

# **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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### **19.0.0 STRATEGIC MANAGEMENT**

The function of applying broad systematic management planning for the organisation. Includes the activities involved with the development, monitoring and reviewing of business plans, strategic plans, corporate plans, Equal Employment Opportunity (EEO) plans, Ethnic Affairs Policy Statements (EAPS) and agreements, and other long-term organisational strategies, such as frameworks for the management of intellectual property. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation which provides the legislative basis for the organisation.

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

See **GOVERNMENT RELATIONS - Reporting** for records relating to reporting to external parties such as Ministers and Members of Parliament or bodies undertaking investigations or inquiries on strategic management initiatives.

See **PROPERTY MANAGEMENT - Planning** for records relating to energy management and waste reduction plans.

#### **19.1.0 Agreements**

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

See **COMMUNITY RELATIONS - Agreements** for records relating to agreements for use of corporate logos.

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

See **INFORMATION MANAGEMENT - Disposal** for records relating to arrangements for the transfer of records to successor organisations as a consequence of changes in administrative arrangements or functions or privatisation.

See **STRATEGIC MANAGEMENT - Intellectual property** for other records relating to the management of the organisation's intellectual property.

See **STRATEGIC MANAGEMENT - Joint ventures** for records relating to joint venture agreements.

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

19.1.1	<p>Records relating to the establishment, negotiation, maintenance and review of agreements regarding the transfer of responsibilities and ownership of assets such as property, information, etc. due to administrative change, privatisation or corporatisation. Records include:</p> <ul style="list-style-type: none"> <li>• correspondence and records of negotiations</li> <li>• drafts containing significant changes/alterations or formally circulated for comment</li> <li>• final, approved versions of agreements</li> </ul>	Required as State archives
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### STRATEGIC MANAGEMENT - Agreements

	<ul style="list-style-type: none"> <li>• reviews of agreements.</li> </ul>	
19.1.2	Records relating to the establishment, negotiation, maintenance and review of agreements regarding ownership rights or use of intellectual property, e.g. agreements to invest copyright in another author, person or organisation.	Retain minimum of 70 years after date of agreement, or after expiry date specified in agreement, then destroy

### 19.2.0 Audit

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

See the relevant function/AUDIT for records relating to audits of specific functional areas, e.g. use INFORMATION MANAGEMENT-AUDIT for records relating to audits of information management programs or services, e.g. use OCCUPATIONAL HEALTH & SAFETY – AUDIT for records relating to occupational health and safety audits.

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

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

19.2.1	Records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level, which: <ul style="list-style-type: none"> <li>• set a precedent, or</li> <li>• lead to a major change in policies.</li> </ul> Records include: <ul style="list-style-type: none"> <li>• records of audit planning or liaison with auditing body</li> <li>• minutes or notes of meetings</li> <li>• notes taken at interviews</li> <li>• correspondence</li> <li>• draft versions of audit reports containing significant changes/alterations or formally circulated for comment</li> <li>• final, approved versions of audit reports</li> <li>• records of remedial action.</li> </ul>	Required as State archives
19.2.2	Records relating to audits which cross functions, examine core functions or measure organisational	Retain minimum of 6 years after action

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### STRATEGIC MANAGEMENT - Authorisation

	<p>performance or compliance at a strategic level, which do <b>not</b>:</p> <ul style="list-style-type: none"> <li>• set a precedent, or</li> <li>• lead to a major change in policies.</li> </ul> <p>Records include:</p> <ul style="list-style-type: none"> <li>• records of audit planning or liaison with auditing body</li> <li>• minutes or notes of meetings</li> <li>• notes taken at interviews</li> <li>• correspondence</li> <li>• draft versions of audit reports containing significant changes/alterations or formally circulated for comment</li> <li>• final, approved versions of audit reports</li> <li>• records of remedial action.</li> </ul>	completed, then destroy
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### 19.3.0 Authorisation

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

See **GOVERNMENT RELATIONS - Policy** for records relating to delegations of authority relating to general administrative matters such as personnel, establishment, finance etc that apply to all Chief Executive Officers and are advised by Premier's circular or memorandum.

