of information in public registers maintained by the organisation.

See **INFORMATION MANAGEMENT - Compliance** for records relating to the organisation's compliance with privacy principles, and to breaches or suspected breaches of privacy in relation to the management of information.

See **INFORMATION MANAGEMENT - Planning** for records relating to the development and review of Privacy Management Plans.

See **INFORMATION MANAGEMENT - Policy** for records relating to the development and review of Privacy Codes of Practice.

See **INFORMATION MANAGEMENT - Security** for records relating to protecting the security of private or confidential information.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the consideration of privacy when developing and managing applications and systems.

See **TECHNOLOGY & TELECOMMUNICATIONS - Compliance** for records relating to the organisation's compliance with privacy principles regarding technology and telecommunications.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to the consideration/assessment of privacy requirements during the implementation of technology and telecommunications strategies, projects, equipment and systems.

12.22.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

12.22.1	Final, approved versions of manuals, handbooks, directives etc detailing information management procedures, e.g. library procedures, records management procedures, security arrangements for information resources, mail handling protocols, etc., and associated correspondence indicating who the	Retain minimum of 5 years after procedures are superseded, then destroy
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No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Procedures

	procedures apply to and responsibilities for their implementation.	
12.22.2	<p>Records relating to the development and review of the organisation's information management procedures, e.g. library procedures, records management procedures, security arrangements for information resources, mail handling protocols, etc. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders, etc. 	Retain minimum of 3 years after action completed, then destroy

12.23.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of business continuity plans or counter disaster plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of business continuity or counter disaster plans.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reporting on the effects of disasters.

12.23.1	<p>Records relating to the development and review of reports regarding information management programs, services and systems. Records include:</p> <ul style="list-style-type: none"> • background research • records relating to the outcomes of consultation with employees, unions, other stakeholders, etc. • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
12.23.2	<p>Records relating to internal periodic reports on general administrative matters used to monitor recurring activities to support information management programs, services and systems. Records include:</p> <ul style="list-style-type: none"> • background research 	Retain minimum of 3 years after action completed, then destroy

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No.	Description of records	Disposal action
<i>INFORMATION MANAGEMENT - Reporting</i>		
	<ul style="list-style-type: none"> • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	
12.23.3	Records relating to Freedom of Information (FOI) or GIPAA reporting, including Statements of Affairs, Summary of Affairs and periodical reports.	Retain until administrative or reference use ceases, then destroy

Research

See the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation.

See the relevant function/activity for records relating to background research undertaken when developing particular products or documentation, e.g. use INFORMATION MANAGEMENT – EVALUATION for records relating to research undertaken as part of the evaluation of information programs, services and systems, e.g. use INFORMATION MANAGEMENT – PLANNING, INFORMATION MANAGEMENT – POLICY or INFORMATION MANAGEMENT – PROCEDURES for records relating to background research for the development and review of plans, policies and procedures.

12.24.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **INFORMATION MANAGEMENT - Audit** for records relating to formal internal and external audits of information management services, programs and systems.

See **INFORMATION MANAGEMENT - Evaluation** for records relating to the evaluation of information management programs, services and systems.

See **INFORMATION MANAGEMENT - Planning** for records relating to the review of plans.

See **INFORMATION MANAGEMENT - Policy** for records relating to the review of policies.

See **INFORMATION MANAGEMENT - Procedures** for records relating to the review of procedures.

See **STRATEGIC MANAGEMENT - Reviewing** for records relating to the review of strategic programs and services.

12.24.1	Records relating to the review of information management programs and services, e.g. reviews of storage areas for records and library materials, operational services for clients of libraries, archives and records management units, information systems, etc. Records include:	Retain minimum of 5 years after action completed, then destroy
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Security

	<ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final versions of approved reports • project or action plans. 	
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Risk management

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of business continuity or counter disaster plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of business continuity plans or counter disaster plans.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reports on the implementation of business continuity or counter disaster plans.

See **STRATEGIC MANAGEMENT - Risk management** for records relating to the identification and assessment of information risks as part of broader strategic risk management processes.

12.25.0 Security

The activities associated with measures taken to protect information resources from accidental or intentional damage or from unauthorised access.

See **PERSONNEL - Misconduct** for records relating to disciplinary action taken against personnel for security breaches.

See **TECHNOLOGY & TELECOMMUNICATIONS - Security** for records relating to security protection against unauthorised access to electronic information systems.

12.25.1	Records relating to major security breaches affecting information resources, e.g. where records and information have been unlawfully accessed or removed from official custody.	Retain minimum of 15 years after action completed, then destroy
12.25.2	Records relating to minor security breaches affecting information resources, e.g. where records have not been appropriately secured.	Retain minimum of 5 years after action completed, then destroy
12.25.3	Records relating to security arrangements for records storage, e.g. safes, vaults, security equipment and off site storage for vital records.	Retain minimum of 5 years after action completed, then destroy
12.25.4	Records relating to physical and intellectual security arrangements for access to records, e.g. decisions	Retain minimum of 5 years after

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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INFORMATION MANAGEMENT - Security

	regarding general security classifications for accessing records, delegations of authority, etc.	superseded, then destroy
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Standards

See the organisation's functional retention and disposal authority where the organisation has a standards setting role.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide information management policies or standards developed by central coordinating agencies.

See **INFORMATION MANAGEMENT - Compliance** for records relating to the organisation's compliance with standards, including standards approved under the State Records Act.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies, key direction statements and initiatives.

See **STRATEGIC MANAGEMENT - Standards** for records relating to the development and implementation of standard or benchmarks that provide a framework for the conduct of the organisation's operations or assessment of its performance.

Suggestions

See **COMMUNITY RELATIONS - Public reaction** for records relating to letters of complaint or appreciation received from the public.

See **INFORMATION MANAGEMENT - Customer service** for records relating to suggestions received from personnel and the public in relation to information management services.

Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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LEGAL SERVICES - Advice

13.0.0 LEGAL SERVICES

The function of providing legal services to the organisation. Includes the interpretation and provision of advice to the organisation regarding legal matters, the drawing up of legal agreements and the handling of legal action and disputes. Also includes legal advice received from in-house consultants and external sources including the Crown Solicitor's Office.

See the organisation's functional retention and disposal authority for records relating to legal services if the organisation has specific responsibilities for the provision of legal services, such as the Crown Solicitor's Office or Legal Aid Commission.

See the relevant function/AGREEMENTS for records relating to legal input into the drawing up of agreements/contracts.

See **STRATEGIC MANAGEMENT - Legislation** for records relating to the development, implementation and review of legislation concerning the operations and functional responsibilities of the organisation.

13.1.0 Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

See the relevant function/activity for records relating to legal advice retained on a particular case or claims files, e.g. use COMPENSATION - CLAIMS for legal advice regarding individual compensation claims.

See **GOVERNMENT RELATIONS - Advice** for records relating to the provision of advice to Cabinet, the portfolio Minister and other government organisations concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to legal advice regarding inquiries.

See **GOVERNMENT RELATIONS - Reporting** for records relating to the drafting, submission and final, approved versions of formal reports to government.

13.1.1	Records relating to legal advice from internal or external legal service providers, including the Crown Solicitor's Office, regarding:-Cabinet matters-interpretations of legislation administered by the organisation-proposals for new or amended legislation for the organisation-industrial issues involving the organisation-matters which are precedent setting in nature-matters resulting in significant changes to the organisation's policies.	Required as State archives
13.1.2	Records relating to legal advice from internal or external legal providers, including the Crown Solicitor's Office, that does not relate to:-Cabinet matters-interpretations of legislation administered by the organisation-proposals for new or amended legislation for the organisation-industrial issues involving the	Retain minimum of 15 years after action completed, then destroy

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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LEGAL SERVICES - Agreements

	organisation-matters which are precedent setting in nature-matters resulting in significant changes to the organisation's policies.	
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13.2.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See **CONTRACTING-OUT** for records relating to the acquisition of legal services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

13.2.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision of legal services, advice or representation that do not form part of contracting-out or tendering arrangements. Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings with main stakeholders • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements. 	<p>Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy</p>
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Claims

See the relevant function/CLAIMS for records relating to legal input into insurance or compensation claims.

See **LEGAL SERVICES - Litigation** for records relating to claims proceeding to a lawsuit or other legal proceedings.

Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

13.3.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to measure the compliance of other organisations with their policies, standards and requirements on legal services.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

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LEGAL SERVICES - Compliance

13.3.1	<p>Records relating to the organisation's compliance with mandatory or optional standards or statutory requirements relating to the provision of legal services, e.g. those in Quality System Guidelines AS/NZS ISO 9001:1994 for the legal profession.</p> <p>Note: Retention period is provided as a guide only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.</p>	Retain minimum of 6 years after action completed, then destroy
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Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of legal services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

Inquiries

See **GOVERNMENT RELATIONS - Inquiries** for records relating to the organisation's involvement in an inquiry, including organisation submissions.

Intellectual property

See **INFORMATION MANAGEMENT - Intellectual property** for records relating to the management of copying services in the organisation.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by internal and external legal service providers regarding the management or use of intellectual property.

See **LEGAL SERVICES - Litigation** for records relating to lawsuits or legal proceedings resulting from breaches of intellectual property rights.

See **PUBLICATION - Intellectual property** for records relating to managing applications to reproduce published or unpublished material.

See **STRATEGIC MANAGEMENT - Agreements** for records relating to intellectual property agreements.

See **STRATEGIC MANAGEMENT - Intellectual property** for records relating to the establishment, registration and documentation of the organisation's intellectual property.

See **TECHNOLOGY & TELECOMMUNICATIONS - Intellectual property** for records relating to managing applications to reproduce portions of software developed by the organisation.

13.4.0 Litigation

The activities involved in managing lawsuits or legal proceedings between the organisation and other parties in a court or other tribunal. Includes cases settled by mediation, alternative dispute resolution etc.

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LEGAL SERVICES - Litigation

Note: Some copies of documents generated by lawsuits or legal proceedings can be destroyed in accordance with the normal administrative practice (NAP) provisions of the State Records Act 1998 when no longer required for reference purposes (e.g. copies of briefs that are sent to the court and then returned at the conclusion of the matter). However, any copies with significant or substantial annotations should be retained with other records relating to the lawsuit or proceeding and disposed of in accordance with the disposal actions under this activity.

13.4.1	<p>Records relating to issues, claims or case matters which:</p> <ul style="list-style-type: none"> • set legal precedents, or • result in significant changes to the organisation's policies or procedures, or the way in which the organisation operates. <p>Records include:</p> <ul style="list-style-type: none"> • briefs for counsel • copies of documents required by or lodged with a court • records of consultation with the Attorney General's Department or other organisations • records documenting compliance with court instructions, e.g. subpoenas and discovery orders. 	Required as State archives
13.4.2	<p>Records relating to issues, claims or case matters which:</p> <ul style="list-style-type: none"> • do not set legal precedents, or • do not result in significant changes to the organisation's policies or procedures, or the way in which the organisation operates. <p>Records include:</p> <ul style="list-style-type: none"> • briefs for counsel • copies of documents required by or lodged with a court • records of consultation with the Attorney General's Department or other organisations • records documenting compliance with court instructions, e.g. subpoenas and discovery orders. <p>Note: Consideration may need to be given to retaining these records longer in some circumstances, e.g. for records relating to criminal matters or matters relating to minors where appeals or challenges may be lodged many years after the matter is concluded.</p>	Retain minimum of 7 years after action completed, then destroy

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LEGAL SERVICES - Litigation

	Organisations should also ensure that all appeals have been exhausted before disposing of records relating to the handling of the matter or court proceedings.	
13.4.3	Records relating to the management of subpoenas and discovery orders where the organisation is not a party to the proceedings. Includes detailed lists and copies of records found.	Retain minimum of 2 years after action completed, then destroy

Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use LEGAL SERVICES - AGREEMENTS for records relating to meetings held to discuss the formulation of agreements, e.g. use LEGAL SERVICES - LITIGATION for records relating to meetings held in order to discuss the progress of litigation.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties, etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings.

13.5.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning.

13.5.1	Final, approved versions of plans regarding legal programs and services, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 5 years after plan is superseded, then destroy
13.5.2	Records relating to the development and review of the organisation's plans regarding legal programs and services. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders, etc. 	Retain minimum of 3 years after action completed, then destroy

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LEGAL SERVICES - Policy

13.6.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **LEGAL SERVICES - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or statutory requirements regarding legal services.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

13.6.1	Final, approved versions of policies regarding the provision of legal services, advice and representation, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Retain minimum of 5 years after policy is superseded, then destroy
13.6.2	Records relating to the development and review of the organisation's policies regarding the provision of legal services, advice and representation. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations or meetings • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, stakeholders, etc. 	Retain minimum of 3 years after action completed, then destroy

13.7.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

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No.	Description of records	Disposal action
<i>LEGAL SERVICES - Procedures</i>		
13.7.1	Final, approved versions of procedures regarding the provision of legal services, advice and representation and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.	Retain minimum of 5 years after procedures are superseded, then destroy
13.7.2	Records relating to the development and review of the organisation's procedures regarding the provision of legal services, advice and representation. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc. 	Retain minimum of 3 years after action completed, then destroy

13.8.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **PUBLICATION - Production** for records relating to the production of reports, e.g. typesetting, printing, etc.

13.8.1	Records relating to formal reports regarding legal services programs and services. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
13.8.2	Records relating to internal periodic reports on general administrative matters used to monitor and document recurring activities to support legal services programs and services. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

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LEGAL SERVICES - Research

13.9.0 Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc used to provide legal support for the development of projects, standards, guidelines, etc., and the business activities of the organisation in general.

See the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation.

See the relevant function/activity for records relating to background research undertaken when developing particular products or documentation, e.g. use LEGAL SERVICES - ADVICE for records relating to research for the provision of legal advice, e.g. use LEGAL SERVICES - PLANNING, LEGAL SERVICES - POLICY or LEGAL SERVICES - PROCEDURES for records relating to background research for the development and review of plans, policies and procedures.

13.9.1	Final, approved reports consolidating research collected for legal services purposes.	Retain minimum of 5 years after action completed, then destroy
13.9.2	Research data including literature searches, questionnaires, statistics, surveys and other raw data.	Retain until administrative or reference use ceases, then destroy

13.10.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **LEGAL SERVICES - Planning** for records relating to the review of plans.

See **LEGAL SERVICES - Policy** for records relating to the review of policies.

See **LEGAL SERVICES - Procedures** for records relating to the review of procedures.

13.10.1	Records relating to the review of legal services programs and services. Records include: <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • project or action plans. 	Retain minimum of 5 years after action completed, then destroy
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LEGAL SERVICES - Reviewing

Submissions

See **COMMUNITY RELATIONS - Submissions** for records relating to the organisation's submissions to support proposed community relations initiatives.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to submissions regarding formal committees of inquiry initiated by Government.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies.

See **LEGAL SERVICES - Advice** for records relating to legal advice provided in relation to a submission to government or community organisations.

Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of legal services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

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OCCUPATIONAL HEALTH & SAFETY - Accidents

14.0.0 OCCUPATIONAL HEALTH & SAFETY

The function of implementing and coordinating work health and safety and associated legislation throughout the organisation. Includes developing safety policies and monitoring safe work practices, procedures and preventative measures. Also includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

See **LEGAL SERVICES - Litigation** for records relating to prosecutions of the organisation for breaches of legislation or regulations.

See **STAFF DEVELOPMENT - Training** for records relating to the training of employees in occupational health and safety issues.

14.1.0 Accidents

The activities involved with dealing with mishaps causing injury or damage. Includes damage or injury to the organisation's property or to employees incurred while coming to, at, or leaving work, or to the general public or visitors while on the organisation's premises. Also includes measures to prevent incidents occurring.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees, or claims for the damage or destruction of personal property caused by an incident.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of occupational health and safety hazards (which may or may not have resulted in accidents or incidents).

See **PERSONNEL - Advice** for records relating to the rehabilitation of employees where the rehabilitation is not related to a compensation claim.

14.1.1	<p>Records relating to incidents that result in serious personal injury or incapacity to employees. Records include:</p> <ul style="list-style-type: none"> • incident/injury records, e.g. incident/accident report forms • notifications to insurer • records of investigation by the organisation into incident • details of notifications to WorkCover NSW of incident • copies of investigation reports by Police, WorkCover NSW inspectors etc into incident. <p>See 14.1.6 for registers of injuries.</p> <p>Note: Records may be required for compensation claims which can potentially be lodged at any time during the lifetime of the claimant. Retention period is intended to cover potential life expectancy of claimants. Consideration may need to be given to retaining these records longer in some circumstances.</p>	<p>Retain minimum of 75 years after action completed, then destroy</p>
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<i>OCCUPATIONAL HEALTH & SAFETY - Accidents</i>		
	When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.	
14.1.2	<p>Records relating to incidents that results in the death of employees. Records include:</p> <ul style="list-style-type: none"> • incident records, e.g. incident/accident report forms • notifications to insurer • records of investigation by the organisation into incident • details of notifications to WorkCover NSW of incident • copies of investigation reports by Police, WorkCover NSW inspectors etc into incident. <p>See 14.1.6 for registers of injuries.</p>	Retain minimum of 25 years after date of death or minimum of 7 years after action completed, whichever is longer, then destroy
14.1.3	<p>Records relating to incidents involving employees that do not result in death, serious personal injury or incapacity to employees. Records include:</p> <ul style="list-style-type: none"> • incident/injury records • notifications to insurer • records of investigation by organisation/WorkCover NSW into incident. <p>See 14.1.6 for registers of injuries.</p> <p>Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant, but it is likely to occur within the retention period. Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.</p>	Retain minimum of 25 years after action completed, then destroy
14.1.4	<p>Records relating to incidents involving members of the public, including work experience students and volunteers or other persons who are not employees. Records include:</p> <ul style="list-style-type: none"> • incident/injury records • notifications to insurer • records of investigation by organisation/WorkCover NSW into incident. <p>See 14.1.6 for registers of injuries.</p>	Retain minimum of 15 years after action completed or until expiry of statutory limitation periods, whichever is longer, then destroy

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OCCUPATIONAL HEALTH & SAFETY - Accidents

	<p>Note: Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.</p>	
14.1.5	<p>Records relating to the provision of first aid treatment. Records include:</p> <ul style="list-style-type: none"> • first aid registers • forms/records detailing treatment given. <p>See 14.1.1-4 in cases where first aid treatment is documented together with incident/injury records.</p> <p>See 14.1.6 where first aid registers function as the equivalent of registers of injuries.</p> <p>Note: With paper-based registers, retain minimum of 5 years after last entry in the register. With electronic registers, retain minimum of 5 years after last update or amendment to an entry, or after data has become obsolete, then destroy. Consideration may need to be given to retaining these records longer in some circumstances if the record is potentially the only record of the occurrence of an injury.</p>	Retain minimum of 5 years after action completed, then destroy
14.1.6	<p>Registers of injuries.</p> <p>Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 75 years after action completed, then destroy
14.1.7	<p>Copies or details of records of all incidents and/or hazards in an organisation kept or compiled together for occupational health and safety assessment or monitoring purposes.</p> <p>See 14.1.6 for registers of injuries.</p> <p>Note: Ensure records of incidents relevant to a claim are retained on OCCUPATIONAL HEALTH AND SAFETY - ACCIDENTS and COMPENSATION - CLAIMS files.</p>	Retain until administrative or reference use ceases, then destroy

Agreements

See **CONTRACTING-OUT** for records relating to the acquisition of services, e.g. medical practitioners, contractors for Employee Assistance Program, Critical Incident Support Program etc, through a contracting-out or outsourcing process.

See **PERSONNEL - Employee service history** for records relating to providers of occupational health and safety services who are hired as employees of the organisation.

See **TENDERING** for records relating to receiving and assessing tenders.

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OCCUPATIONAL HEALTH & SAFETY - Appeals

14.2.0 Appeals

The activities involved in the process of appealing against decisions by application to a higher authority.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees.

See **LEGAL SERVICES - Advice** for records relating to legal advice received by the organisation on the conduct of an appeal.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to applications to WorkCover NSW for a review of notices with regard to breaches or non-compliance with occupational health and safety legislation.

14.2.1	<p>Records relating to an appeal made by the organisation to the Administrative Decisions Tribunal for review of a decision made under health and safety legislation. Records include:</p> <ul style="list-style-type: none"> • copies of applications to the Administrative Decisions Tribunal • copies of proceedings/notifications of outcome of Tribunal decisions • correspondence with the Tribunal. 	Retain minimum of 5 years after action completed, then destroy
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14.3.0 Audit

The activities associated with officially checking quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to complying with occupational health and safety standards and requirements.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections undertaken for occupational health and safety reasons.

See **STRATEGIC MANAGEMENT - Audit** for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.

14.3.1	<p>Records relating to audits of the organisation's work health and safety management systems or processes. Records include:</p> <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews 	Retain minimum of 6 years after action completed, then destroy
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OCCUPATIONAL HEALTH & SAFETY - Audit

	<ul style="list-style-type: none">• correspondence• draft versions of reports containing significant changes/alterations or formally circulated for comment• final, approved versions of reports• records of remedial action. <p>Note: If serious deficiencies are identified during audits, longer retention may be required, particularly if records include documentation of remedial action undertaken.</p>	
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Cases

See **COMPENSATION - Claims** for records relating to claims for compensation by a member of the public and for records relating to managing claims for the damage or destruction of property caused by an incident.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections undertaken for occupational health and safety reasons.

See General Retention and Disposal Authority *Personnel records* **Personnel - Employment conditions** for records relating to an employee's employment at a place identified as containing a hazardous substance.

Claims

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees, or claims for the damage or destruction of personal property caused by an incident.

Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of internal committees which form part of consultative arrangements with staff regarding working conditions, including occupational health and safety committees.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections carried out by occupational health and safety committees or representatives.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to risk assessments done by occupational health and safety committees.

See **STAFF DEVELOPMENT - Training** for records relating to the training of committee members and representatives.

14.4.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor the compliance of

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OCCUPATIONAL HEALTH & SAFETY - Compliance

other organisations with policies, standards, legislative or regulatory requirements relating to occupational health and safety etc, e.g. WorkCover NSW.

See **COMMITTEES** for records relating to occupational health and safety committees.

See **EQUIPMENT & STORES - Compliance** for records relating to registering, licensing or obtaining permits for the use of equipment and plant.

See **LEGAL SERVICES - Advice** for records relating to legal advice sought and received.

See **OCCUPATIONAL HEALTH & SAFETY - Representatives** for records relating to the election of occupational health and safety representatives, including committee members, or the appointment, resignation and termination of first aid officers, fire wardens and safety officers.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the identification, assessment and management of occupational health and safety hazards risks and hazards.

See **PERSONNEL - Employee service history** for records relating to copies of qualifications, certificates of competency, statements of attainment etc when they relate to occupational health and safety training or where required by individual employees as part of employment conditions or to perform their duties.

