

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

GOVERNING & CORPORATE BODIES - Advice

GOVERNING & CORPORATE BODIES		9.0.0	4
	Accidents		4
	Addresses		4
	Advice	9.1.0	4
	Agreements	9.2.0	5
	Appeals	9.3.0	5
	Arrangements	9.4.0	5
	Audit	9.5.0	6
	Authorisation	9.6.0	7
	Authorities	9.7.0	8
	Committees		8
	Compliance	9.8.0	8
	Conferences		9
	Corruption	9.9.0	9
	Evaluation		10
	Meetings	9.10.0	10
	Membership	9.11.0	11
	Performance management	9.12.0	12
	Planning		12
	Policy	9.13.0	12
	Procedures	9.14.0	13
	Reporting		14
	Representatives		14
	Reviewing		14
	Separations		14

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

GOVERNING & CORPORATE BODIES - Advice

	Training and development	9.15.0	14
	Visits		15

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

GOVERNING & CORPORATE BODIES - Advice

9.0.0 GOVERNING & CORPORATE BODIES

The establishment and management of corporate entities, such as companies and corporations and of governing bodies such as boards, trusts, councils, commissions, etc.

Includes compliance with legislative registration requirements, management of the nomination, appointment and separation of governing body members, administration of meetings of governing bodies or formal subcommittees established by them. Also includes arrangements for travel, leave entitlements, allowances and remuneration for duties performed.

Note: Decisions concerning the disposal of the records of inter-governmental organisations, e.g. the Border Rivers Commission or the Murray Darling Basin Commission must involve consultation between the relevant State or Territory archival authorities. These records are outside the scope of this authority and separate authorisation must be sought from State Archives and Records NSW.

See **COMMITTEES** for records relating to standing committees established by governing bodies (i.e. committees where there is delegation from the governing body to undertake particular functions and where the committee has its own authority to make decisions and take action).

Accidents

See **COMPENSATION - Claims** for records relating to the handling of claims for compensation by members of governing bodies.

See **OCCUPATIONAL HEALTH & SAFETY - Accidents** for records relating to incidents involving members of governing bodies.

Addresses

See **COMMUNITY RELATIONS - Addresses** for records relating to addresses made by members of governing bodies.

See **COMMUNITY RELATIONS - Conferences** for records relating to addresses made by members of governing bodies.

9.1.0 Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Also includes the process of advising.

See **GOVERNMENT RELATIONS - Advice** for records relating to advice provided to the portfolio Minister regarding the administration and operation of the organisation's governing body.

See **GOVERNMENT RELATIONS - Representations** for records relating to responses to correspondence received by the Minister (Ministerials) or Members of Parliament regarding the organisation's governing body.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation to Cabinet or the Minister or other government organisations relating to core functions.

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

GOVERNING & CORPORATE BODIES - Advice

9.1.1	Records relating to the receipt and provision of advice regarding the administration and operation of the organisation's governing body.	Required as State archives
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9.2.0 Agreements

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

See **GOVERNING & CORPORATE BODIES - Membership** for records relating to agreements regarding the terms and conditions of members' appointments and duties.

See **GOVERNING & CORPORATE BODIES - Performance management** for records relating to performance agreements with the Minister or other relevant authority.

9.2.1	Records relating to the establishment, negotiation, maintenance and review of agreements relating to the accountabilities of the body or the conduct of its responsibilities, e.g. agreements between the Minister and members of governing bodies, memoranda of understanding or accountability instruments. Records include: <ul style="list-style-type: none"> • correspondence and negotiations including minutes or notes of meetings • drafts containing significant changes/alterations or formally circulated for comment • final, approved versions of agreements • reviews of agreements. 	Required as State archives
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9.3.0 Appeals

The activities involved in the process of appeals against decisions by application to a higher authority.

9.3.1	Records relating to an appeal made by a member of a governing body to a higher authority on decisions made with respect to the operation of the governing body.	Required as State archives
9.3.2	Records relating to an appeal made by a member of a governing body to a higher authority on decisions made with respect to the rights and entitlements of individual membership, e.g. entitlements on removal.	Retain minimum of 10 years after action completed, then destroy

9.4.0 Arrangements

The activities involved in arranging for a journey or trip.