19.3.1	Records relating to delegations of authority to Chief Executive Officers or to officers occupying statutory positions (high level delegations) regarding the functional responsibilities of the organisation.	Required as State archives
19.3.2	Records relating to delegations of authority to officers to enter into agreements or arrangements that bind the organisation where the delegations are not high level delegations, i.e. are not delegations to Chief Executive Officers or to officers occupying statutory positions.	Retain minimum of 7 years after delegation is superseded, then destroy
19.3.3	Records relating to delegations of authority that do not involve entering into agreements or arrangements that bind the organisation and where the delegations are not high level delegations, i.e. are not delegations to Chief Executive Officers or to officers occupying statutory positions. Records include delegation manuals containing signed instruments of delegation by the Chief Executive Officer.  <b>Note:</b> In determining a suitable retention period for	Retain until administrative or reference use ceases, then destroy

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### STRATEGIC MANAGEMENT - Compliance

	delegation manuals, organisations should consider the retention requirements for procedure manuals (GA28, 19.16.1).	
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### Committees

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

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

### 19.4.0 Compliance

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

See the organisation's functional retention and disposal authority for records relating to compliance monitoring if one of the functions of the organisation is to measure the compliance of other organisations with legislation, policies etc.

See the organisation's functional retention and disposal authority for records relating to failures to meet compliance requirements concerning the organisation's core functions, e.g. licensing, breaches of industry standards.

See the relevant function/COMPLIANCE for records relating to compliance or failures to meet compliance requirements concerning administrative matters, e.g. use **EQUIPMENT & STORES - COMPLIANCE** for records relating to compliance with standards or statutory requirements regarding the management or use of equipment and stores, e.g. use **INFORMATION MANAGEMENT - COMPLIANCE** for records relating to compliance with legislation regarding the management, provision or use of information resources.

See **GOVERNMENT RELATIONS - Reporting** for records relating to reporting on compliance to other government bodies, or compliance with reporting requirements, e.g. submission of annual reports and other formal reports.

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

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to compliance with occupational health and safety standards or requirements.

See **STRATEGIC MANAGEMENT - Audit** for records relating to formal internal or external audits against compliance requirements.

19.4.1	Records relating to initiatives at an organisation-wide or program-specific level to measure and improve the organisation's operations in order to be compliant with mandatory or optional standards. Records include: <ul style="list-style-type: none"> <li>• records of assessments of requirements with which the organisation needs to comply</li> <li>• background research into existing levels of compliance and breaches</li> </ul>	Retain minimum of 10 years after action completed, then destroy
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### STRATEGIC MANAGEMENT - Compliance

	<ul style="list-style-type: none"> <li>records of development of initiatives to improve compliance.</li> </ul>	
19.4.2	Records relating to the assessment and certification of the organisation's quality systems by an external organisation.	Retain minimum of 3 years after certification lapses, then destroy
19.4.3	Records relating to the registration of business names by the organisation.	Retain minimum of 7 years after registration ceases, then destroy
19.4.4	Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements.  <b>Note:</b> Retention period is provided as a guide only. Any records providing evidence of organisational compliance with standards or requirements must be kept as long as the organisation has to account for its actions.	Retain minimum of 7 years after action completed, then destroy

### Contracting-out

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

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

### 19.5.0 Corruption

The processes which allow the disclosure of corruption, and strategies for the prevention of corruption (including fraud). Includes involvement in corruption prevention projects undertaken by the Independent Commission Against Corruption (ICAC).

See **GOVERNING & CORPORATE BODIES - Corruption** for records relating to investigations into allegations of corruption against members of governing bodies.

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

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

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

See **STRATEGIC MANAGEMENT - Audit** or the relevant function/AUDIT for records relating to compliance audits.