14.4.1	<p>Records relating to the licensing or registration process for a business, substance, place or type of work involving contact with toxic or hazardous materials. Records include:</p> <ul style="list-style-type: none"> • applications for, renewals, cancellations or details regarding suspension of permits, licences, certificates of registration • copies of permits, licences, certificates of registration • conditions of registration or licensing • applications for review of decisions regarding registration or licensing. <p>Note: The existence of permits, authorisations etc may be relevant to compensation claims which can be lodged at any time within the lifetime of the claimant.</p>	Retain minimum of 75 years after action completed, then destroy
14.4.2	<p>Records relating to the licensing or registration process for a business, substance, place or type of work not involving contact with hazardous or toxic materials. Records include:</p> <ul style="list-style-type: none"> • applications for, renewals, cancellations or details regarding suspension of permits, licences, certificates of registration • receipt for payment of fees (if relevant) • copies of permits, licences, certificates of registration 	Retain minimum of 7 years after licence, permit or certificate of registration expires or is terminated, then destroy

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OCCUPATIONAL HEALTH & SAFETY - Compliance

	<ul style="list-style-type: none"> • conditions of registration or licensing • applications for review of decisions regarding registration or licensing. <p>Note: The existence of permits etc may be relevant to compensation claims, and in these cases should be copied and kept with records of the claim.</p>	
14.4.3	<p>Records relating to health surveillance of employees exposed or at risk of exposure to hazardous or carcinogenic substances or conditions, including asbestos or cytotoxins and lead. Records include:</p> <ul style="list-style-type: none"> • details of employee/s exposed to or at risk of exposure to hazardous or carcinogenic substances or conditions • notifications to WorkCover NSW by employer of intention to carry out work that involves the use of carcinogenic substances or lead risk work or other notifications as required • reports of outcomes of medical examinations to determine exposure or monitor the effects of exposure on an ongoing basis • copies of written statements to employees regarding exposure when they cease employment. 	Retain minimum of 75 years after action completed, then destroy
14.4.4	<p>Hazardous substances registers (including asbestos registers) identifying substance properties and details of their condition.</p> <p>Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p> <p>See OCCUPATIONAL HEALTH & SAFETY - Health promotion for records relating to material safety data sheets (MSDS).</p>	Retain minimum of 75 years after action completed, then destroy
14.4.5	<p>Records relating to entry and work permits for access to confined spaces. Records include:</p> <ul style="list-style-type: none"> • requests for access • entry and work permits. <p>Note: Longer retention may be required for these records if continuing monitoring or health surveillance is required.</p>	Retain minimum of 1 month after return of confined space to service, then destroy

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OCCUPATIONAL HEALTH & SAFETY - Compliance

14.4.6	Records relating to compliance with court orders or notices issued by regulatory bodies in connection with work health and safety breaches. Records include: <ul style="list-style-type: none"> • notices or court orders, e.g. provisional improvement notices (PINS), court orders to publicise or notify offences or to commence a specified project • records of compliance with orders or notices • records of reporting on compliance. 	Retain minimum of 10 years after action completed, then destroy
14.4.7	Records relating to drug and alcohol testing of employees. Records include: <ul style="list-style-type: none"> • sample collection forms • laboratory reports and statements. See PERSONNEL - Recruitment or records relating to drug and alcohol testing conducted as part of pre-employment requirements.	Retain a minimum of 7 years after action completed, then destroy, or retain in accordance with any agreements relating to testing of staff.

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services, e.g. medical practitioners, contractors for Employee Assistance Program, Critical Incident Support Program etc, through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

14.5.0 Health promotion

The process of promotion by the organisation of programs which encourage the establishment and maintenance of a healthy working environment.

Note: For public health organisations, records relating to the provision of clinical treatment and care to staff (i.e. treatment records of employees) constitute the primary health care record and their retention and disposal should be in accordance with the *General retention and disposal authority: public health services - patient/client records*. If the patient/client record also documents an employee's health assessment and screening outcomes or vaccinations required for occupational purposes and this information is not recorded and maintained elsewhere then the records should be retained as per the requirements for health promotion records relating to an individual employee (see entry 14.5.5).

See **EQUIPMENT & STORES - Maintenance** for records relating to the maintenance of equipment and stores, e.g. the replenishment of first aid kits.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to monitoring employee exposure to hazardous and carcinogenic substances or conditions.

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OCCUPATIONAL HEALTH & SAFETY - Health promotion

14.5.1	Records relating to the promotion of safe work practices including notices, posters and promotional materials and records of their distribution. See PUBLICATION - Production for records relating to the design, layout, printing etc of health promotion materials.	Retain until administrative or reference use ceases, then destroy
14.5.2	Information sheets etc detailing hazards associated with the use of materials and first aid instructions maintained for reference or safety instruction, e.g. material safety data sheets (MSDS).	Retain until materials are disposed of, then destroy
14.5.3	Summary details of materials safety information maintained by the organisation, e.g. material safety data sheets (MSDS) registers. Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 75 years after action completed, then destroy
14.5.4	Records relating to the management and administration of programs to promote a healthy working environment, such as routine immunisation and health monitoring programs.	Retain minimum of 7 years after action completed, then destroy
14.5.5	Health promotion records relating to an individual employee, including: <ul style="list-style-type: none"> • reports of health monitoring or notifications or certificates of immunisation or vaccination • reports/notifications of outcomes of medical examinations to determine fitness for duty. See PERSONNEL - Recruitment for records relating to medical examinations performed for recruitment purposes.	Retain minimum of 7 years after employment ceases, then destroy

14.6.0 Inspections

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

See the organisation's functional retention and disposal authority for records relating to inspections if a function of the organisation is to conduct work health and safety inspections of other organisations.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to investigations involving the organisation conducted by external bodies.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to inspections or investigations undertaken in response to an incident.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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OCCUPATIONAL HEALTH & SAFETY - Inspections

See **OCCUPATIONAL HEALTH & SAFETY - Audit** for records relating to formal occupational health and safety audits.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for hazardous substances registers.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the monitoring of atmospheric contaminants.

14.6.1	<p>Records relating to routinely conducted inspections of hazardous substances in the workplace to ensure or check compliance with regulations, standards etc for their management and use.</p> <p>See PROPERTY MANAGEMENT - Inspections for records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land.</p>	Retain minimum of 75 years after action completed, then destroy
14.6.2	<p>Records relating to routinely conducted workplace inspections undertaken either by the organisation or employee representatives to identify and monitor occupational health and safety risks or hazards. Records include:</p> <ul style="list-style-type: none"> • notes of inspection • records of liaison with WorkCover NSW • records relating to complaints about the way an investigation was carried out • details of remedial action undertaken. 	Retain minimum of 7 years after action completed, then destroy

Meetings

See the relevant function/activity for records relating to meetings that are held as part of the management or conduct of those activities or processes, e.g. use OCCUPATIONAL HEALTH & SAFETY – PLANNING for records relating to meetings held for planning purposes, e.g. use OCCUPATIONAL HEALTH & SAFETY – RISK MANAGEMENT for records relating to meetings with occupational health and safety representatives concerning the management of risks or hazards.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc, including occupational health and safety committees.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

14.7.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

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No.	Description of records	Disposal action
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OCCUPATIONAL HEALTH & SAFETY - Planning

See **OCCUPATIONAL HEALTH & SAFETY - Procedures** for records relating to evacuation procedures.

See **STRATEGIC MANAGEMENT - Planning** for records relating to corporate and business planning which defines broad occupational health and safety objectives and targets.

14.7.1	Final, approved versions of the organisation's work health and safety plans, e.g. asbestos management, emergency evacuation and medical evacuation plans etc, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 5 years after plan is superseded, then destroy
14.7.2	Records relating to the development and review of the organisation's work health and safety plans, e.g. asbestos management, emergency evacuation and medical evacuation plans etc. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 5 years after action completed, then destroy

14.8.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to complying with occupational health and safety standards and requirements.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

14.8.1	Final, approved versions of policies relating to specific work health and safety tasks and practices, e.g.	Retain minimum of 75 years after
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OCCUPATIONAL HEALTH & SAFETY - Policy

	policies on the management of hazardous materials, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	policy is superseded, then destroy
14.8.2	Final, approved versions of policies relating to work health and safety programs, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: Evidence of policies in place at a particular time may be of relevance for future claims or legal action involving the organisation. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of policies need to be retained for longer periods.	Retain minimum of 5 years after policy is superseded, then destroy
14.8.3	Records relating to the development and review of the organisation's work health and safety policies. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 5 years after action completed, then destroy

14.9.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

14.9.1	Final, approved versions of procedures relating to specific work health and safety tasks and practices, e.g. procedures on the management of hazardous materials, safe work method statements (SWMS), and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.	Retain minimum of 75 years after procedures are superseded, then destroy
14.9.2	Final, approved versions of procedures relating to work health and safety programs, and associated	Retain minimum of 5 years after

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OCCUPATIONAL HEALTH & SAFETY - Procedures

	<p>correspondence indicating who the procedures apply to and responsibilities for their implementation.</p> <p>Note: Evidence of procedures in place at a particular time may be of relevance for future claims or legal action involving the organisation. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of procedures need to be retained for longer periods.</p>	<p>procedures are superseded, then destroy</p>
14.9.3	<p>Records relating to the development and review of the organisation's work health and safety procedures. Records include:</p> <ul style="list-style-type: none"> • background research • records of consultations • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	<p>Retain minimum of 5 years after action completed, then destroy</p>

14.10.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **COMMITTEES** for records relating to reports developed by occupational health and safety committees and representatives.

See **GOVERNMENT RELATIONS - Reporting** for records relating to reporting on prosecutions under the Occupational Health and Safety Act, and on performance indicators, activities and awards relating to occupational health and safety in annual reports.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to internal incident reports and reports to WorkCover NSW and other relevant authorities.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to reports on routine inspections carried out by committees, representatives etc.

14.10.1	<p>Records relating to formal internal and external reports regarding work health and safety programs and practices. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	<p>Retain minimum of 7 years after action completed, then destroy</p>
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OCCUPATIONAL HEALTH & SAFETY - Reporting

14.10.2	Records relating to internal periodic reports on general administrative matters used to monitor and document recurring activities to support work health and safety programs and practices, e.g. lost time injury statistics. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy
14.10.3	Records relating to statistical information and survey responses on work health & safety forwarded to external sources, e.g. Australian Bureau of Statistics. Records include copies of returns, related correspondence.	Retain minimum of 2 years after action completed, then destroy

14.11.0 Representatives

The activities associated with the election of personnel appointed by the organisation or their co-workers as official work health and safety representatives or committee members, and the nomination, appointment, resignation or termination of fire wardens, first aid officers or safety officers.

See **COMMITTEES** for records relating to the nomination, appointment, resignation or termination of work health and safety representatives or minutes of meetings of occupational health and safety committees and representatives.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections carried out by work health and safety representatives.

See **STAFF DEVELOPMENT - Training** for records relating to the training of representatives as required under occupational health and safety legislation.

14.11.1	Records relating to the election of work health and safety representatives to committees and/or to act independently. Records include: <ul style="list-style-type: none"> • ballot papers • nominations. 	Retain minimum of 2 years after election is finalised, then destroy
14.11.2	Records relating to the nomination, appointment, resignation and termination of first aid officers, fire wardens and safety officers. Records include: <ul style="list-style-type: none"> • letters of appointment • details of roles and responsibilities • letters of resignation. 	Retain minimum of 1 year after appointment lapses, then destroy

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OCCUPATIONAL HEALTH & SAFETY - Reviewing

Research

See the relevant function/activity for records relating to background research undertaken when developing particular products, e.g. use OCCUPATIONAL HEALTH & SAFETY – PLANNING, OCCUPATIONAL HEALTH & SAFETY – POLICY or OCCUPATIONAL HEALTH & SAFETY – PROCEDURES for records relating to background research for the development and review of plans, policies or procedures.

14.12.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **OCCUPATIONAL HEALTH & SAFETY - Audit** for records relating to system wide or individual audits of occupational health and safety performance.

See **OCCUPATIONAL HEALTH & SAFETY - Planning** for records relating to the review of occupational health and safety plans.

See **OCCUPATIONAL HEALTH & SAFETY - Policy** for records relating to the review of occupational health and safety policies.

See **OCCUPATIONAL HEALTH & SAFETY - Procedures** or records relating to the review of occupational health and safety procedures.

14.12.1	<p>Records relating to the review of work health and safety programs and services. Records include:</p> <ul style="list-style-type: none"> • records setting review parameters • analyses of injury and illness data, hazard and incident reports, notifications and accident investigation outcomes to establish trends • measurements and reviews of performance against performance indicators • reports on review and recommendations. 	<p>Retain minimum of 5 years after action completed, then destroy</p>
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14.13.0 Risk management

The process involving the identification of risks and hazards, and the implementation of appropriate practices and procedures to reduce the number and/or severity of incidents and the impact of incidents on the organisation.

See **OCCUPATIONAL HEALTH & SAFETY - Planning** for records relating to medical evacuation plans/emergency evacuation plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic business continuity/counter disaster planning for the organisation.

14.13.1	<p>Records relating to risk management of work health and safety hazards where risk assessments indicate risk to employees and where health surveillance</p>	<p>Retain minimum of 75 years after</p>
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No.	Description of records	Disposal action
<i>OCCUPATIONAL HEALTH & SAFETY - Risk management</i>		
	<p>and/or monitoring of employees are necessary, and where the severity of risk is high. Records include:</p> <ul style="list-style-type: none"> • records identifying and assessing hazards and risks associated with them including hazard reports • reviews of relevant health and safety information related to hazards/risks • records of decisions and reports developed to eliminate or control risks, e.g. health surveillance, changes to facilities, systems or methods of work or plan or substances used for work • reviews of hazards/risks • records of consultation with committees/representatives and affected employees on hazards/risks. 	action completed, then destroy
14.13.2	<p>Records relating to risk management of work health and safety hazards where risk assessments indicate risk to employees and where ongoing health surveillance and/or monitoring of employees are necessary, but where the severity of risk is low. Records include:</p> <ul style="list-style-type: none"> • records identifying and assessing hazards and risks associated with them including hazard reports • reviews of relevant health and safety information related to hazards/risks • records of decisions and reports developed to eliminate or control risks, e.g. health surveillance, changes to facilities, systems or methods of work or plans or substances used for work • reviews of hazards/risks • records of consultation with committees/representatives and affected employees on hazards/risks. 	Retain minimum of 40 years after action completed or until expiry of statutory limitation periods, whichever is longer, then destroy
14.13.3	<p>Records relating to risk management of work health and safety hazards where risk assessments indicate minimal or no risk to employees and where health surveillance and/or monitoring is not required. Records include:</p>	Retain minimum of 5 years after action completed, then destroy

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OCCUPATIONAL HEALTH & SAFETY - Risk management

	<ul style="list-style-type: none"> • records identifying and assessing hazards and risks associated with them including hazard reports • reviews of relevant health and safety information related to hazards/risks • reviews of hazards/risks • records of consultation with committees/representatives and affected employees on hazards/risks. 	
14.13.4	<p>Records relating to the monitoring of atmospheric contaminants when a risk assessment indicates that it should be undertaken.</p> <p>See OCCUPATIONAL HEALTH & SAFETY - Inspections for records relating to routinely conducted inspections of hazardous substances in the workplace.</p>	Retain minimum of 30 years after action completed, then destroy

14.14.0 Standards

The process of developing and implementing industry or organisational benchmarks for work health and safety to enhance the quality and efficiency of the organisation. Includes the development and implementation of work health and safety codes of practice.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to the organisation's compliance with standards.

14.14.1	<p>Records relating to the development and implementation of industry codes of practice. Records include:</p> <ul style="list-style-type: none"> • records of consultations with WorkCover NSW • copies of draft codes • submissions on draft codes. 	Retain minimum of 2 years after action completed, then destroy
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Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

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PERSONNEL - Advice

15.0.0 PERSONNEL

The function of managing all employees in the organisation. Employees include Ministerial, permanent and temporary employees, volunteers and people working under scholarships, traineeships, apprenticeships and similar relationships. Also includes the management of statutory appointees such as members of Tribunals and Commissions etc.

See **COMPENSATION - Claims** for records relating to claims made by employees, volunteers and work experience students.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process, including the use of consultants and contractors.

See **ESTABLISHMENT** for records relating to establishing and reviewing positions.

See **FINANCIAL MANAGEMENT** for records relating to the management of salaries and payroll, including allowances.

See **GOVERNING & CORPORATE BODIES** for records relating to members of governing bodies such as boards, trusts, councils, commissions etc.

See **INDUSTRIAL RELATIONS** for records relating to establishing formal relations with the organisation's employees and their representatives.

See **OCCUPATIONAL HEALTH & SAFETY** for records relating to implementing and coordinating occupational health and safety and associated legislation throughout the organisation.

See **STAFF DEVELOPMENT** for records relating to arrangements for employee training.

See **STRATEGIC MANAGEMENT - Evaluation** for records relating to the evaluation of personnel programs.

15.1.0 Advice

The activities associated with giving advice or guidance to an employee.

See **PERSONNEL - Misconduct** for records relating to the counselling of employees as part of a disciplinary matter

See **PERSONNEL - Performance management** for records of counselling or advice provided as part of performance assessment, review or evaluation processes

15.1.1	Records relating to the provision of advice and assistance to employees about employment conditions, career, personal matters, trauma, finances, salaries, superannuation etc. Includes orientation advice for new employees and rehabilitation or return to work assistance not related to a compensation case. Records include notes, reports, etc.	Retain minimum of 7 years after action completed, then destroy
15.1.2	Records relating to the provision of counselling by a professional counsellor. Includes case files. Note: Case files may be destroyed prior to the expiry of the minimum retention period in certain	Retain minimum of 7 years after action completed, then destroy

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PERSONNEL - Advice

	circumstances e.g. agreement between counsellor and client, agreement between organisation and union.	
15.1.3	Records relating to the implementation of employee assistance/counselling programs or schemes, such as career or trauma counselling programs. Includes program plans and reports.	Retain minimum of 7 years after action completed, then destroy

15.2.0 Authorisation

The process of seeking and granting permission to undertake a requested action.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to payments for accommodation, airfares, vehicle hire etc.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for reimbursement of travel and other expenses etc.

See **GOVERNMENT RELATIONS - Authorisation** for records relating to delegations of authority from the Minister to the organisation.

See **STRATEGIC MANAGEMENT - Authorisation** for records relating to banking/financial authorities and delegations of authority to employees.

15.2.1	Records relating to applications, approvals and authorisations for employees to undertake a proposed action or activity, e.g. undertake a work trip, work from home, hold secondary employment etc. Includes approvals, refused applications.	Retain minimum of 7 years after action completed or expiry of approval, then destroy
15.2.2	Records relating to work-related travel arrangements and bookings for employees. Note: Records relating to payments for accommodation, airfares, vehicle hire are covered by FINANCIAL MANAGEMENT - Accounting.	Retain minimum of 2 years after action completed, then destroy

15.3.0 Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements.

See **PERSONNEL - Recruitment** for records relating to working with children checks.

See **PERSONNEL - Reporting** for records relating to the statutory reporting of incidents or referral of matters to other bodies

15.3.1	Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements relating to the management of personnel, e.g. the registration of an organisation with an 'approved screening agency' for working with children checks. Includes advice and guidance shared	Retain minimum of 7 years after action completed, then destroy
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PERSONNEL - Employee service history

	<p>between the organisation and external bodies concerning compliance matters, including circulars and information letters.</p> <p>Note: The retention period provided is a guideline only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.</p> <p>Note: The registration records created or received by approved screening agencies are not covered in this Authority.</p>	
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15.4.0 Employee service history

The activities associated with managing the appointment and service of personnel. Includes permanent, temporary and casual employees, and volunteers.

15.4.1	<p>Records summarising the employment or service history of personnel. Includes:</p> <ul style="list-style-type: none"> • name • date of birth • dates of employment/service • positions held and salary • locations worked. <p>Note: This includes information maintained in electronic recordkeeping systems.</p> <p>Note: If an organisation is unable to easily produce summary records containing the above information, then it should contact State Archives and Records NSW for advice.</p>	Required as State archives
15.4.2	<p>Records documenting the selection and appointment of:</p> <ul style="list-style-type: none"> • chief executive officers • statutory officers appointed by the Minister (such as Chief Justices, Registrar-General, Surveyor-General, judges, magistrates, Director of Public Prosecutions) • University Chancellors and Vice Chancellors. <p>Note: State Archives and Records NSW should be contacted for advice about other categories of officers for whom records who may be eligible for transfer as State archives e.g. Government Architect.</p>	Required as State archives

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<i>PERSONNEL - Employee service history</i>		
15.4.3	<p>Records documenting the appointment and subsequent employment history (including separation from the organisation) of successful applicants for a position. Includes:</p> <ul style="list-style-type: none"> • job applications and resumes • conduct and services checks • letters of appointment and acceptance • recognition of prior service • confidentiality agreement as part of employment • code of conduct • service records • correspondence, reports etc relating to separation. <p>Note: use this entry for records of training where they relate to occupational health and safety training or where they are required by individual employees as part of employment conditions or to perform their duties.</p>	Retain minimum of 75 years after date of birth or minimum of 7 years after employment ceases, whichever is longer, then destroy
15.4.4	<p>Records documenting the appointment and service of volunteers, individuals on work experience placements and job assistance schemes, and individuals employed on a short-term or casual basis where the terms of engagement do not provide for the accrual of on-going rights and entitlements e.g. individuals employed for one-off or short-term recurring events such as University open days or person's or individuals engaged to provide particular services on an as required basis, etc. Records include:</p> <ul style="list-style-type: none"> • reports • correspondence • bonds and liabilities • agreements and undertakings • conditions of engagement • details of work performed • working with children declaration • code of conduct • service records. 	Retain minimum of 7 years after service completed or until person reaches age of 25, whichever is longer, then destroy
15.4.5	Records relating to individual employee's workplace agreements.	Retain minimum of 7 years after expiry or termination of

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PERSONNEL - Employee service history

		agreement, then destroy
15.4.6	Records documenting declarations of interests by employees e.g. pecuniary interest, benefits and contacts.	Retain minimum of 7 years after superseded, then destroy
15.4.7	Records relating to transfers or secondments (includes the transfer of teachers and hospital staff) and arrangements for employees to act in higher positions.	Retain minimum of 7 years after action completed, then destroy
15.4.8	Records relating to the management of employment schemes and job assistance schemes. Includes reports, correspondence, bonds and liabilities.	Retain minimum of 7 years after action completed, then destroy

15.5.0 Grievances

The activities associated with the handling and resolution of grievances raised by employees. Includes handling complaints over perceived discrimination, or complaints concerning the work environment, organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion or higher duties.

Note: Complaints over perceived discrimination could be on the grounds of sex, race, disability, pregnancy, carer responsibilities, homosexuality or transgender status and could also cover bullying or harassment.

See **INDUSTRIAL RELATIONS - Disputes** for records relating to industrial disputes.

See **INDUSTRIAL RELATIONS - Grievances** for records relating to the handling and resolution of employee grievances and complaints raised by representatives on behalf of employees that have unit, organisational or sector-wide impact.

15.5.1	Records documenting formal and informal grievances lodged by an employee, including those referred to an external body. Includes notes of meetings, reports and recommendations.	Retain minimum of 7 years after action completed, then destroy
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15.6.0 Insurance

The process of taking out premiums to cover the personal effects of employees while being moved between locations.

See **COMPENSATION - Insurance** for records relating to insurance policies covering employees against injury.

15.6.1	Insurance policies supporting the management of personnel, e.g. for personnel and household effects	Retain minimum of 7 years after expiry
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PERSONNEL - Insurance

	being moved between locations, including information provided for renewals.	of the policy, then destroy
15.6.2	Records relating to the administration of insurance policies. Records include notices of renewals, advice on premiums payable etc.	Retain minimum of 1 year after action completed, then destroy

15.7.0 Leave, attendance and absences

The process of administering leave and documenting the attendance of employees. Includes unauthorised leave taken by staff and the management of rosters.

See **PERSONNEL - Employee service history** for summary records of service.

15.7.1	Summary details of leave taken by employees. Includes name, type of leave, dates taken, and approval.	Retain minimum of 75 years after date of birth of employee or minimum of 7 years after employment ceases, whichever is longer, then destroy
15.7.2	Records documenting approvals for leave without pay in excess of 6 months, extended (long service) leave and study leave. Includes briefing notes and other supporting documentation.	Retain minimum of 7 years after employment ceases, then destroy
15.7.3	Records documenting applications for leave. Records include leave requests and applications, and associated supporting documentation. Note: Where an appropriate summary record of leave taken by an employee is not available, approved applications will need to be retained for a minimum period of 75 years after date of birth or 7 years after employment ceases, whichever is longer.	Retain minimum of 7 years after action completed, then destroy
15.7.4	Attendance records for employees, including flexitime sheets, time sheets and attendance sheets. Note: Licensees of children's services should meet the minimum retention requirements for these records outlined in National or NSW laws and regulations applying to early childhood education and care providers.	Retain minimum of 7 years after action completed, then destroy
15.7.5	Records documenting the management of rosters where these are not required or used to record	Retain minimum of 6 months after

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PERSONNEL - Misconduct

	attendance, e.g. where the signed attendance or time sheet is the accountable record of hours worked.	action completed, then destroy
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15.8.0 Misconduct

The activities associated with the disciplinary process. Includes investigation, charges, formal inquiries, punishment and appeals.

