

Function/Activity

GDA No

ACCOMMODATION SERVICES

GDA23-8.0.0

Description: The provision of accommodation either through residential colleges or residential placements where the accommodation service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure.

Retention:

ACCOMMODATION SERVICES - Halls of residence/ residential colleges

GDA23-8.1.0

Description: The service of providing accommodation through halls of residence or residential colleges.

Retention:

GDA23-8.1.1

Description: Records relating to students and other residents.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-8.1.2

Description: Records relating to routine administrative activities of the college/ hall of residence, such as catering. Note: this disposal class should only be used for records which are not covered by the existing general retention and disposal authorities for administrative and personnel records.

Retention: Retain until no longer required for business or administrative purpose, then destroy.

ACCOMMODATION SERVICES - Placement services

GDA23-8.2.0

Description: The service of providing accommodation through matching students with private accommodation such as boarding houses.

Retention:

GDA23-8.2.1

Description: Records relating to the provision of accommodation placement services.

Retention: Retain until no longer required for business or administrative purpose, then destroy.

ADMISSION

GDA23-9.0.0

Description: The process of applying for entry to a course or subject offered by the university. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure.

Retention:

ADMISSION - Applications/ Offers

GDA23-9.1.0

Description: Applications/offers for admission to any course of study offered by the university (including: under-graduate and post-graduate courses; short courses; bridging courses/programs; non-award applications). This activity also relates to special applications such as mature age students. See STUDENT EXCHANGE for student exchange programs.

Retention:

GDA23-9.1.1

Function/Activity

GDA No

GDA23-9.1.1

Description: Records relating to offers and applications which are successful and accepted. Examples of records: application forms and supporting documents; offers of places; copies of Universities Admissions Centre (UAC) applications; interview records; entry examinations; and correspondence. Note: Where these records are batched together a cautious approach will need to be taken in estimating appropriate graduation/completion dates for the students.

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

GDA23-9.1.2

Description: Records relating to offers that are not accepted.

Retention: Retain for minimum of 3 years from date of offer, then destroy.

GDA23-9.1.3

Description: Records relating to applications which are unsuccessful. Examples of records: application forms and supporting documents; copies of Universities Admissions Centre (UAC) applications; interview records; entry examinations; and correspondence.

Retention: Retain until appeal period has expired or minimum of 6 months after action completed, whichever is longer, then destroy.

ANATOMY MANAGEMENT

GDA23-20.0.0

Description: The management and use of bodies, body parts or specimens for research or teaching purposes.

Retention:

ANATOMY MANAGEMENT - Anatomy licences

GDA23-20.1.0

Description:

Retention:

GDA23-20.1.1

Description: Records relating to licenses for conducting the study and practice of anatomy. Examples of records: licenses; and applications. See also Anatomy Act 1977 s.6.

Retention: Retain for minimum of 1 year after licence expires, then destroy.

ANATOMY MANAGEMENT - Body registers

GDA23-20.2.0

Description:

Retention:

GDA23-20.2.1

Description: Registers of bodies or specimens held by licensed schools of anatomy. See also Anatomy Act 1977 s.10.

Retention: Retain for minimum of 5 years after date of transfer or disposal of body or specimen, then destroy.

ANATOMY MANAGEMENT- Maintenance and management

GDA23-20.3.0

Description: The acquisition, storage, maintenance and management of bodies or body parts used for research or teaching purposes. This may also include transfer and disposal.

Retention:

GDA23-20.3.1

Description: Records relating to the acquisition, storage, maintenance and management of bodies, specimens or body parts. Note: Details regarding the transfer or disposal of bodies or body parts should be recorded in the body registers as required under s.11(3) and s.12(4) of the Anatomy Act 1977 (updated 1999). This disposal class should only be used for disposing of any additional documentation relating to the transfer or disposal of bodies or body parts.

Retention: Retain for minimum of 1 year after action completed, then destroy.

ANIMAL MANAGEMENT

GDA23-21.0.0

Function/Activity

GDA No

GDA23-21.0.0

Description: Management of animals for use in teaching and research.

Retention:

ANIMAL MANAGEMENT - Accreditation of research organisations

GDA23-21.1.0

Description: Organisations must be accredited for conducting research with animals. See also Animal Research Act 1985 s.18.

Retention:

GDA23-21.1.1

Description: Records related to accreditation where successful. Example of records: Inspections of animal holdings; Records providing evidence of training of researchers; records of animal care and ethics committee membership details.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-21.1.2

Description: Records related to unsuccessful applications for accreditation. Example of records: Inspections of animal holdings; Records providing evidence of training of researchers; records of animal care and ethics committee membership details.

Retention: Retain for minimum of 2 years after action completed, then destroy.

ANIMAL MANAGEMENT - Animal husbandry/farm management

GDA23-21.2.0

Description: The management of farm animals and agricultural areas.

Retention:

GDA23-21.2.1

Description: Records relating to the management of farm animals and agricultural areas.

Retention: Retain until no longer required for reference or administrative purpose, then destroy.

ANIMAL MANAGEMENT - Animal suppliers' licences

GDA23-21.3.0

Description: Organisations must hold a licence to supply animals for research.

Retention:

GDA23-21.3.1

Description: Records related to applying for and/or holding an animal suppliers licence under Division 5 of the Animal Research Act 1985.

Retention: Retain for minimum of 2 years after application made or licence issued, whichever is longer, then destroy.

ANIMAL MANAGEMENT - Annual reports

GDA23-21.4.0

Description:

Retention:

GDA23-21.4.1

Description: Records relating to annual reporting, including annual reports to external bodies. See also Animal Research Regulation 2005 s.27.

Retention: Retain for minimum of 7 years after action completed, then destroy.

ANIMAL MANAGEMENT - Breeding and management

GDA23-21.5.0

Description:

Retention:

GDA23-21.5.1

Function/Activity

GDA No

GDA23-21.5.1

Description: Records relating to the care, management and/or breeding of animals for research or teaching purposes. See also Australian Code of Practice for Care and Use of Animals for Scientific Purposes. (NHMRC 2004).

Retention: Retain at least until no longer required for administrative or reference purpose, then destroy.

ANIMAL MANAGEMENT - Lethality tests

GDA23-21.6.0

Description: "... lethality test means an animal research procedure in which any material or substance is administered to animals for the purpose of determining whether any animals will die or how many animals will die." Animal Research Act 1985 s.56A.

Retention:

GDA23-21.6.1

Description: Records relating to approvals for lethality tests. See also Animal Research Regulation 2005 s.28, and Animal Research Act 1985 (NSW) s.56A

Retention: Retain for minimum of 7 years after application made, then destroy.

ANIMAL MANAGEMENT - Use of animals

GDA23-21.7.0

Description:

Retention:

GDA23-21.7.1

Description: Records relating to applications for animal research authorities under Animal Research Act 1985 s.25A, B and C.

Retention: Retain for minimum of 7 years after application made, then destroy.

GDA23-21.7.2

Description: Records relating to applications for animal research authorities by independent researchers (ie non-university researchers) under s.25C Animal Research Act 1985. See also Animal Research Regulation 2005 s.17.

Retention: Retain for minimum of 7 years after application made, then destroy.

ANIMAL MANAGEMENT - Veterinary clinic

GDA23-21.8.0

Description: Veterinary clinics for the treatment of research animals or external clients.

Retention:

GDA23-21.8.1

Description: Records relating to the treatment of animals such as client files, consent forms, surgery records, pathology reports and post mortem reports.

Retention: Retain for minimum of 2 years after treatment, then destroy.

GDA23-21.8.2

Description: Records relating to the provision of prescriptions for drugs and the use/storage of drugs such as drugs registers and prescriptions. See also Poisons and Therapeutic Goods Regulation 2002 for further details on drugs registers and prescriptions.

Retention: Retain for minimum of 2 years after date of last entry or the date it was acted upon, then destroy.

GDA23-21.8.3

Description: Appointment registers.

Retention: Retain for minimum of 1 year after last entry, then destroy.

CHILDCARE SERVICES

GDA23-10.0.0

Description: The provision of childcare services or centres where the service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records See General Retention and Disposal Authority: Personnel Records for records relating to staff of childcare services. Note: Records of child care services should be created and maintained in accordance with the requirements of the Children's Services Regulation 2004.

Retention:

CHILDCARE SERVICES - Agreements

GDA23-10.1.0

Description: Processes associated with the establishment, maintenance, review and negotiation of agreements.

Retention:

GDA23-10.1.1

Description: Records relating to the establishment, maintenance, review and negotiation of contracts and agreements for the provision of child care services

Retention: Retain for minimum of 7 years after the agreement expires or last action, whichever is the longer, then destroy.

CHILDCARE SERVICES - Compliance

GDA23-10.2.0

Description: Activities associated with complying with legal, regulatory or quality etc standards or requirements

Retention:

GDA23-10.2.1

Description: Records relating to the licensing of childcare centres or services operated by or within the university and compliance with licence requirements.

Retention: Retain for minimum of 7 years after licence expires, then destroy.

CHILDCARE SERVICES - Policy & procedure

GDA23-10.3.0

Description: Activities relating to the development of policies and procedures by the childcare centre/s in relation to childcare services (including health, safety and developmental matters) Note: In instances of accidents, injuries or incidents evidence of policies and procedures in place at the time can be of significance in legal action subsequently arising and longer retention periods may be appropriate

Retention:

GDA23-10.3.1

Description: Policies and procedures relating to the health, safety and protection of children whilst in the care of the service

Retention: Retain minimum of 7 years after policy or procedure is superseded, then destroy.

GDA23-10.3.2

Description: Policies and procedures relating to routine operational or administrative matters

Retention: Retain until superseded and no longer required for administrative, accreditation or reference purposes, then destroy.

CHILDCARE SERVICES - Provision of service

GDA23-10.4.0

Description: Activities relating to the provision of services for each child including enrolment, programs of development etc. See also Children's Services Regulation 2004 for complete details of records required to be created and maintained by childcare services.

Retention:

GDA23-10.4.1

Description: Personal records of each child. This includes records relating to the child's personal information, attendance, parental authorisations, approvals and permissions, contact details, special requirements, particulars of treatment to be given child or any medication administered to a child by a member of staff of the service, the nature and circumstances of any injury to or illness of a child whilst in the care of the service, complaints etc. See Children's Services Regulation 2004 for details of records required to be created and maintained for each child.

Retention: Retain until the child reaches the age of 25 or 7 years after last action, whichever is the longer, then destroy.

GDA23-10.4.2

Description: Learning and developmental plans for individual children. This includes records of documented observations concerning a child's interactions and developmental progress and learning and developmental plans for individual children.

Retention: Retain for minimum of 1 year after child ceases to attend the service, then destroy.

GDA23-10.4.3

Function/Activity

GDA No

GDA23-10.4.3

Description: Records of daily or weekly routines and programs of activity.

Retention: Retain for minimum of 1 year after superseded, then destroy.

GDA23-10.4.4

Description: Records relating to the provision of places for childcare. Includes applications, records of interviews, acceptances of places, waiting lists etc.

Retention: Retain for minimum of 1 year after placement is made or application withdrawn, then destroy.

GDA23-10.4.5

Description: Records of routine administrative and support matters.

Retention: Retain until no longer required for administrative use, then destroy.

COLLECTIONS MANAGEMENT

GDA23-1.0.0

Description: This relates to the management of collections of art, private records, museum specimens and other objects which are owned by the university, or on loan to the university. See LIBRARY MANAGEMENT for records relating to the management of library collections.

Retention:

COLLECTIONS MANAGEMENT - Access

GDA23-1.1.1

Description: Records relating to access to collections. Examples of records, applications for access, access conditions and registers of access.

Retention: Retain until no longer required for administrative or references purposes, then destroy.

COLLECTIONS MANAGEMENT - Acquisitions

GDA23-1.2.1

Description: Records relating to the purchase or other means of acquisition (not including donation or loan) of items for a collection.

Retention: Retain at least until collection item has been disposed of, then destroy.

COLLECTIONS MANAGEMENT - Collection Control

GDA23-1.3.1

Description: Control records for collections such as: catalogues; inventories; electronic control systems; indexes; and registers.

Retention: Retain until no longer required for administrative or references purposes, then destroy.

COLLECTIONS MANAGEMENT - Conservation & Preservation

GDA23-1.4.1

Description: Records relating to general conservation and preservation activities such as temperature and humidity control and pest treatment for the storage areas.

Retention: Retain until no longer required for reference purposes, then destroy.

GDA23-1.4.2

Description: Records relating to conservation and preservation carried out directly to the item such as repairs, deacidification etc.

Retention: Retain until the item is disposed of, then destroy.

COLLECTIONS MANAGEMENT - Disposal

GDA23-1.5.1

Description: Records relating to the disposal of collection items.

Retention: Retain for minimum of 7 years after action completed, then destroy.

COLLECTIONS MANAGEMENT - Donations

GDA23-1.6.1

Function/Activity

GDA No

GDA23-1.6.1

Description: The donation of items to the university. Records relating to contracts/agreements including intellectual ownership agreements.

Retention: Retain for minimum of 7 years after item disposed of, then destroy.

COLLECTIONS MANAGEMENT - Exhibition management

GDA23-1.7.1

Description: Records relating to the planning and implementation of an exhibition/ display.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-1.7.2

Description: Exhibition catalogues

Retention: Required as State archives

COLLECTIONS MANAGEMENT - Loans - in

GDA23-1.8.1

Description: Records relating to the loan agreement/contract.

Retention: Retain for minimum of 10 years after action completed, then destroy.

GDA23-1.8.2

Description: Records relating to the loan of collection items (excluding those relating to the loan agreement/contract).

Retention: Retain until no longer required for reference purposes, then destroy.

COLLECTIONS MANAGEMENT - Loans - out

GDA23-1.9.1

Description: Records relating to the loan agreement/contract.

Retention: Retain for minimum of 10 years after action completed, then destroy.

GDA23-1.9.2

Description: Records relating to the loan of collection items (excluding those relating to the loan agreement/contract).

Retention: Retain until no longer required for reference purposes, then destroy.

COMMERCIAL ACTIVITIES

GDA23-22.0.0

Description: Activities relating to the commercialisation of services and products. Note: records relating to training or other educational services offered as part of a consultancy, such as student records, curricula etc, should be dealt with in the same way as standard teaching and student administration records in this disposal authority. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure. GOVERNANCE – Establishment and/or incorporation of university and controlled entities for records relating to controlled entities established for commercial purposes.

Retention:

COMMERCIAL ACTIVITIES - Commercialisation

GDA23-22.1.0

Description: Activities relating to commercialisation, including: products; services; curricula and supporting documentation; intellectual property. See also RESEARCH MANAGEMENT – Product management and GOVERNANCE – Establishment and/or incorporation of university and controlled entities for records relating to the governance of university companies and controlled entities.

Retention:

GDA23-22.1.1

Description: Contracts, agreements and other formal arrangements. See also 22.1.5 for records relating to Intellectual Property

Retention: Retain for minimum of 7 years after all terms and conditions of contract are satisfied, then destroy.

GDA23-22.1.2

Function/Activity

GDA No

GDA23-22.1.2

Description: Records relating to the identification of and investigation into commercial ventures, including: identification of commercial opportunities; negotiations; expressions of interest.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-22.1.3

Description: Records relating to the provision of services, products, etc.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-22.1.4

Description: Marketing of commercial products and services.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-22.1.5

Description: Records relating to the registration of patents, copyright and ownership of intellectual property where owned in part or completely by the university.

Retention: Required as State archives

COMMERCIAL ACTIVITIES - Register of commercial activities

GDA23-22.3.0

Description: See also GOVERNANCE – Strategic Management for government reporting records.

Retention:

GDA23-22.3.1

Description: Register of commercial activities

Retention: Retain for minimum of 7 years after superseded, then destroy.

COMMERCIAL ACTIVITIES - Consultancy services

GDA23-22.2.0

Description: The provision of professional services, sometimes in a competitive environment. Note: records relating to training or other educational services offered as part of a consultancy, such as student records, curricula, etc, should be dealt with in the same way as standard teaching and student administration records.

Retention:

GDA23-22.2.1

Description: Records relating to consultancy activities, including the provision of services, where the tender/expression of interest etc was successful and the required service was provided. Examples of records: registration; expressions of interest; tender documentation; contracts; agreements; administrative; and financial; progress reports; raw data; working papers; and inspection reports.

Retention: Retain for minimum of 7 years after all terms and conditions of the contract completed, then destroy.

GDA23-22.2.2

Description: Records relating to consultancy activities where the tender/expression of interest etc was unsuccessful or where the required service was not provided. Examples of records: registration; expressions of interest; tender documentation; contracts; agreements; administrative; and financial.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-22.2.3

Description: Records relating to the provision of expert witness services by academic or other staff. Includes the provision of advice, opinions and testimony to courts, tribunals or to other judicial offices.

Retention: Retain for minimum of 15 years after provision of the services, then destroy.

GDA23-22.2.4

Description: Records relating to advertising or promoting consultancy services and routine administration.

Retention: Retain for minimum of 1 year after action completed, then destroy.

COMMITTEES

Function/Activity

GDA No

GA28-01.00.00

Description: The activities associated with the management of internal, external or inter-agency committees, task forces, working groups or parties etc. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas etc. Use these entries for records relating to standing committees established by governing bodies of an organisation. Standing committees are considered to be 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. Use GOVERNING BODIES - MEETINGS for records relating to meetings of governing bodies, such as boards, trusts etc and formal sub-committees of governing bodies. Sub-committees are considered to be committees established by the governing body and involving members of the governing body. Such committees report to, or make recommendations to, the governing body regarding issues impacting on the operations of the organisation but have no authority to make decisions and take action. Use 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. Use STRATEGIC MANAGEMENT - MEETINGS for records relating to general, section or unit meetings of employees. Note: It is recommended that organisations have in place established procedures and guidance regarding the capture of official sets of committee minutes, papers and associated correspondence into recordkeeping systems and the management and disposal of a committee member's own copies of committee records once membership ceases.

Retention:

COMMITTEES - Advisory/consultative

GA28-01.00.08

Description: Records relating to meetings of advisory or consultative committees, councils etc, i.e. committees consisting of external stakeholder representation, which advise on or oversee the operations of, or delivery of services in, an organisation or which provide advice to the Minister or Government on policy, priorities or strategy. Includes committees established by the organisation, committees required to be established by legislation or where the Premier or Minister establishes the committee and/or appoints its members. Records include:-records of the establishment of the committee, its terms of reference etc -agenda and minutes-advice and briefing papers-submissions and reports-recommendations and resolutions-correspondence arising from business discussed or resolutions passed-major publications, reports and discussion papers. Use the organisation's functional retention and disposal authority if the advisory committee produces additional records that are not covered by this entry or other relevant entries in this authority, e.g. records relating to the development or issue of industry standards, codes of practice or guidelines.

Retention: Required as State archives

COMMITTEES - Arrangements

GA28-01.00.09

Description: Records relating to administrative arrangements for committee meetings. Records include:-meeting notifications-catering arrangements-venue bookings-accommodation and transport arrangements-related correspondence. Use FINANCIAL MANAGEMENT - AUTHORISATION for records relating to approvals and authorisations for travel or reimbursement of expenses for non-employees serving as members of committees. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - ARRANGEMENTS for records relating to approvals and authorisations for travel or travel arrangements for employees serving as members of committees.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COMMITTEES - Inter-agency/external

GA28-01.00.03

Description: Records relating to inter-agency or external committees where (1) the organisation provides the secretariat and (2) the committee was established for the purposes of strategic planning or policy development and considers issues impacting on the core functions or responsibilities of the organisation. Records include:-records of the establishment of the committee, its terms of reference, memoranda of understanding etc -records of nomination, appointment, resignation or termination of members -authorisations by the organisation to participate-agenda and minutes-advice and briefing papers-submissions and reports-recommendations and resolutions-correspondence arising from business discussed or resolutions passed. Note: In the case of committees established to support collaboration or integrated service delivery, organisations should consider entries 1.0.3 and 1.0.4 carefully to decide which entry is the most appropriate given the terms of reference of the committee and its purpose and significance or influence of its decision making.

Retention: Required as State archives

GA28-01.00.04

Function/Activity

GDA No

GA28-01.00.04

Description: Records relating to inter-agency or external committees where (1) the organisation does not provide the secretariat or (2) where the organisation provides the secretariat but the Committee considers operational matters or matters relating to administrative or non-core functions of the organisation. Records include:-records of the establishment of the committee, its terms of reference, memoranda of understanding etc -records of nomination, appointment, resignation or termination of members -authorisations by the organisation to participate-agenda and minutes-advice and briefing papers-submissions and reports-recommendations and resolutions-correspondence arising from business discussed or resolutions passed.Note: In the case of committees established to support collaboration or integrated service delivery, organisations should consider entries 1.0.3 and 1.0.4 carefully to decide which entry is the most appropriate given the terms of reference of the committee and its purpose. Note: There may be some records relating to inter-agency or external committees dealing with operational matters that warrant retention as State archives, particularly where the records of the committee document decision making with respect to the organisation's core functions or responsibilities or consideration of matters attracting significant public interest. This should be assessed as part of the development of an organisation's functional retention and disposal authority and where warranted the records of the relevant committee/s should be included in the organisation's own functional retention and disposal authority.

Retention: Retain minimum of 5 years after action completed, then destroy

COMMITTEES - Inter-government

GA28-01.00.02

Description: Records relating to inter-government committees where the organisation provides the State representative, e.g. Committees or Councils of State and national committees consisting of heads of government organisations, Ministers or statutory offices e.g. Solicitor Generals, Police Commissioners. Records include:-records of the establishment of the committee, its terms of reference, memoranda of understanding etc -records of nomination, appointment, resignation or termination of members -authorisations by the organisation to participate-agenda and minutes-advice and briefing papers-submissions and reports-recommendations and resolutions-correspondence arising from business discussed or resolutions passed.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 of the scope of this authority and separate disposal authorisation must be sought from State Records.

Retention: Required as State archives

COMMITTEES - Internal

GA28-01.00.05

Description: Records relating to internal committees established for strategic planning or policy development purposes which consider significant issues impacting on the core functions or responsibilities of the organisation. Records include:-records of the establishment of the committee, its terms of reference, memoranda of understanding etc -records of nomination, appointment, resignation or termination of members -agenda and minutes-advice and briefing papers-submissions and reports-recommendations and resolutions-correspondence arising from business discussed or resolutions passed.

Retention: Required as State archives

GA28-01.00.06

Description: Records relating to internal committees which form part of consultative arrangements with staff regarding working conditions, e.g. occupational health and safety committees, workplace relations committees. Records include:-records of the establishment of the committee, its terms of reference etc-records of nomination, appointment, resignation or termination of members -agenda and minutes-advice and briefing papers-submissions and reports-recommendations and resolutions-correspondence arising from business discussed or resolutions passed.

Retention: Retain minimum of 10 years after action completed, then destroy

GA28-01.00.07

Description: Records relating to internal committees which consider operational matters and issues concerning the administrative or general operational support functions of the organisation. Excludes committees which form part of consultative arrangements with staff regarding working conditions or occupational health and safety issues. Records include:-records of the establishment of the committee, its terms of reference etc-records of nomination, appointment, resignation or termination of members -agenda and minutes-advice and briefing papers-submissions and reports-recommendations and resolutions-correspondence arising from business discussed or resolutions passed.Note: There may be some records relating to committees dealing with operational matters that warrant retention as State archives, particularly where the records of the committee document decision making by the organisation with respect to its core functions or responsibilities, e.g. the records of grants or funding committees where the organisation has a functional responsibility for the disbursement of significant amounts of funding to industry, community groups or a particular sector, e.g. the records of registration or approval committees or panels where the organisation has a responsibility for licensing the conduct of certain activities or the registration of certain professions. This should be assessed as part of the development of an organisation's functional retention and disposal authority and where warranted the records of the relevant committee/s should be included in the organisation's own functional retention and disposal authority.Note: Retention period is a minimum only and organisations should carefully consider whether the nature of these records would require a longer retention period.

Retention: Retain minimum of 5 years after action completed, then destroy

COMMITTEES - International

Function/Activity

GDA No

GA28-01.00.01

Description: Records relating to international committees where the organisation provides the state or national representative. Records include:-records of the establishment of the committee, its terms of reference, memoranda of understanding etc-records of nomination, appointment, resignation or termination of members -authorisations by the organisation to participate-agenda and minutes-advice and briefing papers-submissions and reports-recommendations and resolutions-correspondence arising from business discussed or resolutions passed.

Retention: Required as State archives

COMMUNITY RELATIONS

GA28-02.00.00

Description: The function of establishing rapport with the community and raising and maintaining the organisation's broad public profile. Includes marketing, advertising, media liaison, exhibitions, celebrations, ceremonies, speeches, official representation at functions and participation in community activities. Also includes relationships with professional organisations and industry, the management of customer services, handling reactions to those services, customer consultation and feedback.

Retention:

GDA23-2.0.0

Description: The function of establishing rapport with the community and raising and maintaining the organisation's broad profile. See also General Retention and Disposal Authority: Administrative Records - COMMUNITY RELATIONS (GA28)

Retention:

COMMUNITY RELATIONS - Acquisition

GA28-02.01.00

Description: The process of gaining ownership or use of resources required for the conduct of business through purchase or requisition. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use EQUIPMENT & STORES - ACQUISITION for records relating to the acquisition of equipment or stores where there is no tendering or contracting out process. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting acquisitions. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-02.01.01

Description: Records relating to the acquisition of services to support the conduct of community, public relations, marketing or public profile raising activities, e.g. newscuttings services, where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include:-requests for quotes and orders-minutes or notes of meetings with service providers-performance and evaluation reports-related correspondence.

Retention: Retain minimum of 7 years after action completed, then destroy

COMMUNITY RELATIONS - Addresses

GA28-02.02.00

Description: The activity of giving addresses for professional, community relations or sales purposes. Includes speeches and multi-media presentations. Use COMMUNITY RELATIONS - CELEBRATIONS, CEREMONIES, FUNCTIONS for records relating to administrative arrangements concerning the giving of addresses at those events. Use COMMUNITY RELATIONS - CONFERENCES for records relating to addresses given at conferences and for conference proceedings. Use FINANCIAL MANAGEMENT - AUTHORISATION for records relating to approvals and authorisations, travel or reimbursement of expenses for non-employees giving addresses, e.g. members of governing bodies or non-government speakers. Use STAFF DEVELOPMENT - ADDRESSES for records relating to addresses delivered to the staff of the organisation or STAFF DEVELOPMENT - TRAINING for records relating to training or seminars delivered for staff development purposes. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - ARRANGEMENTS for records relating to approvals and authorisations for travel or travel arrangements for employees giving addresses.

Retention:

GA28-02.02.01

Description: Transcripts of final versions of addresses, speeches or papers delivered as part of lecture series held by organisation.

Retention: Required as State archives

GA28-02.02.02

Description: Transcripts of final versions of addresses delivered by the Minister in their capacity as Minister or as a representative of the Government.

Retention: Required as State archives

GA28-02.02.03

Function/Activity

GDA No

GA28-02.02.03

Description: Transcripts of final versions of addresses, speeches or papers delivered by members of governing bodies, chief or senior executives of the organisation at significant occasions or public events, including conferences.

Retention: Required as State archives

GA28-02.02.04

Description: Transcripts of addresses, speeches or papers delivered by non-executive staff members, or those given by executive staff members at occasions or public events not considered to be significant.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-02.02.05

Description: Records relating to the drafting of addresses. Records include: -background research -draft versions of addresses.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-02.02.06

Description: Audio, video or other recordings of addresses.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COMMUNITY RELATIONS - Agreements

GA28-02.03.00

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-02.03.01

Description: Records relating to the establishment, negotiation, maintenance and review of agreements supporting the conduct of community, public relations, marketing or public profile raising activities, e.g. sponsorship agreements, agreements regarding the use of corporate logos, agreements relating to joint ventures. Records include:-correspondence and negotiations including minutes or notes of meetings with main stakeholders or parties to the agreement-drafts containing significant changes/alterations or formally circulated for comment-final, approved versions of agreements-reviews of agreements. Note: In some cases agreements may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement, e.g. a contract to undertake research may specify how long the agent carrying out the research is required to retain the data on which research findings are based. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.

Retention: Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy

COMMUNITY RELATIONS - Alumni Relations

GDA23-2.1.1

Description: Records relating to membership details, including; master register of members, personal alumni details, notification of members detail changes, such as address, name

Retention: Retain until no longer required for administrative or reference purposes, then destroy.

GDA23-2.1.2

Description: Records relating to alumni association promotions, events or activities.

Retention: Retain until no longer required for administrative or reference purposes, then destroy.

COMMUNITY RELATIONS - Celebrations, ceremonies, functions

GA28-02.04.00

Description: The activities associated with arranging and managing festivities, including celebrations, formal ceremonies and social functions, to honour a particular event, occasion or individual, or to conduct fundraising. Includes the presentation of awards. Use COMMUNITY RELATIONS - ADDRESSES for records relating to addresses given at celebrations, ceremonies or functions. Use COMMUNITY RELATIONS - MARKETING for records relating to marketing campaigns and advertising for celebrations, ceremonies or functions. Use FINANCIAL MANAGEMENT - AUTHORISATION for records relating to approvals and authorisations for travel arrangements or reimbursement of expenses for non-employees attending celebrations, ceremonies or social functions, e.g. members of governing bodies. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - ARRANGEMENTS for records relating to approvals and authorisation for travel or travel arrangements for employees who are attending celebrations, ceremonies or social functions.

