

State Archives and Records Authority of New South Wales

General Retention and Disposal Authority: GA28

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

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

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ISBN 978-0-9757845-5-6

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

Authority number: GA28

Dates of coverage: 1940+

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PERSONNEL - Advice

15.0.0 PERSONNEL

The function of managing all employees in the organisation. Employees include Ministerial, permanent and temporary employees, volunteers and people working under scholarships, traineeships, apprenticeships and similar relationships. Also includes the management of statutory appointees such as members of Tribunals and Commissions etc.

See **COMPENSATION - Claims** for records relating to claims made by employees, volunteers and work experience students.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process, including the use of consultants and contractors.

See **ESTABLISHMENT** for records relating to establishing and reviewing positions.

See **FINANCIAL MANAGEMENT** for records relating to the management of salaries and payroll, including allowances.

See **GOVERNING & CORPORATE BODIES** for records relating to members of governing bodies such as boards, trusts, councils, commissions etc.

See **INDUSTRIAL RELATIONS** for records relating to establishing formal relations with the organisation's employees and their representatives.

See **OCCUPATIONAL HEALTH & SAFETY** for records relating to implementing and coordinating occupational health and safety and associated legislation throughout the organisation.

See **STAFF DEVELOPMENT** for records relating to arrangements for employee training.

See **STRATEGIC MANAGEMENT - Evaluation** for records relating to the evaluation of personnel programs.

15.1.0 Advice

The activities associated with giving advice or guidance to an employee.

See **PERSONNEL - Misconduct** for records relating to the counselling of employees as part of a disciplinary matter

See **PERSONNEL - Performance management** for records of counselling or advice provided as part of performance assessment, review or evaluation processes

15.1.1	Records relating to the provision of advice and assistance to employees about employment conditions, career, personal matters, trauma, finances, salaries, superannuation etc. Includes orientation advice for new employees and rehabilitation or return to work assistance not related to a compensation case. Records include notes, reports, etc.	Retain minimum of 7 years after action completed, then destroy
15.1.2	Records relating to the provision of counselling by a professional counsellor. Includes case files. Note: Case files may be destroyed prior to the expiry of the minimum retention period in certain	Retain minimum of 7 years after action completed, then destroy

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PERSONNEL - Advice

	circumstances e.g. agreement between counsellor and client, agreement between organisation and union.	
15.1.3	Records relating to the implementation of employee assistance/counselling programs or schemes, such as career or trauma counselling programs. Includes program plans and reports.	Retain minimum of 7 years after action completed, then destroy

15.2.0 Authorisation

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

See **FINANCIAL MANAGEMENT - Accounting** for records relating to payments for accommodation, airfares, vehicle hire etc.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for reimbursement of travel and other expenses etc.

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

See **STRATEGIC MANAGEMENT - Authorisation** for records relating to banking/financial authorities and delegations of authority to employees.

15.2.1	Records relating to applications, approvals and authorisations for employees to undertake a proposed action or activity, e.g. undertake a work trip, work from home, hold secondary employment etc. Includes approvals, refused applications.	Retain minimum of 7 years after action completed or expiry of approval, then destroy
15.2.2	Records relating to work-related travel arrangements and bookings for employees. Note: Records relating to payments for accommodation, airfares, vehicle hire are covered by FINANCIAL MANAGEMENT - Accounting.	Retain minimum of 2 years after action completed, then destroy

15.3.0 Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements.

See **PERSONNEL - Recruitment** for records relating to working with children checks.

See **PERSONNEL - Reporting** for records relating to the statutory reporting of incidents or referral of matters to other bodies

15.3.1	Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements relating to the management of personnel, e.g. the registration of an organisation with an 'approved screening agency' for working with children checks. Includes advice and guidance shared	Retain minimum of 7 years after action completed, then destroy
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PERSONNEL - Employee service history

	<p>between the organisation and external bodies concerning compliance matters, including circulars and information letters.</p> <p>Note: The retention period provided is a guideline only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.</p> <p>Note: The registration records created or received by approved screening agencies are not covered in this Authority.</p>	
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15.4.0 Employee service history

The activities associated with managing the appointment and service of personnel. Includes permanent, temporary and casual employees, and volunteers.

