

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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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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PUBLICATION - Agreements

17.0.0 PUBLICATION

The function of having works, irrespective of format, issued for sale or general distribution internally or to the public. Includes drafting of internal publications, manual or electronic production (design, layout, typesetting, printing, web publishing etc) and the marketing and supply of internal and external publications and promotional materials by the organisation. Publications include multi-media publications, CD ROM and online information services.

Notes:

- Reference to 'websites' in this function includes intranet and extranet resources as well as public websites on the World Wide Web, unless otherwise specified.
- Aspects of some NSW Government websites are captured as part of the National Library of Australia's PANDORA project in accordance with the collecting policy of that project (see <http://pandora.nla.gov.au/selectionguidelinesallpartners.html>). State Archives and Records NSW is not seeking to duplicate the NLA's collecting initiatives nor to duplicate the resources required to undertake that initiative.
- Where an organisation has very high risk functions, full or partial 'snapshots' of their websites may be necessary for accountability purposes. The frequency of these should be determined by an analysis of business needs. The level of risk and public exposure, the extent to which external stakeholders are reliant on the accuracy of the information, and how often the information changes are factors for consideration. The disposal of any snapshots should be covered in the organisation's functional retention and disposal authority.
- Organisations whose websites are outsourced to another organisation still have responsibility for retaining records of the web resources and may need to build this into contracts.

See the organisation's functional retention and disposal authority for background research, substantive drafts and final versions of publications relating to core functions of the organisation, including publications produced in electronic format on the organisation's website. Includes published papers, reports, training materials, posters, catalogues and brochures regarding core functions of the organisation or standards, codes of practice or regulatory instruments produced or published by the organisation as part of its functional responsibilities.

See the organisation's functional retention and disposal authority for records relating to publication if publication or promotion is a functional responsibility of the organisation, e.g. Tourism NSW with respect to promoting NSW as a travel destination.

See the relevant function/activity in general or functional retention and disposal authorities for records relating to drafting and final versions of organisational plans, policies and procedures, e.g. use FLEET MANAGEMENT – POLICY for records relating to the development and review of fleet management policies, e.g. use OCCUPATIONAL HEALTH & SAFETY – POLICY for records relating to the development and review of occupational health and safety policies.

See **COMMUNITY RELATIONS - Marketing** for records relating to background research, drafts and final, approved versions of publications designed to promote or publicise aspects of the organisation's activities, e.g. posters, brochures, leaflets and promotional histories, or general promotional or explanatory information about the organisation and its services in pages on its website.

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PUBLICATION - Agreements

See **GOVERNMENT RELATIONS - Reporting** for records relating to the development and final, approved versions of reports to government, e.g. annual reports.

See **INFORMATION MANAGEMENT** for records relating to the management of library collections.

See **PUBLICATION - Production** for records relating to record copies of pages from the organisation's website, site maps and web forms, and to production aspects of all publications (design, layout, typesetting, printing, web publishing etc).

See **STRATEGIC MANAGEMENT - Planning** for records relating to the drafting and final, approved versions of strategic, corporate and business plans.

See **TECHNOLOGY & TELECOMMUNICATIONS** for records relating to the technical design and management of databases and data for the Internet or Intranet.

See General Retention and Disposal Authority *General retention and disposal authority: Audio visual programs and recordings* for audio recordings, films and videos produced by or for the organisation.

17.1.0 Agreements

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

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

See **STRATEGIC MANAGEMENT - Agreements** for records relating to intellectual property agreements.

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

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| 17.1.1 | <p>Records relating to the establishment, negotiation, maintenance and review of agreements regarding the production, marketing, supply or distribution of published materials, e.g. distribution agreements, agreements regarding joint publishing ventures etc. Records include:</p> <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings with stakeholders • drafts containing significant changes/alterations or formally circulated for comment • final versions of authorised agreements • reviews of agreements. | Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy |
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17.2.0 Authorisation

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

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| 17.2.1 | Records relating to authorisations given by individuals to the organisation granting permission to take and | Retain minimum of 15 years after use |
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PUBLICATION - Compliance

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| | use images of individuals in publications, on websites and intranets. | of the image for publication purposes or until disposal of image, then destroy |
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Committees

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

17.3.0 Compliance

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

Note: For an explanation of government requirements for access to published information including deposit requirements refer to *Premier's Memorandum 2000-15*.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to measure the compliance of other organisations with regulations, policies, standards etc relating to published materials or information.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for infringements of intellectual property rights.