Retention:

Function/Activity

GDA No

GA28-02.04.01

Description: Key records relating to celebrations, ceremonies and functions of State significance or of major importance to the organisation, e.g. those marking major anniversaries of significant structures or events (Centenary of Federation, Sydney Harbour Bridge etc). Records include:-programs-guest lists-selected official photographs of the event-reports.

Retention: Required as State archives

GA28-02.04.02

Description: Key records relating to celebrations, ceremonies and functions that are not of State significance or of major importance to the organisation, e.g. receptions, openings and fundraising dinners. Records include:-programs-guest lists-official photographs of the event-reports.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-02.04.03

Description: Records relating to administrative arrangements for all celebrations, ceremonies and functions, including arrangements for exhibition launches and the giving of addresses. Records include:-invitations and acceptances-catering arrangements-venue bookings-organisation of entertainment-accommodation and transport arrangements-related correspondence.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-02.04.04

Description: Records relating to awards, prizes or honours received by the organisation, e.g. tourism industry awards, Premier's awards. Records include:-correspondence concerning receipt of awards and presentation ceremonies-certificates of awards.Use COMMUNITY RELATIONS - SUBMISSIONS for records relating to nominations or submissions for organisational awards.Use General Retention and Disposal Authority - Personnel records, PERSONNEL - PERFORMANCE MANAGEMENT for records relating to awards given to individual employees.Note: If the award is an object it is not a State record, and is not covered by this Authority.

Retention: Retain minimum of 5 years after action completed, then destroy

COMMUNITY RELATIONS - Conferences

GA28-02.05.00

Description: The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity and reports of participants etc. Use COMMUNITY RELATIONS - MARKETING for records relating to marketing campaigns and advertising for conferences.Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting conference activities.Use FINANCIAL MANAGEMENT - AUTHORISATION for records relating to approvals and authorisations for travel and reimbursement of expenses for non-employees, e.g. members of governing bodies, non-government speakers etc to attend conferences, e.g. members of governing bodies.Use PUBLICATION - PRODUCTION for records relating to the preparation of conference materials for publication, e.g. graphic design, printing, binding etc.Use STAFF DEVELOPMENT - CONFERENCES for records relating to conferences arranged or attended by staff for skills or professional development purposes.Use STAFF DEVELOPMENT - TRAINING for records relating to training or seminars delivered for staff development purposes.Use General Retention and Disposal Authority - Personnel records, PERSONNEL - ARRANGEMENTS for records relating to approvals and authorisations for travel and travel arrangements for employees to attend conferences.

Retention:

GA28-02.05.01

Description: Final, approved versions of published or unpublished proceedings, reports and addresses from conferences, seminars or forums arranged by the organisation. Includes inter-agency and government conferences.

Retention: Required as State archives

GA28-02.05.02

Description: Records relating to administrative arrangements for conferences, seminars or forums arranged by the organisation. Records include:-records of program development-invitations to speakers and responses-registrations-venue bookings-accommodation and transport arrangements-catering arrangements.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-02.05.03

Description: Records relating to addresses presented by employees at external conferences, seminars or forums.Note: If addresses are delivered by the Minister, members of governing bodies, chief or senior executives of the organisation at significant occasions or public events, including major conferences, use COMMUNITY RELATIONS - ADDRESSES.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-02.05.04

Description: Records relating to employee attendance at conferences or seminars held by other organisations for the purpose of delivering an address or otherwise participating in proceedings. Records include:-registration forms-programs-invitations.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COMMUNITY RELATIONS - Customer service**GA28-02.06.00**

Description: The activities associated with establishing standards of customer service and administering specialised services provided to customers by the organisation. Use COMMUNITY RELATIONS - ENQUIRIES for records relating to requests for and the handling of enquiries regarding routine information about the organisation and its services from customers. Use COMMUNITY RELATIONS - EVALUATION for records relating to the evaluation of customer services. Use COMMUNITY RELATIONS - REPORTING for records relating to reports on customer services including surveys of customers and statistics collection. Use STRATEGIC MANAGEMENT - CUSTOMER SERVICE for records relating to the development and review of organisation-wide strategies to deliver quality services to clients or stakeholders, including organisation-wide charters, standards or guarantees of service. Use STRATEGIC MANAGEMENT - PLANNING for records relating to customer service planning as part of broader strategic, corporate or business planning.

Retention:

GA28-02.06.01

Description: Final, approved versions of charters, standards or guarantees relating to the provision of services to clients.

Retention: Retain minimum of 2 years after superseded, then destroy

GA28-02.06.02

Description: Records relating to the development and review of charters, standards or guarantees relating to the provision of services to clients. Records include:-background research-draft versions containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, and/or other stakeholders.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-02.06.03

Description: Records relating to the administration of specialised customer services, e.g. help desks, websites, interpreters, services for disabled customers, outreach services etc.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-02.06.04

Description: Contact details of clients, e.g. e-mail lists, address lists.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COMMUNITY RELATIONS - Donations**GA28-02.07.00**

Description: The activities associated with managing money, items, artefacts or property donated to the organisation, or by the organisation or its employees to charities etc. Includes managing unsolicited donations. Use the organisation's functional retention and disposal authority for records relating to donations if donations play a significant role in the organisation's operations, e.g. museums, galleries, libraries etc. Use INFORMATION MANAGEMENT - DONATIONS for records relating to the donation of information resources, e.g. books, to the organisation. Use STRATEGIC MANAGEMENT - CORRUPTION for records relating to the receipt of gifts where records are maintained as an anti-corruption measure, e.g. gift registers.

Retention:

GA28-02.07.01

Description: Records relating to significant donations or bequests of money, items, artefacts or property that are of State significance, ongoing benefit or subject to public interest or debate.

Retention: Required as State archives

GA28-02.07.02

Description: Records relating to donations or bequests of money, items, artefacts or property that are not of State significance, ongoing benefit or subject to public interest or debate. Includes records relating to donations of money or goods made by the organisation to other organisations, including charities.

Retention: Retain minimum of 7 years after donation is received and finalised, or until terms have been fulfilled, whichever is later, then destroy

GA28-02.07.03

Description: Records relating to the refusal of donations offered to the organisation.

Retention: Retain minimum of 2 years after action completed, then destroy

COMMUNITY RELATIONS - Enquiries**GA28-02.08.00**

Function/Activity

GDA No

GA28-02.08.00

Description: The activities associated with the handling of requests for information about the organisation and its services by the general public or another organisation. Use the organisation's functional retention and disposal authority for records relating to the handling of enquiries or provision of formal advice regarding specific functions and activities of the organisation. Use GOVERNMENT RELATIONS - REPRESENTATIONS for records relating to responses to Parliamentary questions and correspondence received by the Minister and directed to the organisation for preparation of a response (Ministerials). Use INFORMATION MANAGEMENT - CASES for records relating to requests to access or alter information under relevant legislation, e.g. Freedom of Information (FOI), Privacy. Use INFORMATION MANAGEMENT - ENQUIRIES for records relating to enquiries concerning information management services or holdings of the organisation. Use PUBLICATION - ENQUIRIES for records relating to enquiries regarding the purchase, availability of or access to the organisation's publications.

Retention:

GA28-02.08.01

Description: Records relating to requests for and the handling of enquiries regarding routine information about the organisation and its services, e.g. hours of opening etc.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COMMUNITY RELATIONS - Evaluation

GA28-02.09.00

Description: 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. Use COMMUNITY RELATIONS - REVIEWING for records relating to operational reviews of existing community relations programs and services. Use STRATEGIC MANAGEMENT - EVALUATION for records relating to the evaluation of potential and existing services, programs or systems that cross functions or relate to the strategic management of the organisation.

Retention:

GA28-02.09.01

Description: Records relating to the evaluation of potential or existing community relations programs, services or initiatives. Records include:- surveys of customers regarding potential or existing services-analysis of services -reports on evaluations.

Retention: Retain minimum of 5 years after action completed, then destroy

COMMUNITY RELATIONS - Exhibitions

GA28-02.10.00

Description: The activities associated with using organisational material in mounted displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programs of the organisation. Use the organisation's functional retention and disposal authority for records relating to exhibitions if they are a regular part of the organisation's core functions, e.g. museums, galleries, libraries and archives, or part of public consultation processes, e.g. public exhibition of development proposals for comment. Use COMMUNITY RELATIONS - ADDRESSES for records relating to addresses given at exhibition launches. Use COMMUNITY RELATIONS - CELEBRATIONS, CEREMONIES, FUNCTIONS for records relating to events where exhibitions are launched. Use COMMUNITY RELATIONS - MARKETING for records relating to marketing campaigns and advertising for exhibitions.

Retention:

GA28-02.10.01

Description: Records relating to the organisation's participation in or mounting of exhibitions, displays and shows to promote or raise awareness of the organisation or of particular services or programs. Records include:-background research-exhibition briefs and designs-construction records-copies of records, information or research used as part of the exhibition-exhibition catalogues.

Retention: Retain minimum of 5 years after action completed, then destroy

COMMUNITY RELATIONS - Fundraising

GDA23-2.2.1

Description: Records relating to fundraising campaigns, including: records of events/functions; records of campaigns

Retention: Retain until no longer required for administrative or references purposes, then destroy.

COMMUNITY RELATIONS - Greetings

GA28-02.11.00

Description: The activities associated with preparing and sending letters of appreciation or condolence. Includes mailing lists for Christmas cards.

Retention:

GA28-02.11.01

Function/Activity

GDA No

GA28-02.11.01

Description: Records relating to the preparation and dispatch or receipt of letters of introduction, appreciation or condolence or greeting cards. Records include mailing lists for greetings, e.g. Christmas card lists.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COMMUNITY RELATIONS - Joint ventures

GA28-02.12.00

Description: The activities involved in managing joint operations, collaboration or co-research between the organisation and external organisations and parties where there is a contract, joint contribution of funds and/or time. Use relevant entries in general and functional retention and disposal authorities for records relating to the work carried out under joint venture arrangements. Use COMMUNITY RELATIONS - AGREEMENTS for records relating to joint venture agreements which do not involve contracting-out or tendering. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use 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. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-02.12.01

Description: Records relating to the joint ventures undertaken with other organisations (government or non-government) for the purposes of raising or maintaining the profile of the organisation or a particular service or program. Includes negotiations for joint ventures that do not proceed. Records include:-correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants-monitoring of arrangements-reporting on arrangements.Note: If the joint venture involves contracts or agreements, retain in accordance with retention period specified in COMMUNITY RELATIONS - AGREEMENTS.

Retention: Retain minimum of 5 years after action completed, then destroy

COMMUNITY RELATIONS - Liaison

GA28-02.13.00

Description: The activities associated with maintaining regular general contact between the organisation and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures. Use the organisation's functional retention and disposal authority for records relating to articles prepared by organisation personnel for publication in professional journals etc. Use COMMITTEES for records relating to liaison processes conducted through committees, task forces, working groups or parties etc. Use 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.

Retention:

GA28-02.13.01

Description: Records relating to liaison activities undertaken with professional associations, professionals in related fields, private sector organisations and community groups that are not joint ventures. Includes collaboration on projects, exchange of information and membership issues.Note: Consideration may need to be given to retaining these records longer in some circumstances, e.g. where nature of the liaison means that records are required for accountability purposes with respect to liaison activities and the nature of the information exchanged.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-02.13.02

Description: Records relating to names and contact details of officers within other government departments or community organisations kept for the purposes of referral etc.

Retention: Retain until superseded, then destroy

COMMUNITY RELATIONS - Marketing

GA28-02.14.00

Function/Activity

GDA No

GA28-02.14.00

Description: The process of analysing, creating and promoting products and services. Includes market research, sales forecasting, advertising, promotion, pricing and product evaluation. Use the organisation's functional retention and disposal authority for records relating to fundraising campaigns. Use COMMUNITY RELATIONS - AGREEMENTS for records relating to the establishment, negotiation, maintenance and review of sponsorship agreements and agreements regarding the use of corporate logos. Use COMMUNITY RELATIONS - CELEBRATIONS, CEREMONIES, FUNCTIONS for records relating to functions organised to launch a service, product or program etc and for published programs for events. Use COMMUNITY RELATIONS - DONATIONS for records relating to donations or bequests of money, items, artefacts or property donated to the organisation. Use COMMUNITY RELATIONS - MEDIA RELATIONS for records relating to media releases issued by the organisation. Use FINANCIAL MANAGEMENT - ACCOUNTING, for records relating to financial transactions associated with marketing and fundraising activities. Use PUBLICATION - PRODUCTION for records relating to the production of marketing publications, e.g. design and layout, arrangements for printing, binding etc. Use General Retention and Disposal Authority - Audio visual programs and recordings (GDA11) for records relating to audio recordings, films and videos produced by or for the organisation.

Retention:

GA28-02.14.01

Description: Records relating to campaigns or advertising to raise or maintain the organisation's public profile or to advertise a particular service, product, program or event. Records include: -marketing plans-publicity records regarding campaigns/advertising-promotional photographs and negatives used in campaigns/advertising-market research.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-02.14.02

Description: Records relating to the development of promotional objects, e.g. souvenirs, and drafting of content of publications designed to promote or publicise aspects of the organisation's activities, e.g. posters, brochures, leaflets and published histories, or general promotional or explanatory information about the organisation and its services in pages on its website, including contact details. Records include background research, drafts and final, approved versions. Use COMMUNITY RELATIONS - EXHIBITIONS for records relating to published exhibition catalogues. Note: Promotional objects such as t-shirts, badges, banners etc are not generally considered to be records and their disposal is not covered by this authority. Records relating to their development, however, may be sentenced according to this entry. Note: One copy of each publication may be placed in the organisation's library. For an explanation of government requirements for access to published information including deposit requirements refer to Premier's Memorandum 2000-15.

Retention: Retain until withdrawn or superseded, and until reference use ceases, then destroy

GA28-02.14.03

Description: Records relating to the process of seeking sponsorship or patronage. Records include:-reports and discussions analysing assets, existing sponsorship arrangements, potential sponsors and market opportunities-approaches to companies for strategic alliances or sponsorship arrangements.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-02.14.04

Description: Records relating to sponsorship and patronage programs proceeded with. Use the organisation's functional retention and disposal authority for records relating to major programs in areas that support core functions, e.g. major sponsorship or patronage programs for cultural institutions, zoos, etc.

Retention: Retain minimum of 5 years after the completion of sponsorship or patronage arrangements, then destroy

GA28-02.14.05

Description: Records relating to sponsorship and patronage programs not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-02.14.06

Description: Records relating to the administration of community-based gratuitous competitions/lotteries. Records include:-information on competition/lottery and rules-advertising-entry forms-notifications to winners. Use the organisation's functional retention and disposal authority for records relating to competitions or lotteries that are not gratuitous. Note: A gratuitous competition/lottery is one where the lottery is not conducted to promote a trade or business, no participation fee is charged in connection with the lottery, there is no authorising permit, the total prize money is capped at a certain value (currently \$5000) and money prizes are not given. See Office of Liquor, Gaming and Racing, Fact Sheet 7: Gratuitous Lotteries [www.olgr.nsw.gov.au] for more information.

Retention: Retain minimum of 3 months after action completed, then destroy

COMMUNITY RELATIONS - Media relations

GA28-02.15.00

Description: The activities associated with establishing a relationship between the media and the organisation. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

Retention:

Function/Activity

GDA No

GA28-02.15.01

Description: Final, approved versions of media releases issued by the organisation.

Retention: Required as State archives

GA28-02.15.02

Description: Records relating to administrative arrangements concerning the organisation's dealings with the media including the distribution of media releases, organisation of interviews and general media access.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-02.15.03

Description: Copies of media items relating to the organisation's operations or events, functions etc hosted by or involving the organisation. Records include newscuttings, transcripts and electronic media items. Use COMMUNITY RELATIONS - ACQUISITION for records relating to the acquisition of services such as newscutting services.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COMMUNITY RELATIONS - Planning

GA28-02.16.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning.

Retention:

GA28-02.16.01

Description: Final, approved versions of community relations plans and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-02.16.02

Description: Records relating to the development and review of the organisation's community relations plans. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

COMMUNITY RELATIONS - Policy

GA28-02.17.00

Description: 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. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-02.17.01

Description: Final, approved versions of community relations policies, e.g. policies regarding marketing activities, advertising or sponsorship, community or media liaison, membership of professional associations etc, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

GA28-02.17.02

Description: Records relating to the development and review of the organisation's community relations policies, e.g. policies regarding marketing activities, advertising or sponsorship, community or media liaison, membership of professional associations etc. Records include:-policy proposals-background research -records of consultations or meetings-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.

Retention: Retain minimum of 3 years after action completed, then destroy

COMMUNITY RELATIONS - Procedures

GA28-02.18.00

Function/Activity

GDA No

GA28-02.18.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures. Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to quality assurance procedures.

Retention:

GA28-02.18.01

Description: Final, approved versions of manuals, handbooks, directives etc detailing the organisation's procedures regarding community relations, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-02.18.02

Description: Records relating to the development and review of the organisation's community relations procedures. Records include: - 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.

Retention: Retain minimum of 3 years after action completed, then destroy

COMMUNITY RELATIONS - Public Lectures

GDA23-2.3.0

Description: The activities associated with presenting lectures, seminars or presentations, which are outside of the teaching curriculum/short courses and may be attended by members of the community.

Retention:

GDA23-2.3.1

Description: Records relating to organising the lectures, seminars or presentations. Including arrangements for program, venue, invitations to speak, advertising, bookings and catering.

Retention: Retain until no longer required for administrative or reference purposes, then destroy.

GDA23-2.3.2

Description: Transcripts of lectures, presentations and seminars.

Retention: Retain until no longer required for administrative or reference purposes, then destroy.

COMMUNITY RELATIONS - Public reaction

GA28-02.19.00

Description: The process of handling public reaction to an organisation's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public. Also includes suggestions received. Use the organisation's functional retention and disposal authority for records relating to complaints handling where the organisation has a functional responsibility for the management of clients or complaints handling, e.g. Health Care Complaints Commission, NSW Ombudsman, Police Integrity Commission. Use COMMUNITY RELATIONS - GREETINGS for records relating to the preparation and dispatch or receipt of letters of appreciation or condolence. Use GOVERNMENT RELATIONS - INQUIRIES for records relating to formal or informal inquiries into a complaint or matter involving the organisation. Use GOVERNMENT RELATIONS - REPRESENTATIONS for records relating to responses to Parliamentary questions and correspondence received by the Minister and directed to the organisation for preparation of a response (Ministerials). Use INFORMATION MANAGEMENT - COMPLIANCE for records relating to complaints regarding breaches of privacy legislation. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to the investigation and handling of complaints or protected disclosures relating to an individual employee.

Retention:

GA28-02.19.01

Description: Records relating to complaints or suggestions that require investigation or a specific response. Includes records of receipt, investigation and response and summary records facilitating the monitoring and tracking of complaints received and their handling, e.g. complaints registers. Note: 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.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-02.19.02

Description: Records relating to complaints or suggestions that result in referral to another organisation or body for response or a routine response.

Retention: Retain minimum of 2 years after action completed, then destroy

COMMUNITY RELATIONS - Reporting

GA28-02.20.00

Description: 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. Use 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 and performance, e.g. annual reports or substantial ad hoc reports.

Retention:

GA28-02.20.01

Description: Records relating to formal reports regarding community relations activities, programs or services. Records include: -background research, e.g. surveys of clients-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-02.20.02

Description: Periodic internal reports on general administrative matters used to monitor and document recurring activities regarding community relations programs and services. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

COMMUNITY RELATIONS - Reviewing

GA28-02.21.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use COMMUNITY RELATIONS - EVALUATION for records relating to the evaluation and monitoring of community relations programs and services. Use COMMUNITY RELATIONS - PLANNING, COMMUNITY RELATIONS - POLICY or COMMUNITY RELATIONS - PROCEDURES for records relating to the development and review of plans, policies or procedures.

Retention:

GA28-02.21.01

Description: Records relating to the review of community relations programs and services. Records include: -documents establishing the review- background research, e.g. client surveys-draft versions of review reports containing significant changes/alterations or formally circulated for comment -final versions of approved reports-project or action plans.

Retention: Retain minimum of 5 years after action completed, then destroy

COMMUNITY RELATIONS - Submissions

GA28-02.22.00

Description: The preparation and submission of a formal statement (e.g. report, statistics, etc) supporting a case or opinion held by the organisation which is submitted to another organisation, or within the organisation, for the purpose of either gain or support. Use COMMUNITY RELATIONS - CELEBRATIONS, CEREMONIES, FUNCTIONS for records relating to awards, prizes or honours received by the organisation. Use GOVERNMENT RELATIONS - INQUIRIES for records relating to submissions regarding formal committees of inquiry initiated by government. Use GOVERNMENT RELATIONS - SUBMISSIONS for records relating to submissions to Cabinet or the Minister or other government organisations relating to core functions. Use STRATEGIC MANAGEMENT - GRANT FUNDING for records relating to applying for and receiving grants, other than financial records.

Retention:

GA28-02.22.01

Description: Records relating to successful and unsuccessful submissions to support proposed community, public relations, marketing or profile raising initiatives, including the submission of applications or nominations for awards offered by other organisations.

Retention: Retain minimum of 2 years after action completed, then destroy

COMMUNITY RELATIONS - Visits

GA28-02.23.00

Function/Activity

GDA No

GA28-02.23.00

Description: The activities involved in arranging visits by the public, clients and students to the organisation, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by employees to other organisations. Use the organisation's functional retention and disposal authority for records relating to visits that are undertaken as part of the performance of core functions, e.g. records relating to organised visits by school groups to national parks as part of the outreach or education programs of the National Parks and Wildlife Service should be covered in the functional retention and disposal authority of the Department of Environment and Climate Change (DECC). Use GOVERNMENT RELATIONS - VISITS for records relating to visits made to the organisation by heads of State, Ministers or other government officials including interstate or overseas delegations. Use STRATEGIC MANAGEMENT - CORRUPTION for records relating to gifts where records are maintained as an anti-corruption measure, e.g. gifts and benefits registers. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - EMPLOYMENT CONDITIONS for records relating to work experience students and volunteer placements. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - ARRANGEMENTS for records relating to approvals and authorisations for travel or travel arrangements for employees. Use the relevant function/activity for records relating to visits made for a specific purpose, e.g. in order to participate in a meeting etc.

Retention:

GA28-02.23.01

Description: Records relating to visits made to the organisation by important community representatives or officials. Records include:- invitations-itineraries and programs-visit reports-records of security arrangements additional to standard security-accommodation and transport arrangements-letters of appreciation.

Retention: Retain minimum of 6 years after action completed, then destroy

GA28-02.23.02

Description: Records relating to visits or tours of the organisation by members of the general public, student groups, clients of the organisation, representatives of professional associations, community groups or other organisations. Records include:-arrangements for visits-reports of visits.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-02.23.03

Description: Summary records regarding visitor attendance etc, e.g. visitors books.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-02.23.04

Description: Records relating to visits made by the organisation's employees to other organisations (e.g. community, business) or professional associations with the view of promoting the image or services of the organisation. Use COMMUNITY RELATIONS - ADDRESSES for records relating to addresses made by employees on visits to other organisations or the community.

Retention: Retain minimum of 2 years after action completed, then destroy

COMPENSATION

GA28-03.00.00

Description: The function of providing compensation to personnel and visitors injured while proceeding to or from work, during working hours or on the organisation's premises or compensation to members of the public suffering personal injury, loss of or damage to property as a result of the organisation's actions. Includes the rehabilitation of injured workers and compensation for damage to property where such damage is claimed as the organisation's responsibility. Also includes insurance and claims for professional indemnity. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - REHABILITATION for records relating to the rehabilitation of employees where the rehabilitation is not related to a compensation case.

Retention:

COMPENSATION - Advice

GA28-03.01.00

Description: The activities associated with offering opinions by or to the organisation as to an action or judgment. Includes the process of advising. Use COMPENSATION - CLAIMS for records relating to advice on specific cases. Use COMPENSATION - INSURANCE for records relating to obtaining a licence for the organisation to self-insure and/or manage its own compensation liabilities. Use LEGAL SERVICES - ADVICE for records relating to legal advice furnished to the organisation by external or internal legal service providers.

Retention:

GA28-03.01.01

Description: Records relating to compensation advice, not related to a specific case. Records include information regarding the results of court decisions impacting on the management of compensation generally, i.e. not relating to a specific case involving the organisation. Note: In some cases records may contain information that impacts on the organisation's policies and procedures and influences its response to compensation issues and cases and may need to be retained for longer periods.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COMPENSATION - Claims

GA28-03.02.00

Description: The process of administering and managing claims lodged after an incident as compensation for injury, death or denial of rights of a person, or damage to or destruction of property. Includes claims for recompense for stolen or lost property and professional indemnity claims. Use LEGAL SERVICES - LITIGATION for records relating to the management of appeals regarding claims that are taken to courts or tribunals, e.g. affidavits. Use OCCUPATIONAL HEALTH & SAFETY - ACCIDENTS for records relating to incidents where there is no claim for compensation. Note: It is not recommended that papers relating to workers' compensation matters be attached to 'personnel files'. If compensation information has been attached to a personnel file, retain for this period or retain for the period of time the personnel file is required, as specified in the General Retention and Disposal Authority - Personnel records, whichever is longer.

Retention:

GA28-03.02.01

Description: Records relating to an employee's claim for workers' compensation where an incident has resulted in serious personal injury or incapacity. Records include:-incident/injury records-notifications to insurer, employer's reports of injury and supporting documents-records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted-claims for compensation and other related documentation, e.g. statements of witnesses-records of acceptance or denial of claim from insurer-correspondence and advice regarding the case, e.g. from the insurer, employee, doctors, injury management advisor or WorkCover NSW, including minutes or notes of meetings-reports, e.g. progress reports, assessments-medical certificates and other medical reports-claim reviews-records of disputes, including medical disputes, and conciliation-records of the outcomes of appeals, e.g. orders -agreements between parties-records relating to payment by the insurer-records of acquisition of services of case managers-injury management plans for injured employee-rehabilitation providers' reports-details of vocational retraining or workplace adjustment if required-medical certificates and reports-return to work plans-records of disputes over injury management or return to work, and mediation -records regarding fitness to continue assessment and medical retirement. Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant.

Retention: Retain minimum of 75 years after date of birth or 7 years after action completed, whichever is longer, then destroy Note: if date of birth is unknown assume the person was 15 years at the time of the accident.

GA28-03.02.02

Description: Records relating to a claim for compensation in relation to an incident resulting in the death of an employee.

Retention: Retain minimum of 25 years after date of death, or 7 years after action completed, whichever is the longer, then destroy

GA28-03.02.03

Description: Records relating to an employee's claim for workers' compensation where an incident has not resulted in death, serious personal injury or incapacity. Records include:-incident/injury records-notifications to insurer, employer's reports of injury and supporting documents-records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted-claims for compensation and other related documentation e.g. statements of witnesses-records of acceptance or denial of claim from insurer-correspondence and advice regarding the case, e.g. from the insurer, employee, doctors, injury management advisor or WorkCover NSW, including minutes or notes of meetings-reports, e.g. progress reports, assessments-medical certificates and other medical reports-claim reviews-records of disputes, including medical disputes, and conciliation-records of the outcomes of appeals, e.g. orders -agreements between parties-records relating to payment by the insurer-records of acquisition of services of case managers-injury management plans for injured employee-rehabilitation providers' reports-details of vocational retraining or workplace adjustment if required-medical certificates and reports-return to work plans-records of disputes over injury management or return to work, and mediation -records regarding fitness to continue assessment and medical retirement. Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant, but it is likely to occur within the retention period. Consideration may need to be given to retaining these records longer in some circumstances.

Retention: Retain minimum of 25 years after action completed, then destroy

GA28-03.02.04

Description: Records relating to compensation claims for personal injury made by members of the public, including work experience students and volunteers or other persons who are not employees. Records include:-incident/injury records-notifications to insurer, reports of injury and supporting documents-records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted-claims for compensation and other related documentation, e.g. statements of witnesses-records of acceptance or denial of claim from insurer-correspondence and advice regarding the case, including minutes or notes of meetings-reports, e.g. progress reports, assessments-medical certificates and other medical reports-claim reviews-records of disputes, including medical disputes, and conciliation-records of the outcomes of appeals, e.g. orders -agreements between parties-records relating to payment by the insurer. Note: These types of claims are dealt with under third party insurance through the insurer.

Retention: Retain minimum of 15 years after action completed, or upon expiry of statutory limitation periods, whichever is longer, then destroy

GA28-03.02.05

Description: Records relating to compensation claims for (a) damage to personal property or (b) loss suffered as a result of the organisation's actions. Records include copies of claims, reports and related correspondence.

Retention: Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy

GA28-03.02.06

Function/Activity

GDA No

GA28-03.02.06

Description: Routine activity reports sent from insurers to the organisation regarding premiums and claims made under their insurance policy. Use OCCUPATIONAL HEALTH & SAFETY - REVIEWING for records relating to the use of activity reports in analysis and performance review. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to risk management processes using activity reports.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COMPENSATION - Compliance

GA28-03.03.00

Description: The activities associated with complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements regarding the provision or management of compensation to which the organisation is subject. Includes compliance with legislation and with national and international standards. Use the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor or assess the compliance of other organisations with policies, standards and requirements on compensation. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of compliance requirements.