15.4.1	<p>Records summarising the employment or service history of personnel. Includes:</p> <ul style="list-style-type: none"> • name • date of birth • dates of employment/service • positions held and salary • locations worked. <p>Note: This includes information maintained in electronic recordkeeping systems.</p> <p>Note: If an organisation is unable to easily produce summary records containing the above information, then it should contact State Archives and Records NSW for advice.</p>	Required as State archives
15.4.2	<p>Records documenting the selection and appointment of:</p> <ul style="list-style-type: none"> • chief executive officers • statutory officers appointed by the Minister (such as Chief Justices, Registrar-General, Surveyor-General, judges, magistrates, Director of Public Prosecutions) • University Chancellors and Vice Chancellors. <p>Note: State Archives and Records NSW should be contacted for advice about other categories of officers for whom records who may be eligible for transfer as State archives e.g. Government Architect.</p>	Required as State archives

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<i>PERSONNEL - Employee service history</i>		
15.4.3	<p>Records documenting the appointment and subsequent employment history (including separation from the organisation) of successful applicants for a position. Includes:</p> <ul style="list-style-type: none"> • job applications and resumes • conduct and services checks • letters of appointment and acceptance • recognition of prior service • confidentiality agreement as part of employment • code of conduct • service records • correspondence, reports etc relating to separation. 	<p>Retain minimum of 75 years after date of birth or minimum of 7 years after employment ceases, whichever is longer, then destroy</p>
15.4.4	<p>Records documenting the appointment and service of volunteers, individuals on work experience placements and job assistance schemes, and individuals employed on a short-term or casual basis where the terms of engagement do not provide for the accrual of on-going rights and entitlements e.g. individuals employed for one-off or short-term recurring events such as University open days or person's or individuals engaged to provide particular services on an as required basis, etc. Records include:</p> <ul style="list-style-type: none"> • reports • correspondence • bonds and liabilities • agreements and undertakings • conditions of engagement • details of work performed • working with children declaration • code of conduct • service records. 	<p>Retain minimum of 7 years after service completed or until person reaches age of 25, whichever is longer, then destroy</p>
15.4.5	<p>Records relating to individual employee's workplace agreements.</p>	<p>Retain minimum of 7 years after expiry or termination of agreement, then destroy</p>
15.4.6	<p>Records documenting declarations of interests by employees e.g. pecuniary interest, benefits and contacts.</p>	<p>Retain minimum of 7 years after superseded, then</p>

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PERSONNEL - Employee service history

		destroy
15.4.7	Records relating to transfers or secondments (includes the transfer of teachers and hospital staff) and arrangements for employees to act in higher positions.	Retain minimum of 7 years after action completed, then destroy
15.4.8	Records relating to the management of employment schemes and job assistance schemes. Includes reports, correspondence, bonds and liabilities.	Retain minimum of 7 years after action completed, then destroy

15.5.0 Grievances

The activities associated with the handling and resolution of grievances raised by employees. Includes handling complaints over perceived discrimination, or complaints concerning the work environment, organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion or higher duties.

Note: Complaints over perceived discrimination could be on the grounds of sex, race, disability, pregnancy, carer responsibilities, homosexuality or transgender status and could also cover bullying or harassment.

See **INDUSTRIAL RELATIONS - Disputes** for records relating to industrial disputes.

See **INDUSTRIAL RELATIONS - Grievances** for records relating to the handling and resolution of employee grievances and complaints raised by representatives on behalf of employees that have unit, organisational or sector-wide impact.

15.5.1	Records documenting formal and informal grievances lodged by an employee, including those referred to an external body. Includes notes of meetings, reports and recommendations.	Retain minimum of 7 years after action completed, then destroy
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15.6.0 Insurance

The process of taking out premiums to cover the personal effects of employees while being moved between locations.

See **COMPENSATION - Insurance** for records relating to insurance policies covering employees against injury.

15.6.1	Insurance policies supporting the management of personnel, e.g. for personnel and household effects being moved between locations, including information provided for renewals.	Retain minimum of 7 years after expiry of the policy, then destroy
15.6.2	Records relating to the administration of insurance policies. Records include notices of renewals, advice on premiums payable etc.	Retain minimum of 1 year after action completed, then

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PERSONNEL - Leave, attendance and absences

		destroy
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15.7.0 Leave, attendance and absences

The process of administering leave and documenting the attendance of employees. Includes unauthorised leave taken by staff and the management of rosters.

