

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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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.

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

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No.	Description of records	Disposal action
-----	------------------------	-----------------

INFORMATION MANAGEMENT - Acquisition

INFORMATION MANAGEMENT		12.0.0	4
	Acquisition	12.1.0	4
	Advice		5
	Agreements	12.2.0	5
	Appeals	12.3.0	6
	Audit	12.4.0	6
	Authorisation	12.5.0	7
	Cases	12.6.0	7
	Committees		10
	Compliance	12.7.0	10
	Conservation	12.8.0	12
	Contracting-out		13
	Control	12.9.0	13
	Customer service	12.10.0	16
	Data administration		17
	Disposal	12.11.0	17
	Distribution	12.12.0	19
	Donations	12.13.0	19
	Enquiries	12.14.0	20
	Evaluation	12.15.0	20
	Implementation	12.16.0	21
	Inspections		21
	Intellectual property	12.17.0	22
	Inventory	12.18.0	22
	Marketing	12.19.0	23
	Meetings		23

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
-----	------------------------	--	-----------------

INFORMATION MANAGEMENT - Acquisition

	Planning	12.20.0	23
	Policy	12.21.0	24
	Privacy		25
	Procedures	12.22.0	26
	Reporting	12.23.0	27
	Research		28
	Reviewing	12.24.0	28
	Risk management		29
	Security	12.25.0	29
	Standards		30
	Suggestions		30
	Tendering		30

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
-----	------------------------	-----------------

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	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:	Retain minimum of 7 years after action completed, then destroy
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Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

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-----	------------------------	-----------------

INFORMATION MANAGEMENT - Agreements

	<ul style="list-style-type: none"> • orders • 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 	<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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Common administrative records created and maintained by New South Wales Public Offices

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-----	------------------------	-----------------

INFORMATION MANAGEMENT - Appeals

	stakeholders <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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No.	Description of records	Disposal action
<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 completed, then

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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.	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. 	<p>Retain minimum of 10 years after exemption is refused, revoked or superseded, then destroy</p>
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. 	<p>Retain minimum of 10 years after action completed, then destroy</p>
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 	<p>Retain minimum of 5 years after action completed, then destroy</p>

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

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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
12.8.3	Records relating to specialised conservation	Retain until treated

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

Authority number: GA28

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No.	Description of records	Disposal action
-----	------------------------	-----------------

INFORMATION MANAGEMENT - 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.	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	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: <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 records the organisation holds for records required as State archives so that an assessment can be made of</p>	Required as State archives
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Common administrative records created and maintained by New South Wales Public Offices

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-----	------------------------	-----------------

INFORMATION MANAGEMENT - Control

	<p>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) • reference sets of control records (e.g. within branches/regions of organisation where master control records are retained centrally) 	<p>Retain until administrative or reference use ceases, then destroy</p>

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

Authority number: GA28

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<i>INFORMATION MANAGEMENT - Control</i>		
	<ul style="list-style-type: none"> • 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	<p>Control records relating to the organisation's library systems. Records include:</p> <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	<p>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> <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	<p>Records relating to the receipt and dispatch of the organisation's mail. Includes receipts and/or registers for registered and certified mail.</p> <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 or amendment to an entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 3 years after action completed, then destroy
12.9.9	Records relating to the recall and return of records	Retain minimum of 2 years after return

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
-----	------------------------	-----------------

INFORMATION MANAGEMENT - Customer service

	from offsite storage or from State archives.	of record, then destroy
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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 ceases, then destroy
12.10.6	Contact details of clients, e.g. email lists, telephone lists.	Retain until superseded, then

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
-----	------------------------	-----------------

INFORMATION MANAGEMENT - Disposal

		destroy
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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
12.11.3	Records relating to the transfer of records as State archives. Records include: <ul style="list-style-type: none"> • transfer proposals • lists of series proposed for transfer 	Retain in organisation or transfer to successor organisation as

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"> • 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>	required
12.11.4	Records relating to the transfer of records to commercial storage. Records include: <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: <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 	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"> • 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.

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	Retain minimum of 7 years after donation is received
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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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INFORMATION MANAGEMENT - Enquiries

	liaison regarding conditions of donation.	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.

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.

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 - Evaluation

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 management systems and projects. Includes pilots and post implementation reviews.	Retain minimum of 7 years after action completed, then destroy
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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.

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 - Intellectual property

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.

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
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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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INFORMATION MANAGEMENT - Marketing

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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.

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	Retain minimum of 5 years after plan is superseded, then
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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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INFORMATION MANAGEMENT - Planning

	management plans, vital records plans, etc., and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	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 associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Retain minimum of 5 years after policy is superseded, then destroy
12.21.2	Records relating to the development and review of the organisation's information management policies e.g. information management security policies, library and	Retain minimum of 3 years after action completed, then

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
-----	------------------------	-----------------

INFORMATION MANAGEMENT - Policy

	<p>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. 	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

Privacy

See **INFORMATION MANAGEMENT - Agreements** for records relating to the establishment, negotiation, maintenance and review of records confidentiality agreements.

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 - Procedures

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 procedures apply to and responsibilities for their implementation.	Retain minimum of 5 years after procedures are superseded, then destroy
12.22.2	Records relating to the development and review of the organisation's information management procedures, e.g. library procedures, records management	Retain minimum of 3 years after action completed, then

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 - Reporting

	procedures, security arrangements for information resources, mail handling protocols, 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. 	destroy
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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	Records relating to the development and review of reports regarding information 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 • final, approved versions of reports. 	Retain minimum of 7 years after action completed, then destroy
12.23.2	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: <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

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 - Reporting

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
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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: <ul style="list-style-type: none"> • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally 	Retain minimum of 5 years after action completed, 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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INFORMATION MANAGEMENT - Security

	<p style="text-align: center;">circulated for comment</p> <ul style="list-style-type: none"> • 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 regarding general security classifications for accessing records, delegations of authority, etc.	Retain minimum of 5 years after superseded, 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 - Security

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.