Retention:

GA28-03.03.01

Description: Records relating to breaches of compensation compliance requirements that do not result in litigation, e.g. breaches of requirements for insurance or self insurer licence conditions etc. Includes penalties.

Retention: Retain minimum of 7 years after action completed, then destroy

COMPENSATION - Insurance

GA28-03.04.00

Description: The process of taking out premiums to cover loss or damage to property or premises, and to cover members of the public, customers and employees against loss, injury or death resulting from the actions of the organisation or incidents on the organisation's premises or whilst engaged during employment. Includes professional indemnity insurance. Use COMPENSATION - CLAIMS for records relating to the handling of claims for compensation and activity reports from insurers regarding claims made under a policy. Use FINANCIAL MANAGEMENT - REPORTING for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

Retention:

GA28-03.04.01

Description: Insurance policies taken out by the organisation to protect against risk of claims for personal injury or property damage, e.g. workers compensation insurance, professional indemnity insurance, including information provided for renewals. Note: The Workers Compensation Act 1987 states that policies should be retained until (a) there are no longer any workers in respect of whom the policy is in force, or (b) the policy is at least 7 years old, whichever occurs later (161(4)). This may also be a consideration for policies relating to other matters.

Retention: Retain minimum of 7 years after expiry of the policy, then destroy

GA28-03.04.02

Description: Records relating to the administration of insurance policies. Records include:- notices of renewals, advice on premiums payable etc.

Retention: Retain minimum of 1 year after action completed, then destroy

GA28-03.04.03

Description: Records relating to obtaining a licence for the organisation to self-insure and/or manage its own compensation liabilities. Records include:- records regarding the application process and advice of its outcome - records of audits as part of the process of seeking accreditation.

Retention: Retain minimum of 7 years after licence expires, then destroy

COMPENSATION - Policy

GA28-03.05.00

Description: 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. Use COMPENSATION - COMPLIANCE for records relating to breaches of organisational compliance with policies. Use 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. Use GOVERNMENT RELATIONS - SUBMISSIONS for records relating to submissions by the organisation on the development or review of government-wide policies. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

Function/Activity

GDA No

GA28-03.05.01

Description: Final, approved versions of policies relating to the provision of compensation, rehabilitation and injury management, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Includes policies relating to return to work programs developed by the organisation and copies of the injury management program established by the insurer. Note: Evidence of policies in place at a particular time may be of relevance for future claims or legal action involving the organisation. This may be the case for some rehabilitation and injury management matters. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of policies need to be retained for longer periods.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

GA28-03.05.02

Description: Records relating to the development and review of the organisation's compensation, rehabilitation and injury management policies. Records include: -policy proposals-background research-draft versions of policies containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.

Retention: Retain minimum of 5 years after action completed, then destroy

COMPENSATION - Procedures

GA28-03.06.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures.

Retention:

GA28-03.06.01

Description: Final, approved versions of the organisation's manuals, handbooks and directives etc detailing approved procedures relating to the provision of compensation, rehabilitation and injury management, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Includes procedures relating to return to work programs developed by the organisation. Note: Evidence of procedures in place at a particular time may be of relevance for future claims or legal action involving the organisation. This may be the case for some rehabilitation and injury management matters. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of procedures need to be retained for longer periods.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-03.06.02

Description: Records relating to the development and review of an organisation's compensation, rehabilitation and injury management procedures. Records include: -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.

Retention: Retain minimum of 5 years after action completed, then destroy

COMPENSATION - Reviewing

GA28-03.07.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use COMPENSATION - POLICY or COMPENSATION - PROCEDURES for records relating to the review of plans, policies or procedures.

Retention:

GA28-03.07.01

Description: Records relating to the review of the organisation's compensation, rehabilitation and injury management programs and operations. Records include: -documents establishing the review-background research, e.g. analysis of compensation and rehabilitation data and accident investigation outcomes to establish trends-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 5 years after action completed, then destroy

CONTRACTING-OUT

GA28-04.00.00

Function/Activity

GDA No

GA28-04.00.00

Description: The activities involved in arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services or shared services (provided by another organisation). Sometimes referred to as outsourcing. Use the organisation's functional retention and disposal authority for records relating to the provision of consultancy services to other organisations. Use TENDERING for records relating to receiving and assessing tenders. Use the relevant function/ACQUISITION for records relating to purchases that are not made via contracting-out or tendering processes, e.g. use EQUIPMENT & STORES - ACQUISITION for the acquisition of equipment and stores. Use the relevant function/POLICY or the relevant function/PROCEDURES for policies or procedures regarding contracting-out. Use the relevant function/activity for records relating to the actual work performed by consultants, contractors, vendors or employees from external bureau services.

Retention:

GA28-04.00.01

Description: Records relating to the hiring and use of consultants, contractors, vendors, suppliers, employees from external bureau services or the services of shared service providers. Records include:-determinations of the need for services -specifications and conditions of engagement-invitations and receipts of bids-letters of engagement-correspondence and negotiations, including minutes or notes of meetings with main stakeholders -draft versions of agreements containing significant changes/alterations or formally circulated for comment -final, approved versions of agreements-performance and evaluation reports-variations to agreements. Note: Specialty contracts include contracts under seal and deeds to property. Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement, e.g. a contract to undertake research may specify how long the agent carrying out the research is required to retain the data on which research findings are based. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions. Note: 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.

Retention: (A) For specialty contracts: Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy (B) For standard contracts or agreements: Retain minimum of 7 years after expiry or termination of a

GA28-04.00.02

Description: Summary records created to facilitate the management of consultants, contractors, vendors, suppliers or employees from external bureau services used by the organisation, e.g. registers of preferred contractors, contact details.

Retention: Retain until ceases to be of administrative or reference use, then destroy

COUNSELLING SERVICES

GDA23-11.0.0

Description: The provision of counselling services (does not include careers counselling) where the service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records. See STUDENT SERVICES – Careers Advice for records relating to careers advice/ counselling. GOVERNANCE – Policy and Procedure for records relating to policy and procedure. See also General Retention and Disposal Authority: Personnel records for records relating to counselling staff as part of a disciplinary matter.

Retention:

COUNSELLING SERVICES -Counselling

GDA23-11.1.0

Description:

Retention:

GDA23-11.1.1

Description: Records relating to the provision of counselling services to individuals – where the person was 18 years or older at the date of last entry in the record. Examples of records: registration records; Case files.

Retention: Retain for minimum of 7 years after last entry in the record, then destroy.

GDA23-11.1.2

Description: Records relating to the provision of counselling services to individuals – where the person was less than 18 years old at the date of last entry in the record. Examples of records: registration records; case files.

Retention: Retain at least until the person attains or would have attained the age of 25 years, then destroy.

ENROLMENT

GDA23-12.0.0

Function/Activity

GDA No

GDA23-12.0.0

Description: The process of registering/enrolling in a course or subject. Note: due to the wide variety of practices relating to what documents are placed on a student file it is not possible to cover these in one disposal class. To sentence student files it will be necessary to check what records are placed on the file, match those to the relevant disposal classes then apply the longest retention period to the whole file. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure.

Retention:

ENROLMENT - Administrative arrangements

GDA23-12.1.0

Description: Administrative arrangements for enrolments. This includes the preparations for and management of the enrolment process.

Retention:

GDA23-12.1.1

Description: Records relating to administrative arrangements for enrolments.

Retention: Retain until no longer required for administrative purpose, then destroy.

ENROLMENT - Concessions

GDA23-12.2.0

Description: The arrangements for and the issuing of concession cards to students.

Retention:

GDA23-12.2.1

Description: Records relating to the arrangement and management of concessions for students (eg travel and movie theatre concessions). This includes consultation with the agency providing student concessions (eg travel).

Retention: Retain a minimum of 1 year after action completed, then destroy.

GDA23-12.2.2

Description: Records relating to the issuing of concession cards to students.

Retention: Retain for minimum of 6 months after action completed, then destroy.

ENROLMENT - Enrolling

GDA23-12.3.0

Description: The enrolment of students into a course or subject.

Retention:

GDA23-12.3.1

Description: Records relating to the enrolment of students into a course or subject. Examples of records: enrolment forms; declarations signed by students (for example in which they agree to abide by university Acts, Regulations, by-laws, rules, policies, etc). related correspondence about eligibility Note: Where these records are batched an estimation will need to be made on the likely graduation/completion date for the majority of students.

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

GDA23-12.3.2

Description: Information received as a result of a criminal records check carried out by the university in relation to a student. Note: this does not include the record kept by the university that a criminal record check was carried out. See following entries for records concerning working with children checks.

Retention: Retain in accordance with retention requirements as specified under agreements with information suppliers, or until no longer required for administrative use, then destroy.

GDA23-12.3.3

Description: Records that a criminal record check has been carried out where a student consequently undertakes courses, subjects or units (including practicums). Note: This information is generally recorded on the student record system as a pre-requisite to enrolment in a subject/unit.

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

GDA23-12.3.4

Function/Activity

GDA No

GDA23-12.3.4

Description: Information received as a result of working with children checks where a student undertakes courses, subjects or units (including practicums) involving contact with children. Examples of records: prohibited person declaration form; consent for working with children check; request to screening agency for working with children check; and notification of result of working with children check. See above for criminal record checks. Note: Where these records are batched together a cautious approach will need to be taken in estimating appropriate graduation/completion dates for the students.

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

GDA23-12.3.5

Description: Record that a working with children check has been completed where a student consequently undertakes courses, subjects, units or research (including practicums) involving contact with children. Note: This information is generally recorded on the student record system as a pre-requisite to enrolment in a subject/unit.

Retention: Retain for minimum of 99 years after action completed, then destroy,

GDA23-12.3.6

Description: Records relating to working with children checks as a result of which a student is refused enrolment in a course, subject or unit (including practicums). Examples of records: prohibited person declaration form; consent for working with children check; request to screening agency for working with children check; and notification of result of working with children check.

Retention: Retain for minimum of 1 year after action completed, then destroy.

ENROLMENT - Government fees

GDA23-12.4.0

Description: See also General Retention and Disposal Authority: Financial & Accounting Records- FINANCIAL MANAGEMENT – Accounting – Revenue for other records relating to fees. Records relating to government fees such as: HECS; HELP; eCAN. Examples of records: HECS payment option declaration forms; HELP records (includes: HECS-HELP, FEE-HELP; and OS-HELP).

Retention:

ENROLMENT - Student Identification (ID)

GDA23-12.5.0

Description: The provision of student identification usually in the form of student ID cards, including university library cards.

Retention:

GDA23-12.5.1

Description: Records relating to the provision of student identification.

Retention: Retain for minimum of 6 months after action completed, then destroy.

GDA23-12.5.2

Description: Supporting documentation received as part of process of provision of student identification.

Retention: Retain until no longer required for reference or administrative purposes, then destroy.

ENROLMENT - Variation of program

GDA23-12.6.0

Description: Variation of the courses or subjects a student is enrolled in. This includes deferment, discontinuation and exemptions.

Retention:

GDA23-12.6.1

Description: Records relating to: advanced standing; course transfers; deferment; discontinuation; exemptions or credit transfer; related correspondence about eligibility. Note: Where these records are batched an estimation will need to be made on the likely graduation/completion date for the majority of students.

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

GDA23-12.6.2

Description: Records relating to additions or deletions of subjects/courses from a student program.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-12.7.0

Function/Activity

GDA No

GDA23-12.7.0

Description:

Retention:

GDA23-12.7.1

Description: Records of notification of change of name. Note: Where these records are batched an estimation will need to be made on the likely graduation/completion date for the majority of students.

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

GDA23-12.7.2

Description: Supporting documentation received as part of process of change of student name requests.

Retention: Retain until no longer required for reference or administrative purposes, then destroy.

GDA23-12.7.3

Description: Records of notification of change of address.

Retention: Retain until no longer required for reference or administrative purposes, then destroy.

ENROLMENT - Withdrawal

GDA23-12.8.0

Description: The formal withdrawal of a student from a course of study.

Retention:

GDA23-12.8.1

Description: Records relating to remission of debt/ re-credit of SLE (student learning entitlement).

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

GDA23-12.8.2

Description: Records related to a withdrawal before census date.

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

GDA23-12.8.3

Description: Records provided to support a withdrawal from a course.

Retention: Retain until no longer required for reference or administrative purposes, then destroy.

EQUIPMENT & STORES

GA28-05.00.00

Description: The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Use the organisation's functional retention and disposal authority for records relating to unique items of equipment or plant or items of equipment or plant used for unique purposes. Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to the monitoring and assessment of equipment as corporate assets. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to the assessment and control of risks arising from the use of equipment or stores within the workplace. Use TECHNOLOGY & TELECOMMUNICATIONS for records relating to the management of telecommunications and technological equipment such as telephones, facsimiles and computer hardware and software.

Retention:

EQUIPMENT & STORES - Acquisition

GA28-05.01.00

Description: The process of gaining ownership or use of equipment and stores required for the conduct of business through purchase or requisition. Use EQUIPMENT & STORES - EVALUATION for records relating to the assessment of the suitability of potential or existing items of equipment or stores. Use EQUIPMENT & STORES - LEASING for records relating to the leasing of items of equipment. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting acquisition activities. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-05.01.01

Function/Activity

GDA No

GA28-05.01.01

Description: Records relating to the acquisition of equipment and stores where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include:-formal requests for quotes and quotes received-business cases and/or approvals-orders-handover reports and goods inwards books-correspondence and negotiations, including minutes or notes of meetings or notes of discussions.

Retention: Retain minimum of 7 years after end of financial year in which transaction was completed, then destroy

GA28-05.01.02

Description: Records relating to investigations into the acquisition of equipment & stores not proceeded with.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-05.01.03

Description: Records relating to warranties and guarantees for equipment and stores.

Retention: Retain until warranty or guarantee expires or item is disposed of, whichever is sooner, then destroy

EQUIPMENT & STORES - Agreements

GA28-05.02.00

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements.Use EQUIPMENT & STORES - ACQUISITION for records relating to warranties and guarantees.Use EQUIPMENT & STORES - LEASING or EQUIPMENT & STORES - LEASING-OUT for records relating to leasing agreements for equipment. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-05.02.01

Description: Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision or supply of equipment and stores that do not form part of contracting-out or tendering arrangements, e.g. servicing agreements. Records include:-correspondence and negotiations including minutes or notes of meetings with main stakeholders-drafts exchanged between parties-final, approved versions of agreements-reviews of agreements.Note: 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.

Retention: Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy

EQUIPMENT & STORES - Allocation

GA28-05.03.00

Description: The process of assigning equipment or stores to employees or organisational units.Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to the receipt and distribution of grant moneys.Use FINANCIAL MANAGEMENT - ALLOCATION for records relating to Treasury allocations in response to the organisation's budget request.

Retention:

GA28-05.03.01

Description: Records relating to the allocation of equipment and stores to organisational units.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-05.03.02

Description: Records relating to the allocation of equipment to individuals for their ongoing use.

Retention: Retain minimum of 2 years after return, disposal or reallocation of equipment, then destroy

GA28-05.03.03

Description: Records relating to the usage of equipment, e.g. bookings.

Retention: Retain until ceases to be of administrative or reference use, then destroy

EQUIPMENT & STORES - Arrangements

GA28-05.04.00

Description: The activities involved in making arrangements for the delivery and usage of equipment or stores. Use OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE for records relating to the identification of hazardous substances, e.g. the hazardous substances register.

Retention:

Function/Activity

GDA No

GA28-05.04.01

Description: Records relating to arrangements for the delivery of equipment and stores to the organisation. Records include delivery dockets. Use EQUIPMENT & STORES - ACQUISITION for goods inward books. Note: Organisations covered by the Corporations Act 2001 (Commonwealth) may be required to retain these records for a minimum of 7 years after end of financial year in which record was created.

Retention: Retain minimum of 2 years after end of financial year in which record was created, then destroy

GA28-05.04.02

Description: Records relating to arrangements for the storage of non-hazardous equipment and stores within the organisation. Records include location management and stock control records. Use PROPERTY MANAGEMENT - MAINTENANCE for records relating to the storage, removal and off-site disposal of toxic or hazardous substances.

Retention: Retain minimum of 2 years after action completed, then destroy

EQUIPMENT & STORES - Audit

GA28-05.05.00

Description: 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. Use EQUIPMENT & STORES - COMPLIANCE for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding equipment and stores. Use FINANCIAL MANAGEMENT - AUDIT for records relating to formal audits of accounts or the management of financial resources.

Retention:

GA28-05.05.01

Description: Records relating to audits of the organisation's equipment and stores. Records include:-records of audit planning or liaison with auditing body -minutes or notes of meetings-notes taken at interviews-correspondence-draft versions of reports containing significant changes/alterations or formally circulated for comment-final, approved versions of reports-records of remedial action.

Retention: Retain minimum of 6 years after action completed, then destroy

EQUIPMENT & STORES - Claims

GA28-05.06.00

Description: The process of administering and managing payments demanded in accordance with an insurance policy as compensation for damage to or destruction of property. Includes recompense sought for stolen or lost property. Use EQUIPMENT & STORES - INSURANCE for records relating to the management of insurance policies for equipment and stores. Use COMPENSATION - CLAIMS for records relating to compensation claims for damage to or loss of personal property made by employees or members of the public.

Retention:

GA28-05.06.01

Description: Records relating to insurance claims for damage and loss incurred to the organisation's equipment and stores.

Retention: Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy

EQUIPMENT & STORES - Compliance

GA28-05.07.00

Description: The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards. Use the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with policies, standards and requirements on equipment and stores. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of compliance requirements. Use OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE for records relating to the licensing or registration of a business, substance, place or type of work as required by occupational health and safety legislation.

Retention:

GA28-05.07.01

Description: Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding the management or use of equipment and stores, e.g. compliance with Treasurer's Directions. Note: The retention period provided is a guideline only. Any records providing evidence of organisational compliance with statutory or mandatory operating requirements should be kept as long as the organisation has to account for its actions.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-05.07.02

Function/Activity

GDA No

GA28-05.07.02

Description: Records relating to registering, licensing or obtaining permits for the use of equipment and plant. Records include: -applications for registration or permit, renewals, cancellations or details regarding cancellation or suspension of permits, licences or registration-receipts for payment of fees (if relevant)-copies of permits, licences, certificates of registration-conditions of licensing or registration-applications for review of decisions regarding licensing or registration.

Retention: Retain minimum of 7 years after licence, permit or certificate of registration expires or is terminated, then destroy

EQUIPMENT & STORES - Disposal

GA28-05.08.00

Description: The process of disposing of equipment and stores no longer required by the organisation by sale, transfer, termination of lease, auction or destruction. Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to removal of items from the organisation's asset register.

Retention:

GA28-05.08.01

Description: Records relating to the disposal of equipment and stores, including leased equipment and stores, through any means including sale, transfer, auction, exchange, return or destruction. Records include:-written notices and related correspondence, e.g. to and from leasing companies-handover reports-assessments and certifications of value of goods -independent valuation certificates verifying work undertaken on assets prior to valuation-written quotes-approvals to proceed-auction, sale or transfer records-related correspondence.

Retention: Retain minimum of 7 years after disposal of asset, then destroy

EQUIPMENT & STORES - Evaluation

GA28-05.09.00

Description: The process of determining the suitability of potential or existing items of equipment or stores in relation to meeting the needs of the given situation. Includes ongoing monitoring. Use the organisation's functional retention and disposal authority for records relating to investigations undertaken to determine the organisation's requirements for unique items of plant for specialised purposes. Use EQUIPMENT AND STORES - ACQUISITION for records relating to the acquisition of equipment and stores. Use EQUIPMENT AND STORES - REVIEWING for records relating to the review of equipment and stores.

Retention:

GA28-05.09.01

Description: Records relating to investigations undertaken to determine the organisation's requirements for equipment or stores. Records include: -assessments of whole-of-government solutions, i.e. period contracts, buyers guides, endorsed suppliers -justifications of decisions on how to proceed-records of the development and issue of specifications and/or business cases-records of the evaluation and selection of storage areas. Also includes records relating to evaluation and monitoring undertaken for existing equipment.

Retention: Retain minimum of 2 years after action completed, then destroy

EQUIPMENT & STORES - Installation

GA28-05.10.00

Description: The activities involved in placing equipment in position and connecting and adjusting it for use. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to the assessment and control of risks arising from the use of equipment, plant or hazardous materials. Use PROPERTY MANAGEMENT - CONSTRUCTION for records relating to installations of equipment and plant undertaken as part of construction or renovation projects that involve structural changes. Use TECHNOLOGY & TELECOMMUNICATIONS - INSTALLATION for records relating to the placing of technology and telecommunications equipment in position and connecting and adjusting it for use.

Retention:

GA28-05.10.01

Description: Records relating to the installation and configuration of equipment and plant that does not involve structural changes to premises or sites of installation.

Retention: Retain minimum of 2 years after installation is completed, then destroy

EQUIPMENT & STORES - Insurance

GA28-05.11.00

Description: The process of taking out premiums to cover loss or damage to equipment and stores. Use COMPENSATION - CLAIMS for records relating to compensation claims by employees or others for personal injury, loss or damage to property. Use FINANCIAL MANAGEMENT - REPORTING for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

Retention:

Function/Activity

GDA No

GA28-05.11.01

Description: Insurance policies covering equipment and stores including information provided for renewals and summary records facilitating the management of policies, e.g. registers of insurance policies. Note: 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.

Retention: Retain minimum of 7 years after expiry of the policy, then destroy

GA28-05.11.02

Description: Records relating to the administration of insurance policies. Records include:- notices of renewals, advice on premiums payable etc.

Retention: Retain minimum of 1 year after action completed, then destroy

EQUIPMENT & STORES - Leasing

GA28-05.12.00

Description: The activities involving in leasing items of equipment from another organisation. Use EQUIPMENT & STORES - DISPOSAL for records relating to the disposal of leased equipment and stores. Use EQUIPMENT & STORES - MAINTENANCE for records relating to the maintenance of leased equipment and stores. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting leasing activities. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to the assessment and control of risks arising from the use of items of equipment or plant.

Retention:

GA28-05.12.01

Description: Records relating to the administration and management of leased equipment, including:- signed copies of lease agreements- reports received from leasing companies.

Retention: Retain minimum of 7 years after lease expires or is terminated, and equipment is returned, then destroy

GA28-05.12.02

Description: Records relating to leasing which is not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

EQUIPMENT & STORES - Leasing-out

GA28-05.13.00

Description: The activities involved in leasing-out equipment and stores to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc of both parties. Also includes subleasing. Use the organisation's functional retention and disposal authority for records relating to leasing-out if leasing-out equipment and stores is part of the organisation's core functional responsibilities. Use EQUIPMENT & STORES - LEASING for records relating to leasing from another organisation. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting leasing-out activities. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to the assessment and control of risks arising from equipment, plant or hazardous materials.

Retention:

GA28-05.13.01

Description: Records relating to arrangements for leasing-out the organisation's equipment or stores to other organisations. Records include signed copies of lease agreements.

Retention: Retain minimum of 7 years after lease expires or is terminated, and equipment is returned, then destroy

GA28-05.13.02

Description: Records relating to leasing-out which is not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

EQUIPMENT & STORES - Maintenance

GA28-05.14.00

Description: The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of equipment and stores. Use EQUIPMENT & STORES - AGREEMENTS for records relating to maintenance of equipment and stores undertaken as part of servicing agreements. Use CONTRACTING-OUT for records relating to maintenance of equipment and stores undertaken as part of maintenance contracts. Use FINANCIAL MANAGEMENT - ASSET REGISTER for summary records which provide accountability for purchase.

Retention:

GA28-05.14.01

Function/Activity

GDA No

GA28-05.14.01

Description: Records relating to tests, repairs, maintenance, inspections, commissioning or alteration of plant and equipment that are relevant to controlling risks associated with the use or operation of that particular item of plant or equipment. Remarks: Occupational Health & Safety Regulation 2001, s.143(1), requires that 'an employer who has control of any plant of a kind specified in the Table to clause 131 (Plant for which records are to be kept) must make and keep for the operating life of the plant records of any tests, maintenance, inspections, commissioning or alteration of plant relevant to controlling risks arising from the plant.'

Retention: Retain until plant or equipment is disposed of, then destroy

GA28-05.14.02

Description: Records relating to tests, repairs, maintenance inspections, commissioning or alteration of plant and equipment not relating to controlling risks associated with a particular item of plant or equipment.

Retention: Retain minimum of 2 years after action completed, then destroy

EQUIPMENT & STORES - Policy

GA28-05.15.00

Description: 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. Use EQUIPMENT & STORES - COMPLIANCE for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding equipment and stores. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross functional or organisation-wide matters.

Retention:

GA28-05.15.01

Description: Final, approved versions of the organisation's policies relating to the acquisition, disposal, use and maintenance of equipment and stores and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: There may be some policies relating to the acquisition or disposal of equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

GA28-05.15.02

Description: Records relating to the development and review of the organisation's policies relating to the acquisition, disposal, use and maintenance of equipment and stores. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

EQUIPMENT & STORES - Procedures

GA28-05.16.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures.

Retention:

GA28-05.16.01

Description: Final, approved versions of manuals, handbooks, directives etc detailing procedures regarding the acquisition and disposal, use and maintenance of equipment and stores and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: There may be some procedures relating to the acquisition or disposal of equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-05.16.02

Description: Records relating to the development and review of procedures regarding the acquisition, disposal, use and maintenance of equipment and stores. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-05.16.03

Function/Activity

GDA No

GA28-05.16.03

Description: Operating manuals and instructions for equipment or plant. Use OCCUPATIONAL HEALTH & SAFETY - PROCEDURES for records relating to procedures addressing safety issues for the use of equipment or plant.

Retention: Retain until superseded or equipment or plant is disposed of, then destroy or transfer to new owner

EQUIPMENT & STORES - Reporting

GA28-05.17.00

Description: 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.

Retention:

GA28-05.17.01

Description: Records relating to formal external reports regarding equipment and stores. Records include: -background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-05.17.02

Description: Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities, e.g. statistics monitoring usage of equipment and stores. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

EQUIPMENT & STORES - Reviewing

GA28-05.18.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use EQUIPMENT & STORES - AUDIT for records relating to formal audits of items of equipment and stores. Use EQUIPMENT & STORES - EVALUATION for records relating to investigations undertaken to determine the organisation's requirements for equipment or stores. Use EQUIPMENT & STORES - POLICY or EQUIPMENT & STORES - PROCEDURES for records relating to the review of plans, policies or procedures.

Retention:

GA28-05.18.01

Description: Records relating to the review of items of equipment and stores and of systems and processes associated with their acquisition, disposal, maintenance etc. Records include:-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.

Retention: Retain minimum of 5 years after action completed, then destroy

EQUIPMENT & STORES - Security

GA28-05.19.00

Description: The activities associated with measures taken to protect equipment and stores from accidental or intentional damage or from unauthorised access. Use TECHNOLOGY & TELECOMMUNICATIONS - SECURITY for records relating to security protection against unauthorised access to technology and telecommunications systems. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to disciplinary action taken against personnel for security breaches. Use General Retention and Disposal Authority - Video and visual surveillance records (GDA8) for video and visual surveillance recordings of property.

Retention:

GA28-05.19.01

Description: Records relating to the loss of or damage to equipment and stores. Records include investigations into theft or intentional damage and referral of alleged incidents to law enforcement authorities. Use FINANCIAL MANAGEMENT - CORRUPTION for records relating to misappropriations of funds.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-05.19.02

Description: Records relating to combinations and/or control of keys for accessing items of equipment or plant, including safes or filing cabinets. Records include registers recording details of the issue of keys etc.

Retention: Retain until superseded, then destroy

EQUIPMENT & STORES - Stocktake**GA28-05.20.00**

Description: The activities associated with the examination, counting and valuing of equipment and stores in the organisation with a view to reassessing the need for replacing them, identifying missing items and determining the condition of the existing items. Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to changes to the asset register.

Retention:

GA28-05.20.01

Description: Records relating to the inventory and stocktake of equipment and stores. Includes examining, counting and valuing equipment and stores. Records include:-stock/stores control records-stock reconciliations-stocktake reports-stocktaking sheets/records.Remarks: Retention period incorporates Treasurer's Directions 1/88, 404.01 which recommends that these records should be maintained for 2 years after the date of examination of the latest entry by audit.Note: If the organisation is covered by the Commonwealth Corporations Act 2001, these records should be retained for a minimum of 7 years after end of financial year in which record was created.

Retention: Retain minimum of 2 years after action completed, then destroy

ESTABLISHMENT**GA28-06.00.00**

Description: 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. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - RECRUITMENT for records relating to recruitment to individual positions.

Retention:

ESTABLISHMENT - Evaluation**GA28-06.01.00**

Description: 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. Use ESTABLISHMENT - RESTRUCTURING for records relating to the establishment or review of organisational structures. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - EVALUATION for records relating to the job evaluation of particular positions or gradings.

Retention:

GA28-06.01.01

Description: Records relating to the evaluation of positions against existing or planned organisational structures to support corporate requirements and resource needs.

Retention: Retain minimum of 5 years after action completed, then destroy

ESTABLISHMENT - Planning**GA28-06.02.00**

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use ESTABLISHMENT - RESTRUCTURING for records relating to organisational charts. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning including organisation-wide establishment plans.

Retention:

GA28-06.02.01

Description: 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.

Retention: Retain minimum of 7 years after plan is superseded, then destroy

GA28-06.02.02

Description: Records relating to the development and review of plans for the structure/establishment of sections or business units. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

ESTABLISHMENT - Policy**GA28-06.03.00**

Function/Activity

GDA No

GA28-06.03.00

Description: 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. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross functional or organisation-wide matters.