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

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

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### STRATEGIC MANAGEMENT - Corruption

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

19.5.1	Records relating to the management of gifts and benefits made to the organisation such as from visiting dignitaries, e.g. gifts and benefits registers.  <b>Note:</b> With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 7 years after action completed, then destroy
19.5.2	Records relating to the organisation's compliance with mandatory statutory reporting requirements. Includes reporting corrupt, suspected corrupt or inappropriate behaviour.	Retain minimum of 7 years after action completed, then destroy

### 19.6.0 Customer service

The activities associated with the strategic planning, monitoring and evaluation of services provided to customers by the organisation.

See **COMMUNITY RELATIONS - Customer service** for records relating to specific charters, standards or guarantees of service.

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

See **INFORMATION MANAGEMENT - Customer service** for records relating to specific charters, standards or guarantees of service.

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

19.6.1	Records relating to the development and review of organisation-wide strategies to deliver quality services to clients or stakeholders. Includes organisation-wide charters, standards or guarantees of service.	Retain minimum of 2 years after strategies are superseded, then destroy
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### 19.7.0 Evaluation

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

See **STRATEGIC MANAGEMENT - Audit** for records relating to formal audits of systems or processes that cross functions, examine core functions or measure organisational compliance at a strategic level.

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### *STRATEGIC MANAGEMENT - Evaluation*

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

19.7.1	Records relating to the evaluation of potential and existing programs, services and systems that cross functions or relate to the strategic management of the organisation, e.g. evaluations and modelling for quality management, business cases for new programs etc, or major/significant new initiatives.	Retain minimum of 5 years after action completed, then destroy
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### **19.8.0 Grant funding**

The activities associated with applying for and receiving grants.

**Note:** For universities research grant applications are covered under General Retention and Disposal Authority - University records.

See the organisation's functional retention and disposal authority for records relating to the provision of grants to other organisations or where grant applications are part of core business.

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

See **GOVERNMENT RELATIONS - Reporting** for records relating to reporting on grants projects in the organisation's annual reports.

See **STRATEGIC MANAGEMENT - Planning** for records relating to specific plans supporting strategies for the application for, receipt or use of grant funding.

See **STRATEGIC MANAGEMENT - Policy** for records relating to specific policies supporting strategies for the application for, receipt or use of grant funding.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to specific procedures supporting strategies for the application for, receipt or use of grant funding.

19.8.1	Records relating to the investigation of potential or alternative sources of grant funding.	Retain minimum of 6 years after action completed, then destroy
19.8.2	Records relating to successful applications for grants or funds which lead to the establishment of new and significant programs, events and outcomes. Includes business cases.	Required as State archives
19.8.3	Records relating to successful applications for grants or funds which do not lead to the establishment of new and significant programs, events and outcomes.	Retain minimum of 6 years after action completed, then destroy
19.8.4	Records relating to unsuccessful applications for grants or funds.	Retain minimum of 2 years after action

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<i>STRATEGIC MANAGEMENT - Implementation</i>		
		completed, then destroy

### 19.9.0 Implementation

The activities associated with carrying out or putting into action plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes monitoring to ensure that the implementation goes according to schedule and that standards are met.

See **STRATEGIC MANAGEMENT - Compliance** for records relating to the assessment and certification of the organisation's quality systems by an external organisation.

See **STRATEGIC MANAGEMENT - Planning** for records relating to the development and review of strategic management plans.

See **STRATEGIC MANAGEMENT - Policy** for records relating to the development and review of strategic management policies.

See **STRATEGIC MANAGEMENT - Procedures** for records relating to the development and review of strategic management procedures.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reporting on disasters.

19.9.1	Records relating to the implementation of government-wide policies, key direction statements and initiatives concerning important or innovative programs, e.g. Charter of Principles for Culturally Diverse Society and anti-discrimination or equal employment opportunity programs.	Retain minimum of 7 years after action completed, then destroy
19.9.2	Records relating to the implementation of quality management systems and monitoring implementation activities.	Retain minimum of 3 years after action completed, then destroy
19.9.3	Records relating to the implementation of counter disaster plans/business continuity plans after disasters have occurred. Records include: <ul style="list-style-type: none"> <li>• photographs and records of assessment of damage</li> <li>• correspondence between relevant parties</li> <li>• documentation of action taken to implement plans.</li> </ul>	Retain minimum of 7 years after action completed, then destroy

### 19.10.0 Intellectual property

The activities involved in providing a framework for managing the organisation's intellectual property.

