

State Records Authority of New South Wales

General Retention and Disposal Authority: Records relating to the provision of shared corporate services (GA30)

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 Records Authority of New South Wales in accordance with section 21(3) of the Act.

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State Records Authority of New South Wales

General Retention and Disposal Authority

Authority no GA30

SR file no 07/0710

Scope

This general retention and disposal authority applies to records relating to the provision of shared corporate services to external clients created and maintained by NSW public offices from 1996 onwards.

Public office

NSW public offices responsible for the provision of shared corporate services to external clients, generally on a commercial or contractual basis.

Approval date

22/04/2008

David Roberts
Director
State Records Authority of New South Wales

Date

General Retention and Disposal Authority – Records relating to the provision of shared corporate services

Overview

Purpose of the Authority

The purpose of the *General Retention and Disposal Authority – Records relating to the provision of shared corporate services* is to establish consistent minimum retention periods for records relating to the provision and delivery of corporate services to external clients. The authority also provides permission for the destruction of these records in accordance with the provisions of the State Records Act after the expiry of the specified minimum retention periods.

What records does this authority cover?

This authority covers records in any format created and maintained by shared corporate service providers to support the provision and delivery of services to external clients. This includes records relating to:

- the development of new products and service delivery methods
- the establishment and implementation of service delivery benchmarks
- the management of client service arrangements and ongoing service delivery.

This authority is to be used in conjunction with:

- the relevant general retention and disposal authorities for other administrative records associated with the provision of corporate services not covered by this authority, for example use the *General Retention and Disposal Authority – Administrative records (GA28)* for records relating to the receipt and expenditure of funds received from clients for provision of corporate services
- the relevant general retention and disposal authority for records relating to the management and administration of the organisation's own corporate services, for example use the *General Retention and Disposal Authority – Personnel records (GDA12)* for records relating to the management of the organisation's own staff
- the relevant general retention and disposal authority and the client's functional retention and disposal authority for records managed on the client's behalf by the organisation, for example where the organisation provides records management services to clients.

Record retention periods and disposal actions

The following table contains the authorised minimum retention periods and disposal actions applying to the classes of records created and maintained by public offices in NSW to support the provision and delivery of shared corporate services to external clients.

Minimum retention periods

The Authority specifies minimum retention periods for which records are required to be retained before their destruction is permitted in accordance with the provisions of the State Records Act. 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 authorisation from State Records. Public offices may retain records for longer periods of time, subject to organisational need, without further reference to State Records.

Destroying records

When the authorised minimum retention period has been reached, appropriate arrangements for the destruction of records may be undertaken without further reference to State Records, unless otherwise advised. Persons using the Authority should apply it with caution, bearing in mind that the authorisations 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 *Freedom of Information Act 1989*, 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.

See *Destruction of Records: A practical guide* for information on destruction methods and considerations.

Any disposal of a client organisation's records should be conducted in accordance with the relevant general and functional retention and disposal authorities applying to the client's records, and under instruction or approval from them.

Providing feedback

To suggest amendments or alterations to this authority please contact us:

State Records

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Quick reference to functions and activities covered

The following table provides the reference for each of the functions and activities covered by the Authority.

Function	Activity	Reference
BUSINESS DEVELOPMENT		1.0.0
	Product & Service Delivery	1.1.0
	Reviewing	1.2.0
	Standards	1.3.0
SERVICE PROVISION		2.0.0
	Advisory & Consultancy Services	2.1.0
	Agreements	2.2.0
	Arrangements	2.3.0
	Complaints & Enquiries	2.4.0
	Implementation	2.5.0
	Liaison	2.6.0
	Policy	2.7.0

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Function	Activity	Reference
	Procedures	2.8.0
	Publications	2.9.0
	Reporting	2.10.0
	Reviewing	2.11.0