Retention:

GA28-06.03.01

Description: 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.

Retention: Retain minimum of 7 years after policy is superseded, then destroy

GA28-06.03.02

Description: Records relating to the development and review of establishment policies, e.g. policies regarding classification and grading of positions, establishment and review of positions etc. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

ESTABLISHMENT - Procedures

GA28-06.04.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures.

Retention:

GA28-06.04.01

Description: 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.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-06.04.02

Description: 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: -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.

Retention: Retain 3 years after action completed, then destroy

ESTABLISHMENT - Reporting

GA28-06.05.00

Description: 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. Use 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 and performance, e.g. annual reports or substantial ad hoc reports.

Retention:

GA28-06.05.01

Description: Records relating to formal reports regarding the establishment or review of organisational structures. Records include: - background research-draft versions of reports containing significant changes/ alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-06.05.02

Function/Activity

GDA No

GA28-06.05.02

Description: 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: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

ESTABLISHMENT - Restructuring

GA28-06.06.00

Description: 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. Use ESTABLISHMENT - VARIATIONS for records relating to the implementation of changes to positions as a result of restructures. Use GOVERNING BODIES - AUTHORITIES for records relating to instruments of authority for governing bodies. Use STRATEGIC MANAGEMENT for records relating to privatisation and corporatisation.

Retention:

GA28-06.06.01

Description: 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:-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.

Retention: Required as State archives

GA28-06.06.02

Description: 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:-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.

Retention: Retain minimum of 5 years after action completed, then destroy

ESTABLISHMENT - Variations

GA28-06.07.00

Description: The activities involved in varying, creating and abolishing individual positions. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - EVALUATION for records relating to the job evaluation of particular positions or gradings.

Retention:

GA28-06.07.01

Description: Records relating to the creation, variation, abolition or transfer of positions and assigned duties. Records include:-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. Note: Signed copies of position descriptions or statements of duties should be retained for longer periods. See General Retention and Disposal Authority - Personnel records, PERSONNEL - EMPLOYMENT CONDITIONS. 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.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-06.07.02

Description: Records relating to varying positions and assigned duties when the changes are not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

FINANCIAL MANAGMENT - Salaries

GA28-07.18.0

Function/Activity

GDA No

GA28-07.18.0

Description: The process of managing the payment of salaries to personnel. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to the assessment of fringe benefits tax and PAYG withholding. Use General retention and disposal authority: personnel records, PERSONNEL - EMPLOYMENT CONDITIONS for records relating to the employment or service history of employees, including attendance records, and terms and conditions regarding allowances. Use General retention and disposal authority: personnel records, PERSONNEL - LEAVE for records relating to applications for leave and the administration of leave. Use General retention and disposal authority: personnel records, PERSONNEL - SALARIES for records relating to routine correspondence, including requests for information and reference material regarding superannuation.

Retention:

GA28-07.18.1

Description: Records documenting the payment of wages to employees. Note: WorkCover NSW advises that wages consist of total gross earnings (before tax deductions) and some other payments, including: -salary or wages-overtime, shift and other allowances-over-award payments-bonuses and commissions-payments for sick leave, public holidays and the associated leave loadings-the value of any substitutes for cash-employer superannuation contributions-the grossed-up value of fringe benefits-long service leave payments-termination payments-trust distributions to workers where the distribution is in lieu of wages for work done for the trust.

Retention: Retain minimum of 7 years after end of financial year in which record was created, then destroy

GA28-07.18.2

Description: Records supporting the payment of wages to employees. Records include forms and documents used to process and update information in payroll systems.

Retention: Retain minimum of 2 years after end of financial year in which record was created, then destroy

GA28-07.18.3

Description: Records relating to salary rates registers.

Retention: Retain until ceases to be of administrative or reference use, then destroy

FINANCIAL MANAGEMENT

GA28-07.00.00

Description: The function of managing the organisation's financial resources. Includes establishing, operating and maintaining accounting system controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants and managing funds in the form of allocations from the Consolidated Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community. Use the organisation's functional retention and disposal authority for records relating to financial management if the organisation's main activities involve a financial management role, e.g. Treasury, superannuation fund management and administration.

Retention:

FINANCIAL MANAGEMENT - Accounting

GA28-07.01.00

Description: The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the organisation. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the organisation's accounting systems and internal controls. Use FINANCIAL MANAGEMENT - ASSET REGISTER for registers of accountable books and forms. Use FINANCIAL MANAGEMENT - FINANCIAL STATEMENTS for records relating to the preparation and review of financial statements and summaries. Use FINANCIAL MANAGEMENT - POLICY for records relating to the organisation's accounting policies. Use FINANCIAL MANAGEMENT - REPORTING for records relating to reports regarding the management of the organisation's finances. Use FLEET MANAGEMENT - COMPLIANCE for records relating to the calculation of fringe benefits tax (FBT) liabilities.

Retention:

GA28-07.01.01

Description: Records documenting the organisation's financial transactions. Includes revenue, expenditure, debt recovery and deposits.

Retention: Retain minimum of 7 years after end of financial year in which transaction was completed, then destroy

GA28-07.01.02

Description: Records relating to the establishment and management of bank accounts. Includes the closure of accounts.

Retention: Retain minimum of 7 years after account is closed, then destroy

GA28-07.01.03

Function/Activity

GDA No

GA28-07.01.03

Description: Records relating to bonds or bank guarantees/securities.

Retention: Retain until matter completed, then return to applicant or bank

GA28-07.01.04

Description: Records relating to the management of incidental benefits received by employees in the course of their official duties, e.g. frequent flyer points.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-07.01.05

Description: Records relating to the assessment and payment of taxation. Includes income tax, fringe benefits tax (FBT), goods and services tax (GST), sales tax, payroll tax, fuel tax and pay as you go (PAYG) withholding. Records include:-tax assessments-business activity statements-tax invoices.Note: If the records form the primary record of the organisation's financial transactions they should be retained as per class 7.1.1 above.Note: Organisations covered by the Corporations Act 2001 (Commonwealth) may be required to retain these records for a minimum of 7 years after end of financial year in which record was created.

Retention: Retain minimum of 5 years after end of financial year in which record was created, then destroy

GA28-07.01.06

Description: Records relating to handling money and managing the organisation's finances which are not the primary record of the organisation's financial transactions.

Retention: Retain minimum of 2 years after end of financial year in which record was created, then destroy

GA28-07.01.07

Description: Records relating to the organisation's chart of accounts.

Retention: Retain until ceases to be of administrative or reference use, then destroy

FINANCIAL MANAGEMENT - Advice

GA28-07.02.00

Description: The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.Use GOVERNMENT RELATIONS - ADVICE for records relating to the provision of advice to the portfolio Minister or other government organisations concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities.Use LEGAL SERVICES - ADVICE for records relating to legal advice furnished to the organisation by internal or external legal service providers.

Retention:

GA28-07.02.01

Description: Records relating to the provision or receipt of detailed and significant financial advice to executive or senior management, the Minister or other NSW bodies regarding external financial and annual reporting requirements. Includes detailed and high level advice on the application of specific accounting standards and policies, financial or annual reporting legislation and accounting treatments.

Retention: Required as State archives

GA28-07.02.02

Description: Records relating to advice received from organisations regarding new developments and issues warranting supplementary or new appropriation funding, including records of funding/enhancement bids etc.

Retention: Required as State archives

GA28-07.02.03

Description: Records relating to advice regarding general financial management and accounting practices including financial advice concerning routine operational matters, e.g. wage cases, property matters.

Retention: Retain minimum of 10 years after action completed, then destroy

FINANCIAL MANAGEMENT - Agreements

GA28-07.03.00

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements.Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-07.03.01

Function/Activity

GDA No

GA28-07.03.01

Description: Records relating to the establishment, negotiation, maintenance and review of agreements regarding management of the organisation's financial resources, e.g. credit card contracts. Records include:-correspondence and negotiations including minutes or notes of meetings with main stakeholders-drafts containing significant changes/alterations or formally circulated for comment-final, approved versions of agreements-reviews of agreements.Note: 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.

Retention: Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy

FINANCIAL MANAGEMENT - Allocation

GA28-07.04.00

Description: The process of assigning money to employees or organisational units.

Retention:

GA28-07.04.01

Description: Records relating to the allocation of funds from Treasury and allocations within the organisation. Includes restrictions and variations to funding allocations.

Retention: Retain minimum of 10 years after action completed, then destroy

FINANCIAL MANAGEMENT - Asset register

GA28-07.05.00

Description: The activities involved in recording all assets owned by the organisation. Includes the date of purchase, depreciation expense, written down value as well as stocktaking and auditing notations.Use EQUIPMENT & STORES - ACQUISITION for summary records created to facilitate the management of items owned by the organisation which have useful lives of less than 12 months (i.e. are not classified as assets).Use PROPERTY MANAGEMENT - ACQUISITION for summary records created to facilitate the management of property owned by the organisation, e.g. deed registers, property registers, land registers.Use the relevant function/activity for records relating to the acquisition, operation, maintenance and disposal of assets, e.g. use EQUIPMENT & STORES - ACQUISITION for records relating to the acquisition of equipment and stores, e.g. use FLEET MANAGEMENT - DISPOSAL for records relating to the disposal of vehicles, e.g. use PROPERTY MANAGEMENT - DISPOSAL for records relating to the disposal of property, e.g. use TECHNOLOGY & TELECOMMUNICATIONS - MAINTENANCE for records relating to the maintenance of technology and telecommunications equipment.Note: Assets include physical facilities such as land, buildings, factories, roads, schools and their infrastructure, and products of value such as plant, equipment, machinery, motor vehicles, tools, furniture, furnishings, office equipment, scientific apparatus, books and appliances which have useful lives of more than one year.

Retention:

GA28-07.05.01

Description: Registers documenting the assets and/or accountable items in the possession of the organisation.Note: With paper-based registers, retain minimum of 7 years after last item entered has been disposed of, then destroy. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.

Retention: Retain minimum of 7 years after asset is disposed of, then destroy

FINANCIAL MANAGEMENT - Audit

GA28-07.06.00

Description: The activities associated with officially checking fiscal, 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. Use STRATEGIC MANAGEMENT - AUDIT for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to action taken against individual employees if misuse or fraud is detected.

Retention:

GA28-07.06.01

Description: Records relating to audits of the organisation's accounts or financial management records, systems and processes which:-identify serious misuse or wastage of public money-set a precedent, and/or-lead to a major change in policies.Records include:-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-records of remedial action.

Retention: Required as State archives

GA28-07.06.02

Function/Activity

GDA No

GA28-07.06.02

Description: Records relating to audits of the organisation's accounts or financial management records, systems and processes which do not identify serious misuse or wastage of public money-set a precedent, and/or-lead to a major change in policies.Records include:- 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-records of remedial action.

Retention: Retain minimum of 6 years after action completed, then destroy

FINANCIAL MANAGEMENT - Authorisation

GA28-07.07.00

Description: The process of seeking and granting permission to undertake a requested action.Use STRATEGIC MANAGEMENT - AUTHORISATION for records relating to delegations of authority.Use General retention and disposal authority: personnel records, PERSONNEL - ARRANGEMENTS for records relating to authorisations for employees to travel.

Retention:

GA28-07.07.01

Description: Records relating to approvals and authorisations for travel or reimbursement of expenses etc for personnel or others.

Retention: Retain minimum of 7 years after end of financial year in which record was created, then destroy

FINANCIAL MANAGEMENT - Budgeting

GA28-07.08.00

Description: The process of planning the use of expected income and expenditure over a specified period.Use FINANCIAL MANAGEMENT - ALLOCATION for records relating to Treasury allocations in response to the organisation's budget request.Use GOVERNMENT RELATIONS - REPORTING for periodic reports required to be submitted to external government organisations regarding budget estimates.

Retention:

GA28-07.08.01

Description: Budget estimates, including estimates for expenditure on new policy proposals or programs, and supporting documents prepared for external approval, e.g. by the organisation's parent department or Minister. Includes variations on estimates.

Retention: Required as State archives

GA28-07.08.02

Description: Records relating to the development and review of budget estimates. Records include:-budget estimates and supporting documents prepared for internal use-calculations and costings for annual, forward, draft, revised and additional estimates-submissions from business units or offices within the organisation.

Retention: Retain minimum of 6 years after preparation, then destroy

GA28-07.08.03

Description: Records relating to the organisation's spending progress or revenue collection against allocations within the budget estimates.

Retention: Retain minimum of 2 years after end of financial year in which record was created, then destroy

FINANCIAL MANAGEMENT - Compliance

GA28-07.09.00

Description: The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards. Use 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 policies, standards and requirements on financial management.Use FINANCIAL MANAGEMENT - AUDIT for records relating to formal audits against compliance requirements.Use FINANCIAL MANAGEMENT - POLICY for records relating to the drafting and review of financial policies.Use LEGAL SERVICES - LITIGATION for records relating to the prosecution of the organisation for breaches of compliance requirements.

Retention:

GA28-07.09.01

Description: Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding financial management, e.g. registration of Australian Business Number (ABN), Australian Company Number (ACN), Data Universal Numbering System Number (DUNS), accounting standards.Note: Retention period is provided as a guideline only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.

Retention: Retain minimum of 7 years after registration lapses or is superseded, or action completed, then destroy

FINANCIAL MANAGEMENT - Corruption**GA28-07.10.00**

Description: The processes which allow the disclosure of corruption, and strategies for the prevention of corruption (including fraud). Use GOVERNING BODIES - CORRUPTION for records relating to allegations of fraud or corruption made about a member of the organisation's governing body. Use GOVERNMENT RELATIONS - INQUIRIES for records relating to formal inquiries involving the organisation. Use STAFF DEVELOPMENT - TRAINING for records relating to training of employees in appropriate standards of conduct and reporting allegedly corrupt behaviour. Use STRATEGIC MANAGEMENT - CORRUPTION for records relating to the management of gifts given to the organisation, e.g. gifts registers kept as an anti-corruption measure. Use STRATEGIC MANAGEMENT - PLANNING, STRATEGIC MANAGEMENT - POLICY or STRATEGIC MANAGEMENT - PROCEDURES for records relating to the development and review of plans, policies or procedures relating to corruption prevention or control. Use General retention and disposal authority: personnel records, PERSONNEL - DISCIPLINE for records relating to investigations into corruption allegations made against an employee, including protected disclosures.

Retention:

GA28-07.10.01

Description: Records relating to specific instances of theft, fraud, misappropriation or negligence. Includes:-actual, attempted or suspected fraud, theft, misappropriation or negligence-doubtful debts-irrecoverable revenue, debts and overpayments-recovery of debt-waivering of debt-write offs-deficiencies/losses. Records include:-reports of investigations-records documenting liaison with external authorities.

Retention: Retain minimum of 10 years after action completed, then destroy

GA28-07.10.02

Description: Records relating to financial management arrangements supporting the organisation's fraud control plan.

Retention: Retain minimum of 7 years after plan is superseded, then destroy

FINANCIAL MANAGEMENT - Evaluation**GA28-07.11.00**

Description: 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.

Retention:

GA28-07.11.01

Description: Records relating to the evaluation of potential and existing financial management programs, systems and services.

Retention: Retain minimum of 5 years after action completed, then destroy

FINANCIAL MANAGEMENT - Financial statements**GA28-07.12.00**

Description: The process of compiling annual statements presented in prescribed form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year. Use FINANCIAL MANAGEMENT - REPORTING for records relating to reporting on the management of the organisation's finances. Use GOVERNMENT RELATIONS - REPORTING for records relating to the organisation's annual report.

Retention:

GA28-07.12.01

Description: Records relating to the preparation and review of financial statements and summaries. Includes annual statements of assets and liabilities, balance sheets, profit and loss statements, operating statements of financial position and cash flow statements. Records include:-final, signed off statements-working papers and supporting documents needed to explain the methods by which financial statements are made up and adjustments to be made in preparing financial statements. Note: When financial statements and summaries are presented to financial and other committees and placed on file, they should be disposed of in accordance with the relevant entries under COMMITTEES (GA28, 1.0.0).

Retention: Retain minimum of 7 years after end of financial year in which record was created, then destroy

GA28-07.12.02

Description: Periodic interim financial statements and summaries prepared for management on a regular basis, e.g. weekly or monthly.

Retention: Retain minimum of 1 year after end of financial year in which record was created, then destroy

FINANCIAL MANAGEMENT - Planning**GA28-07.13.00**

Function/Activity

GDA No

GA28-07.13.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning.

Retention:

GA28-07.13.01

Description: Final, approved versions of plans for the management of the organisation's financial services, including economic appraisals etc, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-07.13.02

Description: Records relating to the development and review of plans for the management of the organisation's financial services, including economic appraisals etc. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

FINANCIAL MANAGEMENT - Policy

GA28-07.14.00

Description: 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. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-07.14.01

Description: Records relating to the organisation's policies for the management of financial resources, including policies on treasury management and accounting. Records include: -policy proposals-background research -records of consultations or meetings-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-final, approved versions of policies-associated correspondence indicating who the policies apply to and responsibilities for their implementation.

Retention: Retain minimum of 7 years after policy is superseded, then destroy

FINANCIAL MANAGEMENT - Procedures

GA28-07.15.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures. Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to cross-functional or organisation-wide procedures. Use TECHNOLOGY & TELECOMMUNICATIONS - PROCEDURES for records relating to procedures for technology and telecommunications systems.

Retention:

GA28-07.15.01

Description: Records relating to manuals, handbooks, directives etc detailing the organisation's procedures for the management of financial resources, including procedures for treasury management and accounting. Records include: -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.-final, approved versions of procedures-associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

Retention: Retain minimum of 7 years after procedures are superseded, then destroy

FINANCIAL MANAGEMENT - Reporting

GA28-07.16.00

Function/Activity

GDA No

GA28-07.16.00

Description: 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. Use FINANCIAL MANAGEMENT - FINANCIAL STATEMENTS for records relating to the submission of financial statements. Use 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 and performance, e.g. annual reports or substantial ad hoc reports. Use TECHNOLOGY & TELECOMMUNICATIONS - REPORTING for records relating to the development and review of reports regarding technology and telecommunications.

Retention:

GA28-07.16.01

Description: Records relating to reports regarding the management of the organisation's finances, e.g. reports to Treasury on yearly premium renewals for insurance policies. Records include:-background research-records relating to the outcomes of consultation with employees, unions, other stakeholders etc-draft versions of reports containing significant changes/alterations or formally circulated for comment-final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-07.16.02

Description: Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding financial management programs and services. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

FINANCIAL MANAGEMENT - Reviewing

GA28-07.17.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use FINANCIAL MANAGEMENT - AUDIT for records relating to formal audits of the organisation's accounts or financial management records, systems and processes. Use FINANCIAL MANAGEMENT - PLANNING, FINANCIAL MANAGEMENT - POLICY or FINANCIAL MANAGEMENT - PROCEDURES for records relating to the development and review of plans, policies or procedures for the management of financial resources.

Retention:

GA28-07.17.01

Description: Records relating to the review of financial programs and services. Records include:-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.

Retention: Retain minimum of 5 years after action completed, then destroy

FINANCIAL MANAGEMENT - Treasury management

GA28-07.19.00

Description: The process of managing the funds of the organisation in an efficient and economical manner by ensuring an effective system of internal control is in operation. Includes investments and loans. Use the organisation's functional retention and disposal authority for records relating to the administration of schemes to loan money to individuals or other organisations. Use FINANCIAL MANAGEMENT - POLICY for records relating to the organisation's policies on treasury management.

Retention:

GA28-07.19.01

Description: Records relating to the organisation's Treasury Management strategy.

Retention: Required as State archives

GA28-07.19.02

Description: Records relating to operations, and individual appropriations, borrowings, investments and loans to other organisations or individuals. Note: 'Transaction completed' for records relating to investments and borrowings should be interpreted as when investments are liquidated or matured, or when borrowings are repaid or rolled over.

Retention: Retain minimum of 7 years after end of financial year in which transaction was completed, then destroy

GA28-07.19.03

Function/Activity

GDA No

GA28-07.19.03

Description: Records relating to unclaimed money. Records include copies of returns and registers used to record unclaimed money. Note: With paper-based registers, retain minimum of 7 years after last entry in the register, then destroy. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.

Retention: Retain minimum of 7 years after date return lodged, then destroy

FLEET MANAGEMENT

GA28-08.00.00

Description: The function of acquiring, managing, maintaining, repairing and disposing of vehicles. Vehicles are any means of conveyance owned or used by the organisation to transport people or items. Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to the monitoring and assessment of the organisation's fleet as a corporate asset.

Retention:

FLEET MANAGEMENT - Accidents

GA28-08.01.00

Description: The activities involved with dealing with mishaps causing damage to the organisation's vehicles. Also includes measures to prevent incidents occurring. Use FLEET MANAGEMENT - CLAIMS for records relating to insurance claims for damage to vehicles. Use COMPENSATION - CLAIMS for records relating to the handling of claims for compensation and the rehabilitation of employees. Use LEGAL SERVICES - LITIGATION for records relating to legal action resulting from an incident. Use OCCUPATIONAL HEALTH & SAFETY - ACCIDENTS for records relating to accidents involving employees or members of the public.

Retention:

GA28-08.01.01

Description: Records relating to incidents involving vehicles maintained or used by the organisation. Records include:-vehicle accident and investigation reports-copies of documents authorising use of the vehicle-copies of driver/operator/pilot licences or certificates of competency-copies of bookings/logs and other evidence supporting use of the vehicle. Note: When an accident results in a compensation claim for personal injury relevant records should be copied for the compensation file. Note: Consideration may need to be given to retaining these records longer in some circumstances, e.g. where the incident results in a compensation claim for personal injury.

Retention: Retain minimum of 7 years after action completed, then destroy

FLEET MANAGEMENT - Acquisition

GA28-08.02.00

Description: The process of gaining ownership or use of vehicles and related goods required for the conduct of business through purchase or requisition. Use FLEET MANAGEMENT - LEASING for records relating to the administration and management of leased or hired vehicles. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting acquisitions. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-08.02.01

Description: Records relating to the acquisition of vehicles and vehicle accessories, including vehicles purchased through motor vehicle supply contracts. Records include:-quotes-evaluations of period contracts or alternatives -justifications/business cases-orders-handover reports-correspondence.

Retention: Retain minimum of 7 years after disposal of vehicle, then destroy

GA28-08.02.02

Description: Records relating to the acquisition of fuel and services, including e-tags, tollway schemes etc required to support the fleet management process where there is no tender or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include records of fuel cards issued and cancelled.

Retention: Retain minimum of 7 years after action completed, then destroy

FLEET MANAGEMENT - Arrangements

GA28-08.03.00

Description: The activities involved in making arrangements for the delivery and usage of vehicles or related goods. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions associated with meeting fringe benefits tax (FBT) obligations. Use FINANCIAL MANAGEMENT - SALARIES for records relating to fringe benefits tax (FBT) arrangements in employee salary packages.

Retention:

Function/Activity

GDA No

GA28-08.03.01

Description: Records relating to arrangements for using vehicles. Records include:-booking schedules-trip instructions-travel itineraries and programs-records of checks for appropriate authorisations.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-08.03.02

Description: Vehicle running sheets/log books.Remarks: Records relating to Fringe Benefits Tax (FBT) returns after 31 March 1995 are required to be retained for 5 years after the completion of transactions under the terms of the Taxation Laws Amendment (FBT Cost of Compliance) Act 1995.

Retention: Retain minimum of 5 years after the end of the FBT year, then destroy

FLEET MANAGEMENT - Authorisation

GA28-08.04.00

Description: The process of seeking and granting permission to use organisational vehicles.Use STRATEGIC MANAGEMENT - AUTHORISATION for records relating to delegations of authority.

Retention:

GA28-08.04.01

Description: Records relating to requests and approvals authorising the use of vehicles involving financial arrangements. Records include:- records of permission to use private vehicles for official business-records of permission to undertake maintenance and repairs- records of permission for private use of fuel cards and arrangements for reimbursement.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-08.04.02

Description: Records relating to requests and approvals authorising the use of vehicles not involving financial arrangements. Records include:- records of permission to carry non-employees as passengers-records of permission for home garaging of vehicles-records of permission for Senior Executive Officers to use vehicles while on leave-records of permission for learner drivers to drive a vehicle.

Retention: Retain minimum of 2 years after authority expires, then destroy

FLEET MANAGEMENT - Claims

GA28-08.05.00

Description: The process of administering and managing payments demanded in accordance with an insurance policy as compensation for damage to or destruction of vehicles. Includes disputes over rights and ownership and recompense sought for stolen vehicles.Use COMPENSATION - CLAIMS for records relating to the handling of claims for compensation and the rehabilitation of employees.

Retention:

GA28-08.05.01

Description: Records relating to insurance claims for damage to vehicles. Records include copies of claims, reports and related correspondence.

Retention: Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy

FLEET MANAGEMENT - Compliance

GA28-08.06.00

Description: 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. Use the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess compliance of other organisations with fleet management regulations, standards or policies etc.Use FLEET MANAGEMENT - INFRINGEMENTS for records relating to driving or traffic infringements regarding vehicles maintained or used by the organisation.

Retention:

GA28-08.06.01

Description: Records relating to the organisation's compliance with regulatory standards including modifications to the manufacturer's delivered vehicle including any engineering certifications, photographs, costs and supporting records.Note: Retention period is provided as a guideline only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-08.06.02

Function/Activity

GDA No

GA28-08.06.02

Description: Records relating to the registration of the organisation's vehicles. Records include records of inspections and renewals.

Retention: Retain until registration has expired, been renewed or vehicle sold, then destroy

GA28-08.06.03

Description: Records relating to the calculation of Fringe Benefits Tax (FBT) liabilities. Remarks: Records relating to Fringe Benefits tax after 31 March 1995 are required to be retained for 5 years after the completion of transactions under the terms of the Taxation Laws Amendment (FBT Cost of Compliance) Act 1995.

Retention: Retain minimum of 5 years after the end of the FBT year, then destroy

FLEET MANAGEMENT - Disposal

GA28-08.07.00

Description: The process of disposing of vehicles no longer required by the organisation by sale, transfer, termination of lease, auction or destruction. Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to the removal of items from the organisation's asset register.

Retention:

GA28-08.07.01

Description: Records relating to the disposal of vehicles through any means including sale, transfer, auction, exchange, return or destruction etc. Records include:-independent valuations-certifications of work undertaken on vehicles prior to disposal-written quotes-auction records-correspondence-handover reports for leased vehicles.

Retention: Retain minimum of 7 years after disposal of vehicle, then destroy

FLEET MANAGEMENT - Infringements

GA28-08.08.00

Description: The activities associated with handling breaches of rules. Includes driving or traffic infringements. Use LEGAL SERVICES - LITIGATION for records relating to infringements that result in litigation. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to the payment of fines. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to disciplining employees for infringements.

Retention:

GA28-08.08.01

Description: Records relating to driving or traffic infringements regarding vehicles maintained or used by the organisation. Records include:- copies of infringement notices-correspondence with relevant authorities-supporting documentation.

Retention: Retain minimum of 2 years after action completed, then destroy

FLEET MANAGEMENT - Insurance

GA28-08.09.00

Description: The process of taking out premiums to cover loss or damage to vehicles. Use FLEET MANAGEMENT - CLAIMS for records relating to insurance claims for damage to vehicles. Use COMPENSATION - CLAIMS for records relating to the handling of claims for compensation and the rehabilitation of employees. Use FINANCIAL MANAGEMENT - REPORTING for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

Retention:

GA28-08.09.01

Description: Vehicle insurance policies including information provided for renewals and summary records facilitating the management of policies, e.g. registers of insurance policies. Note: With paper-based registers, retain minimum of 7 years after expiry of last policy 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.

Retention: Retain minimum of 7 years after expiry of the policy, then destroy

GA28-08.09.02

Description: Records relating to the administration of insurance policies. Records include:- notices of renewals, details of amounts of cover, advice on premiums payable etc.

Retention: Retain minimum of 2 years after action completed, then destroy

FLEET MANAGEMENT - Leasing

GA28-08.10.00

Function/Activity

GDA No

GA28-08.10.00

Description: The activities involved in leasing vehicles from another organisation. Use FLEET MANAGEMENT - ACQUISITION for records relating to the acquisition of vehicles. Use FLEET MANAGEMENT - COMPLIANCE for records relating to Fringe Benefits Tax reports received from a leasing company. Use FLEET MANAGEMENT - DISPOSAL for records relating to the disposal of leased vehicles. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions associated with leasing vehicles.

Retention:

GA28-08.10.01

Description: Records relating to the administration and management of leased or hired vehicles, including:-agreements-reports received from leasing companies-vehicle exemption reports.

Retention: Retain minimum of 7 years after lease or hire arrangement expires or is terminated, then destroy

GA28-08.10.02

Description: Records relating to leasing which is not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

FLEET MANAGEMENT - Leasing-out

GA28-08.11.00

Description: The activities involved in leasing-out vehicles to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc of both parties. Also includes subleasing. Use the organisation's functional retention and disposal authority for records relating to leasing-out if leasing-out vehicles is part of the organisation's core functional responsibilities.

Retention:

GA28-08.11.01

Description: Records relating to arrangements for leasing-out part of the organisation's fleet. Records include signed copies of lease agreements.