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*STRATEGIC MANAGEMENT - Intellectual property*

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

See **INFORMATION MANAGEMENT - Intellectual property** for records relating to the management of copying services in the organisation.

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

See **LEGAL SERVICES - Litigation** for records relating to lawsuits or legal proceedings resulting from breaches or disputes regarding intellectual property rights.

See **PUBLICATION - Intellectual property** for records relating to managing applications for permission to reproduce published or unpublished material.

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

See **TECHNOLOGY & TELECOMMUNICATIONS - Intellectual property** for records relating to managing applications to reproduce portions of software developed within the organisation.

See General Retention and Disposal Authority *Audio visual programs and recordings* for records relating to rights management for audio visual records.

19.10.1	<p>Records relating to the establishment, registration and documentation of the organisation's intellectual property, including patents, trademarks, designs such as logos, plant breeders rights, circuit layouts and all forms of copyright. Includes intellectual property registers.</p> <p><b>Note:</b> With paper-based registers, retain minimum of 5 years after the expiry of intellectual property for all entries in the register. With electronic registers, retain minimum of 5 years after intellectual property rights lapse relating to each entry, or after data has become obsolete, then destroy.</p>	Retain minimum of 5 years after intellectual property rights lapse, then destroy
19.10.2	Records relating to unsuccessful or abandoned attempts to establish intellectual property rights.	Retain minimum of 7 years after action completed, then destroy

### 19.11.0 Joint ventures

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

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

See the relevant function/AGREEMENTS for records relating to joint venture agreements which do not involve contracting-out or tendering.

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### STRATEGIC MANAGEMENT - Joint ventures

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

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

See **PUBLICATION - Joint ventures** for records relating to the establishment and monitoring of joint ventures undertaken with other organisations for the purposes of researching, drafting or producing publications.

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

19.11.1	<p>Records relating to the establishment and monitoring of significant strategic alliances with other organisations (government or non-government) regarding the core functional activities of the organisation that are of significance to the State. Includes those with implications for the performance of statutory functions or major liabilities or obligations for the organisation. Records include:</p> <ul style="list-style-type: none"> <li>• correspondence and records of negotiations regarding the establishment of joint venture agreements</li> <li>• drafts of agreements containing significant changes/alterations or formally circulated for comment</li> <li>• final, approved versions of agreements</li> <li>• reviews of agreements</li> <li>• correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants</li> <li>• records of monitoring of arrangements</li> <li>• records of reporting on arrangements.</li> </ul>	<p>Required as State archives</p>
19.11.2	<p>Records relating to the establishment and monitoring of joint ventures with other organisations (government or non-government) regarding the core functional activities of the organisation that are <b>not</b> of significance to the State. Includes negotiations for joint ventures that do not proceed. Records include:</p> <ul style="list-style-type: none"> <li>• correspondence and records of negotiations regarding the establishment of joint venture agreements</li> <li>• drafts of agreements containing significant changes/alterations or formally circulated for comment</li> </ul>	<p><b>(A) For specialty contracts:</b></p> <p>Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy</p> <p><b>(B) For standard contracts or</b></p>

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### STRATEGIC MANAGEMENT - Joint ventures

	<ul style="list-style-type: none"> <li>• final, approved versions of agreements</li> <li>• reviews of agreements</li> <li>• correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants</li> <li>• records of monitoring of arrangements</li> <li>• records of reporting on arrangements.</li> </ul> <p><b>Note:</b> Specialty contracts include contracts under seal and deeds to property.</p> <p><b>Note:</b> In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.</p> <p><b>Note:</b> Limitation periods for contractual agreements or arrangements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.</p>	<p><b>agreements:</b></p> <p>Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy</p> <p><b>(C) Where there is no contract or agreement:</b></p> <p>Retain minimum of 5 years after action completed, then destroy</p>
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### 19.12.0 Legislation

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

See the relevant function/AUDIT for records relating to formal audits of compliance with legislation, e.g. use OCCUPATIONAL HEALTH & SAFETY – AUDIT for records relating to audits regarding the organisation's compliance with occupational health and safety legislation.