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

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

GOVERNING & CORPORATE BODIES - Arrangements

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for members of GOVERNING & CORPORATE BODIES or their sub-committees to travel.

See **GOVERNING & CORPORATE BODIES - Membership** for records relating to the payment of allowances or reimbursement of expenses.

9.4.1	Records relating to arrangements for members of GOVERNING & CORPORATE BODIES or their sub-committees to travel. Records include: <ul style="list-style-type: none"> • itineraries • determinations of allowances • accommodation and transport arrangements and bookings. 	Retain minimum of 2 years after action completed, then destroy
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9.5.0 Audit

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

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

See **STRATEGIC MANAGEMENT - Audit** for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.

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

9.5.1	Records relating to audits of the governance practices or performance of governing bodies and their subcommittees which: <ul style="list-style-type: none"> • result in the suspension or dismissal of members • set a precedent, and/or • lead to a major change in policies. Records include: <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of audit reports containing significant changes/alterations or formally 	Required as State archives
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-----	------------------------	-----------------

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	<p>circulated for comment</p> <ul style="list-style-type: none"> • final, approved versions of audit reports or responses to audit report findings or recommendations • records of remedial action. 	
9.5.2	<p>Records relating to audits of the governance practices or performance of governing bodies and their subcommittees which do not:</p> <ul style="list-style-type: none"> • result in the suspension or dismissal of members • set a precedent, or • lead to a major change in policies. <p>Records include:</p> <ul style="list-style-type: none"> • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of audit reports containing significant changes/alterations or formally circulated for comment • final, approved versions of audit reports or responses to audit report findings or recommendations • records of remedial action. 	Retain minimum of 6 years after action completed, then destroy

9.6.0 Authorisation

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

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations for members of governing bodies or their sub-committees to travel.

See **GOVERNING & CORPORATE BODIES - Arrangements** for records relating to arrangements for members of governing bodies or their sub-committees to travel.

See **GOVERNING & CORPORATE BODIES - Meetings** for records relating to approvals given by the governing body and recorded in minutes of meetings.

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

9.6.1	Records relating to delegations for members of governing bodies or their sub-committees to enter into agreements or arrangements that bind the organisation. Includes records of Ministerial delegation.	Required as State archives
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Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

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

GOVERNING & CORPORATE BODIES - Authorisation

9.6.2	Records relating to other delegations for members of governing bodies or their sub-committees, i.e. that do not involve entering into agreements or arrangements that bind the organisation.	Retain minimum of 7 years after expiry of delegation, then destroy
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9.7.0 Authorities

The activities associated with the establishment of new governing bodies or to alteration of existing structures of governing bodies. Includes instruments of authority.

9.7.1	Records relating to the issue of instruments of authority, e.g. by a central agency, to establish new governing bodies or alter existing structures of governing bodies, e.g. non-statutory charters.	Required as State archives
9.7.2	Records relating to the receipt by the organisation of instruments of authority to establish new governing bodies or alter existing structures of governing bodies, e.g. non-statutory charters.	Retain minimum of 10 years after governing body ceases to exist or instrument is superseded, then destroy

Committees

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

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

9.8.0 Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject.

See **LEGAL SERVICES - Advice** for records relating to legal advice from internal or external legal service providers.

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

9.8.1	Summary records documenting disclosures of pecuniary interest by members of governing bodies. Records include conflict of interest registers and registers of related party transactions.	Required as State archives
9.8.2	Declarations and disclosures of pecuniary interest by members of governing bodies.	(A) Where a summary record

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

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

GOVERNING & CORPORATE BODIES - Compliance

	See FINANCIAL MANAGEMENT for records relating to taxation, fringe benefits and instances of fraud or misappropriation.	<p>exists:</p> <p>Retain minimum of 10 years after member's term expires, then destroy</p> <p>(B) Where no summary record exists:</p> <p>Required as State archives</p>
9.8.3	Records documenting the establishment and registration of the organisation, or an entity controlled by it, as a corporate entity. Includes certificates, memoranda and articles of incorporation or association, company or corporate registers (e.g. share and seal registers, registers of directors, etc.).	Required as State archives
9.8.4	<p>Records relating to arrangements for the winding up of corporate-owned registered companies, subsidiaries or controlled entities. Includes notification of intentions, arrangements to discharge liabilities, removal from registration.</p> <p>See STRATEGIC MANAGEMENT - Agreements for agreements regarding the transfer of responsibilities and ownership of assets such as property, information, etc., due to privatisation of a controlled subsidiary or entity</p>	Retain minimum of 7 years after action completed, then destroy

Conferences

See **COMMUNITY RELATIONS - Conferences** for records relating to conferences arranged by the organisation and for addresses given by members of governing bodies or their sub-committees at external conferences.