Retention: Retain minimum of 7 years after lease expires or is terminated, then destroy

GA28-08.11.02

Description: Records relating to leasing-out which is not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

FLEET MANAGEMENT - Maintenance

GA28-08.12.00

Description: The activities associated with the upkeep, repair and servicing of vehicles. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process.

Retention:

GA28-08.12.01

Description: Records relating to repairs, modifications and maintenance of owned vehicles (excluding maintenance contracts). Records include maintenance record books.

Retention: Transfer to new owner after sale or retain minimum of 6 months after write off of vehicle, then destroy

GA28-08.12.02

Description: Records relating to repairs and maintenance of leased vehicles (excluding maintenance contracts). Records include maintenance record books.

Retention: Transfer to leasing company after lease expires or is terminated, or retain until expiry or termination or lease, then destroy

FLEET MANAGEMENT - Planning

GA28-08.13.00

Description: The process of formulating ways in which strategic objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning.

Retention:

GA28-08.13.01

Function/Activity

GDA No

GA28-08.13.01

Description: Final, approved versions of the organisation's fleet management plans, e.g. fleet improvement plans for reductions in fuel use, greenhouse gas emissions and better average fuel consumption, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-08.13.02

Description: Records relating to the development and review of the organisation's fleet management plans, e.g. fleet improvement plans for reductions in fuel use, greenhouse gas emissions and better average fuel consumption. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

FLEET MANAGEMENT - Policy

GA28-08.14.00

Description: 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. Use FLEET MANAGEMENT - COMPLIANCE for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements relating to fleet management. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-08.14.01

Description: Final, approved versions of fleet management policies, e.g. policies on personal use of organisational vehicles, use of parking spaces, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: There may be some policies relating to the acquisition or disposal of the organisation's fleet that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

GA28-08.14.02

Description: Records relating to the development and review of the organisation's fleet management policies, e.g. policies on personal use of organisational vehicles, use of parking spaces etc. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

FLEET MANAGEMENT - Procedures

GA28-08.15.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures.

Retention:

GA28-08.15.01

Description: Final, approved versions of organisation manuals, handbooks, directives etc detailing fleet management procedures, e.g. procedures on acquisition of new and replacement vehicles, maintenance procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: There may be some procedures relating to the acquisition or disposal of the organisation's fleet that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-08.15.02

Description: Records relating to the development and review of manuals, handbooks, directives etc detailing the organisation's fleet management procedures, e.g. procedures on selection of new and replacement vehicles, maintenance procedures. Records include: -background research -records of consultations-draft versions of procedures containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.

Retention: Retain minimum of 3 years after action completed, then destroy

FLEET MANAGEMENT - Reporting

GA28-08.16.00

Description: 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. Use FINANCIAL MANAGEMENT - FINANCIAL STATEMENTS for records relating to accounting for leases in financial statements. Use PUBLICATION - PRODUCTION for records relating to production of the organisation's annual reports and other published reports.

Retention:

GA28-08.16.01

Description: Records relating to the development and review of reports relating to fleet management, e.g. financials, utilisation, fuel expenditure, running costs, value of reportable fringe benefits provided to employees, reporting in line with Government Energy Management Policy, reporting on accidents/incidents and theft involving organisational vehicles. Records include: -background research-draft versions of reports containing significant changes/alterations or formally circulated for comment-final, approved versions of reports.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-08.16.02

Description: Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding fleet management. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

FLEET MANAGEMENT - Reviewing

GA28-08.17.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use FLEET MANAGEMENT - PLANNING, FLEET MANAGEMENT - POLICY or FLEET MANAGEMENT - PROCEDURES for records relating to the review of plans, policies or procedures.

Retention:

GA28-08.17.01

Description: Records relating to the review of fleet management arrangements and systems or of the organisation's transport needs, e.g. reviews of fleet size and composition. Records include:-measurements and reviews of needs, arrangements or components of system -reports on review and recommendations.

Retention: Retain minimum of 5 years after action completed, then destroy

GOVERNANCE

GDA23-3.0.0

Description:

Retention:

GOVERNANCE - Breaches of by-laws and rules

GDA23-3.2.0

Description: The activities associated with the disciplinary processes in relation to student breaches of university by-laws and rules and other student disciplinary matters. This includes both academic (such as plagiarism, cheating, etc) and non-academic misconduct (such as damage to property, violence, etc) and covers: investigations, charges, formal inquiries, disciplinary action, and appeals. Note This activity also includes allegations of misconduct and the investigation of those allegations. See General and Disposal Authority: Personnel Records for records relating to staff disciplinary matters (GDA12)

Retention:

GDA23-3.2.1

Description: Records of cases involving suspected or proven abuse or neglect of children. Examples of records, advice of allegation and response; risk assessments and action to minimise risk; reports; investigation documentation and reports; interview transcripts; signed statements; inquiry records; representations; referrals to external bodies; records of remedial and/or disciplinary action; and submissions in relation to disciplinary action. Note suspected abuse or neglect of children should be report to the Commission for children and Young People or other authorities as required.

Retention: Retain for minimum of 99 years after action completed, then destroy.

GDA23-3.2.2

Function/Activity

GDA No

GDA23-3.2.2

Description: Records relating to disciplinary proceedings where a student is found to have committed a breach and serious disciplinary action is taken, but the offence has not involved a child or young person. This includes records concerning investigations, charges, inquiries and punishments and matters that have been referred to external bodies for investigation (eg. NSW Police Service, ICAC). This includes records concerning investigations, charges, inquiries and punishments and matters that have been referred to external bodies for investigation (eg. NSW Police Service, ICAC). Example of records: advice of allegation and response; reports; investigations; interview transcripts; signed statements; inquiry records; representations; referrals to external bodies; records of remedial and/or disciplinary action (including dismissal);p and submissions in relation to disciplinary action.

Retention: Retain for minimum of 6 years after action completed, then destroy.

GDA23-3.2.3

Description: Records relating to disciplinary proceedings where a student is found to have committed a breach but minor or no disciplinary action is taken (eg. caution or reprimand) and the offence has not involved a child or young person. Examples of records: advice of allegation and response; reports; investigations; interview transcripts; signed statements; inquiry records; representation; record of remedial and/or disciplinary action; and submissions in relation to disciplinary action.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-3.2.4

Description: Records relating to preliminary/fact finding investigations of misconduct that were not proceeded with and disciplinary matters where a student is found not to have committed a breach (i.e. the allegations have been found to be false, vexatious or misconceived or could not be proven) and the accusation has not involved a child or a young person. This includes unsubstantiated allegations. Examples of records: advice of allegation and response; reports; investigations; interview transcripts; and signed statements.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-3.2.5

Description: Meeting papers, including master set of minutes and agenda of student discipline and conduct committees. Note see classes 3.2.1 - 3.2.4 for records of individual cases.

Retention: Retain for a minimum of 10 years after action completed, then destroy.

GDA23-3.2.6

Description: Records relating to membership, meeting arrangements and other administrative matters.

Retention: Retain until no longer required for administrative purposes, then destroy.

GOVERNANCE - By-laws and rules set by university

GDA23-3.3.0

Description: The establishment and management of university by-laws and rules.

Retention:

GDA23-3.3.1

Description: Records relating to the development of by-laws and rules set by the university.

Retention: Retain for minimum of 10 years after action completed, then destroy.

GDA23-3.3.2

Description: Master set of by-laws and rules set by the university.

Retention: Required as State archives

GOVERNANCE - Elections

GDA23-3.4.0

Description: Note: this may include election for student bodies such as Students' Unions where such elections are managed by the university. See also GOVERNANCE - Senates, councils and similar governing bodies for records relating to membership of governing bodies, committees and student bodies that are by appointment rather than election.

Retention:

GDA23-3.4.1

Description: Records relating to the conduct of elections. This can include: advertising; balloting; nominations; notices; papers; results; scrutineers; tally sheets.

Retention: Retain for minimum of 6 months after action completed, then destroy.

Function/Activity

GDA No

GDA23-3.4.2

Description: Records relating to electoral roll creation, maintenance and roll services including the electoral roll itself.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GOVERNANCE - Establishment and/or incorporation of university and controlled entities

GDA23-3.1.0

Description: The establishment and/or incorporation of the university and controlled entities, including companies, and their antecedents.

Retention:

GDA23-3.1.1

Description: Records relating to the establishment of the university

Retention: Required as State archives

GDA23-3.1.2

Description: Records relating to establishment of university companies and controlled entities, including articles of agreement.

Retention: Required as State archives

GDA23-3.1.3

Description: Annual reports by university companies/controlled entities

Retention: Required as State archives

GDA23-3.1.4

Description: Statutory, financial and other reporting by university companies/controlled entities to external agencies.

Retention: Retain until no longer required for legal, administrative or reference purposes, then destroy.

GOVERNANCE - Licencing/ accreditation

GDA23-3.5.0

Description: Activities relating to institutional accreditation as an educational provider

Retention:

GDA23-3.5.1

Description: Records relating to accreditation and approvals.

Retention: Required as State archives

GOVERNANCE - Localised procedures

GDA23-3.6.9

Description: Internal/facilitative procedures relating to core and administrative functions, including master set and records relating to the development and maintenance of procedures. This includes procedures, manuals, etc developed by business units to facilitate day-to-day operations.

Retention: Retain until no longer required for administrative purpose, then destroy.

GOVERNANCE - Policy & procedure

GDA23-3.6.0

Description: The development and maintenance of policies and procedures.

Retention:

GOVERNANCE - Policy & procedure administrative functions

GDA23-3.6.5

Description: Master set of policies relating to administrative functions (including student enrolment, service provision, counselling, health and accommodation services).

Retention: Retain for minimum of 10 years after superseded, then destroy

GDA23-3.6.6

Function/Activity

GDA No

GDA23-3.6.6

Description: Master set of procedures relating to administrative functions.

Retention: Retain for minimum of 10 years after superseded, then destroy

GDA23-3.6.7

Description: Records relating to development and maintenance of policy on administrative functions.

Retention: Retain for minimum of 5 years after superseded, then destroy

GDA23-3.6.8

Description: Records relating to development and maintenance of procedures on administrative functions.

Retention: Retain for minimum of 5 years after superseded, then destroy.

GOVERNANCE - Policy & procedure core functions

GDA23-3.6.1

Description: Master set of policies relating to core university functions (including teaching, research, admissions).

Retention: Required as State archives

GDA23-3.6.2

Description: Master set of procedures relating to core university functions.

Retention: Retain for minimum of 10 years after superseded, then destroy.

GDA23-3.6.3

Description: Records relating to development and maintenance of policy on core university functions.

Retention: Retain for minimum of 10 years after superseded, then destroy.

GDA23-3.6.4

Description: Records relating to development and maintenance of procedures on core university functions.

Retention: Retain for minimum of 10 years after superseded, then destroy

GOVERNANCE - Quality assurance

GDA23-3.7.0

Description: See also General Retention and Disposal Authority: Administrative Records – FINANCIAL MANAGEMENT – Audit for financial audits.

Retention:

GDA23-3.7.1

Description: Records of internal and external audits of university activities resulting in significant changes to policy or procedures.

Retention: Retain for minimum of 10 years after action completed, then destroy.

GDA23-3.7.2

Description: Records of internal and external audits of university activities not resulting in significant changes to policy or procedures.

Retention: Retain for minimum of 6 years after action completed, then destroy.

GDA23-3.7.3

Description: Documentation of external quality assurance audit by AUQA (Australian Universities Quality Agency), including: submissions to AUQA by the university; audit reports; responses by the university to audit reports.

Retention: Required as State archives

GDA23-3.7.4

Description: Records of preparations and planning for AUQA audits.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GOVERNANCE - Senates, councils and similar governing bodies

GDA23-3.8.0

Function/Activity

GDA No

GDA23-3.8.0

Description: Governing body, such as senate, council and convocation, and other high level decision making bodies of the university such as professorial boards and academic boards (including strategic committees). Includes boards of controlled entities. See also General Retention and Disposal Authority: Administrative Records for records of other committees.

Retention:

GDA23-3.8.1

Description: Master set of meeting papers, including: agenda, minutes, tabled documents, etc.

Retention: Required as State archives

GDA23-3.8.2

Description: Records relating to appointments and resignations of members of senate, councils and similar high level bodies. Note: This is only where members are directly appointed. Records relating to those who are elected by ballot are covered under GOVERNANCE - Elections

Retention: Required as State archives

GDA23-3.8.3

Description: Records of a general administrative nature relating to the meetings of senate, councils and similar high level bodies, including circulation of minutes, travel arrangements for members to attend and meeting arrangements.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-3.8.4

Description: Records relating to membership of other committees/student bodies, including: resignations; negotiations regarding potential members; correspondence with potential candidates or nominees

Retention: Retain for minimum of 3 years after action completed, then destroy.

GOVERNANCE - Strategic management

GDA23-3.9.0

Description: Accumulation and processing of information that is used to develop strategic plans, internal and external reports. See also General Retention and Disposal Authority: Administrative Records – STRATEGIC MANAGEMENT.

Retention:

GDA23-3.9.1

Description: Records relating to the development of strategic plans. Examples of records: projections; statistics; reports from information systems.

Retention: Retain until superseded, then destroy.

GDA23-3.9.2

Description: Final copy of strategic plans for whole of university and high level organisational units.

Retention: Required as State archives

GDA23-3.9.3

Description: Final copy of strategic plans dealing with individual organisational units or specific functions.

Retention: Retain until superseded, then destroy.

GDA23-3.9.4

Description: Records relating to the development of internal reports resulting from evaluation and analysis of core university functions. Examples of records: projections; statistics; reports from information systems.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-3.9.5

Description: Internal reports resulting from evaluation and analysis of core university functions.

Retention: Retain for minimum of 5 years after action completed, then destroy.

GDA23-3.9.6

Function/Activity

GDA No

GDA23-3.9.6

Description: Records relating to the development of reports to external organisations, such as: Department of Education, Science & Training (DEST); Australian Taxation Office (ATO); Universities Admission Centre (UAC). Examples of records: projections; statistics; reports from information systems.

Retention: Retain for minimum of 5 years after action completed, then destroy.

GDA23-3.9.7

Description: Reports submitted to external organisations, such as: Department of Education, Science & Training (DEST); Australian Taxation Office (ATO); Universities Admission Centre (UAC).

Retention: Retain for minimum of 10 years after action completed, then destroy.

GDA23-3.9.8

Description: Records of internal planning relating to: allocation of funds; student load; quota setting.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-3.9.9

Description: Statistical analysis Records created for the purpose of carrying out statistical analysis for planning and reporting purposes (including surveys of students).

Retention: Retain until no longer required for administrative or reference purposes, then destroy.

GOVERNANCE - Transfer of courses and/or facilities

GDA23-3.10.0

Description: Transfer of courses and/or facilities to another NSW university

Retention:

GDA23-3.10.1

Description: Agreements regarding the transfer of responsibilities and ownership of courses, facilities and property to another NSW university.

Retention: Required as State archives

GDA23-3.10.2

Description: Administrative records relating to transfer of responsibilities and ownership of courses, facilities and property to another NSW university.

Retention: Retain for minimum of 10 years after action completed, then destroy.

GDA23-3.10.3

Description: Records relating to courses, facilities, properties, assets, services and administration functions, where responsibility and/or liability has been transferred to another NSW University and where records are required to continue teaching, research, provision of services or management of business or activity. Includes but is not limited to: Property and assets; Student administration; Student and other services; Teaching; Research; General administration; and Commercial activities and consultancy services

Retention: Transfer ownership to new organisation.

GOVERNING BODIES

GA28-09.00.00

Description: The function of establishing and managing the administration of governing bodies, such as boards, trusts, councils, commissions etc that oversee or provide a framework for the direction and control of an organisation. Includes arrangements for travel, leave entitlements, allowances and remuneration for duties performed. Also includes management of the nomination, appointment and separation of members, relations between the organisation and its governing body, and meetings of governing bodies or formal subcommittees established by them. Use 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). 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 Records.

Retention:

GOVERNING BODIES - Advice

GA28-09.01.00

Function/Activity

GDA No

GA28-09.01.00

Description: The activities associated with offering opinions by or to the organisation as to an action or judgement. Also includes the process of advising. Use GOVERNMENT RELATIONS - ADVICE for records relating to advice provided to the portfolio Minister regarding the administration and operation of the organisation's governing body. Use 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. Use GOVERNMENT RELATIONS - SUBMISSIONS for records relating to submissions by the organisation to Cabinet or the Minister or other government organisations relating to core functions.

Retention:

GA28-09.01.01

Description: Records relating to the receipt and provision of advice regarding the administration and operation of the organisation's governing body.

Retention: Required as State archives

GOVERNING BODIES - Agreements

GA28-09.02.00

Description: The process associated with the establishment, negotiation, maintenance and review of agreements. Use GOVERNING BODIES - MEMBERSHIP for records relating to agreements regarding the terms and conditions of members' appointments and duties. Use GOVERNING BODIES - PERFORMANCE MANAGEMENT for records relating to performance agreements with the Minister or other relevant authority.

Retention:

GA28-09.02.01

Description: 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:-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.

Retention: Required as State archives

GOVERNING BODIES - Appeals

GA28-09.03.00

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

Retention:

GA28-09.03.01

Description: 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.

Retention: Required as State archives

GA28-09.03.02

Description: 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.

Retention: Retain minimum of 10 years after action completed, then destroy

GOVERNING BODIES - Arrangements

GA28-09.04.00

Description: The activities involved in arranging for a journey or trip. Use GOVERNING BODIES - MEMBERSHIP for records relating to the payment of allowances or reimbursement of expenses. Use FINANCIAL MANAGEMENT - AUTHORISATION for records relating to approvals and authorisations for members of governing bodies or their sub-committees to travel.

Retention:

GA28-09.04.01

Description: Records relating to arrangements for members of governing bodies or their sub-committees to travel. Records include:-itineraries-determinations of allowances-accommodation and transport arrangements and bookings.

Retention: Retain minimum of 2 years after action completed, then destroy

GOVERNING BODIES - Audit**GA28-09.05.00**

Description: 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. Use FINANCIAL MANAGEMENT - AUDIT for records relating to formal audits of accounts or the management of financial resources. Use STRATEGIC MANAGEMENT - AUDIT for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level. Use STRATEGIC MANAGEMENT - COMPLIANCE for records relating to managing compliance with quality management processes.

Retention:

GA28-09.05.01

Description: Records relating to audits of the governance practices or performance of governing bodies and their subcommittees which:-result in the suspension or dismissal of members-set a precedent, and/or-lead to a major change in policies. Records include:-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.

Retention: Required as State archives

GA28-09.05.02

Description: Records relating to audits of the governance practices or performance of governing bodies and their subcommittees which do not:- result in the suspension or dismissal of members-set a precedent, or -lead to a major change in policies. Records include:-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.

Retention: Retain minimum of 6 years after action completed, then destroy

GOVERNING BODIES - Authorisation**GA28-09.06.00**

Description: The process of seeking and granting permission to undertake a requested action. Use GOVERNING BODIES - ARRANGEMENTS for records relating to arrangements for members of governing bodies or their sub-committees to travel. Use GOVERNING BODIES - MEETINGS for records relating to approvals given by the governing body and recorded in minutes of meetings. Use GOVERNMENT RELATIONS - AUTHORISATION for records relating to delegations of authority from the Minister to the organisation. Use FINANCIAL MANAGEMENT - AUTHORISATION for records relating to approvals and authorisations for members of governing bodies or their sub-committees to travel.

Retention:

GA28-09.06.01

Description: 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.

Retention: Required as State archives

GA28-09.06.02

Description: 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.

Retention: Retain minimum of 7 years after expiry of delegation, then destroy

GOVERNING BODIES - Authorities**GA28-09.07.00**

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

Retention:

GA28-09.07.01

Description: 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.

Retention: Required as State archives

GA28-09.07.02

Function/Activity

GDA No

GA28-09.07.02

Description: 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.

Retention: Retain minimum of 10 years after governing body ceases to exist or instrument is superseded, then destroy

GOVERNING BODIES - Compliance

GA28-09.08.00

Description: The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Use LEGAL SERVICES - ADVICE for records relating to legal advice from internal or external legal service providers. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the governing body for breaches of compliance requirements.

Retention:

GA28-09.08.01

Description: Summary records documenting disclosures of pecuniary interest by members of governing bodies. Records include conflict of interest registers and registers of related party transactions.

Retention: Required as State archives

GA28-09.08.02

Description: Declarations and disclosures of pecuniary interest by members of governing bodies. Use FINANCIAL MANAGEMENT for records relating to taxation, fringe benefits and instances of fraud or misappropriation.

Retention: (A) Where a summary record exists: Retain minimum of 10 years after member's term expires, then destroy (B) Where no summary record exists: Required as State archives

GOVERNING BODIES - Corruption

GA28-09.09.00

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

Retention:

GA28-09.09.01

Description: Records relating to allegations of fraud or corruption made about a member of the organisation's governing body.

Retention: Required as State archives

GOVERNING BODIES - Meetings

GA28-09.10.00

Description: 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. Use this function and activity for records relating to meetings of governing bodies such as boards, trusts etc and formal sub-committees of governing bodies. Use 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 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). Use GOVERNING BODIES - ARRANGEMENTS for records relating to arrangements for members of governing bodies or their sub-committees to travel. 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.

Retention:

GA28-09.10.01

Description: Records relating to the meetings of governing bodies, such as boards, trusts etc, and meetings of sub-committees. Records include: -agenda and minutes -advice and briefing papers -submissions and reports -recommendations and resolutions -correspondence arising from business discussed or resolutions passed at meetings.

Retention: Required as State archives

GA28-09.10.02

Description: Records relating to administrative arrangements for meetings including records or correspondence relating to: -meeting notifications -catering arrangements -venue bookings -related correspondence.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GOVERNING BODIES - Membership

Function/Activity

GDA No

GA28-09.11.00

Description: 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. Use GOVERNING 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. Use GOVERNING BODIES - ARRANGEMENTS for records relating to arrangements for members of governing bodies or their sub-committees to travel.

Retention:

GA28-09.11.01

Description: Records relating to the nomination, appointment, reappointment, resignation or termination of members of governing bodies or their sub-committees. Records include:-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.

Retention: Required as State archives

GA28-09.11.02

Description: Summary records facilitating the management of details of membership or appointments to governing bodies or their sub-committees, e.g. registers of members or appointments.

Retention: Required as State archives

GA28-09.11.03

Description: Records relating to the election of staff representatives to governing bodies or their sub-committees. Includes ballot papers and eligibility lists.

Retention: Retain minimum of 6 months after appointments are finalised, then destroy

GA28-09.11.04

Description: 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:-taxation declaration records-group certificates-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.

Retention: Retain minimum of 10 years after the member's term expires, then destroy

GOVERNING BODIES - Performance Management

GA28-09.12.00

Description: 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.

Retention:

GA28-09.12.01

Description: Records relating to evaluating the performance of members of governing bodies by the Minister or other relevant authority. Records include:-performance agreements-reviews of performance.

Retention: Retain minimum of 10 years after the member's term expires, then destroy

GOVERNING BODIES - Policy

GA28-09.13.00

Description: 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. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-09.13.01

Description: 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.

Retention: Required as State archives

Function/Activity

GDA No

GA28-09.13.02

Description: Records relating to the development and review of policies and codes of conduct for members of governing bodies. Records include: -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.

Retention: Retain minimum of 7 years after action completed, then destroy

GOVERNING BODIES - Procedures

GA28-09.14.00

Description: Standard methods of operating laid down by an organisation according to formulated policies.Use GOVERNING BODIES - TRAINING & DEVELOPMENT for records relating to training in procedures.

Retention:

GA28-09.14.01

Description: 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.

Retention: Retain minimum of 7 years after procedures are superseded, then destroy

GA28-09.14.02

Description: Records relating to the development and review of procedures for members of governing bodies. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

GOVERNING BODIES - Training and development

GA28-09.15.00

Description: The activities associated with the professional development of members of 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. Use GOVERNING BODIES - ARRANGEMENTS for records relating to arrangements for members of governing bodies or their sub-committees to travel.Use COMMUNITY RELATIONS - ADDRESSES for records relating to addresses made by members of governing bodies.

Retention:

GA28-09.15.01

Description: 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:-programs-lecture notes-handouts.

Retention: Retain until course or training material is superseded, then destroy

GA28-09.15.02

Description: Records relating to the development of training materials for courses run internally by the organisation for members of governing bodies or their sub-committees, e.g. induction training.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-09.15.03

Description: 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:-records of applications -records of confirmation of attendance-venue bookings-records of equipment hire-catering arrangements.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-09.15.04

Description: 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.

Retention: Retain minimum of 75 years after action completed, then destroy

GOVERNMENT RELATIONS

GA28-10.00.00

Function/Activity

GDA No

GA28-10.00.00

Description: The function of administering the formal relationship between the organisation and those processes of government not covered by other general administrative or functional keywords. Includes the organisation's relationship with Ministers and Members of Parliament and the political processes of Government; liaison with bodies carrying out investigations and participation in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Local, State, Commonwealth or overseas governments. Note: 'Government' organisations include government agencies, and also universities, hospitals and state owned corporations. Relations may be with a variety of other governments, government agencies, universities, hospitals and state owned corporations, Local Government, Commonwealth and overseas governments. Use the organisation's functional retention and disposal authority for records relating to specific relationships, agreements or arrangements with other government agencies/organisations which impact on the conduct or performance of particular core functions.

Retention:

GOVERNMENT RELATIONS - Addresses

GA28-10.01.00

Description: The activity of giving addresses to government audiences or at government occasions. Includes speeches and multi-media presentations. Use COMMUNITY RELATIONS - ADDRESSES for records relating to addresses given at significant occasions or public events. Use COMMUNITY RELATIONS - CONFERENCES for records relating to addresses given at conferences and for conference proceedings. Use FINANCIAL MANAGEMENT - AUTHORISATION for records relating to approvals and authorisations for travel or reimbursement of expenses for non-employees giving addresses, e.g. members of governing bodies. Use STAFF DEVELOPMENT - ADDRESSES for records relating to addresses delivered to the staff of the organisation or STAFF DEVELOPMENT - TRAINING for records relating to training or seminars delivered for staff development purposes. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - ARRANGEMENTS for records relating to approvals and authorisation for travel or travel arrangements for employees giving addresses.

Retention:

GA28-10.01.01

Description: Transcripts of final versions of addresses, speeches or papers delivered by the Minister in their capacity as Minister or as a representative of the Government.

Retention: Required as State archives

GA28-10.01.02

Description: Transcripts of final versions of addresses, speeches or papers delivered by members of governing bodies, chief or senior executives of the organisation at significant government occasions.

Retention: Required as State archives

GA28-10.01.03

Description: Transcripts of final versions of addresses, speeches or papers delivered non-executive staff members, or those given by executive staff members at government occasions not considered to be significant.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-10.01.04

Description: Records relating to the development of addresses, speeches or papers. Records include: -background research -draft versions of addresses -voice recordings.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GOVERNMENT RELATIONS - Advice

GA28-10.02.00

Description: The activities associated with offering opinions by the organisation as to an action or judgement. Includes the process of advising. Use GOVERNMENT RELATIONS - REPORTING for records relating to the drafting, submission and final, approved versions of formal reports to government. Use GOVERNMENT RELATIONS - REPRESENTATIONS for records relating to responses to Parliamentary questions and correspondence received by the Minister and directed to the organisation for preparation of a response (Ministerials). Use 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. Use LEGAL SERVICES - ADVICE for records relating to legal advice furnished to the organisation by internal or external legal service providers.

Retention:

GA28-10.02.01

Description: Records relating to the provision of advice to the portfolio Minister or other government organisations concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities where a detailed response has been provided. Records include: -briefing notes and minutes providing advice to the Minister -comments on Cabinet submissions and proposals -correspondence.

Retention: Required as State archives

Function/Activity

GDA No

GA28-10.02.02

Description: Records relating to the provision of advice to the portfolio Minister or other government organisations where the advice does not concern substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities or where there is minimal response by the organisation, e.g. 'no comment.'

Retention: Retain minimum of 5 years after action completed, then destroy

GOVERNMENT RELATIONS - Agreements

GA28-10.03.00

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements. Use the organisation's functional retention and disposal authority for records relating to specific relationships, agreements or arrangements with other government organisations which impact on the conduct or performance of particular core functions. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use STRATEGIC MANAGEMENT - AGREEMENTS for records relating to the establishment, negotiation, maintenance and review of agreements with non-government organisations. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-10.03.01

Description: Records relating to the establishment, negotiation, maintenance and review of agreements with other government organisations:- concerning policies and procedures applying to the whole of government-concerning changes to the performance of statutory functions of the organisation, or-having implications for major liabilities or obligations of the organisation. Records include:- 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.

Retention: Required as State archives

GA28-10.03.02

Description: Records relating to the establishment, negotiation, maintenance and review of agreements with other government organisations not:-concerning policies and procedures applying to the whole of government-concerning changes to the performance of statutory functions of the organisation, or-having implications for major liabilities or obligations of the organisation. Records include:- 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. Note: Specialty contracts include contracts under seal and deeds to property. Note: 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. Note: Limitation period for causes of action or breaches of contractual arrangements or agreements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.

Retention: (A) For specialty contracts: Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy (B) For standard contracts or agreements: Retain minimum of 7 years after expiry or termination of a

GOVERNMENT RELATIONS - Authorisation

GA28-10.04.00

Description: The process of seeking and granting permission to undertake a requested action. Use STRATEGIC MANAGEMENT - AUTHORISATION for records relating to delegations of authority to employees.