See the relevant function/COMPLIANCE for records relating to compliance with legislation that may have an impact on the operations of a particular area, e.g. use OCCUPATIONAL HEALTH & SAFETY – COMPLIANCE for records relating to compliance with occupational health and safety legislation.

See **GOVERNMENT RELATIONS - Advice** for records relating to advice provided to Cabinet, the Minister and other government organisations on legislation.

See **GOVERNMENT RELATIONS - Legislation** for records relating to the preparation and passage of legislation through Parliament.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions to the Minister and Cabinet regarding legislative proposals relating to the organisation's core functions.

See **LEGAL SERVICES - Advice** for records relating to legal advice sought and received on the interpretation of legislation.

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### STRATEGIC MANAGEMENT - Legislation

19.12.1	Records relating to the development, implementation and review of legislation and regulations concerning the operations and functional responsibilities of the organisation. Records include: <ul style="list-style-type: none"> <li>• preliminary drafting instructions</li> <li>• draft legislation or regulations</li> <li>• amendments</li> <li>• submissions to the organisation's executive or governing body</li> <li>• reports</li> <li>• submissions received</li> <li>• records documenting the outcomes of consultation with relevant organisations and stakeholders</li> <li>• development and gazettal of regulations.</li> </ul>	Required as State archives
19.12.2	Records relating to arrangements for consultation regarding changes in legislation, e.g. advertisements, notices for forums etc.	Retain until administrative or reference use ceases, then destroy

### 19.13.0 Meetings

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

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use STRATEGIC MANAGEMENT – AUDIT for records relating to meetings held as part of audits, e.g. use STRATEGIC MANAGEMENT – PLANNING for records relating to meetings held to develop strategic plans.

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

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

19.13.1	Records relating to routine general and section or unit meetings of employees and administrative arrangements for meetings. Records include: <ul style="list-style-type: none"> <li>• meeting notifications</li> <li>• agenda and minutes</li> </ul>	Retain until administrative or reference use ceases, then destroy
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<i>STRATEGIC MANAGEMENT - Meetings</i>		
	<ul style="list-style-type: none"> <li>• catering arrangements</li> <li>• venue bookings</li> <li>• accommodation and transport arrangements</li> <li>• related correspondence.</li> </ul>	
19.13.2	Diaries/appointment books of the Chief Executive Officer and members of the Senior Executive recording detailed information regarding significant matters, e.g. decisions and actions agreed upon, that are not recorded elsewhere.	Required as State archives
19.13.3	Diaries/appointment books of the Chief Executive Officer and members of the Senior Executive or other personnel recording basic information, e.g. dates and times of meetings, and diaries/appointment books kept by other personnel.	Retain until administrative or reference use ceases, then destroy

### Performance management

See **PERSONNEL - Performance management** for records relating to the administration of performance management programs in the organisation and development of individual performance agreements.

See **STRATEGIC MANAGEMENT - Reporting** for records relating to reports assessing and monitoring organisational performance.

### 19.14.0 Planning

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

See the relevant function/PLANNING in general or functional retention and disposal authorities for records relating to plans regarding specific administrative functions of the organisation, e.g. use INFORMATION MANAGEMENT – PLANNING for records relating to plans for information management projects, systems and activities.

See **OCCUPATIONAL HEALTH & SAFETY - Planning** for records relating to medical evacuation plans/emergency evacuation plans when these do not form part of broader strategic planning for the organisation.

See **STRATEGIC MANAGEMENT - Implementation** or records relating to the implementation of business continuity or counter disaster plans after a disaster.

See **STRATEGIC MANAGEMENT - Reporting** or records relating to reporting on the effects of disasters and recovery strategies.