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No	Function/Activity	Description	Disposal Action
1.0.0	BUSINESS DEVELOPMENT	<p>The function of creating business opportunities through the development of new products and service delivery methods. Also includes the development and implementation of organisational standards or benchmarks for services.</p> <p>Use <i>General Retention and Disposal Authority – Administrative records – COMMUNITY RELATIONS – Joint Ventures</i> for records relating to joint operations and collaboration undertaken with other organisations for the purposes of raising or maintaining the profile of the organisation or its services.</p> <p>Use <i>General Retention and Disposal Authority – Administrative records – COMMUNITY RELATIONS - Marketing</i> for records relating to the promotion and marketing of the organisation's services.</p>	
1.1.0	Product & Service Development	<p>The activities associated with identifying and analysing potential and new products and services. Includes assessing the feasibility of offering new products or the delivery of services in new and innovative ways and developing business cases to support their introduction.</p> <p>Use BUSINESS DEVELOPMENT – Reviewing for records relating to reviews of products and services.</p> <p>Use SERVICE PROVISION – Advisory & Consultancy Services for records relating to project proposals for individual clients.</p> <p>Use SERVICE PROVISION – Agreements for records relating to the setting and negotiation of fees for individual clients.</p>	
1.1.1		Records relating to the development of new or revised products, services or service delivery models which do proceed. Records include feasibility studies, business cases, project proposals and project development or implementation plans.	Retain minimum of 10 years after last action, then destroy

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No	Function/Activity	Description	Disposal Action
1.1.2		Records relating to the development of new or revised products, services or service delivery models which do not proceed. Records include feasibility studies, business cases, project proposals and project development or implementation plans.	Retain minimum of 5 years after last action, then destroy
1.1.3		Records relating to the monitoring, comparison and analysis of competitors' products and services, service delivery methods and pricing structures. Records include background research, reports analysing and comparing products, services and pricing and reports to senior management on the commercial operating environment.	Retain minimum of 5 years after last action, then destroy
1.1.4		Records relating to planning for the provision of services on a consultancy or individual project or proposal basis. Records include: <ul style="list-style-type: none"> • background research • notes of meetings or reports analysing issues and the outcomes of consultation with employees and stakeholders • draft versions of plans containing significant changes/alterations or formally circulated for comment • final, approved versions of plans. 	Retain minimum of 7 years after last action, then destroy
1.1.5		Records relating to the setting of general schedules of fees and pricing models for services to clients. Records include fee schedules and variations.	Retain minimum of 2 years after superseded, then destroy

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No	Function/Activity	Description	Disposal Action
1.2.0	Reviewing	<p>The activities involved in re-evaluating or re-examining products and services. Includes recommendations and advice resulting from these activities.</p> <p>Use BUSINESS DEVELOPMENT – Product & Service Development for records relating to proposals for or development of new products, services or service delivery methods arising from reviews.</p>	
1.2.1		<p>Records relating to the review of products and services and recommendations for changes, improvements and withdrawal of products and services. Records include:</p> <ul style="list-style-type: none"> • documents establishing the review • background research • draft and final, approved versions of reports • project or action plans. 	Retain minimum of 5 years after last action, then destroy
1.2.2		Records relating to the evaluation of the organisation's service delivery and performance against standards, benchmarks and performance indicators.	Retain minimum of 5 years after last action, then destroy
1.3.0	Standards	<p>The activities associated with the establishment and implementation of benchmarks for service delivery to clients.</p> <p>Use BUSINESS DEVELOPMENT – Reviewing for records relating to evaluating the organisation's performance against established standards and benchmarks.</p> <p>Use SERVICE PROVISION – Reporting for records relating to reporting to</p>	