Retention:

GA28-10.04.01

Description: Records relating to delegations of authority from the Minister to the organisation.

Retention: Required as State archives

GOVERNMENT RELATIONS - Compliance

GA28-10.05.00

Function/Activity

GDA No

GA28-10.05.00

Description: The activities associated with complying with mandatory or optional accountability, legal or regulatory standards or requirements to which the organisation is subject. Use the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with legislation, policies etc. Use the organisation's functional retention and disposal authority for records relating to compliance with or failures to meet compliance requirements concerning the organisation's core functions, e.g. licensing, breaches of industry standards. Use GOVERNMENT RELATIONS - INQUIRIES for records relating to formal inquiries involving the organisation. Use 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. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of compliance requirements. Use STRATEGIC MANAGEMENT - COMPLIANCE for records relating to managing compliance with quality, risk or continuous improvement management processes. Use the relevant function/COMPLIANCE for records relating to compliance or failures to meet compliance requirements concerning administrative matters, e.g. use INFORMATION MANAGEMENT - COMPLIANCE for records relating to compliance with the State Records Act.

Retention:

GA28-10.05.01

Description: Records relating to the provision of documents to Parliament in compliance with orders, e.g. Standing Order 52. Records include disputes regarding claims of privilege.

Retention: Required as State archives

GA28-10.05.02

Description: Records relating to copies of documents supplied to Parliament in accordance with orders, e.g. Standing Order 52. Includes records indicating there are no relevant documents to supply.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GOVERNMENT RELATIONS - Inquiries

GA28-10.06.00

Description: The activities associated with liaising with bodies carrying out inquiries, and participating in them. Inquiries are investigations carried out by persons or bodies who have been empowered to inquire and report on a subject, such as Royal Commissions and Parliamentary and Ombudsman's inquiries. Includes the organisation's participation in the inquiry by providing evidence in the form of records, submissions or employees. Note: The following entries do not relate to the records maintained by the Inquiry, Commission or investigative body itself. See General retention and disposal authority: records of Royal Commissions, Special Commissions of Inquiry, Commissions of Inquiry and Inquiries established by Letters Patent or Ministerial Directive (GA 31) or the relevant functional retention and disposal authority. Use GOVERNMENT RELATIONS - COMPLIANCE for records relating to the provision of documents to Parliament in compliance with Standing Order 52. Use COMMUNITY RELATIONS - ENQUIRIES for records relating to general enquiries from government or the public regarding routine information about the organisation and its services. Use INFORMATION MANAGEMENT - CASES for records relating to reviews or appeals of decisions to the Ombudsman or Administrative Decisions Tribunal regarding Freedom of Information (FOI) cases.

Retention:

GA28-10.06.01

Description: Records relating to formal inquiries involving the organisation or where the organisation submits a detailed response. Records include:-statements and submissions-legal advice from internal and external legal service providers -responses to final reports and records of implementation of recommendations. Note: Copies of transcripts of evidence or inquiry proceedings can be destroyed in accordance with the normal administrative practice (NAP) provisions of the State Records Act 1998 when no longer required for reference purposes. The original transcripts would be held by the inquiring body.

Retention: Required as State archives

GA28-10.06.02

Description: Records relating to formal inquiries not involving the organisation or where the organisation submits a nil response.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-10.06.03

Description: Records relating to matters referred from watchdog bodies, such as the Independent Commission Against Corruption (ICAC), NSW Ombudsman etc, to the organisation for initial investigation and response.

Retention: Retain minimum of 10 years after action completed, then destroy

GOVERNMENT RELATIONS - Legislation

GA28-10.07.00

Function/Activity

GDA No

GA28-10.07.00

Description: The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each. Use GOVERNMENT RELATIONS - ADVICE for records relating to advice provided to Cabinet, the Minister and other government organisations on legislation. Use GOVERNMENT RELATIONS - SUBMISSIONS for records relating to submissions by the organisation on the development or review of legislative or regulatory proposals of other government organisations. Use LEGAL SERVICES - ADVICE for records relating to legal advice sought and received on the interpretation of legislation. Use STRATEGIC MANAGEMENT - LEGISLATION for records relating to the development, implementation and review of legislation and regulations concerning the operations and functional responsibilities of the organisation. Use 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.

Retention:

GA28-10.07.01

Description: Records relating to the preparation and passage of legislation through Parliament. Records include: -records documenting consultation with relevant organisations and stakeholders and regulatory impact statements-records of preparation of Explanatory Memoranda.

Retention: Required as State archives

GOVERNMENT RELATIONS - Meetings

GA28-10.08.00

Description: The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the organisation and its relationships with other government organisations or government processes. Includes arrangements, agenda, taking of minutes etc. Use COMMITTEES for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc. Use STRATEGIC MANAGEMENT - MEETINGS for records relating to general, section or unit meetings of employees. Use 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 GOVERNMENT RELATIONS -INQUIRIES for records relating to meetings held in order to discuss the conduct and progress of formal Inquiries, e.g. use GOVERNMENT RELATIONS - LEGISLATION for records relating to meetings held in order to discuss drafts or changes to legislation.

Retention:

GA28-10.08.01

Description: Records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations that do not relate to particular functions. Records include: -agenda and minutes or notes of meetings- advice and briefing papers-submissions and reports-recommendations and resolutions-correspondence arising from business discussed and resolutions passed. Note: Retention period is for records relating to meetings that do not specifically relate to any other activities. If meetings relate to other activities, classify under relevant activity.

Retention: Required as State archives

GA28-10.08.02

Description: Records relating to administrative arrangements for meetings. Records include:-meeting notifications-catering arrangements-venue bookings-related correspondence.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GOVERNMENT RELATIONS - Policy

GA28-10.09.00

Description: 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. Use the organisation's functional retention and disposal authority for records relating to policies regarding specific core functions. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters. Use the relevant function/POLICY for records relating to policies developed by the organisation regarding specific administrative functions, e.g. use INFORMATION MANAGEMENT - POLICY for records relating to information management policies.

Retention:

GA28-10.09.01

Description: Final, approved versions of policies relating to the management and handling of formal relationships with other government organisations or government processes, e.g. policies concerning the handling of Ministerials or communications with the Minister's office, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.

Retention: Retain minimum of 7 years after policy is superseded, then destroy

GA28-10.09.02

Function/Activity

GDA No

GA28-10.09.02

Description: Records relating to the development and review of policies relating to the management and handling of formal relationships with other government organisations or government processes, e.g. policies concerning the handling of Ministerials or communications with the Minister's office. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-10.09.03

Description: Records relating to advice or notifications regarding policies and procedures that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GOVERNMENT RELATIONS - Procedures

GA28-10.10.00

Description: Standard methods of operating laid down by an organisation according to formulated policies.Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures.Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to quality assurance procedures.

Retention:

GA28-10.10.01

Description: Final, approved versions of the organisation's manuals, handbooks, directives etc detailing procedures relating to the management and handling of formal relationships with other government organisations or government processes, e.g. procedures concerning the handling of Ministerials or communications with the Minister's office, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

Retention: Retain minimum of 7 years after procedures are superseded, then destroy

GA28-10.10.02

Description: Records relating to the development and review of procedures relating to the management and handling of formal relationships with other government organisations or government processes, e.g. procedures concerning the handling of Ministerials or communications with the Minister's office. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

GOVERNMENT RELATIONS - Reporting

GA28-10.11.00

Description: 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. Use PUBLICATION - PRODUCTION for records relating to the design, layout, printing etc of reports, including annual reports.

Retention:

GA28-10.11.01

Description: Final, approved versions of published and unpublished reports to government relating to the organisation's core functions and performance, e.g. annual reports or substantial ad hoc reports.

Retention: Required as State archives

GA28-10.11.02

Description: Records relating to the development of published and unpublished reports to government relating to the organisation's core functions and performance, e.g. annual reports or substantial ad hoc reports. Records include: -background research-draft versions of reports containing significant changes/alterations or formally circulated for comment.

Retention: Retain minimum of 6 years after action completed, then destroy

GA28-10.11.03

Description: Records relating to periodic reports required to be submitted to external government organisations regarding programs and services, e.g. statistics, reports relating to budget estimates etc and reports of minor significance that are not related to core functions. Records include: -background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-10.11.04

Function/Activity

GDA No

GA28-10.11.04

Description: Responses to non-mandatory surveys requested by other government organisations including central controlling agencies.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GOVERNMENT RELATIONS - Representations

GA28-10.12.00

Description: The activities involved in preparing responses to questions raised in Parliament by Members of Parliament on behalf of their constituents. Also includes representations directed from the Minister or Members of Parliament to the organisation seeking a formal response. Use GOVERNMENT RELATIONS - ADVICE for records relating to briefing notes for the Minister.

Retention:

GA28-10.12.01

Description: Records relating to responses to correspondence received by the Minister (Ministerials) or Members of Parliament from peak industry organisations, leading community interest groups, influential stakeholders or individuals and referred to the organisation, concerning issues of major significance to the organisation and/or the community. Records include:-copies of letters received-draft responses-minutes providing details for the Minister-requests from the Minister's office for changes-final responses.

Retention: Required as State archives

GA28-10.12.02

Description: Records relating to responses to correspondence received by the Minister (Ministerials) or Members of Parliament from peak industry organisations, leading community interest groups, influential stakeholders or individuals and referred to the organisation, and referred to the organisation, concerning issues which are not of major significance to the organisation and/or the community. Records include:-copies of letters received-draft responses-minutes providing details for the Minister-requests from the Minister's office for changes-final responses.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-10.12.03

Description: Records relating to the preparation of Ministerial responses to questions raised in Parliament. Records includes question time briefs.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-10.12.04

Description: Records relating to communications sent to the Minister, including about the management of Ministerial directives and background material, statistics and reports on representations.

Retention: Retain minimum of 2 years after action completed, then destroy

GOVERNMENT RELATIONS - Submissions

GA28-10.13.00

Description: The preparation and submission of a formal statement (e.g. report, statistics etc) supporting a case or opinion held by the organisation which is submitted to another organisation for the purpose of either gain or support. Use GOVERNMENT RELATIONS - ADVICE for records relating to briefing notes, question time briefs and house notes for the Minister. Use GOVERNMENT RELATIONS - INQUIRIES for records relating to submissions regarding formal committees of inquiry initiated by government. Use GOVERNMENT RELATIONS - LEGISLATION for records relating to the preparation and passage of legislation through Parliament.

Retention:

GA28-10.13.01

Description: Records relating to submissions to Cabinet or the Minister or other government organisations relating to core functions. Records include:-Cabinet minutes requesting submissions-background research-records of consultations-draft versions of submissions containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc-final, approved versions of submissions.

Retention: Required as State archives

GA28-10.13.02

Description: Records relating to submissions to the Minister or government organisations relating to administrative matters, e.g. exemptions for employing personnel during staff freezes. Records include:-background research-records of consultations-draft versions of submissions containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.-final, approved versions of submissions.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-10.13.03

Function/Activity

GDA No

GA28-10.13.03

Description: Records relating to submissions by the organisation on the development or review of legislative or regulatory proposals of other government organisations or the development or review of government-wide policies developed by central coordinating agencies, e.g. anti-discrimination, Charter of Principles for a Culturally Diverse Society, etc.

Retention: Retain minimum of 5 years after action completed, then destroy

GOVERNMENT RELATIONS - Visits

GA28-10.14.00

Description: The activities involved in arranging visits by other organisations, the public and students to the organisation, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by employees to other organisations. Use the organisation's functional retention and disposal authority for records relating to visits that are undertaken as part of the performance of core functions. Use GOVERNMENT RELATIONS - ADDRESSES for records relating to addresses made by employees on visits to other government organisations. Use COMMUNITY RELATIONS - VISITS for records relating to visits by clients, the public, students and community representatives or officials. Use STRATEGIC MANAGEMENT - CORRUPTION for records relating to the management of gifts from visitors where records are kept as an anti-corruption measure, e.g. gifts and benefits registers. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - ARRANGEMENTS for records relating to approvals and authorisations for travel or travel arrangements for employees.

Retention:

GA28-10.14.01

Description: Records relating to visits made to the organisation by Heads of State, Ministers, or other government officials including interstate or overseas delegations. Records include:-invitations-itineraries and programs-visit reports-records of security arrangements additional to standard security-letters of appreciation.

Retention: Retain minimum of 6 years after action completed, then destroy

GA28-10.14.02

Description: Records relating to visits made by the organisation's employees to other government organisations in Australia or overseas.

Retention: Retain minimum of 2 years after action completed, then destroy

GRADUATION

GDA23-13.0.0

Description: Being admitted to a degree or diploma. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure.

Retention:

GRADUATION - Approval to graduate

GDA23-13.1.0

Description:

Retention:

GDA23-13.1.1

Description: Records relating to the determination and notification of students of their eligibility to graduate. Examples of records: applications to graduate; offers to graduate; lists of students eligible to graduate; and decisions relating to students eligibility to graduate.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-13.1.2

Description: Records relating to student acceptance of an offer to graduate.

Retention: Retain for minimum of 6 months after action completed, then destroy.

GRADUATION - Graduation ceremonies

GDA23-13.2.0

Description:

Retention:

GDA23-13.2.1

Description: Program/order of proceedings. Note: where the program or order of proceedings is maintained as the register of graduates it should be sentenced under GRADUATION – Register of graduates.

Retention: Retain for minimum of 1 year after action completed, then destroy.

Function/Activity

GDA No

GDA23-13.2.2

Description: Record of receipt/delivery of testamurs.

Retention: Retain until no longer required for reference purpose, then destroy.

GDA23-13.2.3

Description: Uncollected testamurs.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-13.2.4

Description: Records relating to administrative arrangements for the graduation ceremony. This can include arranging for venue, speakers, catering, seating, special access, etc.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-13.2.5

Description: Transcripts, audio and video recordings of occasional addresses and student's address in reply.

Retention: Retain until no longer required for reference purpose, then destroy.

GRADUATION - Register of graduates

GDA23-13.3.0

Description:

Retention:

GDA23-13.3.1

Description: Register of graduates. This is the master list of graduands (including those who graduate in absentia). See also GRADUATION – Graduation ceremonies – Program/order of proceedings

Retention: Required as State archives

GRANT ADMINISTRATION

GDA23-4.0.0

Description: The function of administering grants that are funded or otherwise controlled by the university. See also General Retention and Disposal Authority: Administrative Records – FINANCIAL MANAGEMENT – Accounting for records relating to grants applied for by the university. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure.

Retention:

GRANT ADMINISTRATION - Advertising

GDA23-4.1.0

Description:

Retention:

GDA23-4.1.1

Description: Records relating to promotion and advertising for grants and associated routine correspondence.

Retention: Retain for minimum of 2 years after action completed then, destroy.

GRANT ADMINISTRATION -Applications

GDA23-4.2.0

Description: Activities associated with the processing of grant applications.

Retention:

GDA23-4.2.1

Description: Summary records of applications for grants assistance. Examples of records: register of grants; and register of grant recipients.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-4.2.2

Function/Activity

GDA No

GDA23-4.2.2

Description: Records relating to successful applications. Examples of records: application form; agreement; acquittals; and report. See also RESEARCH MANAGEMENT for records where research is conducted internally.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-4.2.3

Description: Records relating to unsuccessful applications.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-4.2.4

Description: Records of intellectual property in products/works created as a result of grants and where the university holds all or part ownership. Examples of records: contracts; and agreements; grant conditions.

Retention: Required as State archives

GDA23-4.2.5

Description: Records relating to non-competitive and/or discretionary funds allocation.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GRANT ADMINISTRATION -Establishment

GDA23-4.3.0

Description:

Retention:

GDA23-4.3.1

Description: Records relating to the establishment of the grant.

Retention: Retain for minimum of 7 years after all conditions in relation to the grant are satisfied, then destroy.

GDA23-4.3.2

Description: Established conditions under which the grant operates. Note: These are the standard conditions of the grant which establish the expectations, boundaries and protocols in relation to the grant.

Retention: Retain for minimum of 7 years after grant conditions superseded, then destroy.

GRANT ADMINISTRATION -Monitoring

GDA23-4.4.0

Description: Activities associated with monitoring projects for which funding has been granted.

Retention:

GDA23-4.4.1

Description: Records relating to the monitoring of progress reports against the approved purpose of the project.

Retention: Retain for minimum of 7 years after action completed, then destroy.

HEALTH SERVICES

GDA23-14.0.0

Description: The provision of health services where the service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records. Health services can include medical services dental services, speech pathology, physiotherapy, podiatry, etc. Health Service can include services (as outlined above) which are provided by university students in the course of their studies and under the supervision of professions and teaching staff See GOVERNANCE - Policy and Procedures for records relating to policy and procedures

Retention:

HEALTH SERVICES - Drugs

GDA23-14.1.0

Description: The provision of prescriptions for drugs and the use/storage of drugs.

Retention:

Function/Activity

GDA No

GDA23-14.1.1

Description: Drugs registers and prescriptions. See also Poisons and Therapeutic Goods Regulation 1994 Sections 40, 59, 60, 84, 113, 114 and 119 for further details on drugs registers and prescriptions.

Retention: Retain for a minimum of 7 years after date of last entry, then destroy

HEALTH SERVICES - Patients

GDA23-14.2.0

Description: See also Medical Practice Regulation 2003 for further information on recordkeeping requirements relating to patient records.

Retention:

GDA23-14.2.1

Description: Patient records – where the patient was 18 years or older at the date of last entry in the record.

Retention: Retain for minimum of 7 years after patient's last attendance or last action, then destroy. Note: last action could include medical/legal action or access by or on behalf of the patient

GDA23-14.2.2

Description: Patient records – where the patient was less than 18 years old at the date of last entry in the record.

Retention: Retain for minimum of 7 years after patient's last attendance or last action¹, or at least until the patient attains or would have attained the age of 25 years, whichever is longer, then destroy. Note: last action could include medical/legal action or acc

GDA23-14.2.3

Description: Appointment registers.

Retention: Retain for minimum of 1 year after last entry, then destroy.

INDUSTRIAL RELATIONS

GA28-11.00.00

Description: The function of establishing formal relations with the organisation's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled within the organisation or by an external arbiter and reports of the state of industrial relations within the organisation. Use GOVERNMENT RELATIONS - SUBMISSIONS for records relating to submissions to the Minister or Cabinet regarding the impact of industrial relations legislation on the organisation. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to disciplining employees and PERSONNEL - GRIEVANCES for records relating to employee grievances.

Retention:

INDUSTRIAL RELATIONS - Agreements

GA28-11.01.00

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements and awards. Includes enterprise agreements, standard agreements and certified agreements resulting from negotiation or bargaining. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use TENDERING for records relating to receiving and assessing tenders. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - EMPLOYMENT CONDITIONS for records relating to signed individual workplace agreements that form part of conditions of employment, e.g. Australian Workplace Agreements (AWAs).

Retention:

GA28-11.01.01

Description: Records relating to the establishment, negotiation, maintenance and review of awards or agreements heard or certified by the central arbitration or determining body where the organisation is the main participant in negotiations. Includes enterprise and contract agreements and standard agreements used as the basis for Australian Workplace Agreements. Records include:- background research-records of consultations-draft versions of awards or agreements exchanged between parties-final, approved versions of awards or agreements-arbitrated variations and consent variations to awards. Note: Final, approved versions of awards or agreements and variations to awards may need to be kept for longer periods if relevant to compensation cases.

Retention: Retain minimum of 10 years after expiry of agreement, then destroy

GA28-11.01.02

Description: Records relating to the establishment, negotiation, maintenance and review of awards or agreements heard or certified by the central arbitration or determining body where the organisation is not the main participant in negotiations. Includes final, approved versions of agreements and records relating to implementation of agreements.

Retention: Retain minimum of 5 years after expiry of agreement, then destroy

Function/Activity

GDA No

GA28-11.01.03

Description: Records relating to the establishment, negotiation, maintenance and review of agreements concerning the implementation of working conditions or practices within a particular workplace that are not heard or certified by the central arbitration or determining body, e.g. agreements between management and unions on behalf of employees, such as agreements for flexible work practices, working from home, or skill based competencies. Includes negotiations, final, approved versions of agreements and records relating to implementation of agreements. Note: Final, approved versions of agreements and variations to awards may need to be kept for longer periods if relevant to compensation cases.

Retention: Retain minimum of 5 years after expiry of agreement, then destroy

GA28-11.01.04

Description: Records relating to negotiations regarding conditions and awards that have not resulted in agreements.

Retention: Retain minimum of 5 years after action completed, then destroy

INDUSTRIAL RELATIONS - Appeals

GA28-11.02.00

Description: The activities involved in the process of appealing against decisions by application to a higher authority. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - APPEALS for records relating to appeals made to external organisations, e.g. Government and Related Employees Appeals Tribunal (GREAT), Transport Appeals Board (TAB) and Statutory and Other Offices Remuneration Tribunal.

Retention:

GA28-11.02.01

Description: Records relating to appeals against a decision or order made to an external industrial relations body, e.g. the Industrial Relations Commission, where the organisation is the major participant in negotiations.

Retention: Retain minimum of 15 years after action completed, then destroy

GA28-11.02.02

Description: Records relating to appeals against a decision or order made to an external industrial relations body, e.g. the Industrial Relations Commission, where the organisation is not the major participant in negotiations.

Retention: Retain minimum of 5 years after action completed, then destroy

INDUSTRIAL RELATIONS - Claims

GA28-11.03.00

Description: The process of administering and managing payments demanded in accordance with an insurance policy as compensation for loss incurred by industrial action. Use INDUSTRIAL RELATIONS - INSURANCE for records relating to the management of insurance policies.

Retention:

GA28-11.03.01

Description: Records relating to insurance claims for damage or loss incurred by the organisation resulting from industrial action, e.g. claim for impact on revenue resulting from industrial action.

Retention: Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy

INDUSTRIAL RELATIONS - Disputes

GA28-11.04.00

Description: The process of handling any disagreement pertaining to awards, agreements, demarcation issues, breaches of injunctions, secret ballots etc. Includes activities involved in dealing with a failure or refusal to attend or perform work such as lock-outs, strikes etc. Use LEGAL SERVICES - ADVICE for records relating to legal advice furnished to the organisation by external or internal legal service providers about industrial relations disputes. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to disciplining employees.

Retention:

GA28-11.04.01

Function/Activity

GDA No

GA28-11.04.01

Description: Records relating to the management of industrial disputes of a significant nature where the organisation is a primary party to the negotiations or resolution of the dispute. Significant disputes can include those:-resulting in a strike, ban or lock-out -that set precedents, or-that result in innovative or contentious changes to working conditions. Records include:-notifications to the Minister-records of liaison with the relevant lead organisation-records of discussions, meetings and conferences between parties-records of hearings by the arbitration or determining body (e.g. Industrial Relations Commission, Australian Industrial Relations Commission and predecessor organisations)-records of hearings before the Federal Court and predecessor organisations-communications with employees.

Retention: Required as State archives

GA28-11.04.02

Description: Records relating to the management of industrial disputes of a minor nature, or of a significant nature where the organisation is not a primary party to the negotiations or resolution of the dispute.

Retention: Retain minimum of 5 years after action completed, then destroy

INDUSTRIAL RELATIONS - Grievances

GA28-11.05.00

Description: The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion or higher duties. Use INDUSTRIAL RELATIONS - DISPUTES for records relating to grievances which escalate into disputes or industrial action. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to disciplining employees and PERSONNEL - GRIEVANCES for records relating to individual grievances raised by employees.

Retention:

GA28-11.05.01

Description: Records relating to the handling and resolution of employee grievances and complaints raised by representatives on behalf of employees that have unit, organisational or sector-wide impact. Includes records relating to liaison with employees, union representatives and the lead organisation.

Retention: Retain minimum of 10 years after action completed, then destroy

INDUSTRIAL RELATIONS - Insurance

GA28-11.06.00

Description: The process of taking out premiums to cover loss or damage incurred by the organisation resulting from industrial action. Use FINANCIAL MANAGEMENT - REPORTING for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

Retention:

GA28-11.06.01

Description: Insurance policies including information provided for renewals.

Retention: Retain minimum of 7 years after expiry of the policy, then destroy

GA28-11.06.02

Description: General insurance records. Records include:-routine correspondence such as notice of renewals, advice on premiums payable - statistics.

Retention: Retain minimum of 1 year after action completed, then destroy

INDUSTRIAL RELATIONS - Meetings

GA28-11.07.00

Description: The activities associated with gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the organisation and its relationships with unions, employee associations etc. Includes arrangements, agenda, taking of minutes etc. Use COMMITTEES for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc including workplace relations committees. Use 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. Use STRATEGIC MANAGEMENT - MEETINGS for records relating to general, section or unit meetings of employees. Use 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 INDUSTRIAL RELATIONS - AGREEMENTS for records relating to meetings held to negotiate agreements, e.g. use INDUSTRIAL RELATIONS - DISPUTES for records relating to meetings between parties involved in dispute resolution, e.g. use INDUSTRIAL RELATIONS - GRIEVANCES for records relating to meetings with employees over grievances.

Retention:

Function/Activity

GDA No

GA28-11.07.01

Description: Records relating to ad hoc meetings held regarding industrial relations issues, e.g. ad hoc meetings between management and unions or employee associations. Does not include records relating to meetings for the resolution of substantive industrial relations issues, e.g. disputes.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-11.07.02

Description: Administrative arrangements for meetings. Records include:-meeting notifications-catering arrangements-venue bookings-accommodation and transport arrangements-related correspondence.

Retention: Retain until ceases to be of administrative or reference use, then destroy

INDUSTRIAL RELATIONS - Planning

GA28-11.08.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate or business planning.

Retention:

GA28-11.08.01

Description: Final, approved versions of plans for industrial relations, e.g. dispute contingency plans, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-11.08.02

Description: Records relating to the development and review of the organisation's industrial relations plans, e.g. dispute contingency plans. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

INDUSTRIAL RELATIONS - Policy

GA28-11.09.00

Description: 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. Use 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.Use 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.Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation.Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-11.09.01

Description: Final, approved versions of policies on industrial relations issues, e.g. policies on working from home, flexible work practices, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.Note: Records may need to be retained for longer periods if relevant to disputes or grievances or workers compensation claims.

Retention: Retain minimum of 10 years after policy is superseded, then destroy

GA28-11.09.02

Description: Records relating to the development and review of policies on industrial relations issues, e.g. policies on working from home, flexible work practices. Records include:-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.

Retention: Retain minimum of 5 years after action completed, then destroy

INDUSTRIAL RELATIONS - Procedures

GA28-11.10.00

Description: Standard methods of operating laid down by an organisation according to formulated policies.Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures.Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to quality assurance procedures.

Retention:

Function/Activity

GDA No

GA28-11.10.01

Description: Final, approved versions of manuals, handbooks, directives etc detailing industrial relations procedures, e.g. procedures regarding flexible work practices, working from home, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: Records may need to be retained for longer periods if relevant to disputes or grievances or workers compensation claims.

Retention: Retain minimum of 10 years after procedures are superseded, then destroy

GA28-11.10.02

Description: Records relating to the development and review of the organisation's industrial relations procedures, e.g. procedures regarding flexible work practices, working from home. Records include: -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.

Retention: Retain minimum of 5 years after action completed, then destroy

INDUSTRIAL RELATIONS - Reporting

GA28-11.11.00

Description: 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. Use PUBLICATION - PRODUCTION for records relating to the design, layout, printing etc of the organisation's reports, including annual reports.

Retention:

GA28-11.11.01

Description: Records relating to formal reports regarding industrial relations programs, services and systems. Records include: -background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-11.11.02

Description: Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding industrial relations programs and services. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

INFORMATION MANAGEMENT

GA28-12.00.00

Description: The function of managing the organisation's information and knowledge resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes, and the provision of services to internal and external customers, based on information resources. Knowledge management initiatives, the management of archival records and requests for access under relevant legislation, such as Freedom of Information (FOI), records and privacy legislation, are also covered under this function. Use the organisation's functional retention and disposal authority for records relating to specific information that is created and managed as part of the performance of the organisation's functions, e.g. spatial information, scientific information. Use PUBLICATION - PRODUCTION for records relating to the design and updating of the content of websites. Use TECHNOLOGY & TELECOMMUNICATIONS for records relating to the management of technology and telecommunications resources.

Retention:

INFORMATION MANAGEMENT - Acquisition

GA28-12.01.00

Description: The process of gaining ownership or use of resources required for the conduct of business through purchase or requisition. Use the organisation's functional retention and disposal authority for records relating to the acquisition of resources if the organisation is involved in the acquisition of unique or rare collection items, e.g. State Library of NSW. Use INFORMATION MANAGEMENT - DONATIONS for records relating to the donation of information resources, e.g. books, to the organisation. Use COMMUNITY RELATIONS - ACQUISITION for records relating to the acquisition of services such as news cutting services. Use COMMUNITY RELATIONS - LIAISON for records relating to joining organisations, e.g. professional associations, to obtain subscriptions to publications. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use EQUIPMENT AND STORES - ACQUISITION for records relating to the acquisition of equipment and stores, e.g. file covers. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting acquisitions. Use TECHNOLOGY & TELECOMMUNICATIONS - ACQUISITION for records relating to the acquisition of technology and telecommunications equipment and systems. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

Function/Activity

GDA No

GA28-12.01.01

Description: Records relating to the acquisition of information management resources, e.g. books, and information services, online services, telephone information lines etc, where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include:-orders-subscriptions and renewals-related correspondence.