19.14.1	Final, approved versions of strategic, corporate or business plans applying to the organisation as a whole, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.	Required as State archives
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## Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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*STRATEGIC MANAGEMENT - Planning*

19.14.2	<p>Records relating to the development and review of the organisation's strategic, corporate or business plans. Records include:</p> <ul style="list-style-type: none"> <li>• background research</li> <li>• draft versions of plans containing significant changes/alterations or formally circulated for comment</li> <li>• notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.</li> </ul>	Retain minimum of 7 years after plan is superseded, then destroy
19.14.3	<p>Final, approved versions of high level plans and strategies for providing ongoing administrative or operational support, e.g. program plans relating to divisions, business units and projects within the organisation, business continuity or counter disaster plans, procurement plans, fraud control strategies, quality management plans, risk managements plans, ethnic affairs priority statements, equal employment opportunity management plans, total asset management plans etc, and associated correspondence indicating who the plans apply to and responsibilities for their implementation. Excludes strategic, corporate or business plans.</p> <p><b>Note:</b> In some cases these may be records of major significance to the organisation, e.g. business plans for particularly significant areas of the organisation. Consideration may need to be given to keeping these for a longer period.</p>	Retain minimum of 7 years after plan is superseded, then destroy
19.14.4	<p>Records relating to the development and review of high level plans and strategies, other than strategic, business and corporate plans, providing ongoing administrative or operational support, e.g. program plans relating to divisions, business units and projects within the organisation, business continuity or counter disaster plans, procurement plans, fraud control strategies, quality management plans, risk managements plans, ethnic affairs priority statements, equal employment opportunity management plans, total asset management plans etc. Records include:</p> <ul style="list-style-type: none"> <li>• background research</li> <li>• draft versions of plans containing significant changes/alterations or formally circulated for comment</li> <li>• notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.</li> </ul>	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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*STRATEGIC MANAGEMENT - Policy*

### 19.15.0 Policy

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

See the organisation's functional retention and disposal authority for records relating to policies regarding specific core functions.

See the relevant function/POLICY for records relating to policies regarding specific administrative functions, e.g. use INFORMATION MANAGEMENT – POLICY for records relating to the development or review of information management policies.

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

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

19.15.1	Final, approved versions of the organisation's policies on cross-functional or organisation-wide matters, e.g. equal employment opportunity policies, fraud control policies, internal circulars, code of conduct, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Retain minimum of 7 years after policy is superseded, then destroy
19.15.2	Records relating to the development and review of the organisation's policies on cross-functional or organisation-wide matters, e.g. equal employment opportunity policies, fraud control policies, internal circulars, codes of conduct. Records include: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• background research</li> <li>• draft versions of policies containing significant changes/alterations or formally circulated for comment</li> <li>• notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.</li> </ul>	Retain minimum of 3 years after action completed, then destroy

### 19.16.0 Procedures

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

See the relevant function/PROCEDURES for records relating to procedures regarding specific functions, e.g. use INFORMATION MANAGEMENT – PROCEDURES for records relating to the development and review of information management procedures.

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

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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### STRATEGIC MANAGEMENT - Procedures

19.16.1	Final, approved versions of manuals, handbooks, directives etc detailing the organisation's procedures on cross-functional or organisation-wide matters, e.g. equal employment opportunity, fraud control, quality assurance, 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
19.16.2	Records relating to the development and review of the organisation's manuals, handbooks, directives etc detailing the organisation's procedures on cross-functional or organisation-wide matters, e.g. equal employment opportunity, fraud control, quality assurance. Records include: <ul style="list-style-type: none"> <li>• background research</li> <li>• draft versions of procedures containing significant changes/alterations or formally circulated for comment</li> <li>• reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.</li> </ul>	Retain minimum of 3 years after action completed, then destroy

### 19.17.0 Reporting

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

See **GOVERNING & CORPORATE BODIES - Meetings** for records relating to reports submitted to governing bodies.