See **LEGAL SERVICES - Litigation** for records relating to legal proceedings arising from disciplinary action.

See **PERSONNEL - Performance management** for records relating to performance management that is not part of a disciplinary process.

See **PERSONNEL - Reporting** for records relating to reporting or notification of matters to other government agencies or external bodies as required.

15.8.1	Records relating to the management of instances or allegations of misconduct involving abuse or neglect of children. Records include: <ul style="list-style-type: none"> • advice of allegation and response • investigation documentation and reports • reports, notifications and referrals of allegations and cases to external bodies • records of remedial and/or disciplinary action • records of appeals. 	Retain minimum of 100 years after action completed, then destroy
15.8.2	Records relating to the management of instances or allegations of misconduct (not involving abuse or neglect of children) where an investigation is conducted. Records include: <ul style="list-style-type: none"> • advice of allegation and response • investigation documentation and reports • referrals to external bodies • records of remedial and/or disciplinary action • records of appeals. 	Retain minimum of 10 years after action completed, then destroy
15.8.3	Records relating to the management of instances or allegations of misconduct where no follow-up investigation is conducted.	Retain minimum of 7 years after action completed, then destroy

15.9.0 Performance management

The process of identifying, evaluating, and developing corporate and employee work performance so that the organisation's goals and objectives are achieved and also

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PERSONNEL - Performance management

benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.

See **PERSONNEL - Misconduct** for records relating to the management of performance as part of disciplinary matters.

15.9.1	Records of awards to employees for bravery and meritorious service. Includes registers, nominations and details of awards.	Required as State archives
15.9.2	Records relating to the administration and implementation of performance management programs, including recognition schemes for employees. Includes routine or periodic awards to employees in recognition of service.	Retain minimum of 10 years after action completed, then destroy
15.9.3	Records relating to the assessment, evaluation and review of an employee's performance. Includes performance agreements and development plans, reports on performance assessments, evaluations and reviews, performance counselling, etc.	Retain minimum of 3 years after superseded, then destroy

15.10.0 Recruitment

The activities associated with recruiting employees and volunteers.

Note: Unsolicited applications for employment can be destroyed under the Normal Administrative Practice provisions of the *State Records Act 1998*.

See **ESTABLISHMENT - Variations** for records relating to the creation of positions.

See **PERSONNEL - Employee service history** for records relating to successful applications.

15.10.1	Records relating to the filling of vacancies. Includes unsuccessful applications for a position or offers of employment which are not accepted. Includes: <ul style="list-style-type: none"> • applications to fill a vacancy • advertisements and details of position, duty statements, selection criteria etc. • selection committee records and reports • applications received • associated checks and approvals • eligibility lists • notifications to unsuccessful applicants • records of appeals. 	Retain minimum of 2 years after recruitment finalised, then destroy
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PERSONNEL - Recruitment

	<p>Note: The records of working with children checks or risk assessments created or received by approved screening agencies are not covered in this Authority.</p>	
15.10.2	<p>Criminal history details provided as part of criminal record checks.</p> <p>Note: These records should be retained as per the agreement with the criminal history check service provider. See the relevant section of the Personnel Handbook for details of procedures to be followed by Government agencies with respect to the keeping of criminal records.</p> <p>Note: Records of criminal checks carried out by approved screening agencies are not covered in this Authority.</p>	Retain until check completed, then destroy
15.10.3	<p>Records relating to the marketing of professions, career paths and employment schemes including campaign records and advertisements. Includes recruitment strategies.</p>	Retain until administrative or reference use ceases, then destroy

15.11.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **PERSONNEL - Misconduct** for records relating to disciplinary matters.

15.11.1	<p>Records relating to the statutory reporting of incidents or referral of other matters to external bodies such as the Police, Independent Commission Against Corruption, the Ombudsman or child protection agencies e.g. Community Services.</p>	<p>Retain minimum of 10 years after action completed, then destroy</p> <p>Matters involving allegations of child abuse or neglect:</p> <p>Retain minimum of 100 years after action completed, then destroy</p>
15.11.2	<p>Records relating to reports regarding the management of personnel, e.g. workforce profile reports. Includes periodic internal reports on personnel programs and services. Records include:</p> <ul style="list-style-type: none"> • background research 	Retain minimum of 5 years after action completed, then destroy

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PERSONNEL - Representatives

	<ul style="list-style-type: none"> • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	
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15.12.0 Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed as official representatives to organisations, unions, workers participation committees, or groups.

See **COMMITTEES** for records relating to appointments to internal or external committees.

See **FINANCIAL MANAGEMENT - Salaries** for records relating to the payment of allowances to representatives.

15.12.1	Records relating to the nomination, appointment or resignation of individuals or groups of personnel as delegates or representatives of the organisation. Records include correspondence.	Retain minimum of 2 years after action completed, then destroy
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15.13.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

15.13.1	Records relating to the review of needs, initiatives and schemes to support the management of personnel, including post implementation reviews. Records include: <ul style="list-style-type: none"> • documents establishing the review • development of methodologies for review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • project or action plans. 	Retain minimum of 5 years after action completed, then destroy
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15.14.0 Security

The activities associated with measures taken to protect an organisation from damage or unauthorised access.

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<i>PERSONNEL - Security</i>		
15.14.1	Records documenting the issue of security passes to employees and volunteers.	Retain minimum of 7 years after expiry of pass, then destroy
15.14.2	<p>Personal Security Files (PSFs) of employees or contractors where the records are in the ownership of NSW State Government agencies.</p> <p>Note: Personal Security Files (PSFs) contain personal security information maintained in conformity with the standards set out in the <i>Australian Government Protective Security Policy Framework (PSPF)</i>. PSFs are raised for employees and contracted services providers with security clearances, but may also be raised for some uncleared personnel. These records document security checks (vetting) carried out as part of pre-engagement and pre-employment checks and periodic reviews.</p>	Retain minimum of 5 years after separation from service or minimum of 6 years after date of last clearance check on file, whichever is shorter, then destroy
15.14.3	<p>Personal Security Files (PSFs) of employees or contractors who take up temporary or permanent employment with Federal, other State or Territory government agencies.</p> <p>Note: PSFs of staff temporarily transferred should return to the NSW Government agency at the end of the transfer period.</p>	<p>Transfer custody to the relevant Federal, other State or Territory government agency upon request and in conformity with standards set out in the <i>Australian Government Protective Security Manual</i>.</p> <p>This approval permits the transferred records to leave the State.</p>

15.15.0 Social clubs and groups

The activities involved in the organisation's relationship with social clubs and groups.

Note: The records of the club or group itself, such as minutes of meetings, are not public records and are therefore not covered by this Authority.

15.15.1	Records relating to the interaction between the organisation and employee social clubs, groups and/or activities.	Retain minimum of 2 years after action completed, then destroy
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PERSONNEL - Suggestions

15.16.0 Suggestions

The process of using suggestions from personnel to improve the services and processes of the organisation.

15.16.1	Records of suggestions from personnel.	Retain minimum of 2 years after action completed, then destroy
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PERSONNEL - Suggestions

16.0.0 PROPERTY MANAGEMENT

The function of managing land and working, storage or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of property. Includes buildings and land allotments owned, rented or leased by the organisation, such as office blocks, repositories and workshops. Also includes energy and environmental management, the removal of pollutants and waste and the management of grounds including landscaping, roads and pathways.

Note: Properties of heritage significance can include buildings, objects, monuments, Aboriginal places, gardens, bridges, landscapes, archaeological sites, shipwrecks, relics, bridges, streets, industrial structures and conservation precincts.

Note: For the purposes of this authority, a property is 'heritage listed' if it is featured on:

- the National Heritage List searchable via the Australian Heritage Database at: <http://www.environment.gov.au/cgi-bin/ahdb/search.pl>
- the State Heritage Register searchable at: http://www.heritage.nsw.gov.au/07_subnav_02.cfm
- the organisation's heritage and conservation register
- a local environmental planning (LEP) instrument
- the Royal Australian Institute of Architects' (RAIA), NSW Chapter, Register of 20th Century Buildings of Significance searchable at: <http://www.architecture.com.au/i-cms?page=8450> and/or
- the DOCOMOMO Register of Modern Movement Buildings, sites and landscapes in Australia (NSW) searchable at: http://www.docomomoaustralia.com.au/page/building_register.html

Note: Current minimum retention periods for records relating to monitoring and reporting on greenhouse gas emissions, and energy production and consumption may not reflect the retention requirements specified in new or updated legislation (e.g. the Energy Efficiency Opportunities Regulations 2006 (Commonwealth) and the National Greenhouse and Energy Reporting Act 2007 (Commonwealth)). Before implementing the disposal decisions in this authority, organisations should ensure they are aware of any legislative requirements to retain records for longer than specified by the minimum retention periods.

Note: State and local government agencies responsible for the management of Crown reserves, commons and land that is currently or may potentially be the subject of a claim under the Aboriginal Land Rights Act 1983 should ensure records providing evidence of ownership, control and usage of the relevant parcel are retained and not destroyed until a claim has been granted over that parcel of land.

These records could include planning documents or decisions concerning proposed or approved use of the land, surveys, agreements, memorandums, consents and tenure arrangements regarding the following land matters – acquisition, transfers, boundaries, usage, rights of way and easements, leases or licences for any uses/purposes, land/resource management and management of parks and reserves.

Please note that the making of a claim which is unsuccessful does not preclude the making of further claims over the same areas of land under the Act.

For further advice and guidance as to land that is claimable under the Aboriginal Land Rights Act and records requiring retention, agencies should contact the Crown Lands division of the Land and Property Management Authority.

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PROPERTY MANAGEMENT - Acquisition

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to functions held to commemorate the opening and naming of buildings, premises, landmark structures, etc.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of property as corporate assets.

See **OCCUPATIONAL HEALTH & SAFETY** for records relating to the management of occupational health and safety matters and for records relating to accidents involving employees or visitors to the property.

16.1.0 Acquisition

The process of gaining ownership or use of property required for the conduct of business.

See the organisation's functional retention and disposal authority for records relating to the acquisition of specialised premises supporting core functions or which have unique design features, e.g. school buildings, Sydney Observatory, Sydney Opera House etc.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **EQUIPMENT & STORES - Acquisition** for records relating to the acquisition of equipment and stores required for the management of property, e.g. furniture and furnishings.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting acquisitions.

See **PROPERTY MANAGEMENT - Leasing** for records relating to leasing accommodation, premises or real estate from another organisation.

See **PROPERTY MANAGEMENT - Reporting** for records relating to reporting on procurement decisions for property, e.g. energy consumption reports.

See **TENDERING** for records relating to receiving and assessing tenders.

16.1.1	<p>Records relating to the acquisition of property that is significant due to the fact that it is:</p> <ul style="list-style-type: none"> • a recipient of prestigious State, national or international architectural or design awards • an important local or regional landmark, or • heritage listed. <p>Records include:</p> <ul style="list-style-type: none"> • records of investigations into and reports on the property • images, including digital recordings, photographs, maps etc • records demonstrating public reaction to the purchase • environmental impact assessments 	Required as State archives
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PROPERTY MANAGEMENT - Acquisition

	<ul style="list-style-type: none"> • budget estimates • cost-benefit analyses • correspondence with the vendor or owner • due diligence checks prior to purchase • draft versions of contracts of purchase containing significant changes/alterations • final, approved versions of contracts of purchase. 	
16.1.2	<p>Records relating to the acquisition of property that is not:</p> <ul style="list-style-type: none"> • a recipient of prestigious State, • national or international architectural or design awards • an important local or regional landmark, or • heritage listed. <p>Records include:</p> <ul style="list-style-type: none"> • records of investigations into and reports on the property • images, including digital recordings, photographs, maps etc • records demonstrating public reaction to the purchase • environmental impact assessments • budget estimates • cost-benefit analyses • correspondence with the vendor or owner • due diligence checks prior to purchase • draft versions of contracts of purchase containing significant changes/alterations • final, approved versions of contracts of purchase. <p>Note: Specialty contracts include contracts under seal and deeds to property.</p> <p>Note: Limitation periods for contractual agreements or arrangements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.</p>	<p>(A) For specialty contracts:</p> <p>Retain minimum of 12 years after disposal of property, then destroy</p> <p>(B) For standard contracts or agreements:</p> <p>Retain minimum of 7 years after disposal of property, then destroy</p>

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PROPERTY MANAGEMENT - Acquisition

16.1.3	Summary records created to facilitate the management of property owned by the organisation, e.g. deed registers, property registers, land registers etc.	Required as State archives
16.1.4	Deeds or certificates of title for property owned by the organisation. ⁶ See entry 16.1.1 for historic (e.g. linen) certificates of title that relate to heritage or landmark properties.	Retain until administrative ore reference use ceases, then destroy
16.1.5	Records relating to negotiations for property where the acquisition is not proceeded with.	Retain minimum of 10 years after action completed, then destroy
16.1.6	Records relating to the acquisition of services supporting property management, e.g. temporary use of plumbers, groundkeepers, electricians, where there is no tender or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering or where no maintenance contract is in place.	Retain minimum of 7 years after action completed, then destroy

Advice

See **PROPERTY MANAGEMENT** /relevant activity for records relating to advice given or received by the organisation regarding property management, e.g. use **PROPERTY MANAGEMENT – CONSERVATION** for records relating to advice on conservation issues for heritage buildings, e.g. use **PROPERTY MANAGEMENT – CONSTRUCTION** for records relating to the provision of advice regarding construction, e.g. use **PROPERTY MANAGEMENT – PLANNING** for records relating to the provision of advice as part of the planning process.

Agreements

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **PROPERTY MANAGEMENT - Acquisition** for records relating to agreements regarding use of property that form part of acquisition processes, e.g. agreements relating to easements and right of way arrangements.

See **PROPERTY MANAGEMENT - Arrangements** for records relating to venue hire agreements.

See **PROPERTY MANAGEMENT - Leasing** for records relating to agreements for leasing accommodation, premises or real estate.

⁶ Disposal action amended December 2021. Under amendments to the *Real Property Act* certificates of titles ceased to have legal effect from 11 October 2021.

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PROPERTY MANAGEMENT - Arrangements

See **PROPERTY MANAGEMENT - Leasing-out** for records relating to agreements for leasing-out accommodation, premises or real estate from another organisation.

See **TENDERING** for records relating to receiving and assessing tenders.

Appeals

See the organisation's functional retention and disposal authority for records relating to native title claims and claims and appeals made against the compulsory acquisition of property or the level of compensation received.

16.2.0 Arrangements

The activities involved in arranging usage of facilities and space.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions for the use of premises.

See **PROPERTY MANAGEMENT - Acquisition** for records relating to agreements regarding use of property that form part of acquisition processes, e.g. agreements relating to easements and right of way arrangements.

16.2.1	Records relating to routine arrangements for the use of property. Includes parking arrangements and facility bookings.	Retain until administrative or reference use ceases, then destroy
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Asset register

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of property as corporate assets.

16.3.0 Audit

The activities associated with officially checking quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

See **FINANCIAL MANAGEMENT - Audit** for records relating to formal audits of accounts or the management of financial resources.

See **PROPERTY MANAGEMENT - Compliance** for records relating to the organisation's compliance with standards or requirements relating to the management of property.

See **PROPERTY MANAGEMENT - Conservation** for records relating to the remediation of contaminated sites.

16.3.1	Records relating to audits of processes and systems to detect the presence of hazardous substances or conditions in buildings or land.	Retain minimum of 75 years after action completed, then destroy
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PROPERTY MANAGEMENT - Audit

16.3.2	<p>Records relating to audits of the organisation's property or property management processes and systems not related to hazardous substances, e.g. water or waste recycling audits, energy usage audits, audits of construction processes etc. Records include:</p> <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of reports containing significant changes/alterations or formally circulated for comment • final versions of authorised reports • records of remedial action. 	Retain minimum of 6 years after action completed, then destroy
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16.4.0 Claims

The process of administering and managing claims and appeals lodged after an incident as compensation for damage to or destruction of property.

See the organisation's functional retention and disposal authority for records relating to native title claims and claims and appeals made against the compulsory acquisition of property or the level of compensation received.

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation and the rehabilitation of employees.

See **PROPERTY MANAGEMENT - Acquisition** for records relating to the compulsory acquisition of property.

See **PROPERTY MANAGEMENT - Insurance** for records relating to property insurance policies.

16.4.1	Records relating to insurance claims and appeals by the organisation for damage to and/or loss of property.	Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

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PROPERTY MANAGEMENT - Compliance

16.5.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See **PROPERTY MANAGEMENT - Conservation** for records relating to the remediation of contaminated sites.

See **PROPERTY MANAGEMENT - Inspections** for records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land.

16.5.1	<p>Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements relating to the management of property, e.g. Australian and international standards for building management, disabled access, air conditioning, environmental regulations and building regulations, safety certification, maintenance for fire prevention and access to water supplies.</p> <p>Note: Retention period is provided as a guide only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.</p>	Retain minimum of 6 years after action completed, then destroy
16.5.2	<p>Records relating to breaches of regulatory requirements by the organisation, e.g. breaches of waste or environmental requirements, breaches of orders or requirements for the maintenance of heritage properties etc.</p> <p>See LEGAL SERVICES - Litigation for records relating to prosecution of the organisation for breaches of compliance requirements.</p> <p>See PROPERTY MANAGEMENT - Security for records relating to breaches of property security.</p>	Retain minimum of 15 years after action completed, then destroy

16.6.0 Conservation

The activities involved in the preservation, protection, maintenance, restoration and enhancement of property. Includes the management of heritage property, remediation of contaminated land and the conservation of Aboriginal sites.

See **PROPERTY MANAGEMENT - Construction** for records relating to the construction, major renovation or restoration of buildings, structures or environs.

See **PROPERTY MANAGEMENT - Maintenance** for records relating to the ongoing maintenance of property.

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PROPERTY MANAGEMENT - Conservation

See **PROPERTY MANAGEMENT - Planning** for records relating to conservation management plans or plans to support the management of property, e.g. environment management plans.

See **PROPERTY MANAGEMENT - Reporting** for records relating to reporting to the heritage organisations on conservation issues, and conservation and condition treatment reports.

See **STRATEGIC MANAGEMENT - Grant funding** for records relating to applications for grants to conserve heritage property.

See **STRATEGIC MANAGEMENT - Planning** for records relating to heritage asset management strategic plans.

16.6.1	Summary records created to record and facilitate the identification and ongoing management of heritage assets, e.g. heritage and conservation registers. Includes records of changes to the heritage status of properties on the register.	Required as State archives
16.6.2	Records relating to the identification and assessment of assets owned by the organisation where the assessment has confirmed that the asset is of heritage significance. Includes records relating to assets which are subsequently removed from the organisation's heritage and conservation register due to transfer or sale. Records include: <ul style="list-style-type: none"> • internal organisational assessments • records of consultation with communities and other stakeholders • consultants' reports • nominations and submissions on proposed listings • correspondence with heritage bodies • notifications of inclusion on heritage listings • notifications of permanent heritage orders. 	Required as State archives
16.6.3	Records relating to the identification and assessment of assets owned by the organisation where the assessment has determined that the asset is not of heritage significance. Includes records relating to assets provisionally listed on the organisation's heritage and conservation register that, once assessed, are subsequently removed. Records include: <ul style="list-style-type: none"> • internal organisational assessments • records of consultation with communities and other stakeholders 	Retain minimum of 7 years after action completed, then destroy

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<i>PROPERTY MANAGEMENT - Conservation</i>		
	<ul style="list-style-type: none"> • consultants' reports • nominations and submissions on proposed listings • correspondence with heritage bodies • notifications of outcome • notifications of interim heritage orders. 	
16.6.4	<p>Records relating to the ongoing conservation maintenance of assets owned or occupied by the organisation that have been identified as having heritage significance. Includes records relating to assets which are subsequently removed from the organisation's heritage and conservation register due to transfer or sale. Records include:</p> <ul style="list-style-type: none"> • applications seeking changes to heritage places • notifications or orders from the Heritage Council, e.g. notifications or orders restricting development or harm to buildings or regarding failures to maintain or repair • advice and submissions given to or received from heritage bodies regarding maintenance, repair or adaptation • heritage agreements • records of site inspections and monitoring • records of remedial action. 	Required as State archives
16.6.5	<p>Records relating to the remediation of contaminated sites that:</p> <ul style="list-style-type: none"> • present a major long term public health risk, e.g. toxic waste • involve major public controversy, or • have a significant impact on policies/procedures. <p>Records include:</p> <ul style="list-style-type: none"> • environmental and heritage impact assessments and plans • records of consultations • records of site inspections • records of remedial action • records of environmental monitoring. 	Required as State archives
16.6.6	<p>Records relating to the remediation of contaminated sites that do not:</p>	Retain minimum of 75 years after

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PROPERTY MANAGEMENT - Construction

	<ul style="list-style-type: none"> • present a major long term public health risk • involve major public controversy, or • have a significant impact on policies/procedures. <p>Records include:</p> <ul style="list-style-type: none"> • environmental and heritage impact assessments and plans • records of consultations • records of site inspections • records of remedial action • records of environmental monitoring. 	<p>action completed, then destroy</p>
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16.7.0 Construction

The process of making, erecting, renovating or restoring a structure or environs. Includes major maintenance work involving structural changes.

See **CONTRACTING-OUT** for records relating to the contracting-out or outsourcing of construction work including contracts.

See **PROPERTY MANAGEMENT - Planning** for records relating to planning construction programs.

See **TENDERING** for records relating to receiving and assessing tenders for construction work.

16.7.1	<p>Key records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that is of significance due to the fact that it is:</p> <ul style="list-style-type: none"> • a recipient of a prestigious State, national or international architectural or design award • an important local or regional landmark, or • heritage listed. <p>Records include:</p> <ul style="list-style-type: none"> • building and development applications, including supporting documentation recording reviews of environmental factors such as environmental impact statements, archaeological or heritage impact statements • records demonstrating public reaction to the construction • plans/designs as approved • plans/designs as executed and variations • specifications 	<p>Required as State archives</p>
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PROPERTY MANAGEMENT - Construction

	<ul style="list-style-type: none"> • photographs • drawings • site diaries and plans • archival recordings of demolition • records of structural changes made for installations, fit-outs and maintenance • records of decisions or approvals regarding naming of buildings, use of coats of arms/heraldry and the erection of plaques on buildings, structures and public spaces • display models of architectural quality • the naming and renaming of buildings. <p>Includes construction designs, artist's impressions, design models and plans submitted for design competitions. Includes successful and unsuccessful submissions..</p> <p>See 16.7.3 for project management records.</p>	
16.7.2	<p>Key records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that is not:</p> <ul style="list-style-type: none"> • a recipient of prestigious State, • national or international architectural or design awards • an important local or regional landmark, or • heritage listed. <p>Records include:</p> <ul style="list-style-type: none"> • building and development applications, including supporting documentation recording reviews of environmental factors such as environmental impact statements, archaeological or heritage impact statements • records demonstrating public reaction to the construction • plans/designs as approved • plans/designs as executed and variations • specifications • photographs • drawings • site diaries and plans 	<p>Retain minimum of 7 years after building or structure is disposed of, then destroy OR transfer to new owner as required</p>

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PROPERTY MANAGEMENT - Construction

	<ul style="list-style-type: none"> • records of structural changes made for installations, fit-outs and maintenance • records of decisions or approvals regarding naming of buildings, use of coats of arms/heraldry and the erection of plaques on buildings, structures and public spaces • display models of architectural quality. <p>See 16.7.3 for project management records.</p>	
16.7.3	<p>Records relating to project management for construction works. Records include:</p> <ul style="list-style-type: none"> • records of budget and costs • records of client liaison on non technical matters • records of contractual matters such as variations, payment and sign off on construction • records of logistics • site procedures • records of quality and performance measurements • periodic reports • project risk management records and schedules • records of consultations. <p>See 16.7.1-2 for site diaries.</p>	Retain minimum of 12 years after project completed, then destroy
16.7.4	<p>Records for projects or proposals proceeded with relating to the construction of property (other than key construction records, project management or records of hazardous materials) such as non-architectural quality models, correspondence with builders and records relating to minor day-to-day repairs or maintenance of site.</p> <p>See 16.7.3 for project management records.</p> <p>See PROPERTY MANAGEMENT - Installation for records relating to the installation of service systems, e.g. installation of heating, plumbing, air conditioning, security equipment, cabling, alarms etc, that do not involve structural changes.</p> <p>See PROPERTY MANAGEMENT - Maintenance for records relating to minor maintenance works.</p>	Retain minimum of 7 years after construction work completed, then destroy
16.7.5	<p>Records relating to the identification and management of hazardous materials including asbestos used or encountered in construction work.</p>	Retain minimum of 75 years after removal or disposal of hazardous

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PROPERTY MANAGEMENT - Construction

		materials, then destroy OR transfer to new owners on disposal of property
16.7.6	Records relating to construction projects or proposals not proceeded with.	Retain minimum of 7 years after action completed, then destroy
16.7.7	Records relating to the design and installation of minor equipment, and temporary equipment and structures for events. Includes lighting, temporary stages, kiosks and other amenities, playing surfaces, seating, signage and banners, air conditioning, sound systems. Records include: <ul style="list-style-type: none"> • plans and specifications • costs and quotations • associated correspondence. 	Retain minimum of 7 years after equipment is replaced or installation is removed, then destroy

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

16.8.0 Disposal

The process of disposing of property no longer required by the organisation by sale, transfer, termination of lease, auction, or destruction.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the removal of items from the organisation's asset register.

