

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

Authority number: GA28

Dates of coverage: 1940+

| No. | Description of records | Disposal action |
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State Archives and Records Authority of New
South Wales

General Retention and Disposal
Authority: GA28

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

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

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ESTABLISHMENT - Evaluation

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ESTABLISHMENT - Evaluation

6.0.0 ESTABLISHMENT

The function of establishing and changing the organisational structure through establishing and reviewing positions. Includes classification and grading of positions and the preparation of organisational charts.

See **PERSONNEL - Recruitment** for records relating to recruitment to individual positions.

Committees

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

6.1.0 Evaluation

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

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

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| 6.1.1 | Records relating to the evaluation of positions against existing or planned organisational structures to support corporate requirements and resource needs. | Retain minimum of 5 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 ESTABLISHMENT – POLICY for records relating to meetings held in order to discuss the formulation of policies, e.g. use ESTABLISHMENT – RESTRUCTURING for records relating to meetings held in order to discuss restructuring issues.

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.

6.2.0 Planning

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

See **ESTABLISHMENT - Restructuring** for records relating to organisational charts.

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ESTABLISHMENT - Planning

See **STRATEGIC MANAGEMENT - Planning** for records relating to strategic, corporate and business planning including organisation-wide establishment plans.

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| 6.2.1 | Final, approved versions of plans for the structure/establishment of sections or business units and associated correspondence indicating who the plans apply to and responsibilities for their implementation. | Retain minimum of 7 years after plan is superseded, then destroy |
| 6.2.2 | Records relating to the development and review of plans for the structure/establishment of sections or business units. Records include: <ul style="list-style-type: none"> • background research • draft versions of plans containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. | Retain minimum of 3 years after action completed, then destroy |

6.3.0 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 **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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| 6.3.1 | Final, approved versions of establishment policies, e.g. policies regarding classification and grading of positions, establishment and review of positions etc, 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 |
| 6.3.2 | Records relating to the development and review of establishment policies, e.g. policies regarding classification and grading of positions, establishment | Retain minimum of 3 years after action completed, then |

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ESTABLISHMENT - Procedures

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| | <p>and review of positions etc. Records include:</p> <ul style="list-style-type: none"> • policy proposals • background research • records of consultations or meetings • draft versions of policies 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. | destroy |
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6.4.0 Procedures

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

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

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| 6.4.1 | <p>Final, approved versions of manuals, handbooks, directives etc detailing the organisation's establishment procedures, e.g. procedures regarding classification and grading of positions, establishment and review of positions etc, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.</p> | Retain minimum of 5 years after procedures are superseded, then destroy |
| 6.4.2 | <p>Records relating to the development and review of manuals, handbooks, directives etc detailing the organisation's establishment procedures, e.g. procedures regarding classification and grading of positions, establishment and review of positions etc. Records include:</p> <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 minimum of 3 years after action completed, then destroy |

6.5.0 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

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ESTABLISHMENT - Reporting

organisation's core functions and performance, e.g. annual reports or substantial ad hoc reports.

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| 6.5.1 | Records relating to formal reports regarding the establishment or review of organisational structures. Records include: <ul style="list-style-type: none"> • background research • draft versions of reports containing significant changes/ alterations or formally circulated for comment • final, approved versions of reports. | Retain minimum of 7 years after action completed, then destroy |
| 6.5.2 | Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding the establishment or review of organisational structures. 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 |

Reviewing

See **ESTABLISHMENT - Evaluation** for records relating to the evaluation of positions.

See **ESTABLISHMENT - Planning** for records relating to the development and review of plans.

See **ESTABLISHMENT - Policy** for records relating to the development and review of policies.

See **ESTABLISHMENT - Procedures** for records relating to the development and review of procedures.

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

6.6.0 Restructuring

The activities involved in the reassessment of the activities, goals and structure of an organisation. Includes consideration of the number of employees, their position descriptions, equipment and other resources required to meet objectives.

See **ESTABLISHMENT - Variations** for records relating to the implementation of changes to positions as a result of restructures.

See **GOVERNING & CORPORATE BODIES - Authorities** for records relating to instruments of authority for GOVERNING & CORPORATE BODIES.

See **STRATEGIC MANAGEMENT** for records relating to privatisation and corporatisation.

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ESTABLISHMENT - Restructuring

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| 6.6.1 | <p>Records relating to the establishment of new organisational structures, or to the review of existing structures and programs which result in significant changes to core functional areas or the organisation as a whole, e.g. in the event of an amalgamation or change to or transfer of functional responsibilities. Records include:</p> <ul style="list-style-type: none"> • background research • copies of instruments giving effect to machinery of government changes • draft versions of reports containing substantial changes/alterations or formally circulated for comment • final, approved versions of proposals concerning changes • final, approved versions of organisational charts resulting from the restructure. | Required as State archives |
| 6.6.2 | <p>Records relating to the review of existing structures and programs which do not result in significant changes to core functional areas or the organisation as a whole. Records include:</p> <ul style="list-style-type: none"> • background research • copies of instruments giving effect to machinery of government changes • draft versions of reports containing substantial changes/alterations or formally circulated for comment • final, approved versions of proposals concerning changes. • final, approved versions of organisational charts resulting from the restructure. | Retain minimum of 5 years after action completed, then destroy |

Vacancies

See **PERSONNEL - Recruitment** for records relating to recruitment to individual positions.

6.7.0 Variations

The activities involved in varying, creating and abolishing individual positions.

See **ESTABLISHMENT - Evaluation** for records relating to the job evaluation of particular positions or gradings.

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ESTABLISHMENT - Variations

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| 6.7.1 | <p>Records relating to the creation, variation, abolition or transfer of positions and assigned duties. Records include:</p> <ul style="list-style-type: none"> • proposals and authorisations for creation, variation or abolition • minutes or notes of meetings regarding the parameters of new positions or changes to existing positions • position descriptions and statements of duty. <p>Note: Signed copies of position descriptions or statements of duties should be retained for longer periods. See PERSONNEL - Employee service history.</p> <p>Note: These records should be retained as long as they are required to validly support the position. 'Action completed' can be interpreted as when the position is altered, varied or abolished.</p> | Retain minimum of 7 years after action completed, then destroy |
| 6.7.2 | Records relating to varying positions and assigned duties when the changes are not proceeded with. | Retain minimum of 2 years after action completed, then destroy |