See **GOVERNING & CORPORATE BODIES - Training and development** for records relating to training and professional development for members of governing bodies.

9.9.0 Corruption

The processes which allow the disclosure of corruption, and strategies for the prevention of corruption (including fraud).

9.9.1	Records relating to allegations of fraud or corruption made about a member of the organisation's governing body.	Required as State archives
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-----	------------------------	-----------------

GOVERNING & CORPORATE BODIES - Meetings

Evaluation

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

9.10.0 Meetings

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

Note: It is recommended that organisations have in place established procedures and guidance regarding the capture of official sets of minutes, papers and associated correspondence into recordkeeping systems and the management and disposal of a member's own copies of meeting records or business or committee papers once their membership of the governing body ceases.

See this function and activity for records relating to meetings of GOVERNING & CORPORATE BODIES such as boards, trusts etc and formal sub-committees of GOVERNING & CORPORATE BODIES.

See **COMMITTEES** for records relating to the formation, meetings and decisions of other strategic or operational committees, task forces, working groups or parties, including standing committees established by GOVERNING & CORPORATE BODIES (i.e. committees where there is delegation from the governing body to undertake particular functions and where the committee has its own authority to make decisions and take action).

See **GOVERNING & CORPORATE BODIES - Arrangements** for records relating to arrangements for members of GOVERNING & CORPORATE BODIES or their sub-committees to travel.

9.10.1	<p>Records relating to the meetings of GOVERNING & CORPORATE BODIES, such as boards, trusts, etc., and meetings of sub-committees. Records include:</p> <ul style="list-style-type: none"> • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed at meetings. 	Required as State archives
9.10.2	<p>Records relating to administrative arrangements for meetings including records or correspondence relating to:</p> <ul style="list-style-type: none"> • meeting notifications • catering arrangements • venue bookings • related correspondence. 	Retain until administrative or reference use ceases, then destroy

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

GOVERNING & CORPORATE BODIES - Membership

9.11.0 Membership

The activities associated with managing the nomination, appointment, resignation or termination of members of governing bodies, the disclosure and recording of their pecuniary interests and arrangements for the payment of remuneration and other allowances.

See **GOVERNING & CORPORATE BODIES - Advice** for records relating to the provision of advice to central coordinating agencies on the nomination, appointment, reappointment, resignation or termination of members to governing bodies .

See **GOVERNING & CORPORATE BODIES - Arrangements** for records relating to arrangements for members of governing bodies or their sub-committees to travel.

9.11.1	<p>Records relating to the nomination, appointment, reappointment, resignation or termination of members of governing bodies or their sub-committees. Records include:</p> <ul style="list-style-type: none"> • records of the selection process • approvals • letters of appointment, resignation or termination • letters informing the organisation of the appointment • gazettal notices • terms and conditions of appointment • instruments of appointment • signed copies of codes of conduct • related correspondence. 	Required as State archives
9.11.2	Summary records facilitating the management of details of membership or appointments governing bodies or their sub-committees, e.g. registers of members or appointments.	Required as State archives
9.11.3	Records relating to the election of staff representatives to governing bodies or their sub-committees. Includes ballot papers and eligibility lists.	Retain minimum of 6 months after appointments are finalised, then destroy
9.11.4	<p>Records relating to the determination and approval of payment of members of governing bodies or their sub-committees as remuneration for the performance of their duties. Records include:</p> <ul style="list-style-type: none"> • taxation declaration records • group certificates 	Retain minimum of 10 years after member's term expires, then destroy

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

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

GOVERNING & CORPORATE BODIES - Performance management

	<ul style="list-style-type: none"> • records relating to the recovery of over-payments • list of scheduled members fees and approvals • records relating to the payment of allowances • pay history and superannuation deduction records • records of redundancy payments • records of special remuneration packaging arrangements including Fringe Benefits Tax (FBT) arrangements • records regarding the negotiation of remuneration. 	
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9.12.0 Performance management

The process of identifying, evaluating and developing the performance of members of governing bodies so that the organisation's goals and objectives are achieved and the member benefits through recognition and performance feedback.