See **PROPERTY MANAGEMENT - Leasing** for records relating to the termination of leases.

See **PROPERTY MANAGEMENT - Moving** for records relating to the relocation of business units to another premises.

16.8.1	Records relating to the disposal of property that is significant due to the fact that it is: <ul style="list-style-type: none"> • a recipient of a prestigious State, national or international architectural or design award • an important local or regional landmark, or • heritage listed. Records include: <ul style="list-style-type: none"> • assessments and investigations 	Required as State archives
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No.	Description of records	Disposal action
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PROPERTY MANAGEMENT - Disposal

	<ul style="list-style-type: none"> • valuation certificates • records of preparation undertaken before disposal • archival recordings of demolition • draft versions of contracts of sale containing significant changes/alterations • final, approved versions of contracts of sale. 	
16.8.2	<p>Records relating to the disposal of property that is not:</p> <ul style="list-style-type: none"> • a recipient of prestigious State, national or international architectural or design awards • an important local or regional landmark, or • heritage listed. <p>Records include:</p> <ul style="list-style-type: none"> • assessments and investigations • valuation certificates • records of preparation undertaken before disposal • draft versions of contracts of sale containing significant changes/alterations • final, approved versions of contracts of sale. 	<p>(A) For specialty contracts:</p> <p>Retain minimum of 12 years after disposal of property, then destroy</p> <p>(B) For standard contracts or agreements:</p> <p>Retain minimum of 7 years after disposal of property, then destroy</p>

16.9.0 Evaluation

The process of determining the suitability of potential or existing property in relation to meeting the needs of the given situation. Includes ongoing monitoring.

16.9.1	<p>Records relating to the evaluation of the suitability of potential property or the monitoring of existing property in relation to meeting the needs of the organisation's accommodation and business requirements, e.g. sourcing, appraising and evaluating potential accommodation, business cases, feasibility studies etc.</p>	<p>Retain minimum of 5 years after action completed, then destroy</p>
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Fit-outs

See **PROPERTY MANAGEMENT - Construction** for records relating to fit-outs.

See **PROPERTY MANAGEMENT - Installation** for records relating to the installation of service systems within the organisation's property, e.g. installation of heating, plumbing, air conditioning, security equipment, cabling, alarms etc, that do not involve structural changes.

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PROPERTY MANAGEMENT - Flora & fauna management

See **PROPERTY MANAGEMENT - Maintenance** for records relating to minor fit-outs, e.g. repairs, painting etc that do not involve structural changes.

16.10.0 Flora & fauna management

The management of native, protected or endangered flora and fauna and of farm and other animals in property or areas under the control of the organisation.

See the organisation's functional retention and disposal authority if the organisation has a primary functional responsibility for the oversight, recording and management of native, threatened or endangered flora and fauna or if the organisation has a primary functional responsibility for the conservation, breeding and display of animals.

16.10.1	<p>Records relating to the management of native flora or wildlife and flora reserves, and the relocation or disposal of protected flora and fauna from the organisation's property. Records include:</p> <ul style="list-style-type: none"> • summary records created to facilitate the management of animal species, e.g. animal species registers • animal surveys • plant species registers • plant surveys. <p>Note: With paper-based registers, retain minimum of 2 years after last entry in the register. With electronic registers, retain minimum of 2 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 2 years after action completed, then destroy
16.10.2	Records relating to the management of endangered species.	Retain minimum of 10 years after action completed, then destroy
16.10.3	Records relating to the management and care of farm or other animals.	Retain until administrative or reference use ceases, then destroy

Implementation

See **PROPERTY MANAGEMENT - Audit** for records relating to audits of property management processes and systems.

See **PROPERTY MANAGEMENT - Planning** for records relating to the development and review of plans, policies or procedures relating to the management of property.

See **PROPERTY MANAGEMENT - Policy** for records relating to the development and review of policies relating to the management of property.

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PROPERTY MANAGEMENT - Inspections

See **PROPERTY MANAGEMENT - Procedures** for records relating to the development and review of procedures relating to the management of property.

See **PROPERTY MANAGEMENT - Reporting** for records relating to reporting on property management practices.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of business continuity or counter disaster plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of business continuity or counter disaster plans by the organisation.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reporting on the effects of disasters.

16.11.0 Inspections

The process of official examinations of facilities to ensure compliance with agreed standards and objectives.

See the organisation's functional retention and disposal authority for records relating to inspections if a function of the organisation is to conduct property management inspections of other organisations.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to routine workplace inspections and inspections of hazardous substances in the workplace.

See **PROPERTY MANAGEMENT - Audit** for records relating to audits of property.

See **PROPERTY MANAGEMENT - Compliance** for records relating to the organisation's compliance with standards and requirements relating to the management of property.

See **PROPERTY MANAGEMENT - Conservation** for records relating to the remediation of contaminated sites.

See **PROPERTY MANAGEMENT - Construction** for records relating to inspections of construction undertaken.

See **PROPERTY MANAGEMENT - Leasing-out** for records relating to inspections undertaken as part of the leasing-out of accommodation, premises or real estate to another organisation or person.

See **PROPERTY MANAGEMENT - Maintenance** for records relating to maintenance inspections or the storage, removal and off-site disposal of toxic or hazardous substances.

16.11.1	Records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land.	Retain minimum of 75 years after action completed, then destroy OR if property is sold before this date, transfer to new owner as required
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PROPERTY MANAGEMENT - Installation

16.12.0 Installation

The activities involved in placing equipment in position and connecting and adjusting it for use.

See **PROPERTY MANAGEMENT - Construction** for records relation to installations undertaken as part of construction or renovation projects that involve structural changes.

See **TECHNOLOGY & TELECOMMUNICATIONS - Installation** for records relating to the routine installation of technology and telecommunications equipment.

16.12.1	Plans relating to the installation of service systems within the organisation's property, e.g. installation of heating, plumbing, air conditioning, security equipment, cabling, alarms etc, that do not involve structural changes.	Retain until installation is removed, then destroy OR retain until building or structure disposed of, then destroy or transfer to new owner as required
16.12.2	Records relating to the installation of service systems within the organisation's property, other than plans, that do not involve structural changes.	Retain minimum of 2 years after action completed, then destroy

16.13.0 Insurance

The process of taking out premiums to cover loss or damage to property or premises.

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

16.13.1	Records relating to property insurance policies including information provided for renewals and summary records created to facilitate the management of policies, e.g. insurance registers. Note: With paper-based registers, retain minimum of 7 years after expiry of the last policy listed in the register. With electronic registers, retain minimum of 7 years after expiry of the policy relating to an entry or after data has become obsolete, then destroy.	Retain minimum of 7 years after expiry of policy, then destroy
16.13.2	General insurance records. Records include: <ul style="list-style-type: none"> • routine correspondence such as notices of renewals, details of amounts of cover, advice on premiums payable • statistics. 	Retain minimum of 1 year after action completed, then destroy

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PROPERTY MANAGEMENT - Leasing

Inventory

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of property as a corporate asset.

See **PROPERTY MANAGEMENT - Acquisition** for summary records created to facilitate the management of property owned by the organisation, e.g. property registers.

See **PROPERTY MANAGEMENT - Insurance** for summary records created to facilitate the management of insurance policies.

See **PROPERTY MANAGEMENT - Leasing** for summary records created to facilitate the management of property leased by the organisation, e.g. lease registers.

16.14.0 Leasing

The activities involved in leasing accommodation, premises or real estate from another organisation.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions in the leasing process.

See **LEGAL SERVICES - Advice** for records relating to legal advice received regarding property leasing.

See **PROPERTY MANAGEMENT - Leasing-out** for records relating to leasing-out of accommodation, premises or real estate to another organisation or person.

See **PROPERTY MANAGEMENT - Maintenance** for records relating to repairs and maintenance of leased property.

16.14.1	Records relating to the leasing of property (where the organisation is the lessee). Records include: <ul style="list-style-type: none"> • correspondence and records of negotiations • signed leases • records of ongoing management of lease. 	Retain minimum of 7 years after lease expires or is terminated, then destroy
16.14.2	Summary records created to facilitate the management of leased property, e.g. lease registers. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 7 years after action completed, then destroy
16.14.3	Records relating to ongoing administrative matters associated with leasing arrangements e.g. routine liaison, correspondence, reports, notifications and advice to/from lessors, and to leasing arrangements not proceeded with.	Retain minimum of 2 years after action completed, then destroy

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PROPERTY MANAGEMENT - Leasing-out

16.15.0 Leasing-out

The activities involved in leasing-out accommodation, premises or real estate to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc. of both parties. Also includes subleasing.

See **PROPERTY MANAGEMENT - Leasing** for records relating to leasing accommodating, premises or real estate from another organisation.

16.15.3	Records relating to the long term leasing-out of land and property owned or managed by the organisation to another organisation or person, such as perpetual and 99 year leases. Records include correspondence and records of negotiations, signed leases, contracts or agreements, records of ongoing management of lease, etc.	Required as State archives
16.15.1	Records relating to the general leasing-out of property, facilities, land or open spaces owned or managed by the organisation. Includes leasing or licensing arrangements for the commercial or residential use of property, etc. Records include correspondence and records of negotiations, signed leases, contracts or agreements, records of ongoing management of the lease, etc.	Retain minimum of 7 years after expiry or termination of lease or agreement, then destroy
16.15.2	Records relating to administrative matters associated with leasing-out arrangements e.g. routine liaison, correspondence, reports, notifications and advice to/from lessees, and to leasing out arrangements not proceeded with.	Retain minimum of 2 years after action completed, then destroy
16.15.4	Records relating to the hire or use of the organisation's facilities or property for events such as conferences, lectures, filming, private functions, etc. Records include booking details, arrangements and associated documentation relating to the usage and hire of properties, grounds and facilities by others.	Retain minimum of 2 years after action completed, then destroy

16.16.0 Maintenance

The activities associated with the upkeep, repair and preservation of internal/external conditions of premises. Includes managing waste and the offsite disposal of waste products.

See **CONTRACTING-OUT** for records relating to the contracting-out or outsourcing of maintenance and maintenance service contracts.

See **EQUIPMENT & STORES - Maintenance** for records relating to the maintenance of plant and equipment.

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PROPERTY MANAGEMENT - Maintenance

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to the licensing or registration process for maintenance and storage of substances.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to routine inspections of hazardous materials in buildings.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the monitoring of atmospheric contaminants.

See **PROPERTY MANAGEMENT - Conservation** for records relating to ongoing conservation maintenance undertaken on properties of heritage significance.

See **PROPERTY MANAGEMENT - Inspections** for records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land.

16.16.1	Records relating to major maintenance work carried out during the lifetime of a building, e.g. sometimes referred to as the maintenance history of a building. Records include: <ul style="list-style-type: none"> • plans of major maintenance work undertaken • records of outcomes of consultations • requests for quotes (when not part of contracting-out or tendering arrangements) • final, approved agreements • warranties. 	Retain until property is disposed of, then destroy or transfer to new owner as required
16.16.2	Records relating to accidents or damage occurring to premises. Records include: <ul style="list-style-type: none"> • reports of accidents or damage • maintenance work undertaken. 	Retain minimum of 7 years after action completed, then destroy
16.16.3	Records relating to routine maintenance of property, not involving structural changes. Includes cleaning, painting, grounds maintenance, electrical and air-conditioning maintenance, minor modifications for disabled access, pest control etc. Excludes maintenance/service contracts.	Retain minimum of 2 years after action completed, then destroy
16.16.4	Records relating to the maintenance of cooling water systems. Records include: <ul style="list-style-type: none"> • operating and maintenance manuals for cooling towers • test results • service log sheets. 	Retain minimum of 7 years after action completed, then destroy

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<i>PROPERTY MANAGEMENT - Maintenance</i>		
16.16.5	Records relating to the monitoring of building management systems or energy management systems to ensure they are operating effectively.	Retain minimum of 3 years after action completed, then destroy
16.16.6	Records relating to the removal, storage and disposal of toxic or hazardous substances where risk assessments indicate that the severity of the risk to humans is high, e.g. asbestos, radioactive waste, some pesticides etc. Note: In some circumstances it may be appropriate for organisations to keep these records for longer periods.	Retain minimum of 75 years after action completed, then destroy
16.16.7	Records relating to the removal, storage and disposal of toxic or hazardous substances where risk assessments indicate that the severity of the risk to humans is low, e.g. petrol, gas, some chemicals etc.	Retain minimum of 30 years after action completed, then destroy
16.16.8	Records relating to the removal, storage and disposal of non-toxic, non-hazardous substances.	Retain minimum of 1 year after action completed, then destroy

Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use PROPERTY MANAGEMENT – CONSTRUCTION for records relating to meetings regarding construction of property, e.g. use PROPERTY MANAGEMENT – PLANNING for records relating to meetings regarding planning for property management.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, taskforces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

16.17.0 Moving

The process of relocating a business unit to another premises.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the payment of money, e.g. payments to removalists etc.

See **PROPERTY MANAGEMENT - Planning** for records relating to facility planning.

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PROPERTY MANAGEMENT - Moving

See **TENDERING** for records relating to receiving and assessing tenders.

16.17.1	Records relating to the moving of business operations. Records include: <ul style="list-style-type: none"> • inventories • records of costings • records of arrangements with removalists. 	Retain minimum of 2 years after action completed, then destroy
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16.18.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning and other high level plans and strategies including those that cross a number of functions, e.g. total asset management plans or heritage asset management plans.

16.18.1	Final, approved versions of conservation management plans and related records documenting major conservation or restoration work carried out on heritage properties or items, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Required as State archives
16.18.2	Final, approved versions of plans to support the management of property, e.g. facility and usage plans, plans for disabled access, energy management plans, environment management plans and waste reduction and purchasing plans, and associated correspondence indicating who the plans apply to and responsibilities for their implementation. Excludes conservation management plans.	Retain minimum of 5 years after plan is superseded, then destroy
16.18.3	Records relating to the development and review of conservation management plans and plans to support the management of property, e.g. facility and usage plans, plans for disabled access, energy management plans, environment management plans and waste reduction and purchasing plans. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings and reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

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PROPERTY MANAGEMENT - Policy

16.19.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **PROPERTY MANAGEMENT - Compliance** for records relating to organisational compliance with standards and requirements regarding the management of property.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

16.19.1	<p>Final, approved versions of the organisation's policies relating to the management of facilities or property, e.g. security policies, energy management policies, environment management policies, waste management and recycling policies, leasing and hiring policies etc, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.</p> <p>Note: There may be some policies relating to the acquisition or disposal of property that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.</p>	Retain minimum of 5 years after policy is superseded, then destroy
16.19.2	<p>Records relating to the development and review of the organisation's policies relating to the management of facilities or property, e.g. security policies, energy management policies, environment management policies, waste management and recycling policies, leasing and hiring policies etc. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations or meetings • draft versions of policies containing significant changes/alterations or formally circulated for comment 	Retain minimum of 3 years after action completed, then destroy

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PROPERTY MANAGEMENT - Procedures

	<ul style="list-style-type: none"> • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	
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16.20.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

16.20.1	<p>Final, approved versions of manuals, handbooks, directives etc detailing procedures relating to the management of facilities or property, e.g. security procedures, energy management procedures, environment management procedures, waste management and recycling procedures etc, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.</p> <p>Note: There may be some procedures relating to the acquisition or disposal of property that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.</p>	Retain minimum of 5 years after procedures are superseded, then destroy
16.20.2	<p>Records relating to the development and review of procedures relating to the management of facilities or property, e.g. security procedures, energy management procedures, environment management procedures, waste management and recycling procedures etc. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

16.21.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

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PROPERTY MANAGEMENT - Reporting

16.21.1	Final, approved versions of reports regarding heritage property that contain detailed recommendations and initiatives concerning heritage issues, e.g. condition treatment reports, conservation reports.	Required as State archives
16.21.2	Final, approved versions of significant reports regarding the management of property owned or occupied by the organisation unrelated to heritage issues, e.g. reports on security, environment management, reporting against waste reduction and purchasing plans etc.	Retain minimum of 7 years after action completed, then destroy
16.21.3	Final, approved versions of periodic internal reports on general administrative matters used to monitor and document recurring activities relating to the management of the organisation's properties, e.g. condition reports, monthly reports, returns etc.	Retain minimum of 3 years after action completed, then destroy
16.21.4	Records relating to the development and review of all reports on the organisation's property. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 3 years after action completed, then destroy

16.22.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **PROPERTY MANAGEMENT - Planning** for records relating to the review of plans, policies or procedures.

See **PROPERTY MANAGEMENT - Policy** for records relating to the review of policies.

See **PROPERTY MANAGEMENT - Procedures** for records relating to the review of procedures.

16.22.1	Records relating to internal or external reviews of property management processes, programs and services, e.g. accommodation reviews, space and accommodation assessments. Records include: <ul style="list-style-type: none"> • documents establishing the review • background research 	Retain minimum of 5 years after action completed, then destroy
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PROPERTY MANAGEMENT - Risk management

	<ul style="list-style-type: none"> draft versions of review reports containing significant changes/alterations or formally circulated for comment final, approved versions of reports project or action plans. 	
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16.23.0 Risk management

The process involving the identification of risks, and the implementation of appropriate practices and procedures which will reduce wastage and the impact of economic loss arising from an incident.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment of occupational health and safety risks.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic business continuity/counter disaster planning for the organisation.

See **STRATEGIC MANAGEMENT - Risk management** for records relating to the identification and assessment of risks to property as part of broader strategic risk management processes.

16.23.1	<p>Records relating to the identification and assessment of risks associated with the management of facilities or property and associated facilities or services, e.g. risk assessment reports for water cooling systems. Records include:</p> <ul style="list-style-type: none"> risk assessments treatment schedules action plans risk registers. <p>Note: 'Action completed' may be after the next risk assessment.</p>	Retain minimum of 7 years after action completed, then destroy
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16.24.0 Security

The activities associated with measures taken to protect premises from accidental or intentional damage or from unauthorised access. Includes managing breaches of security.

See **CONTRACTING-OUT** for records relating to the contracting-out or outsourcing of security activities.

See **EQUIPMENT & STORES - Security** for records relating the security of equipment and stores.

See **PERSONNEL - Misconduct** for records relating to disciplinary action taken against employees for security breaches.

See **PROPERTY MANAGEMENT - Planning** for records relating to security plans, policies or procedures.

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PROPERTY MANAGEMENT - Security

See **PROPERTY MANAGEMENT - Policy** for records relating to security policies.

See **PROPERTY MANAGEMENT - Procedures** for records relating to security procedures.

See **TECHNOLOGY & TELECOMMUNICATIONS - Security** for records relating to the security of technology and telecommunications equipment.

See **TENDERING** for records relating to tendering for the provision of security services.

16.24.1	<p>Records relating to security breaches or incidents where it is strongly suspected or proven that sabotage was intended. May include cases of:</p> <ul style="list-style-type: none"> • unauthorised access or entry/trespass to buildings or restricted areas • acts of terrorism • intentional, major damage resulting in death or serious injury • bomb threats where it is established that the threat was real • fires • armed hold ups. <p>Records include:</p> <ul style="list-style-type: none"> • reports of breaches or incidents • records of investigations • records of liaison with law enforcement agencies. 	Required as State archives
16.24.2	<p>Records relating to security breaches or incidents where charges are laid or damage or injury has occurred, but where sabotage is not strongly suspected or proven. May include cases of:</p> <ul style="list-style-type: none"> • unauthorised access or entry/trespass to building or restricted areas • intentional, major damage • bomb threats where it is established that the threat was real • fires • armed hold ups. <p>Records include:</p> <ul style="list-style-type: none"> • reports of breaches or incidents • records of investigations 	Retain minimum of 15 years after action completed, then destroy

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PROPERTY MANAGEMENT - Security

	<ul style="list-style-type: none"> • records of liaison with law enforcement agencies. 	
16.24.3	<p>Records relating to minor security breaches or incidents, e.g. where charges are not laid or significant damage has not occurred, and where sabotage is not strongly suspected or proven. May include cases of:</p> <ul style="list-style-type: none"> • unauthorised access or entry/trespass to buildings, e.g. unintentional • minor damage. <p>Records include:</p> <ul style="list-style-type: none"> • reports of breaches or incidents • records of investigations. 	Retain minimum of 7 years after action completed, then destroy
16.24.4	<p>Records relating to property guarding, surveillance and patrol operations. Records include:</p> <ul style="list-style-type: none"> • rosters • security reports. <p>Note: Some of these records may be relevant to an investigation into a security breach, in which case they should be retained for the same period as breach records.</p>	Retain minimum of 2 years after action completed, then destroy
16.24.5	<p>Records relating to property access controls to secure areas. Records include:</p> <ul style="list-style-type: none"> • access registers (e.g. visitors books, sign in sheets) • keys registers • security data logs • records of issue of security passes to visitors • reports on responses to alarm warnings. <p>Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 7 years after action completed, then destroy
16.24.6	Records relating to combinations for building locks.	Retain until combination changes, then destroy
16.24.7	Routine visual surveillance and monitoring records (e.g. closed circuit television (CCTV) footage) which	Retain until administrative or reference use

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No.	Description of records	Disposal action
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PROPERTY MANAGEMENT - Reporting

	<p>are not required for evidentiary, regulatory or other operational purposes.</p> <p>Note: This class excludes:</p> <ul style="list-style-type: none"> • surveillance footage required as part of a criminal or specific investigation or court proceeding • surveillance footage created or maintained by a public office where the provision of security or crime prevention and investigation is linked to core functions eg police, youth detention and offender management.⁷ 	<p>ceases, then destroy.</p> <p>Note: Where the recordings become part of another record, such as an investigation, dispose of in accordance with requirements for that class of records.</p>
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Standards

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies, key direction statements and initiatives.

See **STRATEGIC MANAGEMENT - Standards** for records relating to the development and implementation of standards or benchmarks that provide a framework for the conduct of the organisation's operations or assessment of its performance.

Submissions

See **PROPERTY MANAGEMENT - Conservation** for records relating to submissions to the Heritage Council seeking approvals for changes to heritage places or for excavating land where Aboriginal relics might be disturbed.

See **PROPERTY MANAGEMENT - Construction** for records relating to submissions for construction.

Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

16.25.0 Traffic management

The management of parking and traffic.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to payment of fines etc.

See **COMPENSATION - Claims** for records relating to traffic incidents involving injury or damage to property.

16.25.1	Records relating to the management and planning of parking and traffic control.	Retain minimum of 5 years after action completed, then destroy
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⁷ Entry added July 2021 when GDA8 revoked.