See **PERSONNEL - Employee service history** for summary records of service.

15.7.1	Summary details of leave taken by employees. Includes name, type of leave, dates taken, and approval.	Retain minimum of 75 years after date of birth of employee or minimum of 7 years after employment ceases, whichever is longer, then destroy
15.7.2	Records documenting approvals for leave without pay in excess of 6 months, extended (long service) leave and study leave. Includes briefing notes and other supporting documentation.	Retain minimum of 7 years after employment ceases, then destroy
15.7.3	Records documenting applications for leave. Records include leave requests and applications, and associated supporting documentation. Note: Where an appropriate summary record of leave taken by an employee is not available, approved applications will need to be retained for a minimum period of 75 years after date of birth or 7 years after employment ceases, whichever is longer.	Retain minimum of 7 years after action completed, then destroy
15.7.4	Attendance records for employees, including flexitime sheets, time sheets and attendance sheets. Note: Licensees of children's services should meet the minimum retention requirements for these records outlined in National or NSW laws and regulations applying to early childhood education and care providers.	Retain minimum of 7 years after action completed, then destroy
15.7.5	Records documenting the management of rosters where these are not required or used to record attendance, e.g. where the signed attendance or time sheet is the accountable record of hours worked.	Retain minimum of 6 months after action completed, then destroy

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PERSONNEL - Misconduct

15.8.0 Misconduct

The activities associated with the disciplinary process. Includes investigation, charges, formal inquiries, punishment and appeals.

See **LEGAL SERVICES - Litigation** for records relating to legal proceedings arising from disciplinary action.

See **PERSONNEL - Performance management** for records relating to performance management that is not part of a disciplinary process.

See **PERSONNEL - Reporting** for records relating to reporting or notification of matters to other government agencies or external bodies as required.

15.8.1	Records relating to the management of instances or allegations of misconduct involving abuse or neglect of children. Records include: <ul style="list-style-type: none"> • advice of allegation and response • investigation documentation and reports • referrals to external bodies • records of remedial and/or disciplinary action • records of appeals. 	Retain minimum of 100 years after action completed, then destroy
15.8.2	Records relating to the management of instances or allegations of misconduct (not involving abuse or neglect of children) where an investigation is conducted. Records include: <ul style="list-style-type: none"> • advice of allegation and response • investigation documentation and reports • referrals to external bodies • records of remedial and/or disciplinary action • records of appeals. 	Retain minimum of 10 years after action completed, then destroy
15.8.3	Records relating to the management of instances or allegations of misconduct where no follow-up investigation is conducted.	Retain minimum of 7 years after action completed, then destroy

15.9.0 Performance management

The process of identifying, evaluating, and developing corporate and employee work performance so that the organisation's goals and objectives are achieved and also benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.

See **PERSONNEL - Misconduct** for records relating to the management of performance as part of disciplinary matters.

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PERSONNEL - Performance management

15.9.1	Records of awards to employees for bravery and meritorious service. Includes registers, nominations and details of awards.	Required as State archives
15.9.2	Records relating to the administration and implementation of performance management programs, including recognition schemes for employees. Includes routine or periodic awards to employees in recognition of service.	Retain minimum of 10 years after action completed, then destroy
15.9.3	Records relating to the assessment, evaluation and review of an employee's performance. Includes performance agreements and development plans, reports on performance assessments, evaluations and reviews, performance counselling, etc.	Retain minimum of 3 years after superseded, then destroy

15.10.0 Recruitment

The activities associated with recruiting employees and volunteers.

Note: Unsolicited applications for employment can be destroyed under the Normal Administrative Practice provisions of the *State Records Act 1998*.

See **ESTABLISHMENT - Variations** for records relating to the creation of positions.

See **PERSONNEL - Employee service history** for records relating to successful applications.