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| 17.3.1 | <p>Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements for the management or the publication of materials. Records include:</p> <ul style="list-style-type: none"> • records of lodgements of organisation publications under copyright legislation • records of allocation of ISBN/ISSN numbers, and URL addresses • records of use of official symbols • records of Internet domain names. <p>Note: The retention period provided is a guideline only. Any records providing evidence of organisational compliance with statutory or operational requirements must be kept as long as the organisation has to account for its actions.</p> | Retain minimum of 6 years after action completed, then destroy |
| 17.3.2 | Records relating to breaches or failures to meet compliance requirements regarding the management of published materials. | Retain minimum of 2 years after action completed, then destroy |

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PUBLICATION - Corporate style

Contracting-out

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

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

17.4.0 Corporate style

The activity of compiling and administering guidelines on the consistency in written style, graphic design etc within the organisation's documents. Includes designing logos, letterhead, stationery, publications etc that incorporate the corporate image of the organisation.

See **COMMUNITY RELATIONS - Agreements** for records relating to agreements to make use of another organisation's logo.

See **STRATEGIC MANAGEMENT - Intellectual property** for records relating to the registration of logos.

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| 17.4.1 | Records relating to the development of the organisation's corporate style. Includes guidelines relating to corporate style, such as style manuals compiled by the organisation and records relating to the development and approval of designs for letterheads, logos, stationery, templates and publications incorporating the corporate style of the organisation. | Retain until superseded, then destroy |
| 17.4.2 | Records relating to rejected designs for letterheads, logos, stationery, templates and publications incorporating the corporate style of the organisation. | Retain until administrative or reference use ceases, then destroy |

17.5.0 Distribution

The activities associated with disseminating items, correspondence or publications through sales, deliveries or other customer services.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to invoices, purchase orders etc for the sale of publications.

See **PUBLICATION - Agreements** for records relating to distribution agreements.

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| 17.5.1 | Records relating to the distribution and dissemination of the organisation's publications. Records include: <ul style="list-style-type: none"> • records of the receipt and management of orders other than purchase orders • records of to whom publications were distributed or supplied. | Retain until administrative or reference use ceases, then destroy |
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PUBLICATION - Drafting

17.6.0 Drafting

The activities associated with preparing preliminary drafts or outlines of publications prior to production.

Note: Some drafts, such as proof-reading drafts checking for spelling, grammar etc prior to publication can be disposed of under normal administrative practice (NAP). See State Archives and Records NSW guidance on *Normal Administrative Practice*.

See the organisation's functional retention and disposal authority for records relating to substantive drafts and final versions of publications relating to its core business, e.g. reports, technical papers, issues papers etc.

See the relevant function/activity for records relating to the drafting of plans, policies or procedures, e.g. use OCCUPATIONAL HEALTH & SAFETY – PROCEDURES for records relating to the drafting of occupational health and safety procedures, e.g. use TECHNOLOGY & TELECOMMUNICATIONS – POLICY for records relating to the drafting of technology and telecommunications policy.

See **COMMUNITY RELATIONS - Marketing** for records relating to substantive drafts and final versions of publications designed to promote or publicise aspects of the organisation's activities, e.g. posters, brochures, leaflets, published histories.

See **PUBLICATION - Production** for records relating to the design, layout, printing, web publishing etc of publications and for final versions of internally directed publications.

See **STRATEGIC MANAGEMENT - Legislation** for records relating to the drafting of legislation.

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| 17.6.1 | Records relating to the drafting of internally directed publications for staff information purposes, other than plans, policies, procedures or reports, e.g. employee newsletters. | Retain until administrative or reference use ceases, then destroy |
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17.7.0 Enquiries

The activities associated with the handling of requests for information about the organisation's publications by the general public or another organisation.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to purchase orders for published materials.

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

See **INFORMATION MANAGEMENT - Distribution** for records relating to the distribution of information resources.

See **INFORMATION MANAGEMENT - Enquiries** for records relating to enquiries concerning library services provided by the organisation.

See **PUBLICATION - Intellectual property** for records relating to enquiries/requests for permission for use of copyright materials.

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PUBLICATION - Enquiries

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| 17.7.1 | Records relating to routine enquiries regarding the purchase, availability of or access to the organisation's publications. | Retain until administrative or reference use ceases, then destroy |
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17.8.0 Evaluation

The process of determining the suitability of potential or existing publication programs, services or systems or products. Includes ongoing monitoring.

See **PUBLICATION - Reviewing** for records relating to the review of publication programs and services, or methods, tools and formats.

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

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| 17.8.1 | Records relating to the evaluation or monitoring of potential or existing publication programs, services or systems or methods, tools and formats for the production and distribution of published materials. | Retain minimum of 5 years after action completed, then destroy |
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17.9.0 Intellectual property

The activities involved in managing the organisation's intellectual property, including the management of copyright and royalties for the reproduction of published materials.

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

See **LEGAL SERVICES - Advice** for records relating to legal advice furnished to the organisation by internal and external legal providers on intellectual property issues.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of intellectual property rights.