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No	Function/Activity	Description	Disposal Action
		individual clients on project performance.	
1.3.1		Records relating to the establishment and implementation of benchmarks for service delivery to clients. Includes identification of best practice performance indicators, development of qualitative and quantitative measurements, development and promulgation of service delivery standards. Includes records relating to the development of and final copies of the service standards.	Retain minimum of 5 years after last action, then destroy
2.0.0	SERVICE PROVISION	<p>The function of managing the provision of shared corporate services to clients on a commercial or contractual basis. Includes the establishment of service arrangements with clients and management of ongoing service delivery. Types of services include (but are not limited to):</p> <ul style="list-style-type: none"> • property management • financial management • asset and fleet management • human resources, payroll and salaries administration • procurement and tendering • records, library and information management • technology and telecommunications systems administration • shared information networks or portals. <p>Use <i>General Retention and Disposal Authority – Administrative records – FINANCIAL MANAGEMENT</i> for records relating to the receipt, allocation and</p>	

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No	Function/Activity	Description	Disposal Action
		<p>expenditure of funds received from clients and users.</p> <p>Use <i>General Retention and Disposal Authority – Administrative records – TECHNOLOGY & TELECOMMUNICATIONS</i> for records relating to the acquisition, disposal, design and administration of the hardware, software and communication network systems that support the delivery of the service.</p> <p>Use the relevant <i>General Retention and Disposal Authority</i> for records relating to the management and administration of the organisation's own corporate services, e.g. use <i>General Retention and Disposal Authority – Personnel records</i> for records relating to the organisation's staff, use <i>General Retention and Disposal Authority – Administrative records – FINANCIAL MANAGEMENT</i> for records relating to the administration of the organisation's own finances, use <i>General Retention and Disposal Authority – Administrative records – PROPERTY MANAGEMENT</i> for records relating to the acquisition or leasing of the organisation's own premises.</p> <p>Use the relevant <i>General Retention and Disposal Authority</i> and the client's functional retention and disposal authority for records managed on behalf of clients by the organisation, e.g. where the organisation provides records management services and the client sends records for registration, sentencing, etc.</p> <p>Any disposal of the client organisation's own records should be conducted in accordance with general and functional retention and disposal authorities applying to the records of the client organisation and under instruction or approval from them.</p>	
2.1.0	Advisory & Consultancy Services	<p>The activities associated with the provision of advice and specialist services to clients on a consultancy or individual project or proposal basis.</p> <p>Use <i>General Retention and Disposal Authority – Administrative records – COMMUNITY RELATIONS – Enquiries</i> for records relating to requests for</p>	