Retention: Retain minimum of 7 years after action completed, then destroy

INFORMATION MANAGEMENT - Agreements

GA28-12.02.00

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements. Use INFORMATION MANAGEMENT - CUSTOMER SERVICE for records relating to charters, standards or guarantees relating to the provision of information management services to clients. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-12.02.01

Description: Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision of information or knowledge management services or the management of information resources that do not form part of contracting-out or tendering arrangements, e.g. agreements for Kinetica services with the National Library of Australia, agreements with State Records for the distributed management of State archives, licensing agreements for thesauri, records confidentiality agreements with external organisations, agreements to share or access records or information resources etc. Records include:-correspondence and negotiations including minutes or notes of meetings with main stakeholders-drafts containing significant changes/alterations or formally circulated for comment-final, approved versions of agreements-reviews of agreements.

Retention: Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy

INFORMATION MANAGEMENT - Appeals

GA28-12.03.00

Description: The activities involved in the process of appealing against decisions by application to a higher authority. Use INFORMATION MANAGEMENT - CASES for records relating to appeals against decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI).

Retention:

GA28-12.03.01

Description: Records relating to matters that are referred to the relevant Minister for determination or review, e.g. requests made under s.7(5) or s.17 of the State Records Act.

Retention: Required as State archives

INFORMATION MANAGEMENT - Audit

GA28-12.04.00

Description: 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. Use INFORMATION MANAGEMENT - COMPLIANCE for records relating to the organisation's compliance with mandatory or optional standards or requirements regarding information management to which the organisation is subject. Use INFORMATION MANAGEMENT - EVALUATION or INFORMATION MANAGEMENT - REVIEWING for records relating to the evaluation or review of potential or existing information management programs, services and systems that are not formal audits. Use INFORMATION MANAGEMENT - INVENTORY for records relating to inventories of library materials or records censuses undertaken to monitor location control. Use FINANCIAL MANAGEMENT - AUDIT for records relating to formal audits of accounts or the management of financial resources. Use STRATEGIC MANAGEMENT - AUDIT for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.

Retention:

GA28-12.04.01

Description: Records relating to information management audits, e.g. audits regarding compliance with records or privacy legislation or quality management standards, performance audits etc. Records include:-records of audit planning or liaison with auditing body -minutes or notes of meetings-notes taken at interviews-correspondence-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports-records of remedial action.

Retention: Retain minimum of 6 years after action completed, then destroy

INFORMATION MANAGEMENT - Authorisation

GA28-12.05.00

Function/Activity

GDA No

GA28-12.05.00

Description: The process of seeking and granting permission to undertake a requested action. Use INFORMATION MANAGEMENT - AGREEMENTS for records relating to agreements regarding the provision of information or knowledge management services or the management of information resources that do not form part of contracting-out or tendering arrangements. Use 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), privacy etc, and for discretionary access to the organisation's records. Use INFORMATION MANAGEMENT - DISPOSAL for records relating to internal authorisation for the disposal of records. Use CONTRACTING-OUT for records relating to authorisation when it forms part of a contract between the organisation and the external party.

Retention:

GA28-12.05.01

Description: Records relating to authorisations for employees to access records that have been transferred to other organisations following administrative change, privatisation or the outsourcing of functions.

Retention: Retain minimum of 6 years after authorisation expires, then destroy

INFORMATION MANAGEMENT - Cases

GA28-12.06.00

Description: The activities associated with maintaining individual case files relating to requests for or decisions regarding public access to records under relevant legislation, e.g. Freedom of Information (FOI), privacy or records legislation or legislation specific to the organisation. Use INFORMATION MANAGEMENT - COMPLIANCE for records relating to breaches or suspected breaches regarding access to information. Use INFORMATION MANAGEMENT - REPORTING for records relating to Freedom of Information (FOI) reporting, including Statements of Affairs, Summary of Affairs and periodical reports. Use INFORMATION MANAGEMENT - SECURITY for records relating to security breaches affecting information resources.

Retention:

GA28-12.06.01

Description: Records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), privacy or records legislation or legislation specific to the organisation, where the decision to grant or refuse access or alteration:-sets a precedent, or-leads to a major change in policies. Records include:-applications-records of decisions or directions-related correspondence-records of alterations or notations to records claimed to be incomplete, incorrect, irrelevant, out of date or misleading-records relating to internal or external reviews or appeals of decisions.

Retention: Required as State archives

GA28-12.06.02

Description: Records relating to recurring or protracted requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), privacy or records legislation or legislation specific to the organisation, where the decision to grant or refuse access or alteration does not:-set a precedent, or-lead to a major change in policies. Records include:-applications-records of decisions or directions-related correspondence-records of alterations or notations to records claimed to be incomplete, incorrect, irrelevant, out of date or misleading-records relating to internal or external reviews or appeals of decisions.

Retention: Retain minimum of 10 years after action completed, then destroy

GA28-12.06.03

Description: Records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), privacy or records legislation or legislation specific to the organisation, where the request is not recurring or protracted and the decision to grant or refuse access or alteration does not:-set a precedent, or-lead to a major change in policies. Records include:-applications-records of decisions or directions-related correspondence-records of alterations or notations to records claimed to be incomplete, incorrect, irrelevant, out of date or misleading-records relating to internal or external reviews or appeals of decisions.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-12.06.04

Description: Records relating to requests for access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), privacy or records legislation or legislation specific to the organisation, where:-the request was withdrawn-the request lapsed because of non payment of application fees-the request was not relevant to the organisation-the applicant was referred to another organisation, or-information was not supplied because it was already readily available to the public.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-12.06.05

Description: Summary records or registration systems created to facilitate the management of access requests and their outcomes, e.g. Freedom of Information (FOI) registers. Note: With paper-based registers, retain minimum of 5 years after last entry in the register. With electronic registers, retain minimum of 5 years after last update or amendment to an entry, or after data has become obsolete, then destroy.

Retention: Retain minimum of 5 years after action completed, then destroy

Function/Activity

GDA No

GA28-12.06.06

Description: Records relating to the handling of requests for discretionary access to the organisation's records that does not involve the application of legislation such as Freedom of Information (FOI), privacy or records legislation or legislation specific to the organisation, e.g. access provided to family members or researchers given outside these Acts. Includes approvals and refusals.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-12.06.07

Description: Records relating to requests for the suppression of information in public registers maintained by the organisation, in accordance with privacy legislation. Includes approvals and refusals.

Retention: Retain minimum of 5 years after action completed, then destroy

INFORMATION MANAGEMENT - Compliance

GA28-12.07.00

Description: 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. Use the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with legislation, government policies etc. Use INFORMATION MANAGEMENT - AUDIT for records relating to formal internal or external information management audits against compliance requirements. Use INFORMATION MANAGEMENT - CASES for records relating to specific cases regarding access to or alteration of the organisation's information, e.g. applications for access under Freedom of Information (FOI), privacy or records legislation. Use INFORMATION MANAGEMENT - PLANNING for records relating to the development and review of information management plans such as Privacy Management Plans or Health Privacy Management Plans. Use INFORMATION MANAGEMENT - POLICY for records relating to the development and review of information management policies such as Codes of Practice under the privacy legislation, records management policies etc. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of compliance requirements.

Retention:

GA28-12.07.01

Description: Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding information management which do not involve individual cases, e.g. records documenting compliance with the Library Act 1939, international standards such as AS ISO 15489 Records Management, State Records Act 1998 and standards released under the Act or privacy or information protection and security requirements. Records include: -records of inspections by monitoring organisations such as State Records to monitor compliance-advice provided on compliance issues. Note: Retention period is provided as a guideline only. Any records providing evidence of organisational compliance with statutory or administrative requirements must be kept as long as the organisation has to account for its actions.

Retention: Retain minimum of 6 years after action completed, then destroy

GA28-12.07.02

Description: Records relating to requests for exemption from complying with statutory requirements, e.g. requests to the Privacy Commissioner to exempt the organisation from complying with an information protection principle or health privacy principle, requests to State Records to exempt an organisation from the application of standards etc. Records include: -requests for exemption-correspondence with relevant bodies concerning requests including advice given and received-records of negotiation or refusal of requests-directions from relevant bodies exempting the organisation from compliance.

Retention: Retain minimum of 10 years after exemption is refused, revoked or superseded, then destroy

GA28-12.07.03

Description: Records relating to breaches or suspected breaches of privacy. Records include: -complaints-records of investigations-correspondence with stakeholders-records of conciliation-reports and recommendations-records of remedial action.

Retention: Retain minimum of 10 years after action completed, then destroy

GA28-12.07.04

Description: Records relating to breaches or suspected breaches of statutory requirements for the management of records or information resources other than privacy, e.g. breaches of the State Records Act 1998, FOI reporting obligations etc. Records include: -complaints-reports of breaches/suspected breaches -records of investigations-correspondence with stakeholders-records of conciliation-reports and recommendations-records of remedial action. Use STRATEGIC MANAGEMENT - COMPLIANCE for records relating to breaches of requirements in relation to use of the organisation's intellectual property rights, including breaches of copyright.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-12.07.05

Description: Records relating to still in use determinations made by the organisation in accordance with State records legislation. Includes reviews and approval by the Minister responsible for the organisation.

Retention: Retain minimum of 1 year after determination has expired or been revoked, or until the records have been transferred as State archives, then destroy

INFORMATION MANAGEMENT - Conservation**GA28-12.08.00**

Description: The activities involved in the preservation, protection, maintenance, restoration and enhancement of information resources. Use the organisation's functional retention and disposal authority for records relating to conservation when it supports a core function or is a functional responsibility of the organisation, e.g. a library, museum or archive. Use STRATEGIC MANAGEMENT - PLANNING for records relating to business continuity or counter disaster plans.

Retention:

GA28-12.08.01

Description: Records relating to ongoing preservation measures for the protection of collections of information resources. Includes the monitoring of light, temperature and humidity and pest control in storage areas, packaging etc and project management records for conservation projects.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-12.08.02

Description: Records relating to specialised conservation treatments, e.g. major repairs, treatment of pest infestations etc undertaken on particular record items when the records are required as State archives. Includes conservation treatments provided by consultants.

Retention: Transfer to State Records when records are transferred or retain in organisation if records are managed under a distributed management agreement

GA28-12.08.03

Description: Records relating to specialised conservation treatments, e.g. major repairs, treatment of pest infestations etc undertaken on particular record items when the records are not required as State archives. Includes conservation treatments provided by consultants.

Retention: Retain until treated records are disposed of, then destroy

GA28-12.08.04

Description: Records relating to routine conservation treatments of the organisation's office records, library and other information resources. Includes book binding and minor repairs.

Retention: Retain until ceases to be of administrative or reference use, then destroy

INFORMATION MANAGEMENT - Control**GA28-12.09.00**

Description: The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems. Use INFORMATION MANAGEMENT - DISPOSAL for records relating to the implementation of disposal decisions. Use INFORMATION MANAGEMENT - POLICY for records relating to the development and review of retention and disposal authorities produced for the organisation. Use TECHNOLOGY & TELECOMMUNICATIONS - APPLICATION DEVELOPMENT & MANAGEMENT for records relating to the application, allocation and maintenance of metadata in electronic systems.

Retention:

GA28-12.09.01

Description: Primary control records for records required as State archives, * which are required to facilitate access and give meaning and context to the records over time. Records include:-indexes-correspondence/file registers or registration systems-mandatory New South Wales Recordkeeping Metadata Standard (NRKMS) data elements. (See Recordkeeping in Brief 18: Introducing recordkeeping metadata). *Note: This includes current records as well as records maintained as part of an organisation's own archives. Note: Before transfer, State Records should be contacted to discuss what control records the organisation holds for records required as State archives so that an assessment can be made of their value in facilitating ongoing access/preservation to State archives.

Retention: Required as State archives

GA28-12.09.02

Description: Primary control records for records which are required as State archives but which are not required to facilitate access and give meaning and context to the records over time. Records include:-indexes-correspondence/file registers or registration systems-metadata. Note: Retention period is a minimum only. Records control systems for particular functions or activities may be required for longer periods depending on the risks associated with the conduct of particular activities and the potential for or likelihood of the organisation being required to provide evidence of the destruction of records. These should be determined in relation to the organisations' business needs. Note: Before disposal, State Records should be contacted to discuss what control records the organisation holds so that an assessment can be made of their value in facilitating ongoing access.

Retention: Retain minimum of 20 years after the records to which they relate are finally disposed of, then destroy

Function/Activity

GDA No

GA28-12.09.03

Description: Primary control records for records not required as State archives. Records include:-indexes-correspondence/file registers or registration systems-metadata. Note: Retention period is a minimum only. Records control systems for particular functions or activities may be required for longer periods depending on the risks associated with the conduct of particular activities and the potential for or likelihood of the organisation being required to provide evidence of the destruction of records. These should be determined in relation to the organisations' business needs.

Retention: Retain minimum of 20 years after the records to which they relate are destroyed or finally disposed of, then destroy

GA28-12.09.04

Description: Secondary control records. Records include:-file or container movement records (if secondary to the main registers and indexes)-reference sets of control records (e.g. within branches/regions of organisation where master control records are retained centrally)-resubmit, barcode and location lists-superseded sets of control records where information has been fully transferred to a new system-workflow tracking systems facilitating the tracking and monitoring of cases where the systems are not acting as records management systems, e.g. Ministerial tracking systems, minor case management tracking systems.Use the organisation's functional retention and disposal authority for major case management or registration systems that are concerned with the management of core functions.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-12.09.05

Description: Control records relating to the organisation's library systems. Records include:-catalogues-authority files of subject headings-classification schemes-thesauri created by libraries for specialised use-loan and inter-library loan records.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-12.09.06

Description: Final versions and substantive revisions of business classification schemes (BCS), thesauri for record titling, authorised abbreviations and metadata rules and dictionaries.

Retention: Required as State archives

GA28-12.09.07

Description: Records relating to the research, development, implementation, maintenance and review of the organisation's business classification schemes (BCS), thesauri for record titling, authorised abbreviations and metadata rules and dictionaries.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-12.09.08

Description: Records relating to the receipt and dispatch of the organisation's mail. Includes receipts and/or registers for registered and certified mail.Note: With paper-based registers, retain minimum of 3 years after last entry in the register. With electronic registers, retain minimum of 3 years after last update or amendment to an entry, or after data has become obsolete, then destroy.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-12.09.09

Description: Records relating to the recall and return of records from offsite storage or from State archives.

Retention: Retain minimum of 2 years after return of record, then destroy

INFORMATION MANAGEMENT - Customer service

GA28-12.10.00

Description: The activities associated with establishing standards of customer service and administering specialised services provided to customers by the organisation. Use INFORMATION MANAGEMENT - AGREEMENTS for records relating to the establishment, negotiation, maintenance and review of service level agreements between information management providers and the rest of the organisation.Use INFORMATION MANAGEMENT - ENQUIRIES for records relating to enquiries concerning the information management services or holdings of the organisation.

Retention:

GA28-12.10.01

Description: Final, approved versions of charters, standards or guarantees relating to the provision of information management services to clients.

Retention: Retain minimum of 2 years after superseded, then destroy

GA28-12.10.02

Function/Activity

GDA No

GA28-12.10.02

Description: Records relating to the development and review of charters, standards or guarantees relating to the provision of information management services to clients. Records include:-background research-draft versions containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-12.10.03

Description: Records relating to the administration of specialised information services to support the provision of customer services, e.g. help/information desks, translation services, outreach services etc.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-12.10.04

Description: Records relating to advice on customer services regarding information management provided by the organisation.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-12.10.05

Description: Records relating to suggestions received from personnel and the public in relation to information management services.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-12.10.06

Description: Contact details of clients, e.g. email lists, telephone lists.

Retention: Retain until superseded, then destroy

INFORMATION MANAGEMENT - Disposal

GA28-12.11.00

Description: The process of disposing of records or information resources no longer required by the organisation. Includes destruction or transfer to State records, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into low-cost or archival storage. Use INFORMATION MANAGEMENT - CONTROL for primary control records for records required as State archives. Use INFORMATION MANAGEMENT - POLICY for records relating to the development and review of retention and disposal authorities produced for the organisation. Note: Control systems should be updated with disposal information.

Retention:

GA28-12.11.01

Description: Records relating to the implementation of records disposal decisions. Includes internal lists and approval for the destruction of records, advice from State Records regarding authorisation for the disposal of records and certificates of destruction. Excludes internal decisions to extend retention periods. Note: Records may be required for long periods as evidence of accountable destruction. Records regarding core business functions and areas of risk may need to be retained for longer periods.

Retention: Retain minimum of 20 years after action completed, then destroy

GA28-12.11.02

Description: Records relating to internal decisions to extend records retention periods. Note: If these decisions are to be incorporated into revisions of retention and disposal authorities, retain in accordance with the relevant entry under INFORMATION MANAGEMENT - POLICY.

Retention: Retain until decision is superseded or records are destroyed, whichever is sooner, then destroy

GA28-12.11.03

Description: Records relating to the transfer of records as State archives. Records include:-transfer proposals-lists of series proposed for transfer-series information-consignment lists-records of notification from State Records of approval-proof of receipt of records by State Records-amended consignment lists from State Records-related correspondence. Note: These records are not required as State archives. However, they should be retained by the organisation as a record of exactly what was transferred to archives and for the organisation's reference so they know what records they continue to be responsible for.

Retention: Retain in organisation or transfer to successor organisation as required

GA28-12.11.04

Description: Records relating to the transfer of records to commercial storage. Records include:-consignment lists-proof of receipt of records by storage provider-related correspondence.

Retention: Retain while records remain in commercial storage, then destroy

Function/Activity

GDA No

GA28-12.11.05

Description: Records relating to the temporary transfer of records to the custody of another organisation as a consequence of administrative arrangements. Records include listings or details of records transferred.

Retention: Retain as long as the custodial relationship exists and until the records are returned, then destroy

GA28-12.11.06

Description: Records relating to the transfer of records to successor organisations as a consequence of changes in administrative arrangements or functions or privatisation.

Retention: Retain minimum of 20 years after action completed, then destroy

GA28-12.11.07

Description: Records relating to the recovery of records and their return to official custody, i.e. the recovery of estrays. (Estrays are records of the organisation that have passed into private ownership, generally without approval). Records include:-minutes or notes of meetings and correspondence with State Records and the organisations or individuals who have custody-records of decisions regarding management and recovery-reports of outcomes.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-12.11.08

Description: Records relating to the culling of library or information resource collections.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-12.11.09

Description: Existing master collections of major publications produced by the organisation or its predecessor and retained, e.g. in the organisation's library, where they are unlikely to have been captured in recordkeeping systems. Note: Organisational publications should be covered in the organisation's functional retention and disposal authority. This entry allows the discretionary intake of particular publications as State archives. Its application will be limited. Minor publications, e.g. newsletters or promotional materials, or final, authorised versions of publications captured into recordkeeping systems, such as reports or policies, can be sentenced using entries elsewhere in this authority and the organisation's own functional retention and disposal authority.

Retention: Required as State archives

INFORMATION MANAGEMENT - Distribution

GA28-12.12.00

Description: The activities associated with disseminating information items through loans, deliveries or other customer services.

Retention:

GA28-12.12.01

Description: Records relating to the distribution of information resources, e.g. correspondence, paper files, newscuttings, mail. Records include:-distribution lists -advice on changes of location.

Retention: Retain until ceases to be of administrative or reference use, then destroy

INFORMATION MANAGEMENT - Donations

GA28-12.13.00

Description: The activities associated with managing the donation of information resources to the organisation. Includes managing unsolicited donations. Use the organisation's functional retention and disposal authority for records relating to the donation of items to collecting institutions. Use COMMUNITY RELATIONS - DONATIONS for records relating to donations of money, items, artefacts or property to the organisation, or refused offers of donations.

Retention:

GA28-12.13.01

Description: Records relating to the donation of information resources, e.g. books, to the organisation. Includes liaison regarding conditions of donation.

Retention: Retain minimum of 7 years after donation is received and finalised, or until terms have been fulfilled, whichever is later, then destroy

INFORMATION MANAGEMENT - Enquiries

GA28-12.14.00

Function/Activity

GDA No

GA28-12.14.00

Description: The activities associated with the handling of requests for information about the information services of the organisation by the general public or another organisation. Use the organisation's functional retention and disposal authority for records relating to enquiries when the organisation provides an enquiry service as part of their core functions, e.g. State Library of NSW, State Records. Use COMMUNITY RELATIONS - ENQUIRIES for records relating to requests for and the handling of enquiries regarding routine information about the organisation and its services, e.g. hours of opening. Use 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). Use INFORMATION MANAGEMENT - CUSTOMER SERVICE for records relating to advice on customer services regarding information management provided by the organisation.

Retention:

GA28-12.14.01

Description: Records relating to the handling of enquiries from the public or government organisations relating to the information management services or holdings of the organisation.

Retention: Retain minimum of 2 years after action completed, then destroy

INFORMATION MANAGEMENT - Evaluation

GA28-12.15.00

Description: 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. Use INFORMATION MANAGEMENT - AUDIT for records relating to formal internal and external audits of information management services, programs and systems. Use INFORMATION MANAGEMENT - CONTROL for records relating to the analysis of functions and records to produce business classification schemes (BCS) etc. Use INFORMATION MANAGEMENT - IMPLEMENTATION for records relating to the implementation and initial monitoring of information management systems and projects within the organisation. Use INFORMATION MANAGEMENT - REVIEWING for records relating to the review of information management programs and services. Use 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.

Retention:

GA28-12.15.01

Description: Records relating to the evaluation of potential or existing information management programs, services and systems, e.g. records and library materials, operational services for clients of libraries, archives and records management units, information systems etc.

Retention: Retain minimum of 5 years after action completed, then destroy

INFORMATION MANAGEMENT - Implementation

GA28-12.16.00

Description: 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 the information management aspects in the operation of manual or automated databases, applications or systems, but excludes the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met. Use INFORMATION MANAGEMENT - EVALUATION for records relating to evaluation prior to implementation and ongoing monitoring. Use INFORMATION MANAGEMENT - PLANNING, INFORMATION MANAGEMENT - POLICY or INFORMATION MANAGEMENT - PROCEDURES for records relating to the development and review of information management plans, policies and procedures. Use STAFF DEVELOPMENT - TRAINING for records relating to training provided to employees as part of the implementation of information projects or new systems. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of business continuity plans or counter disaster plans. Use STRATEGIC MANAGEMENT - PLANNING for records relating to the development and review of business continuity or counter disaster plans. Use STRATEGIC MANAGEMENT - REPORTING for records relating to reporting on the effects of disasters. Use TECHNOLOGY & TELECOMMUNICATIONS - IMPLEMENTATION for records relating to the technical aspects of managing systems implementation.

Retention:

GA28-12.16.01

Description: Records relating to the implementation and initial monitoring of information management systems and projects within the organisation, including recordkeeping, knowledge management and library management systems and projects. Includes pilots and post implementation reviews.

Retention: Retain minimum of 7 years after action completed, then destroy

INFORMATION MANAGEMENT - Intellectual property

GA28-12.17.00

Function/Activity

GDA No

GA28-12.17.00

Description: The activities involved in managing the organisation's intellectual property rights or obligations. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to the payment of money. Use PUBLICATION - INTELLECTUAL PROPERTY for records relating to managing applications for permission to reproduce published or unpublished materials. Use STRATEGIC MANAGEMENT - AGREEMENTS for records relating to intellectual property agreements. Use STRATEGIC MANAGEMENT - INTELLECTUAL PROPERTY for records relating to the establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.

Retention:

GA28-12.17.01

Description: Records relating to the management of copying services in the organisation. Includes the administration of payments made to collecting societies and sampling undertaken to support the payment process.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-12.17.02

Description: Copyright declaration forms signed by users of the organisation's information services. Remarks: Subject to Copyright Act 1968, section 203 and Copyright Regulation 1969, Regulation 25A. The latter requires that declarations for reproduction of whole or part of a work be retained for 4 years after making of the copy.

Retention: Retain minimum of 4 years after action completed, then destroy

INFORMATION MANAGEMENT - Inventory

GA28-12.18.00

Description: The activities associated with listing and preparing lists of items and assets relating to information management in the possession of the organisation. Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to the management of assets.

Retention:

GA28-12.18.01

Description: Routine inventories of library materials or records censuses undertaken to monitor location control.

Retention: Retain until ceases to be of administrative or reference use (e.g. once control systems are updated), then destroy

INFORMATION MANAGEMENT - Marketing

GA28-12.19.00

Description: The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, promotion, pricing and product evaluation. Use COMMUNITY RELATIONS - MEDIA RELATIONS for records relating to media releases issued by the organisation.

Retention:

GA28-12.19.01

Description: Records relating to the promotion of the services of library, records management and information management units, e.g. notices to clients regarding collection additions or new services available.

Retention: Retain until ceases to be of administrative or reference use, then destroy

INFORMATION MANAGEMENT - Planning

GA28-12.20.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use INFORMATION MANAGEMENT - POLICY for records relating to Privacy Codes of Practice and information management policies. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning and the development and review of business continuity or counter disaster plans.

Retention:

GA28-12.20.01

Description: Final, approved versions of plans for information management projects, systems and activities within an organisation, e.g. Privacy Management Plans, operational plans, records and information management plans, vital records plans etc, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-12.20.02

Function/Activity

GDA No

GA28-12.20.02

Description: Records relating to the development and review of the organisation's information management plans, e.g. Privacy Management Plans, operational plans, records and information management plans, vital records plans etc. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

INFORMATION MANAGEMENT - Policy

GA28-12.21.00

Description: 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. Use INFORMATION MANAGEMENT - COMPLIANCE for records relating to the organisation's compliance with information management policies. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-12.21.01

Description: Final, approved versions of information management policies, e.g. information management security policies, library and recordkeeping/records management policies, email policies, policies for the management of digital records, Privacy Codes of Practice, Health Privacy Codes of Practice etc, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

GA28-12.21.02

Description: Records relating to the development and review of the organisation's information management policies e.g. information management security policies, library and recordkeeping/records management policies, email policies, policies for the management of digital records, Privacy Codes of Practice etc. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-12.21.03

Description: Retention and disposal authorities issued by State Records and authorised for the organisation to use. Note: While State Records retains copies of all approved retention and disposal authorities it is recommended organisations also retain copies of any authorities applying to the records created and maintained by them for as long as the authority is in force and for appropriate periods for future reference to account for authorised disposal of records.

Retention: Retain until superseded and until ceases to be of administrative or reference use, then destroy

GA28-12.21.04

Description: Records relating to the development and review of retention and disposal authorities produced for the organisation. Records include:-background research -correspondence with State Records-records of consultations-draft versions containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, business units, stakeholders etc.

Retention: Retain minimum of 10 years after action completed, then destroy

INFORMATION MANAGEMENT - Procedures

GA28-12.22.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures. Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to quality assurance procedures.

Retention:

GA28-12.22.01

Description: Final, approved versions of manuals, handbooks, directives etc detailing information management procedures, e.g. library procedures, records management procedures, security arrangements for information resources, mail handling protocols etc, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

Function/Activity

GDA No

GA28-12.22.02

Description: Records relating to the development and review of the organisation's information management procedures, e.g. library procedures, records management procedures, security arrangements for information resources, mail handling protocols etc. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

INFORMATION MANAGEMENT - Reporting

GA28-12.23.00

Description: 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of business continuity plans or counter disaster plans. Use STRATEGIC MANAGEMENT - PLANNING for records relating to the development and review of business continuity or counter disaster plans. Use STRATEGIC MANAGEMENT - REPORTING for records relating to reporting on the effects of disasters.

Retention:

GA28-12.23.01

Description: Records relating to the development and review of reports regarding information management programs, services and systems. Records include: -background research-records relating to the outcomes of consultation with employees, unions, other stakeholders etc-draft versions of reports containing significant changes/alterations or formally circulated for comment-final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-12.23.02

Description: Records relating to internal periodic reports on general administrative matters used to monitor recurring activities to support information management programs, services and systems. Records include:-background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-12.23.03

Description: Records relating to Freedom of Information (FOI) reporting, including Statements of Affairs, Summary of Affairs and periodical reports.

Retention: Retain until ceases to be of administrative or reference use, then destroy

INFORMATION MANAGEMENT - Reviewing

GA28-12.24.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use INFORMATION MANAGEMENT - AUDIT for records relating to formal internal and external audits of information management services, programs and systems. Use INFORMATION MANAGEMENT - EVALUATION for records relating to the evaluation of information management programs, services and systems. Use INFORMATION MANAGEMENT - PLANNING, INFORMATION MANAGEMENT - POLICY or INFORMATION MANAGEMENT - PROCEDURES for records relating to the review of plans, policies or procedures. Use STRATEGIC MANAGEMENT - REVIEWING for records relating to the review of strategic programs and services.

Retention:

GA28-12.24.01

Description: Records relating to the review of information management programs and services, e.g. reviews of storage areas for records and library materials, operational services for clients of libraries, archives and records management units, information systems etc. Records include:-documents establishing the review-background research-draft versions of review reports containing significant changes/alterations or formally circulated for comment -final versions of approved reports-project or action plans.

Retention: Retain minimum of 5 years after action completed, then destroy

INFORMATION MANAGEMENT - Security

GA28-12.25.00

Description: The activities associated with measures taken to protect information resources from accidental or intentional damage or from unauthorised access. Use TECHNOLOGY & TELECOMMUNICATIONS - SECURITY for records relating to security protection against unauthorised access to electronic information systems. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to disciplinary action taken against personnel for security breaches.