See **STRATEGIC MANAGEMENT - Agreements** for records relating to intellectual property agreements.

See **STRATEGIC MANAGEMENT - Compliance** for records relating to infringements of intellectual property.

See **STRATEGIC MANAGEMENT - Intellectual property** for records relating to the establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.

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| 17.9.1 | Records relating to managing applications: <ul style="list-style-type: none"> • received by the organisation for permission to reproduce published or unpublished material in which the organisation retains copyright, or | Retain minimum of 7 years after action completed or minimum of 7 years after permission |
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PUBLICATION - Intellectual property

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| | <ul style="list-style-type: none"> made by the organisation to reproduce material in which another party holds the copyright, where permission has been granted. <p>Note: Some organisations may find it beneficial to retain a full history of applications as long as copyright is held to assist with processing new requests or monitoring the use of copyrighted materials.</p> | expires, whichever is longer, then destroy |
| 17.9.2 | Records relating to managing applications made by the organisation to reproduce material in which another party holds the copyright, where permission has not been granted. | Retain until administrative or reference use ceases, then destroy |

17.10.0 Joint ventures

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

See relevant entries in general and functional retention and disposal authorities for records relating to the work or products generated by joint venture arrangements.

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

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions regarding the sale of organisation publications.

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

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

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

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| 17.10.1 | Records relating to the establishment and monitoring of joint ventures undertaken with other organisations (government or non-government) for the purposes of researching, drafting or producing publications. Includes negotiations for joint ventures that do not proceed. Records include: <ul style="list-style-type: none"> correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants monitoring of arrangements reporting on arrangements. <p>Note: If the joint venture involves contracts or</p> | Retain minimum of 5 years after action completed, then destroy |
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PUBLICATION - Marketing

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| | agreements, retain in accordance with retention period specified in PUBLICATION - AGREEMENTS. | |
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17.11.0 Marketing

The process of analysing, creating and selling publications. Includes market research, sales forecasting, advertising, promotion, pricing and product evaluation.

See **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to functions organised to launch publications.

See **COMMUNITY RELATIONS - Marketing** for records relating to the organisation's advertisements featured in publications produced by other organisations.

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

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| 17.11.1 | Records relating to the marketing and promotion of organisational publications. Records include: <ul style="list-style-type: none"> • records of marketing plans • records of market research and assessment of products against market trends • records of sales forecasting • pricing records • records of liaison with retailers • records of arrangements for and placement of advertising • copies of advertisements. | Retain minimum of 2 years after action completed, then destroy |
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Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use PUBLICATION – MARKETING for records relating to meetings to discuss marketing campaigns, e.g. use PUBLICATION – PLANNING for records relating to meetings held to plan publications or publication programs, e.g. use PUBLICATION – PRODUCTION for records relating to meetings held in order to discuss the progress of the production of publications.

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

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

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

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PUBLICATION - Planning

17.12.0 Planning

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

See **PUBLICATION - Marketing** for records relating to marketing plans.

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

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| 17.12.1 | Final, approved versions of plans for the coordination of publication programs and services, and associated correspondence indicating who the plans apply to and responsibilities for their implementation. | Retain minimum of 3 years after plan is superseded, then destroy |
| 17.12.2 | Records relating to the development and review of the organisation's plans for the coordination of publication programs and services. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. | Retain until administrative or reference use ceases, then destroy |

17.13.0 Policy

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

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

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

See **PUBLICATION - Corporate style** for guidelines relating to corporate style, such as style manuals compiled by the organisation.

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

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

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| 17.13.1 | Final, approved versions of policies concerning the issue, sale, distribution, production, marketing or supply of publications, and associated correspondence | Retain minimum of 3 years after policy is superseded, then |
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PUBLICATION - Policy

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| | indicating who the policies apply to and responsibilities for their implementation. | destroy |
| 17.13.2 | Records relating to the development and review of the organisation's policies concerning the issue, sale, distribution, production, marketing or supply of publications. Records include: <ul style="list-style-type: none"> • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. | Retain until administrative or reference use ceases, then destroy |

17.14.0 Procedures

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

See **PUBLICATION - Corporate style** for guidelines relating to corporate style, such as style manuals compiled by the organisation.

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

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| 17.14.1 | Final, approved versions of the organisation's manuals, handbooks, directives etc detailing publication procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. | Retain minimum of 3 years after procedures are superseded, then destroy |
| 17.14.2 | Records relating to the development and review of the organisation's publication procedures. Records include: <ul style="list-style-type: none"> • background research • draft versions of procedures containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. | Retain until administrative or reference use ceases, then destroy |

17.15.0 Production

The process involved in producing material into an end result or output, e.g. a product or publication. Includes design, layout, typesetting, desktop and web publishing, printing, binding etc.