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No.	Description of records	Disposal action
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PROPERTY MANAGEMENT - Reporting

16.25.2	Records of parking permits, including special parking arrangements and special or temporary parking zones. Records include applications and determinations, copies of permits, renewals, permit numbers and associated correspondence. Includes unsuccessful applications.	Retain until expiry or termination of permit or 1 year after action completed.
16.25.3	Records relating to fines and penalties for parking and other traffic offences.	Retain minimum of 2 years after action completed, then destroy

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No.	Description of records	Disposal action
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PROPERTY MANAGEMENT - Reporting

17.0.0 PUBLICATION

The function of having works, irrespective of format, issued for sale or general distribution internally or to the public. Includes drafting of internal publications, manual or electronic production (design, layout, typesetting, printing, web publishing etc) and the marketing and supply of internal and external publications and promotional materials by the organisation. Publications include multi-media publications, CD ROM and online information services.

Notes:

- Reference to 'websites' in this function includes intranet and extranet resources as well as public websites on the World Wide Web, unless otherwise specified.
- Aspects of some NSW Government websites are captured as part of the National Library of Australia's PANDORA project in accordance with the collecting policy of that project (see <http://pandora.nla.gov.au/selectionguidelinesallpartners.html>). State Archives and Records NSW is not seeking to duplicate the NLA's collecting initiatives nor to duplicate the resources required to undertake that initiative.
- Where an organisation has very high risk functions, full or partial 'snapshots' of their websites may be necessary for accountability purposes. The frequency of these should be determined by an analysis of business needs. The level of risk and public exposure, the extent to which external stakeholders are reliant on the accuracy of the information, and how often the information changes are factors for consideration. The disposal of any snapshots should be covered in the organisation's functional retention and disposal authority.
- Organisations whose websites are outsourced to another organisation still have responsibility for retaining records of the web resources and may need to build this into contracts.

See the organisation's functional retention and disposal authority for background research, substantive drafts and final versions of publications relating to core functions of the organisation, including publications produced in electronic format on the organisation's website. Includes published papers, reports, training materials, posters, catalogues and brochures regarding core functions of the organisation or standards, codes of practice or regulatory instruments produced or published by the organisation as part of its functional responsibilities.

See the organisation's functional retention and disposal authority for records relating to publication if publication or promotion is a functional responsibility of the organisation, e.g. Tourism NSW with respect to promoting NSW as a travel destination.

See the relevant function/activity in general or functional retention and disposal authorities for records relating to drafting and final versions of organisational plans, policies and procedures, e.g. use FLEET MANAGEMENT – POLICY for records relating to the development and review of fleet management policies, e.g. use OCCUPATIONAL HEALTH & SAFETY – POLICY for records relating to the development and review of occupational health and safety policies.

See **COMMUNITY RELATIONS - Marketing** for records relating to background research, drafts and final, approved versions of publications designed to promote or publicise aspects of the organisation's activities, e.g. posters, brochures, leaflets and promotional histories, or general promotional or explanatory information about the organisation and its services in pages on its website.

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No.	Description of records	Disposal action
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PUBLICATION - Agreements

See **GOVERNMENT RELATIONS - Reporting** for records relating to the development and final, approved versions of reports to government, e.g. annual reports.

See **INFORMATION MANAGEMENT** for records relating to the management of library collections.

See **PUBLICATION - Production** for records relating to record copies of pages from the organisation's website, site maps and web forms, and to production aspects of all publications (design, layout, typesetting, printing, web publishing etc).

See **STRATEGIC MANAGEMENT - Planning** for records relating to the drafting and final, approved versions of strategic, corporate and business plans.

See **TECHNOLOGY & TELECOMMUNICATIONS** for records relating to the technical design and management of databases and data for the Internet or Intranet.

See General Retention and Disposal Authority *General retention and disposal authority: Audio visual programs and recordings* for audio recordings, films and videos produced by or for the organisation.

17.1.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **STRATEGIC MANAGEMENT - Agreements** for records relating to intellectual property agreements.

See **TENDERING** for records relating to receiving and assessing tenders.

17.1.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements regarding the production, marketing, supply or distribution of published materials, e.g. distribution agreements, agreements regarding joint publishing ventures etc. Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings with stakeholders • drafts containing significant changes/alterations or formally circulated for comment • final versions of authorised agreements • reviews of agreements. 	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy
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17.2.0 Authorisation

The process of seeking and granting permission to undertake a requested action.

17.2.1	Records relating to authorisations given by individuals to the organisation granting permission to take and	Retain minimum of 15 years after use
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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PUBLICATION - Compliance

	use images of individuals in publications, on websites and intranets.	of the image for publication purposes or until disposal of image, then destroy
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

17.3.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

Note: For an explanation of government requirements for access to published information including deposit requirements refer to *Premier's Memorandum 2000-15*.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to measure the compliance of other organisations with regulations, policies, standards etc relating to published materials or information.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for infringements of intellectual property rights.

17.3.1	<p>Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements for the management or the publication of materials. Records include:</p> <ul style="list-style-type: none"> • records of lodgements of organisation publications under copyright legislation • records of allocation of ISBN/ISSN numbers, and URL addresses • records of use of official symbols • records of Internet domain names. <p>Note: The retention period provided is a guideline only. Any records providing evidence of organisational compliance with statutory or operational requirements must be kept as long as the organisation has to account for its actions.</p>	Retain minimum of 6 years after action completed, then destroy
17.3.2	Records relating to breaches or failures to meet compliance requirements regarding the management of published materials.	Retain minimum of 2 years after action completed, then destroy

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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PUBLICATION - Corporate style

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

17.4.0 Corporate style

The activity of compiling and administering guidelines on the consistency in written style, graphic design etc within the organisation's documents. Includes designing logos, letterhead, stationery, publications etc that incorporate the corporate image of the organisation.

See **COMMUNITY RELATIONS - Agreements** for records relating to agreements to make use of another organisation's logo.

See **STRATEGIC MANAGEMENT - Intellectual property** for records relating to the registration of logos.

17.4.1	Records relating to the development of the organisation's corporate style. Includes guidelines relating to corporate style, such as style manuals compiled by the organisation and records relating to the development and approval of designs for letterheads, logos, stationery, templates and publications incorporating the corporate style of the organisation.	Retain until superseded, then destroy
17.4.2	Records relating to rejected designs for letterheads, logos, stationery, templates and publications incorporating the corporate style of the organisation.	Retain until administrative or reference use ceases, then destroy

17.5.0 Distribution

The activities associated with disseminating items, correspondence or publications through sales, deliveries or other customer services.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to invoices, purchase orders etc for the sale of publications.

See **PUBLICATION - Agreements** for records relating to distribution agreements.

17.5.1	Records relating to the distribution and dissemination of the organisation's publications. Records include: <ul style="list-style-type: none"> • records of the receipt and management of orders other than purchase orders • records of to whom publications were distributed or supplied. 	Retain until administrative or reference use ceases, then destroy
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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PUBLICATION - Drafting

17.6.0 Drafting

The activities associated with preparing preliminary drafts or outlines of publications prior to production.

Note: Some drafts, such as proof-reading drafts checking for spelling, grammar etc prior to publication can be disposed of under normal administrative practice (NAP). See State Archives and Records NSW guidance on *Normal Administrative Practice*.

See the organisation's functional retention and disposal authority for records relating to substantive drafts and final versions of publications relating to its core business, e.g. reports, technical papers, issues papers etc.

See the relevant function/activity for records relating to the drafting of plans, policies or procedures, e.g. use OCCUPATIONAL HEALTH & SAFETY – PROCEDURES for records relating to the drafting of occupational health and safety procedures, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – POLICY for records relating to the drafting of technology and telecommunications policy.

See **COMMUNITY RELATIONS - Marketing** for records relating to substantive drafts and final versions of publications designed to promote or publicise aspects of the organisation's activities, e.g. posters, brochures, leaflets, published histories.

See **PUBLICATION - Production** for records relating to the design, layout, printing, web publishing etc of publications and for final versions of internally directed publications.

See **STRATEGIC MANAGEMENT - Legislation** for records relating to the drafting of legislation.

17.6.1	Records relating to the drafting of internally directed publications for staff information purposes, other than plans, policies, procedures or reports, e.g. employee newsletters.	Retain until administrative or reference use ceases, then destroy
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17.7.0 Enquiries

The activities associated with the handling of requests for information about the organisation's publications by the general public or another organisation.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to purchase orders for published materials.

See **INFORMATION MANAGEMENT - Cases** for records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI) or privacy.

See **INFORMATION MANAGEMENT - Distribution** for records relating to the distribution of information resources.

See **INFORMATION MANAGEMENT - Enquiries** for records relating to enquiries concerning library services provided by the organisation.

See **PUBLICATION - Intellectual property** for records relating to enquiries/requests for permission for use of copyright materials.

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No.	Description of records	Disposal action
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PUBLICATION - Enquiries

17.7.1	Records relating to routine enquiries regarding the purchase, availability of or access to the organisation's publications.	Retain until administrative or reference use ceases, then destroy
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17.8.0 Evaluation

The process of determining the suitability of potential or existing publication programs, services or systems or products. Includes ongoing monitoring.

See **PUBLICATION - Reviewing** for records relating to the review of publication programs and services, or methods, tools and formats.

See **STRATEGIC MANAGEMENT - Evaluation** for records relating to the evaluation of potential and existing programs and systems that cross functions or relate to the strategic management of the organisation.

17.8.1	Records relating to the evaluation or monitoring of potential or existing publication programs, services or systems or methods, tools and formats for the production and distribution of published materials.	Retain minimum of 5 years after action completed, then destroy
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17.9.0 Intellectual property

The activities involved in managing the organisation's intellectual property, including the management of copyright and royalties for the reproduction of published materials.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the payment of money.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by internal and external legal providers on intellectual property issues.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of intellectual property rights.

See **STRATEGIC MANAGEMENT - Agreements** for records relating to intellectual property agreements.

See **STRATEGIC MANAGEMENT - Compliance** for records relating to infringements of intellectual property.

See **STRATEGIC MANAGEMENT - Intellectual property** for records relating to the establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.

17.9.1	Records relating to managing applications: <ul style="list-style-type: none"> • received by the organisation for permission to reproduce published or unpublished material in which the organisation retains copyright, or 	Retain minimum of 7 years after action completed or minimum of 7 years after permission
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No.	Description of records	Disposal action
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PUBLICATION - Intellectual property

	<ul style="list-style-type: none"> made by the organisation to reproduce material in which another party holds the copyright, where permission has been granted. <p>Note: Some organisations may find it beneficial to retain a full history of applications as long as copyright is held to assist with processing new requests or monitoring the use of copyrighted materials.</p>	expires, whichever is longer, then destroy
17.9.2	Records relating to managing applications made by the organisation to reproduce material in which another party holds the copyright, where permission has not been granted.	Retain until administrative or reference use ceases, then destroy

17.10.0 Joint ventures

The activities involved in managing joint operations, collaboration or co-research between the organisation and community groups where there is a contract, joint contribution of funds and/or time.

See relevant entries in general and functional retention and disposal authorities for records relating to the work or products generated by joint venture arrangements.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions regarding the sale of organisation publications.

See **PUBLICATION - Agreements** for records relating to joint venture agreements which do not involve contracting-out or tendering.

See **STRATEGIC MANAGEMENT - Joint ventures** for records relating to the establishment and monitoring of strategic alliances that relate to the core functions of the organisation or other strategic joint venture arrangements.

See **TENDERING** for records relating to receiving and assessing tenders.

17.10.1	Records relating to the establishment and monitoring of joint ventures undertaken with other organisations (government or non-government) for the purposes of researching, drafting or producing publications. Includes negotiations for joint ventures that do not proceed. Records include: <ul style="list-style-type: none"> correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants monitoring of arrangements reporting on arrangements. 	Retain minimum of 5 years after action completed, then destroy
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No.	Description of records	Disposal action
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PUBLICATION - Marketing

	<p>Note: If the joint venture involves contracts or agreements, retain in accordance with retention period specified in PUBLICATION - AGREEMENTS.</p>	
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17.11.0 Marketing

The process of analysing, creating and selling publications. Includes market research, sales forecasting, advertising, promotion, pricing and product evaluation.

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to functions organised to launch publications.

See **COMMUNITY RELATIONS - Marketing** for records relating to the organisation's advertisements featured in publications produced by other organisations.

See **COMMUNITY RELATIONS - Media relations** for records relating to media releases issued by the organisation.

17.11.1	<p>Records relating to the marketing and promotion of organisational publications. Records include:</p> <ul style="list-style-type: none"> • records of marketing plans • records of market research and assessment of products against market trends • records of sales forecasting • pricing records • records of liaison with retailers • records of arrangements for and placement of advertising • copies of advertisements. 	<p>Retain minimum of 2 years after action completed, then destroy</p>
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Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use PUBLICATION – MARKETING for records relating to meetings to discuss marketing campaigns, e.g. use PUBLICATION – PLANNING for records relating to meetings held to plan publications or publication programs, e.g. use PUBLICATION – PRODUCTION for records relating to meetings held in order to discuss the progress of the production of publications.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

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PUBLICATION - Planning

17.12.0 Planning

The process of formulating ways in which organisational objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **PUBLICATION - Marketing** for records relating to marketing plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning.

17.12.1	Final, approved versions of plans for the coordination of publication programs and services, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 3 years after plan is superseded, then destroy
17.12.2	Records relating to the development and review of the organisation's plans for the coordination of publication programs and services. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain until administrative or reference use ceases, then destroy

17.13.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development OR review of government-wide policies developed by central coordinating agencies.

See **PUBLICATION - Corporate style** for guidelines relating to corporate style, such as style manuals compiled by the organisation.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

17.13.1	Final, approved versions of policies concerning the issue, sale, distribution, production, marketing or supply of publications, and associated correspondence	Retain minimum of 3 years after policy
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PUBLICATION - Policy

	indicating who the policies apply to and responsibilities for their implementation.	is superseded, then destroy
17.13.2	Records relating to the development and review of the organisation's policies concerning the issue, sale, distribution, production, marketing or supply of publications. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain until administrative or reference use ceases, then destroy

17.14.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **PUBLICATION - Corporate style** for guidelines relating to corporate style, such as style manuals compiled by the organisation.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

17.14.1	Final, approved versions of the organisation's manuals, handbooks, directives etc detailing publication procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.	Retain minimum of 3 years after procedures are superseded, then destroy
17.14.2	Records relating to the development and review of the organisation's publication procedures. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain until administrative or reference use ceases, then destroy

17.15.0 Production

The process involved in producing material into an end result or output, e.g. a product or publication. Includes design, layout, typesetting, desktop and web publishing, printing, binding etc.

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PUBLICATION - Production

17.15.1	Record copies, i.e. copies saved into a recordkeeping system, of pages from the organisation's website relating to the organisation's core business, and records of substantial changes made.	Retain in accordance with disposal actions given under the relevant functions in current general and functional retention and disposal authorities
17.15.2	Superseded see 17.15.9	
17.15.3	Records of business transacted on websites. Records include completed and submitted online forms such as requests for services, feedback forms, customer surveys and emails or database entries resulting from data entry by the customer.	Retain in accordance with disposal actions given under the relevant functions in current general and functional retention and disposal authorities
17.15.4	Final, approved versions of forms, e.g. forms for business transacted either manually or on websites. Note: In some circumstances longer retention may be required, e.g. where the content of the forms may be significant for accountability and evidential purposes such as where the form documents applicable terms, conditions, disclaimers, etc., not otherwise documented.	Retain until superseded, then destroy
17.15.5	Records relating to the development and review of forms, e.g. forms for business transacted either manually or on websites.	Retain until administrative or reference use ceases, then destroy
17.15.6	Final, approved versions of internally directed publications for staff information purposes, e.g. employee newsletters.	Retain until administrative or reference use ceases, then destroy
17.15.7	Translations of the organisation's publications into other languages.	Retain until superseded, updated or ceases to be of administrative or

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PUBLICATION - Production

	<p>Note: Includes subtitled or community language videos and recordings⁸</p>	reference use, then destroy
17.15.8	<p>Records relating to the preparation of materials and drafts for publication, including technical specifications. For paper publications, records include:</p> <ul style="list-style-type: none"> • records of graphic design • records of indexing • records of printing/binding. <p>For electronic publications records include:</p> <ul style="list-style-type: none"> • records of graphic design • records of preparation of source files • records of loading to the website • records of quality assurance and testing of HTML files • records of production of electronic media (e.g. CD-ROMs, disks) • records of updating and maintaining information and websites. <p>Note: For videos and recordings:</p> <ul style="list-style-type: none"> • working dubs, cutting copies, rough cuts, dialogue mixes, work prints or extra copies of any production components • edit decision lists⁹ 	Retain until administrative or reference use ceases, then destroy
17.15.9	Records that demonstrate the structure and organisation of public and internal websites (e.g. intranets) and records of substantial changes made, e.g. site maps.	Retain until superseded, or administrative or reference use ceases, then destroy

17.16.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **GOVERNMENT RELATIONS - Reporting** for records relating to the drafting, submission and final, approved versions of formal reports to government relating to the organisation's core functions, e.g. annual reports or substantial ad hoc reports.

⁸ Note added July 2021 when GDA11 superseded

⁹ Note added July 2021 when GDA11 superseded

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PUBLICATION - Reporting

See **PUBLICATION - Production** for records relating to the preparation of reports for publication, e.g. records of graphic design, records of printing/binding, records of loading to the website etc.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reports on strategic issues.

See **TECHNOLOGY & TELECOMMUNICATIONS - Reporting** for records relating to statistical reports on use of web publications.

17.16.1	Records relating to formal reports regarding publication programs and services, methods, tools and formats. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 5 years after action completed, then destroy
17.16.2	Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities to support publication programs and services, methods, tools and formats. Records include: <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

Research

See the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation.

See the relevant function/activity for records relating to research undertaken when developing particular products, e.g. use **PUBLICATION – EVALUATION** for records relating to research into potential publication methods, tools or formats, e.g. use **PUBLICATION – PLANNING**, **PUBLICATION – POLICY** or **PUBLICATION – PROCEDURES** for records relating to research for the development or review of plans, policies or procedures, e.g. use **PUBLICATION – REPORTING** for records relating to background research for preparing reports.

See **PUBLICATION - Marketing** for records relating to market research.

17.17.0 Reviewing

The activities involved in re-evaluating or re-examining programs and services. Records include recommendations and advice resulting from these activities.

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No.	Description of records	Disposal action
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PUBLICATION - Reviewing

See **PUBLICATION - Evaluation** for records relating to the evaluation or monitoring of potential or existing publication programs, services or systems, or methods, tools and formats for the production and distribution of published materials.

See **PUBLICATION - Planning** for records relating to the review of plans.

See **PUBLICATION - Policy** for records relating to the review of policies.

See **PUBLICATION - Procedures** for records relating to the review of procedures.

See **STRATEGIC MANAGEMENT - Reviewing** for records relating to the review of strategic programs and services.

17.17.1	<p>Records relating to the review of publication programs and services or methods, tools and formats. Records include:</p> <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • project or action plans. 	Retain minimum of 5 years after action completed, then destroy
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17.18.0 Stocktake

The activities associated with the examination, counting and valuing of publications in the organisation with a view to assessing the need for replacing them, and identifying missing items and determining the condition of the existing items.

17.18.1	Records relating to stocktakes of the organisation's publications. Includes examining, counting and valuing publications.	Retain until administrative or reference use ceases, then destroy
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Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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STAFF DEVELOPMENT - Acquisition

18.0.0 STAFF DEVELOPMENT

The function of encouraging staff to develop their skills and abilities (through activities, programs and events) to maximise their potential and increase their productivity. Includes identifying and implementing all aspects of training needs and programs (internal and external) available to employees.

See the organisation's functional retention and disposal authority for records relating to training offered by the organisation to external clients.

See the organisation's functional retention and disposal authority for records relating to the provision of organisation-specific training that results in a qualification the employee is required to possess in order to perform their duties, e.g. training of fire personnel and police officers, or for records relating to the management and operation of Registered Training Organisations (RTOs).

See **PERSONNEL - Representatives** for records relating to the nomination of staff members for staff development programs (e.g. Spokeswomen's program, internal programs).

18.1.0 Acquisition

The process of gaining ownership or use of goods and services required for the conduct of business through purchase or requisition.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting acquisitions.

See **TENDERING** for records relating to receiving and assessing tenders.

18.1.1	Records relating to the acquisition of goods and services, e.g. training packages and training consultants, where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.	Retain minimum of 7 years after action completed, then destroy
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18.2.0 Addresses

The activity of giving addresses for staff development purposes. Includes speeches and multi-media presentations.

See the organisation's functional retention and disposal authority for records relating to addresses presented as part of the core functions of the public office.

See **COMMUNITY RELATIONS - Addresses** for records relating to addresses made by employees for professional, community relations or sales purposes.

See **COMMUNITY RELATIONS - Conferences** for records relating to addresses given at conferences and for conference proceedings.

See **GOVERNMENT RELATIONS - Addresses** for records relating to addresses to government audiences or on government occasions.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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STAFF DEVELOPMENT - Addresses

See **PUBLICATION - Production** for records relating to the preparation of addresses for publication.

See **STAFF DEVELOPMENT - Conferences** for records relating to addresses presented at staff conferences.

See **STAFF DEVELOPMENT - Training** for records relating to specific training arranged for staff development, e.g. occupational health and safety training.

18.2.1	<p>Records relating to addresses, speeches or papers presented for staff development purposes, including those delivered by internal employees and external service providers. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of addresses containing significant changes/alterations or formally circulated for comment • final, approved versions • voice recordings. 	Retain minimum of 2 years after action completed, then destroy
18.2.2	<p>Records relating to administrative arrangements for addresses, speeches or papers. Records include:</p> <ul style="list-style-type: none"> • invitations and acceptances • catering arrangements • venue bookings • accommodation and transport arrangements • related correspondence. 	Retain until administrative or reference use ceases, then destroy

Allowances

See **FINANCIAL MANAGEMENT - Salaries** for records relating to the payment of staff development allowances.

Arrangements

See **STAFF DEVELOPMENT - Addresses** for records relating to administrative arrangements for addresses.

See **STAFF DEVELOPMENT - Conferences** for records relating to administrative arrangements for conferences or seminars arranged by the organisation or attended by employees for staff development purposes.

See **STAFF DEVELOPMENT - Training** for records relating to administrative arrangements for conducting training courses.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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STAFF DEVELOPMENT - Audit

18.3.0 Audit

The activities associated with officially assessing and evaluating the organisation's skill levels against requirements to assess staff development needs. Includes skills analyses, audits and training needs analyses.

See the organisation's functional retention and disposal authority if one of the functions of the organisation is to audit other organisations regarding staff development.

See **PERSONNEL - Performance management** for records relating to the identification of training and development needs of individuals.

See **STRATEGIC MANAGEMENT - Audit** for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.

18.3.1	Final, approved versions of audit reports relating to staff development or training programs. Includes reports of outcomes of skills analyses, audits and broad training needs analyses.	Retain minimum of 6 years after action completed, then destroy
18.3.2	Records relating to the planning and conduct of audits relating to staff development or training programs. Records include: <ul style="list-style-type: none">• records of audit planning or liaison with auditing body• minutes or notes of meetings• notes taken at interviews• correspondence• draft versions of reports containing significant changes/alterations or formally circulated for comment• records of remedial action.	Retain minimum of 2 years after action completed, then destroy

Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

Compliance

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with policies, standards etc.

See **STAFF DEVELOPMENT - Training** for records relating to compliance with occupational health and safety training requirements.

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Dates of coverage: 1940+

No.	Description of records	Disposal action
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STAFF DEVELOPMENT - Conferences

18.4.0 Conferences

The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity and reports of participants etc.

See **COMMUNITY RELATIONS - Conferences** for records relating to conferences or seminars arranged for the general public, government organisations or external stakeholders/clients of the organisation and addresses delivered by employees at external conferences or seminars.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting conference activities.

See **PERSONNEL - Authorisation** for records relating to approvals and authorisations for travel and travel arrangements for employees to attend conferences.

See **PUBLICATION - Production** for records relating to the preparation of conference materials for publication, e.g. graphic design, printing, binding etc.