9.12.1	Records relating to evaluating the performance of members of governing bodies by the Minister or other relevant authority. Records include: <ul style="list-style-type: none"> • performance agreements • reviews of performance. 	Retain minimum of 10 years after member's term expires, then destroy
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Planning

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

9.13.0 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 **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.

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

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

GOVERNING & CORPORATE BODIES - Policy

9.13.1	Final, approved versions of policies and codes of conduct for members of governing bodies and associated correspondence indicating who the policies apply to and responsibilities for their implementation.	Required as State archives
9.13.2	Records relating to the development and review of policies and codes of conduct for members of governing bodies. 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 minimum of 7 years after action completed, then destroy

9.14.0 Procedures

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

See **GOVERNING & CORPORATE BODIES - Training and development** for records relating to training in procedures.

9.14.1	Final, approved versions of manuals, handbooks, directives, etc., detailing procedures for members of governing bodies and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.	Retain minimum of 7 years after procedures are superseded, then destroy
9.14.2	Records relating to the development and review of procedures for members of governing bodies. 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 minimum of 3 years after action completed, then destroy

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

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

GOVERNING & CORPORATE BODIES - Training and development

Reporting

See **GOVERNMENT RELATIONS - Reporting** for records relating to reports by the governing body to government organisations.

See **PUBLICATION - Production** for records relating to the design, layout, printing etc of reports, including annual reports.

Representatives

See **COMMITTEES** for records relating to involvement of members of governing bodies or their sub-committees in other internal committees or in external committees.

Reviewing

See **GOVERNING & CORPORATE BODIES - Authorities** for records relating to instruments of authority to establish new governing bodies or alter existing structures of governing bodies.

See **STRATEGIC MANAGEMENT - Legislation** for records relating to reviews of legislation and regulations that may impact on the governing body.

See **STRATEGIC MANAGEMENT - Reviewing** for records relating to the review of strategic programs and services, including reviews of the administration and operation of governing bodies.

Separations

See **GOVERNING & CORPORATE BODIES - Membership** for records relating to the resignation or termination of members of the organisation's governing body.

9.15.0 Training and development

The activities associated with the professional development of members governing bodies. Includes the development of training materials and delivery arrangements for training and the involvement of members of governing bodies in conferences, seminars and workshops.

See **COMMUNITY RELATIONS - Addresses** for records relating to addresses made by members of governing bodies.

See **GOVERNING & CORPORATE BODIES - Arrangements** for records relating to arrangements for members of governing bodies or their sub-committees to travel.

9.15.1	Final, approved versions of training materials for courses run internally by the organisation for members of governing bodies or their sub-committees, e.g. induction training. Records include: <ul style="list-style-type: none"> • programs • lecture notes • handouts. 	Retain until course or training material is superseded, then destroy
9.15.2	Records relating to the development of training materials for courses run internally by the organisation	Retain until administrative or

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

GOVERNING & CORPORATE BODIES - Training and development

	for members of governing bodies or their sub-committees, e.g. induction training.	reference use ceases, then destroy
9.15.3	Records relating to administrative arrangements for the conduct of training courses or attendance at workshops, seminars or conferences by members of governing bodies or their sub-committees. Records include: <ul style="list-style-type: none"> • records of applications • records of confirmation of attendance • venue bookings • records of equipment hire • catering arrangements. 	Retain until administrative or reference use ceases, then destroy
9.15.4	Summary records created to facilitate the management and monitoring of the provision of occupational health and safety training to members of governing bodies or their sub-committees, e.g. occupational health and safety training registers. Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 75 years after action completed, then destroy

Visits

See **COMMUNITY RELATIONS - Visits** for records relating to visits made by members of GOVERNING & CORPORATE BODIES to other organisations or professional associations in Australia or overseas.

See **FINANCIAL MANAGEMENT - Authorisation** for records relating to approvals and authorisations to travel or for the reimbursement of expenses for members of governing bodies or their sub-committees.

See **GOVERNMENT RELATIONS - Visits** for records relating to visits made by members of governing bodies to other government organisations in Australia or overseas.