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

19.17.1	Final, approved versions of reports regarding incidents/disasters that result in or have the potential to result in significant damage to government assets or the operating capabilities of the organisation, including those that significantly damage records required as State archives. Records include reports detailing: <ul style="list-style-type: none"> <li>• plans that had been in place prior to the disaster</li> <li>• action taken to manage disasters</li> <li>• damage sustained, e.g. to records or property</li> <li>• effectiveness of plans</li> <li>• remedial action identified and taken.</li> </ul>	Required as State archives
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No.	Description of records	Disposal action
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### STRATEGIC MANAGEMENT - Reporting

	See <b>OCCUPATIONAL HEALTH &amp; SAFETY - Accidents</b> for records relating to personal injury sustained during a disaster.	
19.17.2	Final, approved versions of reports relating to the performance of the organisation in meeting corporate goals, objectives and performance indicators.	Required as State archives
19.17.3	Final, approved versions of reports relating to strategic management programs, services and systems that do <b>not</b> relate to: <ul style="list-style-type: none"> <li>• incidents/disasters that result in or have the potential to result in significant damage to government assets or the operating capabilities of the organisation, or</li> <li>• the performance of the organisation in meeting corporate goals, objectives and performance indicators.</li> </ul> Includes periodic reports that span multiple functions, e.g. routine monthly reports on the activities of a business unit.	Retain minimum of 7 years after action completed, then destroy
19.17.4	Records relating to the development and review of reports regarding strategic management programs, services and systems. Records include: <ul style="list-style-type: none"> <li>• background research</li> <li>• records relating to the outcomes of consultation with employees, unions, other stakeholders etc</li> <li>• draft versions of reports containing significant changes/alterations or formally circulated for comment.</li> </ul>	Retain minimum of 3 years after action completed, then destroy

### Research

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

See the relevant function/activity for records relating to background research undertaken as part of that activity, e.g. use STRATEGIC MANAGEMENT – EVALUATION for research undertaken as part of the evaluation of strategic programs, services and systems, e.g. use STRATEGIC MANAGEMENT – PLANNING, STRATEGIC MANAGEMENT – POLICY or STRATEGIC MANAGEMENT – PROCEDURES for records relating to background research for the development and review of plans, policies and procedures.

### Restructuring

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

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Authority number: GA28

Dates of coverage: 1940+

No.	Description of records	Disposal action
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*STRATEGIC MANAGEMENT - Reviewing*

### 19.18.0 Reviewing

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

See **STRATEGIC MANAGEMENT - Evaluation** for records relating to the evaluation of strategic programs, services and systems.

See **STRATEGIC MANAGEMENT - Legislation** for records relating to the review of legislation and regulations concerning the operations and functional responsibilities of the organisation.

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

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

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

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

The process involving the identification of risks at a strategic level, and the implementation of appropriate practices and procedures which will reduce wastage and the impact of economic loss arising from an incident.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to occupational health and safety risk management processes.

See **STRATEGIC MANAGEMENT - Planning** for records relating to business continuity/counter disaster planning for the organisation.

19.19.1	<p>Records relating to the identification and assessment of organisational risks, in order to assist planning, and the implementation of strategies to minimise their impact. Records include risk registers.</p> <p><b>Note:</b> With paper-based registers, retain minimum of 6 years after last entry in the register. With electronic registers, retain minimum of 6 years after last update or amendment to an entry, or after data has become</p>	Retain minimum of 6 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
<i>STRATEGIC MANAGEMENT - Standards</i>		
	obsolete, then destroy.	

### 19.20.0 Standards

The process of developing and implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

19.20.1	<p>Records relating to the development and implementation of standards or benchmarks that provide a framework for the conduct of the organisation's operations or assessment of its performance. Records include:</p> <ul style="list-style-type: none"> <li>• background research</li> <li>• records of consultations</li> <li>• draft versions of proposed standards or benchmarks containing significant changes/alterations or formally circulated for comment</li> <li>• reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.</li> </ul> <p><b>Note:</b> Copies of final versions of standards or benchmarks may be retained in the organisation's library.</p>	Retain minimum of 5 years after action completed, then destroy
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