18.4.1	Final, approved versions of unpublished proceedings, reports and addresses from conferences, seminars or forums arranged by the organisation for staff development, skills or professional development purposes.	Retain minimum of 5 years after action completed, then destroy
18.4.2	Records relating to administrative arrangements for conferences, seminars or forums arranged by the organisation for staff development purposes. Records include: <ul style="list-style-type: none"> • records of program development • invitations to speakers and responses • publicity records • registrations • venue bookings • catering arrangements • accommodation and transport arrangements • reports on conferences. 	Retain minimum of 2 years after action completed, then destroy
18.4.3	Records relating to employee attendance at conferences, seminars or forums for staff development purposes where the conferences are held by other organisations. Records include: <ul style="list-style-type: none"> • registration forms • programs • reports of participants • invitations 	Retain until administrative or reference use ceases, then destroy

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No.	Description of records	Disposal action
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STAFF DEVELOPMENT - Evaluation

	<ul style="list-style-type: none"> • copies of publicity records • copies of proceedings. 	
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Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

18.5.0 Evaluation

The process of determining the suitability of potential or existing activities, programs, and events in relation to meeting the needs of the given situation. Includes ongoing monitoring.

See **STAFF DEVELOPMENT - Reviewing** for records relating to the review of staff development activities, programs and events.

See **STAFF DEVELOPMENT - Training** for records relating to the evaluation of courses by participants.

18.5.1	Records relating to the evaluation of staff development activities, programs and events to determine whether they will bridge skill and knowledge gaps or meet the training needs of the organisation.	Retain minimum of 5 years after action completed, then destroy
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Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use STAFF DEVELOPMENT – PLANNING for records relating to meetings held to plan for staff development, e.g. use STAFF DEVELOPMENT – TRAINING for records relating to meetings held in order to discuss training course development.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

18.6.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning.

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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STAFF DEVELOPMENT - Planning

18.6.1	Final, approved versions of staff development plans, including plans for training programs, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Retain minimum of 3 years after plan is superseded, then destroy
18.6.2	Records relating to the development and review of the organisation's staff development plans, including plans for training programs. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings and reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain until administrative or reference use ceases, then destroy

18.7.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

18.7.1	Final, approved versions of staff development policies and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Retain minimum of 3 years after policy is superseded, then destroy
18.7.2	Records relating to the development and review of the organisation's staff development policies. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations or meetings 	Retain until administrative or reference use ceases, then destroy

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No.	Description of records	Disposal action
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STAFF DEVELOPMENT - Procedures

	<ul style="list-style-type: none"> • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	
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18.8.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

18.8.1	Final, approved versions of organisation manuals, handbooks, directives etc detailing staff development procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.	Retain minimum of 3 years after procedures are superseded, then destroy
18.8.2	Records relating to the development and review of the organisation's staff development procedures. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain until administrative or reference use ceases, then destroy

18.9.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **PUBLICATION - Production** for records relating to the organisation's annual reports.

18.9.1	Records relating to formal internal and external reports regarding staff development. Records include: <ul style="list-style-type: none"> • background research 	Retain minimum of 5 years after action completed, then destroy
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No.	Description of records	Disposal action
<i>STAFF DEVELOPMENT - Reporting</i>		
	<ul style="list-style-type: none"> • draft versions of reports containing significant changes/alterations or formally circulated for comment • records of consultation with employees, unions, other stakeholders etc • final, approved versions of reports. 	
18.9.2	<p>Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding staff development programs and services. Records include:</p> <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 3 years after action completed, then destroy

18.10.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **STAFF DEVELOPMENT - Evaluation** for records relating to the evaluation of staff development activities, programs and events.

See **STAFF DEVELOPMENT - Planning** for records relating to the review of plans for staff development and training.

See **STAFF DEVELOPMENT - Policy** for records relating to the review of policies for staff development and training.

See **STAFF DEVELOPMENT - Procedures** for records relating to the review of procedures for staff development and training.

18.10.1	<p>Records relating to the review of staff development activities, programs and events, including reviews of training programs to determine if they bridge skill and knowledge gaps. Records include:</p> <ul style="list-style-type: none"> • documents establishing the review • background research, e.g. employee surveys • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • project or action plans. 	Retain minimum of 5 years after action completed, then destroy
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No.	Description of records	Disposal action
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STAFF DEVELOPMENT - Training

Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

18.11.0 Training

The activities associated with the development of training materials and delivery arrangements for training.

See the organisation's functional retention and disposal authority for records relating to training offered by the organisation to external clients; or for records relating to the publication of information for public education.

See the organisation's functional retention and disposal authority for records relating to the provision of organisation-specific training that results in a qualification the employee is required to possess in order to perform their duties, e.g. training of fire personnel and police officers, or for records relating to the management and operation of Registered Training Organisations (RTOs).

See **COMMUNITY RELATIONS - Addresses** for records relating to addresses given to visitors and the public aimed at promoting the organisation.

See **PERSONNEL - Employee service history** for copies of qualifications, certificates of competency, statements of attainment, arrangements for training and descriptions of training etc when they relate to occupational health and safety training or where these are required by individual employees as part of employment conditions or to perform their duties.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the incorporation of training needs into strategic, corporate and business planning.

18.11.1	Records relating to the administration of government-wide training initiatives.	Retain minimum of 5 years after action completed, then destroy
18.11.2	Records relating to the content of training that forms part of specific study schemes, e.g. scholarships, apprenticeships, cadetships etc. See PERSONNEL - Employee service history 15.4.8 for records relating to the management of such schemes.	Retain minimum of 7 years after scheme ceases, then destroy
18.11.3	Records relating to arrangements for employee attendance on training courses for staff development purposes. Records include: <ul style="list-style-type: none"> • records of confirmation of course attendance • records of lodgement of application forms • accommodation and transport arrangements. 	Retain minimum of 2 years after action completed, then destroy

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No.	Description of records	Disposal action
<i>STAFF DEVELOPMENT - Training</i>		
18.11.4	<p>Notices of assessment or examination results of internally conducted training or sent to the organisation by external training providers.</p> <p>Note: Registered Training Organisations (RTO) are required to keep sufficient records to enable the reissue of a statement of attainment or qualification for 30 years. Registered Training Organisations should cover these records in their functional retention and disposal authority.</p> <p>See 18.11.9 for records relating to summary registers for occupational health & safety training.</p> <p>See PERSONNEL - Employee service history for copies of individual qualifications, certificates of competency, statements of attainment etc where these relate to occupational health and safety training or are required by employees as part of employment conditions or to perform their duties.</p>	Retain minimum of 7 years after action completed, then destroy
18.11.5	Records relating to participant evaluations of internally and externally conducted courses.	Retain minimum of 1 year after action completed, then destroy
18.11.6	<p>Final, approved versions of training material for courses run internally by the organisation for their employees, e.g. induction, graduate training, volunteer training. Records include:</p> <ul style="list-style-type: none"> • programs • lecture notes • handouts. 	Retain until course or training material is superseded, then destroy
18.11.7	Records relating to the development of training materials for courses run internally by the organisation for their employees.	Retain until administrative or reference use ceases, then destroy
18.11.8	<p>Records relating to administrative arrangements for conducting training courses, or attendance at workshops, seminars etc. Records include:</p> <ul style="list-style-type: none"> • records of applications • records of confirmation of attendance • venue bookings • records of equipment hire • catering arrangements. 	Retain until administrative or reference use ceases, then destroy

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STAFF DEVELOPMENT - Training

18.11.9	<p>Summary records created to facilitate the management and monitoring of the provision of work health and safety training to employees, contractors etc, e.g. work health and safety training registers.</p> <p>Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 75 years after action completed, then destroy
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STRATEGIC MANAGEMENT - Agreements

19.0.0 STRATEGIC MANAGEMENT

The function of applying broad systematic management planning for the organisation. Includes the activities involved with the development, monitoring and reviewing of business plans, strategic plans, corporate plans, Equal Employment Opportunity (EEO) plans, Ethnic Affairs Policy Statements (EAPS) and agreements, and other long-term organisational strategies, such as frameworks for the management of intellectual property. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation which provides the legislative basis for the organisation.

See **GOVERNING & CORPORATE BODIES** for records relating governing bodies such as boards, trusts, councils, commissions etc.

See **GOVERNMENT RELATIONS - Reporting** for records relating to reporting to external parties such as Ministers and Members of Parliament or bodies undertaking investigations or inquiries on strategic management initiatives.

See **PROPERTY MANAGEMENT - Planning** for records relating to energy management and waste reduction plans.

19.1.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

See **COMMUNITY RELATIONS - Agreements** for records relating to agreements for use of corporate logos.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **INFORMATION MANAGEMENT - Disposal** for records relating to arrangements for the transfer of records to successor organisations as a consequence of changes in administrative arrangements or functions or privatisation.

See **STRATEGIC MANAGEMENT - Intellectual property** for other records relating to the management of the organisation's intellectual property.

See **STRATEGIC MANAGEMENT - Joint ventures** for records relating to joint venture agreements.

See **TENDERING** for records relating to receiving and assessing tenders.

19.1.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements regarding the transfer of responsibilities and ownership of assets such as property, information, etc. due to administrative change, privatisation or corporatisation. Records include:</p> <ul style="list-style-type: none"> • correspondence and records of negotiations • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements 	Required as State archives
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STRATEGIC MANAGEMENT - Agreements

	<ul style="list-style-type: none"> • reviews of agreements. 	
19.1.2	Records relating to the establishment, negotiation, maintenance and review of agreements regarding ownership rights or use of intellectual property, e.g. agreements to invest copyright in another author, person or organisation.	Retain minimum of 70 years after date of agreement, or after expiry date specified in agreement, then destroy

19.2.0 Audit

The activities associated with officially checking quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

See the relevant function/AUDIT for records relating to audits of specific functional areas, e.g. use INFORMATION MANAGEMENT-AUDIT for records relating to audits of information management programs or services, e.g. use OCCUPATIONAL HEALTH & SAFETY – AUDIT for records relating to occupational health and safety audits.

See **FINANCIAL MANAGEMENT - Audit** for records relating to formal audits of accounts or the management of financial resources.

See **STRATEGIC MANAGEMENT - Compliance** for records relating to managing compliance with quality management processes.

19.2.1	Records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level, which: <ul style="list-style-type: none"> • set a precedent, or • lead to a major change in policies. Records include: <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of audit reports containing significant changes/alterations or formally circulated for comment • final, approved versions of audit reports • records of remedial action. 	Required as State archives
19.2.2	Records relating to audits which cross functions, examine core functions or measure organisational	Retain minimum of 6 years after action

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STRATEGIC MANAGEMENT - Authorisation

	<p>performance or compliance at a strategic level, which do not:</p> <ul style="list-style-type: none"> • set a precedent, or • lead to a major change in policies. <p>Records include:</p> <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of audit reports containing significant changes/alterations or formally circulated for comment • final, approved versions of audit reports • records of remedial action. 	completed, then destroy
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19.3.0 Authorisation

The process of seeking and granting permission to undertake a requested action.

See **GOVERNMENT RELATIONS - Policy** for records relating to delegations of authority relating to general administrative matters such as personnel, establishment, finance etc that apply to all Chief Executive Officers and are advised by Premier's circular or memorandum.

19.3.1	Records relating to delegations of authority to Chief Executive Officers or to officers occupying statutory positions (high level delegations) regarding the functional responsibilities of the organisation.	Required as State archives
19.3.2	Records relating to delegations of authority to officers to enter into agreements or arrangements that bind the organisation where the delegations are not high level delegations, i.e. are not delegations to Chief Executive Officers or to officers occupying statutory positions.	Retain minimum of 7 years after delegation is superseded, then destroy
19.3.3	Records relating to delegations of authority that do not involve entering into agreements or arrangements that bind the organisation and where the delegations are not high level delegations, i.e. are not delegations to Chief Executive Officers or to officers occupying statutory positions. Records include delegation manuals containing signed instruments of delegation by the Chief Executive Officer.	Retain until administrative or reference use ceases, then destroy

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STRATEGIC MANAGEMENT - Compliance

	<p>Note: In determining a suitable retention period for delegation manuals, organisations should consider the retention requirements for procedure manuals (GA28, 19.16.1).</p>	
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNING & CORPORATE BODIES - Meetings** for records relating to the meetings of governing bodies and sub-committees of governing bodies.

19.4.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance monitoring if one of the functions of the organisation is to measure the compliance of other organisations with legislation, policies etc.

See the organisation's functional retention and disposal authority for records relating to failures to meet compliance requirements concerning the organisation's core functions, e.g. licensing, breaches of industry standards.

See the relevant function/COMPLIANCE for records relating to compliance or failures to meet compliance requirements concerning administrative matters, e.g. use EQUIPMENT & STORES – COMPLIANCE for records relating to compliance with standards or statutory requirements regarding the management or use of equipment and stores, e.g. use INFORMATION MANAGEMENT – COMPLIANCE for records relating to compliance with legislation regarding the management, provision or use of information resources.

See **GOVERNMENT RELATIONS - Reporting** for records relating to reporting on compliance to other government bodies, or compliance with reporting requirements, e.g. submission of annual reports and other formal reports.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to compliance with occupational health and safety standards or requirements.

See **STRATEGIC MANAGEMENT - Audit** for records relating to formal internal or external audits against compliance requirements.

19.4.1	<p>Records relating to initiatives at an organisation-wide or program-specific level to measure and improve the organisation's operations in order to be compliant with mandatory or optional standards. Records include:</p> <ul style="list-style-type: none"> • records of assessments of requirements with which the organisation needs to comply 	<p>Retain minimum of 10 years after action completed, then destroy</p>
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No.	Description of records	Disposal action
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STRATEGIC MANAGEMENT - Compliance

	<ul style="list-style-type: none"> background research into existing levels of compliance and breaches records of development of initiatives to improve compliance. 	
19.4.2	Records relating to the assessment and certification of the organisation's quality systems by an external organisation.	Retain minimum of 3 years after certification lapses, then destroy
19.4.3	Records relating to the registration of business names by the organisation.	Retain minimum of 7 years after registration ceases, then destroy
19.4.4	<p>Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements.</p> <p>Note: Retention period is provided as a guide only. Any records providing evidence of organisational compliance with standards or requirements must be kept as long as the organisation has to account for its actions. Any records relating to the handling of allegations of sexual abuse of children by clients, visitors, service providers and members of the public received by the organisation should be retained for at least 45 years from date of the incident.</p>	Retain minimum of 7 years after action completed, then destroy

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

19.5.0 Corruption

The processes which allow the disclosure of corruption, and strategies for the prevention of corruption (including fraud). Includes involvement in corruption prevention projects undertaken by the Independent Commission Against Corruption (ICAC).

See **GOVERNING & CORPORATE BODIES - Corruption** for records relating to investigations into allegations of corruption against members of governing bodies.

See **GOVERNMENT RELATIONS - Inquiries** for records relating to inquiries involving the organisation.

See **PERSONNEL - Misconduct** for records relating to investigations into corruption allegations made against an employee, including protected disclosures.

See **STAFF DEVELOPMENT - Training** for records relating to training employees in appropriate standards of conduct and reporting allegedly corrupt behaviour.

See **STRATEGIC MANAGEMENT - Audit** or the relevant function/AUDIT for records relating to compliance audits.

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No.	Description of records	Disposal action
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STRATEGIC MANAGEMENT - Corruption

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of plans, policies or procedures regarding corruption prevention or fraud control.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the development and review of policies regarding corruption prevention or fraud control.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to the development and review of procedures regarding corruption prevention or fraud control.

19.5.1	Records relating to the management of gifts and benefits made to the organisation such as from visiting dignitaries, e.g. gifts and benefits registers. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 7 years after action completed, then destroy
19.5.2	Records relating to the organisation's compliance with mandatory statutory reporting requirements. Includes reporting corrupt, suspected corrupt or inappropriate behaviour.	Retain minimum of 7 years after action completed, then destroy

19.6.0 Customer service

The activities associated with the strategic planning, monitoring and evaluation of services provided to customers by the organisation.

See **COMMUNITY RELATIONS - Customer service** for records relating to specific charters, standards or guarantees of service.

See **COMMUNITY RELATIONS - Enquiries** for records relating to requests for and the handing of enquiries regarding routine information about the organisation and its services from customers.

See **INFORMATION MANAGEMENT - Customer service** for records relating to specific charters, standards or guarantees of service.

See **STRATEGIC MANAGEMENT - Planning** for records relating to customer service planning as part of strategic, corporate or business planning.

19.6.1	Records relating to the development and review of organisation-wide strategies to deliver quality services to clients or stakeholders. Includes organisation-wide charters, standards or guarantees of service.	Retain minimum of 2 years after strategies are superseded, then destroy
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No.	Description of records	Disposal action
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STRATEGIC MANAGEMENT - Evaluation

19.7.0 Evaluation

The process of determining the suitability of potential or existing programs, services or systems in relation to meeting the needs of the given situation. Includes ongoing monitoring.

See **STRATEGIC MANAGEMENT - Audit** for records relating to formal audits of systems or processes that cross functions, examine core functions or measure organisational compliance at a strategic level.

See **STRATEGIC MANAGEMENT - Reviewing** for records relating to the review of strategic programs and services.

19.7.1	Records relating to the evaluation of potential and existing programs, services and systems that cross functions or relate to the strategic management of the organisation, e.g. evaluations and modelling for quality management, business cases for new programs etc, or major/significant new initiatives.	Retain minimum of 5 years after action completed, then destroy
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19.8.0 Grant funding

The activities associated with applying for and receiving grants.

Note: For universities research grant applications are covered under General Retention and Disposal Authority - University records.

See the organisation's functional retention and disposal authority for records relating to the provision of grants to other organisations or where grant applications are part of core business.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the receipt and distribution of grant money.

See **GOVERNMENT RELATIONS - Reporting** for records relating to reporting on grants projects in the organisation's annual reports.

See **STRATEGIC MANAGEMENT - Planning** for records relating to specific plans supporting strategies for the application for, receipt or use of grant funding.

See **STRATEGIC MANAGEMENT - Policy** for records relating to specific policies supporting strategies for the application for, receipt or use of grant funding.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to specific procedures supporting strategies for the application for, receipt or use of grant funding.

19.8.1	Records relating to the investigation of potential or alternative sources of grant funding.	Retain minimum of 6 years after action completed, then destroy
19.8.2	Records relating to successful applications for grants or funds which lead to the establishment of new and	Required as State archives

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STRATEGIC MANAGEMENT - Grant funding

	significant programs, events and outcomes. Includes business cases.	
19.8.3	Records relating to successful applications for grants or funds which do not lead to the establishment of new and significant programs, events and outcomes.	Retain minimum of 6 years after action completed, then destroy
19.8.4	Records relating to unsuccessful applications for grants or funds.	Retain minimum of 2 years after action completed, then destroy

19.9.0 Implementation

The activities associated with carrying out or putting into action plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes monitoring to ensure that the implementation goes according to schedule and that standards are met.

See **STRATEGIC MANAGEMENT - Compliance** for records relating to the assessment and certification of the organisation's quality systems by an external organisation.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of strategic management plans.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the development and review of strategic management policies.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to the development and review of strategic management procedures.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reporting on disasters.

19.9.1	Records relating to the implementation of government-wide policies, key direction statements and initiatives concerning important or innovative programs, e.g. Charter of Principles for Culturally Diverse Society and anti-discrimination or equal employment opportunity programs.	Retain minimum of 7 years after action completed, then destroy
19.9.2	Records relating to the implementation of quality management systems and monitoring implementation activities.	Retain minimum of 3 years after action completed, then destroy
19.9.3	Records relating to the implementation of counter disaster plans/business continuity plans after disasters have occurred. Records include: <ul style="list-style-type: none"> • photographs and records of assessment of damage 	Retain minimum of 7 years after action completed, then destroy

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No.	Description of records	Disposal action
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STRATEGIC MANAGEMENT - Intellectual property

	<ul style="list-style-type: none"> • correspondence between relevant parties • documentation of action taken to implement plans. 	
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19.10.0 Intellectual property

The activities involved in providing a framework for managing the organisation's intellectual property.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the payment of money.

See **INFORMATION MANAGEMENT - Intellectual property** for records relating to the management of copying services in the organisation.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by internal or external legal service providers regarding the management of intellectual property.

See **LEGAL SERVICES - Litigation** for records relating to lawsuits or legal proceedings resulting from breaches or disputes regarding intellectual property rights.

See **PUBLICATION - Intellectual property** for records relating to managing applications for permission to reproduce published or unpublished material.

See **STRATEGIC MANAGEMENT - Agreements** for records relating to intellectual property agreements.

See **TECHNOLOGY & TELECOMMUNICATIONS - Intellectual property** for records relating to managing applications to reproduce portions of software developed within the organisation.

See General Retention and Disposal Authority *Audio visual programs and recordings* for records relating to rights management for audio visual records.

19.10.1	<p>Records relating to the establishment, registration and documentation of the organisation's intellectual property, including patents, trademarks, designs such as logos, plant breeders rights, circuit layouts and all forms of copyright. Includes intellectual property registers.</p> <p>Note: With paper-based registers, retain minimum of 5 years after the expiry of intellectual property for all entries in the register. With electronic registers, retain minimum of 5 years after intellectual property rights lapse relating to each entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 5 years after intellectual property rights lapse, then destroy
19.10.2	Records relating to unsuccessful or abandoned attempts to establish intellectual property rights.	Retain minimum of 7 years after action completed, then destroy

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No.	Description of records	Disposal action
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STRATEGIC MANAGEMENT - Joint ventures

19.11.0 Joint ventures

The activities involved in managing joint operations, collaboration or co-research between the organisation and community groups where there is a contract, joint contribution of funds and/or time.

See relevant entries in general and functional retention and disposal authorities for records relating to the work generated by joint venture arrangements.

See the relevant function/AGREEMENTS for records relating to joint venture agreements which do not involve contracting-out or tendering.

See **COMMUNITY RELATIONS - Joint ventures** for records relating to joint ventures undertaken with other organisations for the purposes of raising or maintaining the profile of the organisation or a particular service or program.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **PUBLICATION - Joint ventures** for records relating to the establishment and monitoring of joint ventures undertaken with other organisations for the purposes of researching, drafting or producing publications.

See **TENDERING** for records relating to receiving and assessing tenders.

19.11.1	<p>Records relating to the establishment and monitoring of significant strategic alliances with other organisations (government or non-government) regarding the core functional activities of the organisation that are of significance to the State. Includes those with implications for the performance of statutory functions or major liabilities or obligations for the organisation. Records include:</p> <ul style="list-style-type: none"> • correspondence and records of negotiations regarding the establishment of joint venture agreements • drafts of agreements containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements • correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants • records of monitoring of arrangements • records of reporting on arrangements. 	Required as State archives
19.11.2	Records relating to the establishment and monitoring of joint ventures with other organisations (government or non-government) regarding the core functional	(A) For specialty contracts:

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STRATEGIC MANAGEMENT - Joint ventures

	<p>activities of the organisation that are not of significance to the State. Includes negotiations for joint ventures that do not proceed. Records include:</p> <ul style="list-style-type: none"> • correspondence and records of negotiations regarding the establishment of joint venture agreements • drafts of agreements containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements • correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants • records of monitoring of arrangements • records of reporting on arrangements. <p>Note: Specialty contracts include contracts under seal and deeds to property.</p> <p>Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.</p> <p>Note: Limitation periods for contractual agreements or arrangements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.</p>	<p>Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy</p> <p>(B) For standard contracts or agreements:</p> <p>Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy</p> <p>(C) Where there is no contract or agreement:</p> <p>Retain minimum of 5 years after action completed, then destroy</p>
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19.12.0 Legislation

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

See the relevant function/AUDIT for records relating to formal audits of compliance with legislation, e.g. use OCCUPATIONAL HEALTH & SAFETY – AUDIT for records relating to audits regarding the organisation's compliance with occupational health and safety legislation.

See the relevant function/COMPLIANCE for records relating to compliance with legislation that may have an impact on the operations of a particular area, e.g. use OCCUPATIONAL HEALTH & SAFETY – COMPLIANCE for records relating to compliance with occupational health and safety legislation.

See **GOVERNMENT RELATIONS - Advice** for records relating to advice provided to Cabinet, the Minister and other government organisations on legislation.