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No	Function/Activity	Description	Disposal Action
		<p>routine information about the organisation and its services.</p> <p>Use <i>General Retention and Disposal Authority – Administrative records – INFORMATION MANAGEMENT</i> – Enquiries for records of the handling of reference and research enquiries relating to the information management services or holdings of the organisation.</p>	
2.1.1		<p>Records relating to the provision of advice and services to clients on a consultancy or project or proposal basis. For example, assistance with strategic planning, development of business cases, taxation and procurement matters, information management and copyright and intellectual property issues, etc. Records include:</p> <ul style="list-style-type: none"> • project and consultancy proposals • project plans • letter of acceptance • correspondence and documentation relating to the consultancy and advice provided or work undertaken • notes of meetings or reports analysing issues and the outcomes of consultation with clients and employees. 	Retain minimum of 7 years after completion of project, then destroy
2.1.2		<p>Records relating to project or consultancy proposals submitted to clients, which are declined or are unsuccessful. Records include:</p> <ul style="list-style-type: none"> • project and consultancy proposals • letters of rejection • notes of meetings or reports analysing issues and the outcomes of 	Retain minimum of 2 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
		consultation with clients and employees.	
2.2.0	Agreements	The processes associated with the establishment, maintenance, review and negotiation of agreements.	
2.2.1		Records relating to specialty contracts or agreements for service or partnership arrangements with clients. Records include: <ul style="list-style-type: none"> • draft versions of agreements, including service level agreements, containing significant changes or formally circulated for comment • final, approved versions of agreements, including service level agreements. 	Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy
2.2.2		Records relating to standard contracts or agreements (including memoranda of understanding) for service or partnership arrangements with clients. Records include: <ul style="list-style-type: none"> • draft versions of agreements, including service level agreements, containing significant changes or formally circulated for comment • final, approved versions of agreements, including service level agreements. 	Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy
2.2.3		Records relating to service arrangements and contracts or agreements (including memoranda of understanding) that do not proceed. Records include: <ul style="list-style-type: none"> • correspondence and negotiations, including minutes or notes of meetings with clients 	Retain minimum of 2 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
		<ul style="list-style-type: none"> • draft versions of agreements. 	
2.2.4		Records relating to negotiations for setting and revising fees and fee structures with individual clients. Records include pricing reviews, recommendations and decisions on pricing and fee structures.	Retain minimum of 10 years after last action, then destroy
2.3.0	Arrangements	The activities associated with coordinating and managing clients and client information. Includes managing the setting up of new clients and the departure of clients no longer requiring the organisation's services.	
2.3.1		Records relating to the coordination of arrangements for setting up new clients or for the departure of clients no longer requiring the organisation's services. Includes changes in client arrangements arising from movements between service providers and the provision of new services. Records include client information and management data.	Retain minimum of 7 years after last action, then destroy
2.4.0	Complaints & Enquiries	The processes associated with the processing of complaints and enquiries received from clients regarding service delivery and projects.	
2.4.1		Records relating to requests and complaints received by service centres from clients that require investigation or a specific response. Includes records of receipt, investigation and response and summary records facilitating the monitoring and tracking of complaints, enquiries or requests received and their handling, e.g. complaints registers.	Retain minimum of 7 years after last action, then destroy
2.4.2		Records relating to requests or complaints received by service centres from clients that result in referral to another organisation for response or a routine response.	Retain minimum of 2 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
2.5.0	Implementation	<p>The activities associated with carrying out or putting into action plans, policies, procedures or instructions for the purposes of service provision or delivery. Includes monitoring to ensure that the implementation goes according to schedule and that standards are met.</p> <p>Use SERVICE PROVISION – Liaison for records of meetings held with clients and users to discuss and resolve issues and matters relating to the provision of services.</p> <p>Use SERVICE PROVISION – Reviewing for records relating to the re-evaluation of the plans, policies, procedures, systems or processes for service provision that were implemented.</p>	
2.5.1		<p>Records relating to the implementation of decisions concerning the management and coordination of the provision of services to clients. Includes the implementation of changes to service systems and shared information networks, etc. resulting from feedback received from users. Records include:</p> <ul style="list-style-type: none"> • project management documentation • records of implementation strategies and pilots • records of implementation testing • records of monitoring of implementation. 	Retain minimum of 7 years after action completed, then destroy
2.6.0	Liaison	<p>The activities associated with maintaining regular general contact between the organisation and its clients regarding partnership arrangements and the provision of services.</p>	

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No	Function/Activity	Description	Disposal Action
2.6.1		<p>Records relating to liaison with clients regarding the formal arrangements negotiated between the organisation and clients about the nature, value and quantities of service to be provided under service agreements, including partnership arrangements, and any changes to the arrangement over time. Records include:</p> <ul style="list-style-type: none"> • determinations of nature and required quantities of services • correspondence and negotiations, including minutes or notes of meetings with clients • variations to arrangements. 	Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy
2.6.2		Records relating to routine liaison and meetings with clients regarding the delivery of services. Records include correspondence, including minutes or notes of meetings with clients.	Retain minimum of 5 years after action completed, then destroy
2.6.3		Records relating to liaison and meetings with users and stakeholders regarding the management, usage, coordination and development of systems and shared information networks. Records include correspondence, including minutes or notes of meetings.	Retain minimum of 7 years after action completed, then destroy
2.7.0	Policy	<p>The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making and the basis from which the organisation's operating procedures are determined.</p> <p>Use BUSINESS DEVELOPMENT – Standards for records relating to the establishment and implementation of benchmarks for service delivery to clients.</p>	