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PUBLICATION - Production

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| 17.15.1 | Record copies, i.e. copies saved into a recordkeeping system, of pages from the organisation's website relating to the organisation's core business, and records of substantial changes made. | Retain in accordance with disposal actions given under the relevant functions in current general and functional retention and disposal authorities |
| 17.15.2 | Superseded see 17.15.9 | |
| 17.15.3 | Records of business transacted on websites. Records include completed and submitted online forms such as requests for services, feedback forms, customer surveys and emails or database entries resulting from data entry by the customer. | Retain in accordance with disposal actions given under the relevant functions in current general and functional retention and disposal authorities |
| 17.15.4 | Final, approved versions of forms, e.g. forms for business transacted either manually or on websites. Note: In some circumstances longer retention may be required, e.g. where the content of the forms may be significant for accountability and evidential purposes such as where the form documents applicable terms, conditions, disclaimers, etc., not otherwise documented. | Retain until superseded, then destroy |
| 17.15.5 | Records relating to the development and review of forms, e.g. forms for business transacted either manually or on websites. | Retain until administrative or reference use ceases, then destroy |
| 17.15.6 | Final, approved versions of internally directed publications for staff information purposes, e.g. employee newsletters. | Retain until administrative or reference use ceases, then destroy |
| 17.15.7 | Translations of the organisation's publications into other languages. | Retain until superseded, updated or ceases to be of administrative or reference use, then |

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PUBLICATION - Production

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| | | destroy |
| 17.15.8 | <p>Records relating to the preparation of materials and drafts for publication, including technical specifications. For paper publications, records include:</p> <ul style="list-style-type: none"> • records of graphic design • records of indexing • records of printing/binding. <p>For electronic publications records include:</p> <ul style="list-style-type: none"> • records of graphic design • records of preparation of source files • records of loading to the website • records of quality assurance and testing of HTML files • records of production of electronic media (e.g. CD-ROMs, disks) • records of updating and maintaining information and websites. | Retain until administrative or reference use ceases, then destroy |
| 17.15.9 | Records that demonstrate the structure and organisation of public and internal websites (e.g. intranets) and records of substantial changes made, e.g. site maps. | Retain until superseded, or administrative or reference use ceases, then destroy |

17.16.0 Reporting

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

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

See **PUBLICATION - Production** for records relating to the preparation of reports for publication, e.g. records of graphic design, records of printing/binding, records of loading to the website etc.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reports on strategic issues.

See **TECHNOLOGY & TELECOMMUNICATIONS - Reporting** for records relating to statistical reports on use of web publications.

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| 17.16.1 | Records relating to formal reports regarding publication programs and services, methods, tools and | Retain minimum of 5 years after action |
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| <i>PUBLICATION - Reporting</i> | | |
| | formats. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. | completed, then destroy |
| 17.16.2 | Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities to support publication programs and services, methods, tools and formats. Records include: <ul style="list-style-type: none"> • background research, e.g. collection of statistics • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports. | Retain minimum of 3 years after action completed, then destroy |

Research

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

See the relevant function/activity for records relating to research undertaken when developing particular products, e.g. use **PUBLICATION – EVALUATION** for records relating to research into potential publication methods, tools or formats, e.g. use **PUBLICATION – PLANNING**, **PUBLICATION – POLICY** or **PUBLICATION – PROCEDURES** for records relating to research for the development or review of plans, policies or procedures, e.g. use **PUBLICATION – REPORTING** for records relating to background research for preparing reports.

See **PUBLICATION - Marketing** for records relating to market research.

17.17.0 Reviewing

The activities involved in re-evaluating or re-examining programs and services. Records include recommendations and advice resulting from these activities.

See **PUBLICATION - Evaluation** for records relating to the evaluation or monitoring of potential or existing publication programs, services or systems, or methods, tools and formats for the production and distribution of published materials.

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

See **PUBLICATION - Policy** for records relating to the review of policies.

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

See **STRATEGIC MANAGEMENT - Reviewing** for records relating to the review of strategic programs and services.

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PUBLICATION - Reviewing

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| 17.17.1 | Records relating to the review of publication programs and services or methods, tools and formats. Records include: <ul style="list-style-type: none">• documents establishing the review• background research• draft versions of review reports containing significant changes/alterations or formally circulated for comment• final, approved versions of reports• project or action plans. | Retain minimum of 5 years after action completed, then destroy |
|---------|---|--|

17.18.0 Stocktake

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

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|---------|---|---|
| 17.18.1 | Records relating to stocktakes of the organisation's publications. Includes examining, counting and valuing publications. | Retain until administrative or reference use ceases, then destroy |
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Tendering

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

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