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STRATEGIC MANAGEMENT - Legislation

See **GOVERNMENT RELATIONS - Legislation** for records relating to the preparation and passage of legislation through Parliament.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions to the Minister and Cabinet regarding legislative proposals relating to the organisation's core functions.

See **LEGAL SERVICES - Advice** for records relating to legal advice sought and received on the interpretation of legislation.

19.12.1	<p>Records relating to the development, implementation and review of legislation and regulations concerning the operations and functional responsibilities of the organisation. Records include:</p> <ul style="list-style-type: none"> • preliminary drafting instructions • draft legislation or regulations • amendments • submissions to the organisation's executive or governing body • reports • submissions received • records documenting the outcomes of consultation with relevant organisations and stakeholders • development and gazettal of regulations. 	Required as State archives
19.12.2	<p>Records relating to arrangements for consultation regarding changes in legislation, e.g. advertisements, notices for forums etc.</p>	Retain until administrative or reference use ceases, then destroy

19.13.0 Meetings

The activities associated with gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of sections, departments or the organisation as a whole. Includes arrangements, agenda, taking of minutes etc.

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use STRATEGIC MANAGEMENT – AUDIT for records relating to meetings held as part of audits, e.g. use STRATEGIC MANAGEMENT – PLANNING for records relating to meetings held to develop strategic plans.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other

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STRATEGIC MANAGEMENT - Meetings

government organisations when those meetings are not related to specific functions and activities.

19.13.1	Records relating to routine general and section or unit meetings of employees and administrative arrangements for meetings. Records include: <ul style="list-style-type: none"> • meeting notifications • agenda and minutes • catering arrangements • venue bookings • accommodation and transport arrangements • related correspondence. 	Retain until administrative or reference use ceases, then destroy
19.13.2	Diaries/appointment books of the Chief Executive Officer and members of the Senior Executive recording detailed information regarding significant matters, e.g. decisions and actions agreed upon, that are not recorded elsewhere.	Required as State archives
19.13.3	Diaries/appointment books of the Chief Executive Officer and members of the Senior Executive or other personnel recording basic information, e.g. dates and times of meetings, and diaries/appointment books kept by other personnel.	Retain until administrative or reference use ceases, then destroy

Performance management

See **PERSONNEL - Performance management** for records relating to the administration of performance management programs in the organisation and development of individual performance agreements.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reports assessing and monitoring organisational performance.

19.14.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See the relevant function/PLANNING for records relating to plans regarding specific administrative functions of the organisation, e.g. use INFORMATION MANAGEMENT – PLANNING for records relating to plans for information management projects, systems and activities.

See **OCCUPATIONAL HEALTH & SAFETY - Planning** for records relating to medical evacuation plans/emergency evacuation plans when these do not form part of broader strategic planning for the organisation.

See **STRATEGIC MANAGEMENT - Implementation** or records relating to the implementation of business continuity or counter disaster plans after a disaster.

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STRATEGIC MANAGEMENT - Planning

See **STRATEGIC MANAGEMENT - Reporting** or records relating to reporting on the effects of disasters and recovery strategies.

19.14.1	<p>Records relating to strategic planning. Includes:</p> <ul style="list-style-type: none"> • the development and review of high-level planning of core business functions, activities, projects, programs and services • the development and review of whole-of-government planning developed by the agency where the agency provided substantial / major input into planning. • final, approved versions of strategic, corporate or business plans applying to the organisation as a whole, and associated correspondence indicating who the plans apply to and responsibilities for their implementation. ¹⁰ 	Required as State archives
19.14.2	<p>Records relating to the development and review of the organisation's strategic, corporate or business plans. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 7 years after plan is superseded, then destroy
19.14.3	<p>Final, approved versions of high level plans and strategies for providing ongoing administrative or operational support, e.g. program plans relating to divisions, business units and projects within the organisation, business continuity or counter disaster plans, procurement plans, fraud control strategies, quality management plans, risk managements plans, ethnic affairs priority statements, equal employment opportunity management plans, total asset management plans etc, and associated correspondence indicating who the plans apply to and responsibilities for their implementation. Excludes strategic, corporate or business plans.</p> <p>Note: In some cases these may be records of major significance to the organisation, e.g. business plans for particularly significant areas of the organisation.</p>	Retain minimum of 7 years after plan is superseded, then destroy

¹⁰ Amended December 2021.

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STRATEGIC MANAGEMENT - Planning

	Consideration may need to be given to keeping these for a longer period.	
19.14.4	<p>Records relating to the development and review of high level plans and strategies, other than strategic, business and corporate plans, providing ongoing administrative or operational support, e.g. program plans relating to divisions, business units and projects within the organisation, business continuity or counter disaster plans, procurement plans, fraud control strategies, quality management plans, risk managements plans, ethnic affairs priority statements, equal employment opportunity management plans, total asset management plans etc. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

19.15.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See the relevant function/POLICY for records relating to policies regarding specific administrative functions, e.g. use INFORMATION MANAGEMENT – POLICY for records relating to the development or review of information management policies.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

19.15.1	<p>Final, approved versions of the organisation's policies on operational, cross-functional or organisation-wide matters, e.g. equal employment opportunity policies, fraud control policies, internal circulars, code of conduct, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.¹¹</p>	Retain minimum of 7 years after policy is superseded, then destroy
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¹¹ Amended December 2021 to include operational policies.

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No.	Description of records	Disposal action
<i>STRATEGIC MANAGEMENT - Policy</i>		
19.15.2	<p>Records relating to the development and review of the organisation's policies on cross-functional or organisation-wide matters, e.g. equal employment opportunity policies, fraud control policies, internal circulars, codes of conduct. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • draft versions of policies containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy
19.15.3	<p>Records relating to the development and review of strategic or high-level policies for:</p> <ul style="list-style-type: none"> • core functions • whole-of-government policy developed by the agency or where the agency provided substantial input. <p>Includes proposals, research, results of consultation, supporting reports, major drafts, amendments and approvals.¹²</p>	Required as State archives

19.16.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See the relevant function/PROCEDURES for records relating to procedures regarding specific functions, e.g. use INFORMATION MANAGEMENT – PROCEDURES for records relating to the development and review of information management procedures.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

19.16.1	<p>Final, approved versions of manuals, handbooks, directives etc detailing the organisation's procedures on operational matters, cross-functional or organisation-wide matters, e.g. equal employment opportunity, fraud control, quality assurance, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.¹³</p>	Retain minimum of 5 years after procedures are superseded, then destroy
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¹² Added December 2021.

¹³ Amended to December 2021 to include operational procedures.

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No.	Description of records	Disposal action
<i>STRATEGIC MANAGEMENT - Procedures</i>		
19.16.2	Records relating to the development and review of the organisation's manuals, handbooks, directives etc detailing the organisation's procedures on cross-functional or organisation-wide matters, e.g. equal employment opportunity, fraud control, quality assurance. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy
19.16.3	Records relating to the development and review of procedures that relate to core statutory responsibilities where there is a high level of risk or potential impact to the community, or that are developed for whole-of-government use. ¹⁴	Required as State archives

19.17.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **GOVERNING & CORPORATE BODIES - Meetings** for records relating to reports submitted to governing bodies.

See **GOVERNMENT RELATIONS - Reporting** for records relating to the drafting, submission and final, approved versions of formal reports to government, e.g. annual reports or substantial ad hoc reports concerning core functions.

19.17.1	Final, approved versions of reports regarding incidents/disasters that result in or have the potential to result in significant damage to government assets or the operating capabilities of the organisation, including those that significantly damage records required as State archives. Records include reports detailing: <ul style="list-style-type: none"> • plans that had been in place prior to the disaster • action taken to manage disasters • damage sustained, e.g. to records or property • effectiveness of plans • remedial action identified and taken. 	Required as State archives
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¹⁴ Added December 2021.

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STRATEGIC MANAGEMENT - Reporting

	See OCCUPATIONAL HEALTH & SAFETY - Accidents for records relating to personal injury sustained during a disaster.	
19.17.2	Final, approved versions of reports relating to the performance of the organisation in meeting corporate goals, objectives and performance indicators.	Required as State archives
19.17.3	Final, approved versions of reports relating to strategic management programs, services and systems that do not relate to: <ul style="list-style-type: none"> • incidents/disasters that result in or have the potential to result in significant damage to government assets or the operating capabilities of the organisation, or • the performance of the organisation in meeting corporate goals, objectives and performance indicators. Includes periodic reports that span multiple functions, e.g. routine monthly reports on the activities of a business unit.	Retain minimum of 7 years after action completed, then destroy
19.17.4	Records relating to the development and review of reports regarding strategic management programs, services and systems. Records include: <ul style="list-style-type: none"> • background research • records relating to the outcomes of consultation with employees, unions, other stakeholders etc • draft versions of reports containing significant changes/alterations or formally circulated for comment. 	Retain minimum of 3 years after action completed, then destroy

Research

See the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation.

See the relevant function/activity for records relating to background research undertaken as part of that activity, e.g. use STRATEGIC MANAGEMENT – EVALUATION for research undertaken as part of the evaluation of strategic programs, services and systems, e.g. use STRATEGIC MANAGEMENT – PLANNING, STRATEGIC MANAGEMENT – POLICY or STRATEGIC MANAGEMENT – PROCEDURES for records relating to background research for the development and review of plans, policies and procedures.

Restructuring

See **ESTABLISHMENT - Restructuring** for records relating to the establishment or review of organisational structures.

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STRATEGIC MANAGEMENT - Reviewing

19.18.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **STRATEGIC MANAGEMENT - Evaluation** for records relating to the evaluation of strategic programs, services and systems.

See **STRATEGIC MANAGEMENT - Legislation** for records relating to the review of legislation and regulations concerning the operations and functional responsibilities of the organisation.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the review of plans.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the review of policies.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to the review of procedures.

19.18.1	<p>Records relating to the review of strategic programs and services. Records include:</p> <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • project or action plans. 	<p>Retain minimum of 5 years after action completed, then destroy</p>
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19.19.0 Risk management

The process involving the identification of risks at a strategic level, and the implementation of appropriate practices and procedures which will reduce wastage and the impact of economic loss arising from an incident.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to occupational health and safety risk management processes.

See **STRATEGIC MANAGEMENT - Planning** for records relating to business continuity/counter disaster planning for the organisation.

19.19.1	<p>Records relating to the identification and assessment of organisational risks, in order to assist planning, and the implementation of strategies to minimise their impact. Records include risk registers.</p> <p>Note: With paper-based registers, retain minimum of 6 years after last entry in the register. With electronic registers, retain minimum of 6 years after last update</p>	<p>Retain minimum of 6 years after action completed, then destroy</p>
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No.	Description of records	Disposal action
<i>STRATEGIC MANAGEMENT - Standards</i>		
	or amendment to an entry, or after data has become obsolete, then destroy.	

19.20.0 Standards

The process of developing and implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

19.20.1	<p>Records relating to the development and implementation of standards or benchmarks that provide a framework for the conduct of the organisation's operations or assessment of its performance. Records include:</p> <ul style="list-style-type: none"> • background research • records of consultations • draft versions of proposed standards or benchmarks containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. <p>Note: Copies of final versions of standards or benchmarks may be retained in the organisation's library.</p>	Retain minimum of 5 years after action completed, then destroy
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TECHNOLOGY & TELECOMMUNICATIONS - Acquisition

20.0.0 TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing hardware infrastructure, and applications and databases to support the business needs of an organisation to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and websites.

See **EQUIPMENT & STORES - Acquisition** for records relating to the acquisition of other equipment and stores.

See **EQUIPMENT & STORES - Disposal** for records relating to the disposal of other equipment and stores.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of technology and telecommunications equipment as corporate assets.

See **INFORMATION MANAGEMENT** for records relating to the management of information resources.

See **PUBLICATION - Production** for records relating to the updating of the content of websites.

20.1.0 Acquisition

The process of gaining ownership or use of technology and telecommunications equipment and systems required for the conduct of business through purchase or requisition.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting acquisition activities.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of equipment and systems as corporate assets.

See **TECHNOLOGY & TELECOMMUNICATIONS - Agreements** for records relating to agreements regarding the provision or use of technology and telecommunications services that do not form part of contracting-out or tendering arrangements, e.g. software licences.

See **TECHNOLOGY & TELECOMMUNICATIONS - Evaluation** for records relating to feasibility studies, assessments and other evaluations of technology and telecommunications programs, equipment, services and systems prior to purchase.

20.1.1	<p>Records relating to the acquisition of services for the development of systems or the acquisition of off-the-shelf systems where the system is proceeded with and is acquired through a tendering or contracting-out process. Includes systems acquired through period contracts that involve tendering.</p> <p>Note: Organisations may choose to maintain all evaluation, acquisition, contracting-out and/or tendering records relating to systems according to this disposal action, or may refer to TENDERING or</p>	Retain minimum of 7 years after system is superseded, then destroy
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Dates of coverage: 1940+

No.	Description of records	Disposal action
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TECHNOLOGY & TELECOMMUNICATIONS - Acquisition

	CONTRACTING-OUT if they wish to destroy some of the tendering or contracting-out documentation at an earlier date. Decisions may differ according to the system and should be based on a determination of how long records are required to meet the organisation's business needs in consultation with operational employees or business units.	
20.1.2	Records relating to the acquisition of technology and telecommunications equipment or systems through any means (purchase, acquisition, requisition etc) where there is no tender or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include: <ul style="list-style-type: none"> • requests for quotes • orders • correspondence and records of negotiations • minutes or notes of meetings. 	Retain minimum of 7 years after action completed, then destroy
20.1.3	Records relating to investigations into the acquisition of technology and telecommunications equipment or systems not proceeded with.	Retain until administrative or reference use ceases, then destroy
20.1.4	Records relating to warranties and guarantees.	Retain until warranty or guarantee expires or until item is disposed of, whichever is shorter, then destroy

Advice

See **TECHNOLOGY & TELECOMMUNICATIONS** /relevant activity for records relating to advice given or received by the organisation regarding technology and telecommunications, e.g. use **TECHNOLOGY & TELECOMMUNICATIONS – ACQUISITION** for records relating to advice given or received as part of the acquisition process, e.g. use **TECHNOLOGY & TELECOMMUNICATIONS – APPLICATION DEVELOPMENT & MANAGEMENT** for records relating to advice regarding the development and management of applications, including advice from consultants, suppliers and vendors, e.g. use **TECHNOLOGY & TELECOMMUNICATIONS – CUSTOMER SERVICE** for records relating to the provision of internal advice given and suggestions received from internal customers on technology and telecommunications issues.

20.2.0 Agreements

The processes associated with the establishment, negotiation, maintenance and review of agreements.

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TECHNOLOGY & TELECOMMUNICATIONS - Agreements

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

20.2.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision or use of technology and telecommunications services that do not form part of contracting-out or tendering arrangements, e.g. software licences.</p> <p>Records include:</p> <ul style="list-style-type: none"> • correspondence and records of negotiations, including minutes or notes of meetings • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements. 	<p>Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy</p>
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20.3.0 Allocation

The process of assigning technology or telecommunications equipment to employees or organisational units.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to billing of employees regarding personal use of organisational equipment.

See **FINANCIAL MANAGEMENT - Asset register** for notations on the asset register regarding the allocation of assets.

See **TECHNOLOGY & TELECOMMUNICATIONS - Arrangements** for records relating to the routine usage of technology and telecommunications equipment, e.g. booking to use laptops.

See **TECHNOLOGY & TELECOMMUNICATIONS - Audit** for records relating to audits of employees or business units to examine what technology and telecommunications equipment, services, facilities, hardware or software have been allocated to them.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to the allocation of equipment, services, facilities, hardware or software to individuals or organisational units as part of the implementation of new or upgraded systems. Includes the allocation of telephones, mobile telephones and voicemail facilities.

20.3.1	Records relating to the routine allocation and distribution of technology and telecommunications equipment, services, facilities, hardware or software to business units within the organisation.	Retain minimum of 2 years after action completed, then destroy
20.3.2	Records relating to the routine allocation and distribution of technology and telecommunications	Retain minimum of 2 years after reallocation of

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TECHNOLOGY & TELECOMMUNICATIONS - Application development & management

	equipment, services, facilities, hardware or software to individuals for their ongoing use.	equipment, then destroy
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20.4.0 Application development & management

The activities associated with developing systems and managing them over time. Includes developing software and programming codes for business applications, developing specifications, testing and prototyping systems, developing the technical aspects of the design of databases including those for the Internet and Intranet, customising or configuring off-the-shelf packages and making system changes such as major problem solving, major enhancements and upgrades.

See **TECHNOLOGY & TELECOMMUNICATIONS - Evaluation** for records relating to the establishment of user requirements, development of specifications and feasibility studies and evaluation of potential solutions prior to purchase.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to the implementation and roll-out of technology and telecommunications strategies, projects and systems.

See **TECHNOLOGY & TELECOMMUNICATIONS - Maintenance** for records relating to the maintenance of technology and telecommunications equipment.

See **TECHNOLOGY & TELECOMMUNICATIONS - Procedures** for records relating to the development of user and technical manuals.

See **TECHNOLOGY & TELECOMMUNICATIONS - Reviewing** for records relating to the review of technology and telecommunications programs and services.

20.4.1	<p>Records relating to the design and development of systems which are proceeded with. Records include:</p> <ul style="list-style-type: none"> • background research • project proposals • project management records • notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc • systems documentation • information regarding the source code and the source code itself • information regarding the interrelationship between systems • system specific data dictionaries • records of establishment of system logs • records of application and allocation of metadata • records of business rules • records of user requirements 	Retain minimum of 7 years after system is superseded, either through upgrade or major modification, and any data supported is migrated or destroyed, then destroy
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No.	Description of records	Disposal action
<i>TECHNOLOGY & TELECOMMUNICATIONS - Application development & management</i>		
	<ul style="list-style-type: none"> • records of system specifications and configurations • records of rectification of developmental problems • records of requests for system changes during development • records of final signoff by parties. 	
20.4.2	Records relating to proposals for the development and modification of specific applications which are not proceeded with.	Retain minimum of 2 years after action completed, then destroy
20.4.3	Records relating to testing of applications. Records include: <ul style="list-style-type: none"> • records of testing strategies, e.g. user testing • result forms • test reports. See 20.4.1 for records relating to the rectification of problems detected.	Retain minimum of 5 years after system goes live, then destroy
20.4.4	Records relating to the configuration or customisation of off-the-shelf packages to meet the needs of the organisation.	Retain minimum of 7 years after system is superseded, then destroy
20.4.5	Records relating to enhancements and upgrades to systems, and system-changing maintenance and problem management.	Retain minimum of 7 years after system is superseded, then destroy
20.4.6	Records relating to the maintenance of system logs which are used to show a history of access or change to data, e.g. system access logs, Internet access and activity logs, system change logs, audit trails etc. Note: The Government Chief Information Office (GCIO), Information Security Guideline for NSW Government agencies indicates that the minimum retention period for audit logs should at least be sufficient to support the investigation of security incidents (p.97). System logs may be required for accountability purposes or as evidence in investigations to trace who accessed what records. The length of retention will be dependent on the organisation, the system and the nature of the risks faced.	Retain in accordance with the organisation's requirements, then destroy

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No.	Description of records	Disposal action
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TECHNOLOGY & TELECOMMUNICATIONS - Application development & management

	<p>Remark: Audit trails relating to financial systems may be embedded in the transaction record or may be maintained separately. Where an audit trail is maintained separately it should be retained for the period of the base transaction record itself (as per GA28, 7.1.1).</p>	
20.4.7	<p>Records relating to the maintenance of system logs which are not used to show a history of access or change to data, e.g. backup logs.</p> <p>Note: Backup logs are maintained by backup software to report the status of backups performed and information such as devices and tapes used, errors encountered, systems and lists of files backed up etc. Backups (e.g. backup tapes) are different: they store the actual backed up data and their disposal is covered by normal administrative practice (NAP) as they are facilitative records. It is not good practice to rely on backups as official records of business as they are not considered to be reliable recordkeeping systems. There should be established and documented routines for the destruction of backups in accordance with NAP.</p>	Retain until administrative or reference use ceases, then destroy
20.4.8	<p>Records relating to rectification plans, reports, remediation processes and testing of systems for year 2000 (Y2K) compliance.</p>	Retain minimum of 5 years after action completed, then destroy

20.5.0 Arrangements

The activities involved in making arrangements for the usage of technology and telecommunications equipment.

See **TECHNOLOGY & TELECOMMUNICATIONS - Allocation** for records relating to the routine allocation and distribution of technology and telecommunications equipment, services, facilities, hardware or software to business units and individual employees.

20.5.1	<p>Records relating to the routine usage of technology and telecommunications equipment, e.g. bookings to use laptops, videoconferencing facilities, data projectors etc.</p>	Retain until administrative or reference use ceases, then destroy
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20.6.0 Audit

The activities associated with officially checking quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

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TECHNOLOGY & TELECOMMUNICATIONS - Audit

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the establishment and maintenance of system logs, including audit trails.

See **TECHNOLOGY & TELECOMMUNICATIONS - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or statutory requirements regarding technology and telecommunications.

See **TECHNOLOGY & TELECOMMUNICATIONS - Evaluation** for records relating to the evaluation of technology & telecommunications programs, equipment, services and systems that are not formal audits.

See **TECHNOLOGY & TELECOMMUNICATIONS - Reviewing** or records relating to the review of technology & telecommunications programs, equipment, services and systems that are not formal audits.

See **TECHNOLOGY & TELECOMMUNICATIONS - Security** for records relating to security testing and audit.

20.6.1	<p>Records relating to audits of technology and telecommunications services, programs and systems, e.g. audits of licensing, equipment. Records include:</p> <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • records of remedial action. 	<p>Retain minimum of 6 years after action completed, then destroy</p>
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc, including meetings of steering committees to discuss technology and telecommunications issues.

20.7.0 Compliance

The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to measure the compliance of other organisations with technology and telecommunications standards, requirements and policies etc.

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TECHNOLOGY & TELECOMMUNICATIONS - Compliance

See **INFORMATION MANAGEMENT - Compliance** for records relating to the investigation of alleged breaches of privacy by the organisation.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

See **TECHNOLOGY & TELECOMMUNICATIONS - Audit** for records relating to formal audits against compliance requirements.

See **TECHNOLOGY & TELECOMMUNICATIONS - Security** for records relating to compliance with security protection measures and breaches of security.

20.7.1	<p>Records relating to the organisation's compliance with mandatory or optional standards or statutory requirements regarding technology and telecommunications, e.g. AS/NZS ISO/IEC 17799: 2001, <i>Information Technology: Code of practice for information security management</i>. Includes records of assessment and certification of compliance with standards.</p> <p>Note: Retention period is provided as a guide only. Any records providing evidence of organisational compliance with statutory or operational requirements must be kept as long as the organisation has to account for its actions.</p>	Retain minimum of 6 years after action completed, then destroy
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Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

Control

See **COMMUNITY RELATIONS - Customer service** for records relating to the maintenance of external contact details, e.g. email lists, address lists or INFORMATION MANAGEMENT – CUSTOMER SERVICE for records relating to the maintenance of internal contact details.

See **INFORMATION MANAGEMENT - Control** for control records relating to the organisation's library and recordkeeping systems and for thesauri and business rules for recordkeeping metadata.

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the application, allocation and maintenance of metadata in electronic systems.

20.8.0 Customer service

The activities associated with establishing standards of customer service and administering specialised services provided to customers by the organisation.

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TECHNOLOGY & TELECOMMUNICATIONS - Customer service

20.8.1	Final, approved versions of charters, standards or guarantees relating to the provision of technology and telecommunications services to clients.	Retain minimum of 2 years after superseded, then destroy
20.8.2	Records relating to the development and review of charters, standards or guarantees relating to the provision of technology and telecommunications services to clients. Records include: <ul style="list-style-type: none"> • background research • draft versions containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain until administrative or reference use ceases, then destroy
20.8.3	Records relating to the administration of specialised customer services relating to technology and telecommunications, e.g. help desks, and advice and assistance regarding technology and telecommunications systems, operations and services, e.g. advice to internal business units.	Retain minimum of 2 years after action completed, then destroy
20.8.4	Records relating to suggestions received from personnel in relation to technology and telecommunications.	Retain until administrative or reference use ceases, then destroy

20.9.0 Data administration

The activities associated with maintaining and using the data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries and the application of vital records and counter disaster plan objectives to safeguard against data loss or corruption.