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No	Function/Activity	Description	Disposal Action
2.7.1		Final, approved versions of policies relating to the provision of corporate support services and the management of service arrangements with clients. Includes policies on complaints management and policies setting out the types of services provided, and the organisation's and client responsibilities.	Retain minimum of 7 years after policy superseded, then destroy
2.7.2		Records relating to the formulation and review of policies on the provision of corporate support services and the management of service arrangements with clients. Includes policies on complaints management and policies setting out the types of services provided, expected service levels and the organisation's and client responsibilities. Records include: <ul style="list-style-type: none"> • policy proposals • background research • notes of meetings or reports analysing issues and the outcomes of consultation with employees and stakeholders • draft versions of policies containing significant changes or formally circulated for comment. 	Retain minimum of 3 years after action completed, then destroy
2.8.0	Procedures	Standard methods of operating laid down by an organisation according to formulated policies.	
2.8.1		Final, approved versions of manuals, handbooks, directives, etc detailing the organisation's procedures regarding the provision of corporate support services and the management of service arrangements with clients. Includes procedures on complaints management.	Retain minimum of 7 years after superseded, then destroy
2.8.2		Final, approved versions of manuals, handbooks, directives, etc. detailing procedures for accessing, managing and using systems and shared	Retain minimum of 3 years after superseded,

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No	Function/Activity	Description	Disposal Action
		information networks produced for external users and clients.	then destroy
2.8.3		<p>Records relating to the formulation and review of manuals, handbooks, directives, etc detailing the organisation's procedures regarding the provision of corporate support services, the management of service arrangements with clients and accessing, using and managing services systems or shared information networks. Records include:</p> <ul style="list-style-type: none"> • background research • reports analysing issues and the outcomes of consultation with employees and stakeholders • draft versions of procedures containing significant changes or formally circulated for comment. 	Retain minimum of 3 years after action completed, then destroy
2.9.0	Publications	<p>The activities associated with the development of newsletters, brochures, etc. relating to the organisation's services and products, which are distributed to existing clients.</p> <p>Use <i>General Retention and Disposal Authority – Administrative records – PUBLICATION</i> for records relating to the design, production and distribution of publications.</p>	
2.9.1		<p>Records relating to the development of publications, such as newsletters, brochures and communiqués regarding the organisation's services, new initiatives and products, etc., which are distributed to clients. Records include:</p> <ul style="list-style-type: none"> • final, approved versions of publications • draft versions of publications. 	Retain until superseded or reference use ceases, then destroy

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No	Function/Activity	Description	Disposal Action
2.10.0	Reporting	<p>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 to provide formal statements of or findings of the examination or investigation.</p> <p>Use the relevant <i>General Retention and Disposal Authority</i> for records relating to internal reports to management, e.g. use <i>General Retention and Disposal Authority – Administrative records – FINANCIAL MANAGEMENT – Reporting</i> for financial reports prepared for management, etc.</p>	
2.10.1		<p>Records relating to performance reports provided to the client regarding the management of their services. This includes reports relating to:</p> <ul style="list-style-type: none"> • the evaluation of service delivery performance for individual clients • the outcomes of consultation with employees and clients • the usage of funds and progress of projects, improvements to and the management of the service. <p>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
2.11.0	Reviewing	<p>The activities involved in re-evaluating or re-examining products, processes, plans, policies and procedures. Includes recommendations and advice resulting from these activities.</p>	

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No	Function/Activity	Description	Disposal Action
2.11.1		<p>Records relating to the review of plans, processes, systems, etc. for the management and provision of services to clients, including post-implementation reviews. Records include:</p> <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 • project or action plans • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • certificates of compliance/completion. 	Retain minimum of 5 years after action completed, then destroy