15.10.1	<p>Records relating to the filling of vacancies. Includes unsuccessful applications for a position or offers of employment which are not accepted. Includes:</p> <ul style="list-style-type: none"> • applications to fill a vacancy • advertisements and details of position, duty statements, selection criteria etc. • selection committee records and reports • applications received • associated checks and approvals • eligibility lists • notifications to unsuccessful applicants • records of appeals. <p>Note: The records of working with children checks or risk assessments created or received by approved screening agencies are not covered in this Authority.</p>	Retain minimum of 2 years after recruitment finalised, then destroy
15.10.2	<p>Criminal history details provided as part of criminal record checks.</p> <p>Note: These records should be retained as per the</p>	Retain until check completed, then destroy

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PERSONNEL - Recruitment

	<p>agreement with the criminal history check service provider. See the relevant section of the Personnel Handbook for details of procedures to be followed by Government agencies with respect to the keeping of criminal records.</p> <p>Note: Records of criminal checks carried out by approved screening agencies are not covered in this Authority.</p>	
15.10.3	Records relating to the marketing of professions, career paths and employment schemes including campaign records and advertisements. Includes recruitment strategies.	Retain until administrative or reference use ceases, then destroy

15.11.0 Reporting

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

See **PERSONNEL - Misconduct** for records relating to disciplinary matters.

15.11.1	Records relating to the statutory reporting of incidents or referral of other matters to external bodies such as the Police, Independent Commission Against Corruption, the Ombudsman or child protection agencies e.g. Community Services.	Retain minimum of 10 years after action completed, then destroy
15.11.2	<p>Records relating to reports regarding the management of personnel, e.g. workforce profile reports. Includes periodic internal reports on personnel programs and services. Records include:</p> <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. 	Retain minimum of 5 years after action completed, then destroy

15.12.0 Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed as official representatives to organisations, unions, workers participation committees, or groups.

See **COMMITTEES** for records relating to appointments to internal or external committees.

See **FINANCIAL MANAGEMENT - Salaries** for records relating to the payment of allowances to representatives.

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PERSONNEL - Representatives

15.12.1	Records relating to the nomination, appointment or resignation of individuals or groups of personnel as delegates or representatives of the organisation. Records include correspondence.	Retain minimum of 2 years after action completed, then destroy
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15.13.0 Reviewing

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

15.13.1	Records relating to the review of needs, initiatives and schemes to support the management of personnel, including post implementation reviews. Records include: <ul style="list-style-type: none"> • documents establishing the review • development of methodologies for review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • project or action plans. 	Retain minimum of 5 years after action completed, then destroy
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15.14.0 Security

The activities associated with measures taken to protect an organisation from damage or unauthorised access.

15.14.1	Records documenting the issue of security passes to employees and volunteers.	Retain minimum of 7 years after expiry of pass, then destroy
15.14.2	Personal Security Files (PSFs) of employees or contractors where the records are in the ownership of NSW State Government agencies. Note: Personal Security Files (PSFs) contain personal security information maintained in conformity with the standards set out in the <i>Australian Government Protective Security Policy Framework (PSPF)</i> . PSFs are raised for employees and contracted services providers with security clearances, but may also be raised for some uncleared personnel. These records document	Retain minimum of 5 years after separation from service or minimum of 6 years after date of last clearance check on file, whichever is shorter, then destroy

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PERSONNEL - Security

	security checks (vetting) carried out as part of pre-engagement and pre-employment checks and periodic reviews.	
15.14.3	<p>Personal Security Files (PSFs) of employees or contractors who take up temporary or permanent employment with Federal, other State or Territory government agencies.</p> <p>Note: PSFs of staff temporarily transferred should return to the NSW Government agency at the end of the transfer period.</p>	<p>Transfer custody to the relevant Federal, other State or Territory government agency upon request and in conformity with standards set out in the <i>Australian Government Protective Security Manual</i>.</p> <p>This approval permits the transferred records to leave the State.</p>

15.15.0 Social clubs and groups

The activities involved in the organisation's relationship with social clubs and groups.

Note: The records of the club or group itself, such as minutes of meetings, are not public records and are therefore not covered by this Authority.

15.15.1	Records relating to the interaction between the organisation and employee social clubs, groups and/or activities.	Retain minimum of 2 years after action completed, then destroy
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15.16.0 Suggestions

The process of using suggestions from personnel to improve the services and processes of the organisation.

15.16.1	Records of suggestions from personnel.	Retain minimum of 2 years after action completed, then destroy
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