See the organisation's functional retention and disposal authority for records relating to the retention of the data itself.

See **INFORMATION MANAGEMENT - Control** for records relating to the research, development, implementation and maintenance of system data standards such as metadata rules and dictionaries.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of business continuity or counter disaster plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of business continuity or counter disaster plans, including Year 2000 compliance risk assessments.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reports on the implementation of business continuity or counter disaster plans.

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TECHNOLOGY & TELECOMMUNICATIONS - Data administration

See **STRATEGIC MANAGEMENT - Risk management** for records relating to the identification and assessment of technology and telecommunications risks as part of broader strategic risk management processes, e.g. the analysis of insurance policies and legal liabilities across the organisation.

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the maintenance of system specific data dictionaries.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to migration strategies and quality assurance checks for migration.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to data clean-up performed as part of migration processes.

20.9.1	Records relating to the recovery of data, e.g. data lost during disasters, data corrupted by viruses etc. Records include records of testing for data recovery and post-incident reviews.	Retain minimum of 7 years after system is superseded, then destroy
20.9.2	Records relating to the maintenance of organisation-wide data dictionaries.	Retain until administrative or reference use ceases, then destroy

Database management

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the development of applications and the ongoing management of systems, including major changes, enhancements, upgrades, customisations or configurations.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to the implementation and roll-out of technology and telecommunications strategies, projects and systems.

20.10.0 Disposal

The process of disposing of technology and telecommunications equipment no longer required by the organisation by sale, transfer, termination of lease, auction or destruction.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the removal of items from the organisation's asset register.

See **TECHNOLOGY & TELECOMMUNICATIONS - Security** for records relating to the sanitisation of technology equipment prior to disposal.

20.10.1	Records relating to the disposal of technology and telecommunications equipment through any means	Retain minimum of 7 years after
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TECHNOLOGY & TELECOMMUNICATIONS - Evaluation

	<p>including sale, transfer, auction, exchange, return or destruction. Records include for leased equipment:</p> <ul style="list-style-type: none"> • written notices and related correspondence, e.g. to and from leasing companies • handover reports. <p>Records include for purchased equipment:</p> <ul style="list-style-type: none"> • independent valuation certificates verifying work undertaken on assets prior to valuation • written quotes • auction records • related correspondence. 	<p>disposal of asset, then destroy</p>
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20.11.0 Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.

20.11.1	<p>Records relating to the evaluation of potential or existing technology and telecommunications programs, equipment, services and systems. Records include:</p> <ul style="list-style-type: none"> • notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc • records establishing requirements for systems, including analysis of business processes and systems analysis • records of development and issue of specifications, including statements of requirements, requests for proposals, expressions of interest and business cases, initial pilot testing • records of evaluation of commercial 'off the shelf' products and services and whole of government solutions (including shared systems suites and endorsed suppliers) against user requirements • records of investigations into the feasibility of contracting-out technology and telecommunications activities. 	<p>If evaluation proceeds to purchase:</p> <p>Retain in accordance with TECHNOLOGY & TELECOMMUNICATIONS – ACQUISITION.</p> <p>If evaluation does not proceed to purchase:</p> <p>Retain minimum of 5 years after action completed, then destroy</p>
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TECHNOLOGY & TELECOMMUNICATIONS - Implementation

20.12.0 Implementation

The activities associated with carrying out or putting into action plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes the implementation of manual or automated databases, applications or systems, and stand alone projects for installation but excludes the minor installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met.

See **FINANCIAL MANAGEMENT - Accounting** for computer transaction input forms and documents used to update financial information.

See **STAFF DEVELOPMENT - Training** for records relating to training provided to employees as part of the implementation of technology and telecommunications systems.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of business continuity or counter disaster plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of business continuity or counter disaster plans.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reports on the effects of disasters.

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the development of applications and the ongoing management of systems, including major changes, enhancements, upgrades, customisations or configurations.

See **TECHNOLOGY & TELECOMMUNICATIONS - Data administration** for records relating to the recovery of data, e.g. data lost during disasters.

See **TECHNOLOGY & TELECOMMUNICATIONS - Planning** for records relating to the development and review of technology and telecommunications plans.

See **TECHNOLOGY & TELECOMMUNICATIONS - Policy** for records relating to the development and review of technology and telecommunications policies.

See **TECHNOLOGY & TELECOMMUNICATIONS - Procedures** for records relating to the development and review of technology and telecommunications procedures.

20.12.1	<p>Records relating to the implementation of technology and telecommunications strategies, projects, equipment and systems. Systems can include off-the-shelf products or internally developed applications. Records include:</p> <ul style="list-style-type: none"> • notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc • project management documentation • records of implementation strategies and pilots • records of implementation testing • records of migration strategies and quality assurance checks for migration 	<p>Retain minimum of 5 years after action completed, then destroy</p>
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TECHNOLOGY & TELECOMMUNICATIONS - Installation

	<ul style="list-style-type: none"> • records of allocation of technology and telecommunications equipment to individuals or organisational units as part of implementation roll-outs • records of monitoring of implementation. 	
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Inspections

See **TECHNOLOGY & TELECOMMUNICATIONS - Audit** for records relating to audits of the organisation's records, systems, processes etc including management of licences and technology and telecommunications equipment.

See **TECHNOLOGY & TELECOMMUNICATIONS - Compliance** for records relating to complying with standards or requirements, and inspections carried out due to breaches or suspected breaches of compliance requirements.

20.13.0 Installation

The activities involved in placing equipment in position and connecting and adjusting it for use.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to the installation of stand-alone projects, e.g. those involving capital expenditure.

See **TECHNOLOGY & TELECOMMUNICATIONS - Security** for records relating to permissions for use of systems.

20.13.1	Records relating to arrangements for the routine installation or relocation of technology and telecommunications equipment including software and hardware when they are not part of stand-alone projects, e.g. installation of a few PCs or printers.	Retain minimum of 2 years after action completed, then destroy
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20.14.0 Intellectual property

The activities involved in managing the organisation's intellectual property, both published and unpublished.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the payment of money.

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by internal and external legal service providers on intellectual property issues.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of intellectual property rights.

See **STRATEGIC MANAGEMENT - Agreements** for records relating to intellectual property agreements.

See **STRATEGIC MANAGEMENT - Compliance** for records relating to infringements of intellectual property.

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TECHNOLOGY & TELECOMMUNICATIONS - Intellectual property

See **STRATEGIC MANAGEMENT - Intellectual property** for records relating to the establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.

20.14.1	Records relating to managing applications: <ul style="list-style-type: none"> • made by the organisation to use portions of software developed by another organisation or individual, or • from the public or other organisations for permission to reproduce portions of software developed by the organisation where permission has been granted. 	Retain minimum of 7 years after action completed or minimum of 7 years after permission expires, whichever is longer, then destroy
20.14.2	Records relating to managing applications: <ul style="list-style-type: none"> • made by the organisation to use portions of software developed by another organisation or individual, or • from the public or other organisations for permission to reproduce portions of software developed by the organisation where permission has not been granted. 	Retain until administrative or reference use ceases, then destroy

Leasing

See **CONTRACTING-OUT** for records relating to the leasing of services or personnel to the organisation through a contracting-out or outsourcing process.

See **TECHNOLOGY & TELECOMMUNICATIONS - Acquisition** for records relating to the acquisition of technology and telecommunications equipment under a lease agreement.

See **TECHNOLOGY & TELECOMMUNICATIONS - Disposal** for records relating to the disposal of leased technology and telecommunications equipment.

See **TECHNOLOGY & TELECOMMUNICATIONS - Leasing-out** for records relating to leasing-out of the organisation's technology and telecommunications equipment, systems or services to another organisation.

20.15.0 Leasing-out

The activities involved in leasing-out equipment to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc of both parties. Also includes subleasing.

See **TECHNOLOGY & TELECOMMUNICATIONS - Acquisition** for records relating to leasing technology and telecommunications equipment from another organisation.

20.15.1	Records relating to arrangements for leasing-out the organisation's technology and telecommunications equipment, systems or services to other organisations.	Retain minimum of 7 years after lease expires or is
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TECHNOLOGY & TELECOMMUNICATIONS - Leasing-out

		terminated, and equipment is returned, then destroy
20.15.2	Records relating to leasing-out which is not proceeded with.	Retain minimum of 2 years after action completed, then destroy

20.16.0 Maintenance

The activities associated with the upkeep, repair, servicing and preservation of technology and telecommunications equipment and the maintenance of systems.

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the development of applications and the ongoing management of systems, including major changes, enhancements, upgrades, customisations or configurations.

20.16.1	Records relating to the maintenance of technology and telecommunications equipment. Records include: <ul style="list-style-type: none"> • project management documentation • notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc • correspondence and records of advice from vendors, suppliers, consultants etc • records of maintenance inspections • records of requests for maintenance • documentation of minor maintenance action. 	Retain minimum of 5 years after action completed, then destroy
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Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – APPLICATION DEVELOPMENT & MANAGEMENT for records relating to meetings held in order to discuss application development issues, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – AUDIT for records relating to meetings held in order to discuss audits of technology and telecommunications, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – PLANNING for records relating to meetings held in order to discuss planning for technology and telecommunications.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other

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TECHNOLOGY & TELECOMMUNICATIONS - Planning

government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

Modelling

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the development of business or technical models or prototypes developed as part of application development and management activities.

See **TECHNOLOGY & TELECOMMUNICATIONS - Evaluation** for records relating to the evaluation of programs, equipment, systems or services, including modelling that occurs as part of developing specifications.

Operations

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the management of systems, including advice received from consultants, suppliers and vendors, problem solving and the maintenance of system logs.

See **TECHNOLOGY & TELECOMMUNICATIONS - Customer service** for records relating to help desk operations and services.

See **TECHNOLOGY & TELECOMMUNICATIONS - Data administration** for records relating to the recovery of data, e.g. data lost during disasters, data corrupted by viruses.

See **TECHNOLOGY & TELECOMMUNICATIONS - Implementation** for records relating to the implementation of developed applications, including pilot studies, or the configuration or customisation and roll-out of off-the-shelf products.

See **TECHNOLOGY & TELECOMMUNICATIONS - Maintenance** for records relating to the maintenance of technology and telecommunications equipment.

20.17.0 Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

See **STRATEGIC MANAGEMENT - Planning** for records relating to planning for technology and telecommunications resources if it forms part of broader strategic, corporate or business planning.

20.17.1	Final, approved versions of plans for technology and telecommunications projects, systems and activities within an organisation, e.g. plans for quality control and for acquisition and implementation projects, systems security plans, information system security plans, information management and technology strategic plans, access control plans, telecommunications plans, Year 2000 contingency plans, and associated correspondence indicating who	Retain minimum of 5 years after plan is superseded, then destroy
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TECHNOLOGY & TELECOMMUNICATIONS - Planning

	the plans apply to and responsibilities for their implementation.	
20.17.2	<p>Records relating to the development and review of the organisation's technology and telecommunications plans, e.g. plans for quality control and for acquisition and implementation projects, systems security plans, information system security plans, information management and technology strategic plans, access control plans, telecommunications plans, Year 2000 contingency plans. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/ alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

20.18.0 Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross-functional or organisation-wide matters.

See **TECHNOLOGY & TELECOMMUNICATIONS - Customer service** for records relating to service charters.

20.18.1	<p>Final, approved versions of policies for the use or management of technology and telecommunications systems, e.g. information system security policies, information technology security policies, mobile telephone policies, Year 2000 compliance policies, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.</p> <p>Note: There may be some policies relating to the acquisition or disposal of technology and telecommunications equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.</p>	Retain minimum of 5 years after policy is superseded, then destroy
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TECHNOLOGY & TELECOMMUNICATIONS - Policy

20.18.2	<p>Records relating to the development and review of policies for the use or management of technology and telecommunications systems, e.g. information system security policies, information technology security policies, mobile telephone policies, Year 2000 compliance policies. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy
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Privacy

See **INFORMATION MANAGEMENT - Cases** for records relating to applications for internal review conducted under privacy legislation, and requests for the suppression of information in public registers maintained by the organisation.

See **INFORMATION MANAGEMENT - Compliance** for records relating to the organisation's compliance with privacy principles, and to breaches or suspected breaches of privacy in relation to the management of information.

See **INFORMATION MANAGEMENT - Planning** for records relating to the development and review of Privacy Management Plans.

See **INFORMATION MANAGEMENT - Policy** for records relating to the development and review of Privacy Codes of Practice.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the consideration of privacy when developing and managing applications and systems.

See **TECHNOLOGY & TELECOMMUNICATIONS - Audit** for records relating to formal audits of privacy protection measures in relation to the management of technology and telecommunications.

See **TECHNOLOGY & TELECOMMUNICATIONS - Compliance** for records relating to the organisation's compliance with privacy legislation, standards or regulatory requirements regarding the management of information and data in technology and telecommunications systems.

See **TECHNOLOGY & TELECOMMUNICATIONS - Security** for records relating to protecting the privacy of information in relation to technology and telecommunications.

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TECHNOLOGY & TELECOMMUNICATIONS - Procedures

20.19.0 Procedures

Standard methods of operating laid down by an organisation according to formulated policies.

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to quality assurance procedures.

20.19.1	<p>Final, approved versions of manuals, handbooks, directives etc detailing technology and telecommunications procedures, e.g. system usage procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.</p> <p>Note: Operating manuals for technology and telecommunications equipment, facilities or software not developed or customised by the organisation can be destroyed under normal administrative practice (NAP).</p> <p>Note: There may be some procedures relating to the acquisition or disposal of technology and telecommunications equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.</p>	Retain minimum of 5 years after procedures are superseded, then destroy
20.19.2	<p>Records relating to the development and review of the organisation's technology and telecommunications procedures, e.g. system usage procedures.</p> <p>Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. 	Retain minimum of 3 years after action completed, then destroy

20.20.0 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and providing formal statements or findings of the results of the examination or investigation.

See **FINANCIAL MANAGEMENT - Accounting** for computer generated reports/output produced or used for financial purposes.

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TECHNOLOGY & TELECOMMUNICATIONS - Reporting

See **FINANCIAL MANAGEMENT - Financial statements** for computer generated reports/outputs produced or used for financial purposes.

20.20.1	<p>Records relating to the development and review of formal reports regarding technology and telecommunications programs, services and systems, e.g. reports on systems development and implementation and reports on risk management processes. Records include:</p> <ul style="list-style-type: none"> • background research • records relating to the outcomes of consultation with employees, unions, other stakeholders etc • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
20.20.2	<p>Records relating to internal periodic reports on general administrative matters used to monitor recurring activities to support technology and telecommunications programs, services and systems. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. <p>Note: The disposal of some internal reports like batch reports, error reports, transaction reports etc is covered by normal administrative practice (NAP).</p>	Retain minimum of 3 years after action completed, then destroy

Research

See the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation.

See the relevant function/activity for records relating to background research undertaken when developing particular products or documentation, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – APPLICATION DEVELOPMENT & MANAGEMENT for records relating to the research undertaken as part of application development or management, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – PLANNING, TECHNOLOGY & TELECOMMUNICATIONS – POLICY or TECHNOLOGY & TELECOMMUNICATIONS – PROCEDURES for records relating to background research for the development or review of plans, policies or procedures.

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TECHNOLOGY & TELECOMMUNICATIONS - Restructuring

20.21.0 Restructuring

The activities involved in the reassessment of the activities, goals and structure of an organisation. Includes consideration of the equipment and resources required to meet objectives.

See the relevant function/activity for records relating to specific aspects of arranging for the transfer of systems or information assets, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – APPLICATION DEVELOPMENT & MANAGEMENT for records relating to major changes made to systems, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – IMPLEMENTATION for records relating to implementation of systems.

See **INFORMATION MANAGEMENT - Disposal** for records relating to arrangements for the transfer of records, data or information to successor organisations as a consequence of changes in administrative arrangements or functions or privatisation.

See **STRATEGIC MANAGEMENT - Agreements** for records relating to agreements regarding transfer of responsibilities and ownership of assets such as property, information, etc due to administrative change, privatisation or corporatisation.

20.21.1	Records relating to arrangements, e.g. project management documentation, for the transfer or integration of technology and telecommunications systems/assets to or from other organisations, e.g. after administrative change.	Retain minimum of 7 years after action completed, then destroy
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20.22.0 Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

See **TECHNOLOGY & TELECOMMUNICATIONS - Application development & management** for records relating to the development of applications and the ongoing management of systems, including major changes, enhancements, upgrades, customisations or configurations.

See **TECHNOLOGY & TELECOMMUNICATIONS - Evaluation** for records relating to the evaluation of systems prior to purchase.

See **TECHNOLOGY & TELECOMMUNICATIONS - Planning** for records relating to the review of plans.

See **TECHNOLOGY & TELECOMMUNICATIONS - Policy** for records relating to the review of policies.

See **TECHNOLOGY & TELECOMMUNICATIONS - Procedures** for records relating to the review of procedures.

20.22.1	Records relating to the review of technology and telecommunications programs and services, including post implementation reviews. Records include:	Retain minimum of 5 years after action completed, then destroy
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TECHNOLOGY & TELECOMMUNICATIONS - Reviewing

	<ul style="list-style-type: none"> • documents establishing the review • records of development of methodologies for review • background research • records of testing activities undertaken as part of reviews, e.g. user acceptance testing • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • project or action plans • certificates of compliance/completion. 	
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Risk management

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of occupational health and safety risks arising from the use of technology and telecommunications equipment.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of business continuity or counter disaster plans.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of business continuity or counter disaster plans, including Year 2000 compliance risk assessments.

See **STRATEGIC MANAGEMENT - Risk management** for records relating to the identification and assessment of technology and telecommunications risks as part of broader strategic risk management processes, e.g. the analysis of insurance needs and legal liabilities across the organisation.

See **TECHNOLOGY & TELECOMMUNICATIONS** /relevant activity for records relating to the management of risks as part of other processes, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – APPLICATION DEVELOPMENT & MANAGEMENT for records relating to the management of risks as part of application development or management processes, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – IMPLEMENTATION for records relating to the management of risks during implementations, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – REVIEWING for records relating to the management of risks as part of reviews.

20.23.0 Security

The activities associated with measures taken to protect technology and telecommunications equipment from theft, accidental or intentional damage or from unauthorised access.

See **INFORMATION MANAGEMENT - Security** for records relating to physical and intellectual security arrangements for access to records, e.g. security classifications and breaches of security affecting information resources, e.g. where records and information have been unlawfully accessed.

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TECHNOLOGY & TELECOMMUNICATIONS - Security

See **PERSONNEL - Misconduct** for records relating to disciplinary action taken against personnel for security breaches.

See **PROPERTY MANAGEMENT - Security** for records relating to building security arrangements, e.g. control of access to computer rooms.

See **TECHNOLOGY & TELECOMMUNICATIONS - Compliance** for records relating to demonstrating compliance with security standards.

20.23.1	<p>Records relating to requests and permissions for employees to access or connect to technology and telecommunications systems, e.g. local area networks, Internet, function specific systems etc.</p> <p>Note: Records are related to system logs (see APPLICATION DEVELOPMENT & MANAGEMENT 20.4.6) as they provide permissions to access systems, and logs show what systems are accessed and by whom. They may be required for accountability, but the length of retention is dependent on the system, the organisation's specific practices and risks. Each organisation will need to conduct risk assessments to determine suitable retention periods for these records.</p>	Retain in accordance with the organisation's requirements, then destroy
20.23.2	<p>Records relating to security arrangements made for the protection of technology and telecommunications systems. Records include:</p> <ul style="list-style-type: none"> • minutes or notes of meetings • records of authentication measures • records of encryption measures • records of advice/approval from other organisations regarding security issues • records of maintenance of firewalls • records of security testing and audit • records of sanitisation of technology equipment prior to disposal, e.g. wiping of hard disks. <p>Note: Disposal of backups is covered by normal administrative practice (NAP) as they are facilitative records. It is not good practice to rely on backups as official records of business as they are not considered to be reliable recordkeeping systems. There should be established and documented routines for the destruction of backups in accordance with NAP.</p>	Retain minimum of 7 years after action completed, then destroy
20.23.3	<p>Records relating to suspected or proven breaches of security arrangements for technology and telecommunications systems. Records include:</p> <ul style="list-style-type: none"> • reports on security leaks 	Retain minimum of 7 years after action completed, then destroy

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TECHNOLOGY & TELECOMMUNICATIONS - Security

	<ul style="list-style-type: none">records of investigations into alleged security breachesrecords of referral of breaches to law enforcement authorities.	
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Standards

Note: It is recommended that copies of policies, standards and guidelines from standards setting organisations be placed in the organisation's library.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government wide technology and telecommunications policies developed by central coordinating agencies.

See **TECHNOLOGY & TELECOMMUNICATIONS** /relevant activity for records relating to following standards when managing that activity, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – APPLICATION DEVELOPMENT & MANAGEMENT for records relating to following standards for the development of custom-built applications, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – IMPLEMENTATION for records relating to following standards for the implementation of systems.

See **TECHNOLOGY & TELECOMMUNICATIONS - Compliance** for records relating to the organisation's compliance with standards.

Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.

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TENDERING

21.0.0 TENDERING

The activities involved in receiving and assessing tenders, of making offers for and finalising contract arrangements for the supply, sale or purchase of goods and services.

See the organisation's functional retention and disposal authority for records relating to tenders for major construction projects for landmark structures or major infrastructure, e.g. Sydney Opera House, Sydney Harbour Tunnel etc or projects or services of government-wide impact, e.g. tenders for insurance or workers compensation for the whole of government.

See the organisation's functional retention and disposal authority for records relating to when an organisation manages tenders as a substantial component of its functional operations and responsibilities, e.g. Landcom regarding property development.

See the relevant function/POLICY or the relevant function/PROCEDURES for records relating to policies or procedures regarding tendering, e.g. use EQUIPMENT & STORES - POLICY for records relating to policies regarding tendering for equipment.

See **CONTRACTING-OUT** for records relating to contracts for outsourcing the operations or arranging, procuring and managing the provision of services by an external consultant or contractor once the tender has been decided.

21.0.1	<p>Issue, evaluation</p> <p>Records relating to the development, issue, evaluation and review of tenders. Records include:</p> <ul style="list-style-type: none"> • records of planning for the tender • minutes or notes of meetings • Statements of Requirements • Requests for Proposals • Expressions of Interest • Requests for Tender (RFT) • draft contracts • records of arrangements for carrying out the evaluation process • evaluation reports • recommendations • final reports • public notices • records of post offer negotiations • records of due diligence checks. 	Retain minimum of 7 years after tender process completed, then destroy
21.0.2	<p>Unsuccessful tenders</p> <p>Records relating to unsuccessful tenders or a tender process where there is no suitable bidder, or where the</p>	Retain minimum of 2 years after action completed, then destroy

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TENDERING

	<p>tender process has been discontinued. Records include:</p> <ul style="list-style-type: none"> • submissions • notifications of outcome • reports on debriefing sessions. 	
21.0.3	<p>Contracts</p> <p>Records relating to contracts resulting from tenders and supporting records. Records include:</p> <ul style="list-style-type: none"> • correspondence and records of negotiations including minutes or notes of meetings • draft versions of contracts or agreements containing significant changes/alterations or formally circulated for comment • final, approved and signed versions of contracts or agreements • records of variation or review of contracts or agreements. <p>Note: Specialty contracts include contracts under seal and deeds to property.</p> <p>Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.</p> <p>Note: Limitation periods for contractual agreements or arrangements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.</p>	<p>(A) For specialty contracts:</p> <p>Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy</p> <p>(B) For standard contracts or agreements:</p> <p>Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy</p>
21.0.4	<p>Summary records</p> <p>Summary records created to facilitate the management of contracts or tenders, e.g. contract registers, tender registers.</p> <p>Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.</p>	<p>Retain minimum of 7 years after action completed, then destroy</p>