Retention:

Function/Activity

GDA No

GA28-12.25.01

Description: Records relating to major security breaches affecting information resources, e.g. where records and information have been unlawfully accessed or removed from official custody.

Retention: Retain minimum of 15 years after action completed, then destroy

GA28-12.25.02

Description: Records relating to minor security breaches affecting information resources, e.g. where records have not been appropriately secured.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-12.25.03

Description: Records relating to security arrangements for records storage, e.g. safes, vaults, security equipment and off site storage for vital records.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-12.25.04

Description: Records relating to physical and intellectual security arrangements for access to records, e.g. decisions regarding general security classifications for accessing records, delegations of authority etc.

Retention: Retain minimum of 5 years after superseded, then destroy

LEGAL SERVICES

GA28-13.00.00

Description: The function of providing legal services to the organisation. Includes the interpretation and provision of advice to the organisation regarding legal matters, the drawing up of legal agreements and the handling of legal action and disputes. Also includes legal advice received from in-house consultants and external sources including the Crown Solicitor's Office. Use the organisation's functional retention and disposal authority for records relating to legal services if the organisation has specific responsibilities for the provision of legal services, such as the Crown Solicitor's Office or Legal Aid Commission. Use STRATEGIC MANAGEMENT - LEGISLATION for records relating to the development, implementation and review of legislation concerning the operations and functional responsibilities of the organisation. Use the relevant function/AGREEMENTS for records relating to legal input into the drawing up of agreements/contracts.

Retention:

LEGAL SERVICES - Advice

GA28-13.01.00

Description: The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising. Use GOVERNMENT RELATIONS - ADVICE for records relating to the provision of advice to Cabinet, the portfolio Minister and other government organisations concerning substantive aspects of the organisation's policies and procedures, functions, obligations, legislation or liabilities. Use GOVERNMENT RELATIONS - INQUIRIES for records relating to legal advice regarding inquiries. Use GOVERNMENT RELATIONS - REPORTING for records relating to the drafting, submission and final, approved versions of formal reports to government. Use the relevant function/activity for records relating to legal advice retained on a particular case or claims files, e.g. use COMPENSATION - CLAIMS for legal advice regarding individual compensation claims.

Retention:

GA28-13.01.01

Description: Records relating to legal advice from internal or external legal service providers, including the Crown Solicitor's Office, regarding:- Cabinet matters-interpretations of legislation administered by the organisation-proposals for new or amended legislation for the organisation-industrial issues involving the organisation-matters which are precedent setting in nature-matters resulting in significant changes to the organisation's policies.

Retention: Required as State archives

GA28-13.01.02

Description: Records relating to legal advice from internal or external legal providers, including the Crown Solicitor's Office, that does not relate to:- Cabinet matters-interpretations of legislation administered by the organisation-proposals for new or amended legislation for the organisation-industrial issues involving the organisation-matters which are precedent setting in nature-matters resulting in significant changes to the organisation's policies.

Retention: Retain minimum of 15 years after action completed, then destroy

LEGAL SERVICES - Agreements

GA28-13.02.00

Function/Activity

GDA No

GA28-13.02.00

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements. Use CONTRACTING-OUT for records relating to the acquisition of legal services through a contracting-out or outsourcing process. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-13.02.01

Description: Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision of legal services, advice or representation that do not form part of contracting-out or tendering arrangements. Records include:- correspondence and negotiations including minutes or notes of meetings with main stakeholders-drafts containing significant changes/alterations or formally circulated for comment-final, approved versions of agreements-reviews of agreements.

Retention: Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy

LEGAL SERVICES - Compliance

GA28-13.03.00

Description: 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. Use 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 their policies, standards and requirements on legal services. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of compliance requirements.

Retention:

GA28-13.03.01

Description: Records relating to the organisation's compliance with mandatory or optional standards or statutory requirements relating to the provision of legal services, e.g. those in Quality System Guidelines AS/NZS ISO 9001:1994 for the legal profession. Note: Retention period is provided as a guide only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.

Retention: Retain minimum of 6 years after action completed, then destroy

LEGAL SERVICES - Litigation

GA28-13.04.00

Description: The activities involved in managing lawsuits or legal proceedings between the organisation and other parties in a court or other tribunal. Includes cases settled by mediation, alternative dispute resolution etc. Note: Some copies of documents generated by lawsuits or legal proceedings can be destroyed in accordance with the normal administrative practice (NAP) provisions of the State Records Act 1998 when no longer required for reference purposes (e.g. copies of briefs that are sent to the court and then returned at the conclusion of the matter). However, any copies with significant or substantial annotations should be retained with other records relating to the lawsuit or proceeding and disposed of in accordance with the disposal actions under this activity.

Retention:

GA28-13.04.01

Description: Records relating to issues, claims or case matters which:-set legal precedents, or-result in significant changes to the organisation's policies or procedures, or the way in which the organisation operates. Records include:-briefs for counsel-copies of documents required by or lodged with a court-records of consultation with the Attorney General's Department or other organisations-records documenting compliance with court instructions, e.g. subpoenas and discovery orders.

Retention: Required as State archives

GA28-13.04.02

Description: Records relating to issues, claims or case matters which:-do not set legal precedents, or-do not result in significant changes to the organisation's policies or procedures, or the way in which the organisation operates. Records include:-briefs for counsel-copies of documents required by or lodged with a court-records of consultation with the Attorney General's Department or other organisations-records documenting compliance with court instructions, e.g. subpoenas and discovery orders. Note: Consideration may need to be given to retaining these records longer in some circumstances, e.g. for records relating to criminal matters or matters relating to minors where appeals or challenges may be lodged many years after the matter is concluded. Organisations should also ensure that all appeals have been exhausted before disposing of records relating to the handling of the matter or court proceedings.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-13.04.03

Description: Records relating to the management of subpoenas and discovery orders where the organisation is not a party to the proceedings. Includes detailed lists and copies of records found.

Retention: Retain minimum of 2 years after action completed, then destroy

LEGAL SERVICES - Planning**GA28-13.05.00**

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning.

Retention:

GA28-13.05.01

Description: Final, approved versions of plans regarding legal programs and services, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-13.05.02

Description: Records relating to the development and review of the organisation's plans regarding legal programs and services. Records include:-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, other stakeholders etc.

Retention: Retain minimum of 3 years after action completed, then destroy

LEGAL SERVICES - Policy**GA28-13.06.00**

Description: 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. Use LEGAL SERVICES - COMPLIANCE for records relating to the organisation's compliance with mandatory or optional standards or statutory requirements regarding legal services. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-13.06.01

Description: Final, approved versions of policies regarding the provision of legal services, advice and representation, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

GA28-13.06.02

Description: Records relating to the development and review of the organisation's policies regarding the provision of legal services, advice and representation. Records include:-policy proposals-background research-records of consultations or meetings -draft versions of policies containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, stakeholders etc.

Retention: Retain minimum of 3 years after action completed, then destroy

LEGAL SERVICES - Procedures**GA28-13.07.00**

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures.

Retention:

GA28-13.07.01

Description: Final, approved versions of procedures regarding the provision of legal services, advice and representation and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-13.07.02

Description: Records relating to the development and review of the organisation's procedures regarding the provision of legal services, advice and representation. Records include:-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, stakeholders etc.

Retention: Retain minimum of 3 years after action completed, then destroy

LEGAL SERVICES - Reporting

GA28-13.08.00

Description: 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. Use PUBLICATION - PRODUCTION for records relating to the production of reports, e.g. typesetting, printing etc.

Retention:

GA28-13.08.01

Description: Records relating to formal reports regarding legal services programs and services. Records include: -background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-13.08.02

Description: Records relating to internal periodic reports on general administrative matters used to monitor and document recurring activities to support legal services programs and services. Records include:-background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 3 years after action completed, then destroy

LEGAL SERVICES - Research

GA28-13.09.00

Description: The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc used to provide legal support for the development of projects, standards, guidelines etc, and the business activities of the organisation in general. Use the organisation's functional retention and disposal authority for records relating to research if research is a core function of the organisation. Use the relevant function/activity for records relating to background research undertaken when developing particular products or documentation, e.g. use LEGAL SERVICES - ADVICE for records relating to research for the provision of legal advice, e.g. use LEGAL SERVICES - PLANNING, LEGAL SERVICES - POLICY or LEGAL SERVICES - PROCEDURES for records relating to background research for the development and review of plans, policies and procedures.

Retention:

GA28-13.09.01

Description: Final, approved reports consolidating research collected for legal services purposes.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-13.09.02

Description: Research data including literature searches, questionnaires, statistics, surveys and other raw data.

Retention: Retain until ceases to be of administrative or reference use, then destroy

LEGAL SERVICES - Reviewing

GA28-13.10.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use LEGAL SERVICES - PLANNING, LEGAL SERVICES - POLICY or LEGAL SERVICES - PROCEDURES for records relating to the review of plans, policies or procedures.

Retention:

GA28-13.10.01

Description: Records relating to the review of legal services programs and services. Records include:-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.

Retention: Retain minimum of 5 years after action completed, then destroy

LIBRARY MANAGEMENT

GDA23-5.0.0

Description: See also General Retention and Disposal Authority: Administrative Records for Library Service records. See COLLECTIONS MANAGEMENT for records relating to the management of non-library collections.

Retention:

LIBRARY MANAGEMENT - Copyright

Function/Activity

GDA No

GDA23-5.1.0

Description:

Retention:

GDA23-5.1.1

Description: Records relating to copyright including copyright declarations. Note: retention period based on Copyright Regulation 1969 No.58 (consolidated to 28 Jan 1999), Part 7, Reg 25A.

Retention: Retain for minimum of 4 years after copy made, then destroy.

LIBRARY MANAGEMENT - Fines/penalties

GDA23-5.2.0

Description: The imposing of fines or other penalties for the late return, loss, or damage to library items (ie books, journals, newspapers, etc).

Retention:

GDA23-5.2.1

Description: Records relating to the imposing of fines or other penalties (other penalties may include withholding graduation offers until payment of fines and/or return of library items). See also General Retention and Disposal Authority: Administrative Records – FINANCIAL MANAGEMENT for debt recovery records.

Retention: Retain for minimum of 6 months after action completed, then destroy.

LIBRARY MANAGEMENT - Loans

GDA23-5.3.0

Description:

Retention:

GDA23-5.3.1

Description: Records relating to provision of library borrowing and usage rights.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-5.3.2

Description: Records relating to inter-library loans.

Retention: Retain until no longer required for administrative purpose, then destroy.

GDA23-5.3.3

Description: Records of borrowings and use of library materials.

Retention: Retain until no longer required for administrative purpose, then destroy.

OCCUPATIONAL HEALTH & SAFETY

GA28-14.00.00

Description: The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes developing safety policies and monitoring safe work practices, procedures and preventative measures. Also includes the establishment of committees to investigate and advise on health and safety issues in the workplace. Use LEGAL SERVICES - LITIGATION for records relating to prosecutions of the organisation for breaches of legislation or regulations. Use STAFF DEVELOPMENT - TRAINING for records relating to the training of employees in occupational health and safety issues.

Retention:

GDA12-01.00.00

Description: The function of implementing and co-ordinating occupational health and safety and associated legislation throughout the organisation. Includes safety policy and the monitoring of safe work practices, procedures and preventative measures. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace. Use General Retention and Disposal Authority - Administrative records for records relating to COMPENSATION or OCCUPATIONAL HEALTH & SAFETY. Note : For public health organisations, records relating to the provision of health care services to staff in an occupational or employment context (the treatment records of employees) constitute the primary health care record and their retention and disposal should be in accordance with General Retention and Disposal Authority - Patient/Health Records.

Retention:

OCCUPATIONAL HEALTH & SAFETY - Accidents

Function/Activity

GDA No

GA28-14.01.00

Description: The activities involved with dealing with mishaps causing injury or damage. Includes damage or injury to the organisation's property or to employees incurred while coming to, at, or leaving work, or to the general public or visitors while on the organisation's premises. Also includes measures to prevent incidents occurring. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to the assessment and control of occupational health and safety hazards (which may or may not have resulted in accidents or incidents). Use COMPENSATION - CLAIMS for records relating to the handling of claims for compensation and the rehabilitation of employees, or claims for the damage or destruction of personal property caused by an incident. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - REHABILITATION for records relating to the rehabilitation of employees where the rehabilitation is not related to a compensation claim.

Retention:

GA28-14.01.01

Description: Records relating to incidents that result in serious personal injury or incapacity to employees. Records include: -incident/injury records, e.g. incident/accident report forms-notifications to insurer-records of investigation by the organisation into incident - details of notifications to WorkCover NSW of incident-copies of investigation reports by Police, WorkCover NSW inspectors etc into incident. Use 14.1.6 for registers of injuries. Note: Records may be required for compensation claims which can potentially be lodged at any time during the lifetime of the claimant. Retention period is intended to cover potential life expectancy of claimants. Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-14.01.02

Description: Records relating to incidents that results in the death of employees. Records include: -incident records, e.g. incident/accident report forms-notifications to insurer-records of investigation by the organisation into incident -details of notifications to WorkCover NSW of incident-copies of investigation reports by Police, WorkCover NSW inspectors etc into incident. Use 14.1.6 for registers of injuries.

Retention: Retain minimum of 25 years after date of death, or 7 years after action completed, whichever is longer, then destroy

GA28-14.01.03

Description: Records relating to incidents involving employees that do not result in death, serious personal injury or incapacity to employees. Records include: -incident/injury records-notifications to insurer-records of investigation by organisation/WorkCover NSW into incident. Use 14.1.6 for registers of injuries. Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant, but it is likely to occur within the retention period. Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.

Retention: Retain minimum of 25 years after action completed, then destroy

GA28-14.01.04

Description: Records relating to incidents involving members of the public, including work experience students and volunteers or other persons who are not employees. Records include: -incident/injury records-notifications to insurer-records of investigation by organisation/WorkCover NSW into incident. Use 14.1.6 for registers of injuries. Note: Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.

Retention: Retain minimum of 15 years after action completed, or upon expiry of statutory limitation periods, whichever is longer, then destroy

GA28-14.01.05

Description: Records relating to the provision of first aid treatment. Records include:-first aid registers -forms/records detailing treatment given. Use 14.1.1-4 in cases where first aid treatment is documented together with incident/injury records. Use 14.1.6 where first aid registers function as the equivalent of registers of injuries. Note: With paper-based registers, retain minimum of 5 years after last entry in the register. With electronic registers, retain minimum of 5 years after last update or amendment to an entry, or after data has become obsolete, then destroy. Consideration may need to be given to retaining these records longer in some circumstances if the record is potentially the only record of the occurrence of an injury.

Retention: Retain minimum of 5 years action completed, then destroy

GA28-14.01.06

Description: Registers of injuries. 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.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-14.01.07

Function/Activity

GDA No

GA28-14.01.07

Description: Copies or details of records of all incidents and/or hazards in an organisation kept or compiled together for occupational health and safety assessment or monitoring purposes. Use 14.1.6 for registers of injuries. Note: Ensure records of incidents relevant to a claim are retained on OCCUPATIONAL HEALTH AND SAFETY - ACCIDENTS and COMPENSATION - CLAIMS files.

Retention: Retain until ceases to be of administrative or reference use, then destroy

OCCUPATIONAL HEALTH & SAFETY - Appeals

GA28-14.02.00

Description: The activities involved in the process of appealing against decisions by application to a higher authority. Use OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE for records relating to applications to WorkCover NSW for a review of notices with regard to breaches or non-compliance with occupational health and safety legislation. Use COMPENSATION - CLAIMS for records relating to the handling of claims for compensation and the rehabilitation of employees. Use LEGAL SERVICES - ADVICE for records relating to legal advice received by the organisation on the conduct of an appeal.

Retention:

GA28-14.02.01

Description: Records relating to an appeal made by the organisation to the Administrative Decisions Tribunal for review of a decision made under occupational health and safety legislation. Records include:-copies of applications to the Administrative Decisions Tribunal-copies of proceedings/notifications of outcome of Tribunal decisions-correspondence with the Tribunal. Note: Decisions subject to review are listed under s.351 of the Occupational Health and Safety Regulation 2001, e.g. refusal to accredit person as a trainer, refusal to register a plant design or issue a certificate of competency.

Retention: Retain minimum of 5 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Audit

GA28-14.03.00

Description: 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. Use OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE for records relating to complying with occupational health and safety standards and requirements. Use OCCUPATIONAL HEALTH & SAFETY - INSPECTIONS for records relating to inspections undertaken for occupational health and safety reasons. Use STRATEGIC MANAGEMENT - AUDIT for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level.

Retention:

GA28-14.03.01

Description: Records relating to audits of the organisation's occupational health and safety management systems or processes. Records include:-records of audit planning or liaison with auditing body -minutes or notes of meetings-notes taken at interviews-correspondence-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports-records of remedial action. Note: If serious deficiencies are identified during audits, longer retention may be required, particularly if records include documentation of remedial action undertaken.

Retention: Retain minimum of 6 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Compliance

GA28-14.04.00

Description: 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. Use the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor the compliance of other organisations with policies, standards, legislative or regulatory requirements relating to occupational health and safety etc, e.g. WorkCover NSW. Use OCCUPATIONAL HEALTH & SAFETY - REPRESENTATIVES for records relating to the election of occupational health and safety representatives, including committee members, or the appointment, resignation and termination of first aid officers, fire wardens and safety officers. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to the identification, assessment and management of occupational health and safety hazards risks and hazards. Use COMMITTEES for records relating to occupational health and safety committees. Use EQUIPMENT & STORES - COMPLIANCE for records relating to registering, licensing or obtaining permits for the use of equipment and plant. Use LEGAL SERVICES - ADVICE for records relating to legal advice sought and received. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - EMPLOYMENT CONDITIONS for records relating to copies of qualifications, certificates of competency, statements of attainment etc when they relate to occupational health and safety training or where required by individual employees as part of employment conditions or to perform their duties.

Retention:

GA28-14.04.01

Function/Activity

GDA No

GA28-14.04.01

Description: Records relating to the licensing or registration process for a business, substance, place or type of work involving contact with toxic or hazardous materials. Records include: -applications for, renewals, cancellations or details regarding suspension of permits, licences, certificates of registration -copies of permits, licences, certificates of registration-conditions of registration or licensing-applications for review of decisions regarding registration or licensing.Note: The existence of permits, authorisations etc may be relevant to compensation claims which can be lodged at any time within the lifetime of the claimant.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-14.04.02

Description: Records relating to the licensing or registration process for a business, substance, place or type of work not involving contact with hazardous or toxic materials. Records include:-applications for, renewals, cancellations or details regarding suspension of permits, licences, certificates of registration -receipt for payment of fees (if relevant)-copies of permits, licences, certificates of registration-conditions of registration or licensing-applications for review of decisions regarding registration or licensing.Note: The existence of permits etc may be relevant to compensation claims, and in these cases should be copied and kept with records of the claim.

Retention: Retain minimum of 7 years after licence, permit or certificate of registration expires or is terminated, then destroy

GA28-14.04.03

Description: Records relating to health surveillance of employees exposed or at risk of exposure to hazardous or carcinogenic substances or conditions, including asbestos or cytotoxins and lead. Records include:-details of employee/s exposed to or at risk of exposure to hazardous or carcinogenic substances or conditions -notifications to WorkCover NSW by employer of intention to carry out work that involves the use of carcinogenic substances or lead risk work or other notifications as required-reports of outcomes of medical examinations to determine exposure or monitor the effects of exposure on an ongoing basis-copies of written statements to employees regarding exposure when they cease employment.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-14.04.04

Description: Hazardous substances registers (including asbestos registers) identifying substance properties and details of their condition.Use OCCUPATIONAL HEALTH & SAFETY - HEALTH PROMOTION for records relating to material safety data sheets (MSDS).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.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-14.04.05

Description: Records relating to entry and work permits for access to confined spaces. Records include:-requests for access-entry and work permits.Note: Longer retention may be required for these records if continuing monitoring or health surveillance is required.Remarks: Occupational Health and Safety Regulation 2001 requires an employer to retain entry permits for a period of one month after return of the confined space to service (s.78 (1)). In cases where continued surveillance of the health of employees or other continued monitoring is required, records should be kept for such period as is appropriate (s.78 (2)).

Retention: Retain minimum of one month after return of confined space to service, then destroy

GA28-14.04.06

Description: Records relating to compliance with court orders or notices issued by regulatory bodies in connection with occupational health and safety breaches. Records include:-notices or court orders, e.g. provisional improvement notices (PINS), court orders to publicise or notify offences or to commence a specified project -records of compliance with orders or notices-records of reporting on compliance.

Retention: Retain minimum of 10 years after action completed, then destroy

GA28-14.04.07

Description: Records relating to testing employees for drug use and alcohol consumption. Records include:-sample collection forms-laboratory reports and statements.Use General retention and disposal authority: personnel records, PERSONNEL - RECRUITMENT for records relating to drug and alcohol testing conducted as part of pre-employment requirements.

Retention: Retain minimum of 7 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Health promotion

GA28-14.05.00

Function/Activity

GDA No

GA28-14.05.00

Description: The process of promotion by the organisation of programs which encourage the establishment and maintenance of a healthy working environment. Note: For public health organisations, records relating to the provision of clinical treatment and care to staff (i.e. treatment records of employees) constitute the primary health care record and their retention and disposal should be in accordance with the General retention and disposal authority: public health services - patient/client records. If the patient/client record also documents an employee's health assessment and screening outcomes or vaccinations required for occupational purposes and this information is not recorded and maintained elsewhere then the records should be retained as per the requirements for health promotion records relating to an individual employee (see entry 14.5.5). Use OCCUPATIONAL HEALTH AND SAFETY - COMPLIANCE for records relating to monitoring employee exposure to hazardous and carcinogenic substances or conditions. Use EQUIPMENT & STORES - MAINTENANCE for records relating to the maintenance of equipment and stores, e.g. the replenishment of first aid kits.

Retention:

GA28-14.05.01

Description: Records relating to the promotion of safe work practices including notices, posters and promotional materials and records of their distribution. Use PUBLICATION - PRODUCTION for records relating to the design, layout, printing etc of health promotion materials.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-14.05.02

Description: Information sheets etc detailing hazards associated with the use of materials and first aid instructions maintained for reference or safety instruction, e.g. material safety data sheets (MSDS).

Retention: Retain until materials are disposed of, then destroy

GA28-14.05.03

Description: Summary details of materials safety information maintained by the organisation, e.g. material safety data sheets (MSDS) 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.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-14.05.04

Description: Records relating to the management and administration of programs to promote a healthy working environment, such as routine immunisation and health monitoring programs.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-14.05.05

Description: Health promotion records relating to an individual employee, including:-reports of health monitoring or notifications or certificates of immunisation or vaccination -reports/notifications of outcomes of medical examinations to determine fitness for duty. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - RECRUITMENT for records relating to medical examinations performed for recruitment purposes.

Retention: Retain minimum of 7 years after employment ceases, then destroy

GDA12-01.01.00

Description: The process of promotion by the organisation of programs which encourage the establishment and maintenance of a healthy working environment.

Retention:

GDA12-01.01.01

Description: Records relating to the management and administration of programs to promote a healthy working environment, such as routine immunisation and health monitoring programs.

Retention: This class has been superseded by General Retention and Disposal Authority - Administrative records, OCCUPATIONAL HEALTH & SAFETY - HEALTH PROMOTION, 14.5.4 (approved 25 June 2007).

GDA12-01.01.02

Description: Health promotion records relating to an individual employee, such as reports of health monitoring or notifications or certificates of immunisation or vaccination and including: -Reports/notification of outcomes of medical examinations to determine fitness for duty. Use 2.23.2-4 PERSONNEL - RECRUITMENT for records relating to medical examinations performed for the purposes of recruitment.

Retention: This class has been superseded by General Retention and Disposal Authority - Administrative records, OCCUPATIONAL HEALTH & SAFETY - HEALTH PROMOTION, 14.5.5 (approved 25 June 2007).

GDA12-01.01.03

Function/Activity

GDA No

GDA12-01.01.03

Description: Records relating to the health surveillance and/or monitoring of individual employees exposed to hazardous substances or conditions, including asbestos or cytotoxins and including: -Reports of outcomes of medical examinations to determine exposure or monitor the effects of exposure on an ongoing basis.

Retention: This class has been superseded by General Retention and Disposal Authority - Administrative records, OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE, 14.4.3 (approved 25 June 2007).

OCCUPATIONAL HEALTH & SAFETY - Inspections

GA28-14.06.00

Description: The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives. Use the organisation's functional retention and disposal authority for records relating to inspections if a function of the organisation is to conduct occupational health and safety inspections of other organisations. Use OCCUPATIONAL HEALTH & SAFETY - ACCIDENTS for records relating to inspections or investigations undertaken in response to an incident. Use OCCUPATIONAL HEALTH & SAFETY - AUDIT for records relating to formal occupational health and safety audits. Use OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE for hazardous substances registers. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to the monitoring of atmospheric contaminants. Use GOVERNMENT RELATIONS - INQUIRIES for records relating to investigations involving the organisation conducted by external bodies.

Retention:

GA28-14.06.01

Description: Records relating to routinely conducted inspections of hazardous substances in the workplace to ensure or check compliance with regulations, standards etc for their management and use. Use PROPERTY MANAGEMENT - INSPECTIONS for records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-14.06.02

Description: Records relating to routinely conducted workplace inspections undertaken either by the organisation or employee representatives to identify and monitor occupational health and safety risks or hazards. Records include:-notes of inspection-records of liaison with WorkCover NSW -records relating to complaints about the way an investigation was carried out-details of remedial action undertaken.

Retention: Retain minimum of 7 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Planning

GA28-14.07.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use OCCUPATIONAL HEALTH & SAFETY - PROCEDURES for records relating to evacuation procedures. Use STRATEGIC MANAGEMENT - PLANNING for records relating to corporate and business planning which defines broad occupational health and safety objectives and targets.

Retention:

GA28-14.07.01

Description: Final, approved versions of the organisation's occupational health and safety plans, e.g. asbestos management, emergency evacuation and medical evacuation plans etc, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-14.07.02

Description: Records relating to the development and review of the organisation's occupational health and safety plans, e.g. asbestos management, emergency evacuation and medical evacuation plans etc. Records include:-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, other stakeholders etc.

Retention: Retain minimum of 5 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Policy

GA28-14.08.00

Function/Activity

GDA No

GA28-14.08.00

Description: 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. Use OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE for records relating to complying with occupational health and safety standards and requirements. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-14.08.01

Description: Final, approved versions of policies relating to specific occupational health and safety tasks and practices, e.g. policies on the management of hazardous materials, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.

Retention: Retain minimum of 75 years after policy is superseded, then destroy

GA28-14.08.02

Description: Final, approved versions of policies relating to occupational health and safety programs, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: Evidence of policies in place at a particular time may be of relevance for future claims or legal action involving the organisation. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of policies need to be retained for longer periods.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

GA28-14.08.03

Description: Records relating to the development and review of the organisation's occupational health and safety policies. Records include:- 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.

Retention: Retain minimum of 5 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Procedures

GA28-14.09.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures. Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to quality assurance procedures.

Retention:

GA28-14.09.01

Description: Final, approved versions of procedures relating to specific occupational health and safety tasks and practices, e.g. procedures on the management of hazardous materials, safe work method statements (SWMS), and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

Retention: Retain minimum of 75 years after procedures are superseded, then destroy

GA28-14.09.02

Description: Final, approved versions of procedures relating to occupational health and safety programs, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: Evidence of procedures in place at a particular time may be of relevance for future claims or legal action involving the organisation. Organisations should consider known or potential risks, which may be identified in risk assessments, when deciding if records of procedures need to be retained for longer periods.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-14.09.03

Description: Records relating to the development and review of the organisation's occupational health and safety procedures. Records include: - background research -records of consultations-draft versions of procedures containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.

Retention: Retain minimum of 5 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Reporting

GA28-14.10.00

Function/Activity

GDA No

GA28-14.10.00

Description: 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. Use OCCUPATIONAL HEALTH & SAFETY - ACCIDENTS for records relating to internal incident reports and reports to WorkCover NSW and other relevant authorities. Use OCCUPATIONAL HEALTH & SAFETY - INSPECTIONS for records relating to reports on routine inspections carried out by committees, representatives etc. Use COMMITTEES for records relating to reports developed by occupational health and safety committees and representatives. Use GOVERNMENT RELATIONS - REPORTING for records relating to reporting on prosecutions under the Occupational Health and Safety Act, and on performance indicators, activities and awards relating to occupational health and safety in annual reports.

Retention:

GA28-14.10.01

Description: Records relating to formal internal and external reports regarding occupational health and safety programs and practices. Records include: -background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-14.10.02

Description: Records relating to internal periodic reports on general administrative matters used to monitor and document recurring activities to support occupational health and safety programs and practices, e.g. lost time injury statistics. Records include:-background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-14.10.03

Description: Records relating to statistical information and survey responses on occupational health & safety forwarded to external sources, e.g. Australian Bureau of Statistics. Records include:-copies of returns-related correspondence.

Retention: Retain minimum of 2 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Representatives

GA28-14.11.00

Description: The activities associated with the election of personnel appointed by the organisation or their co-workers as official occupational health and safety representatives or committee members, and the nomination, appointment, resignation or termination of fire wardens, first aid officers or safety officers. Use OCCUPATIONAL HEALTH & SAFETY - INSPECTIONS for records relating to inspections carried out by occupational health and safety representatives. Use COMMITTEES for records relating to the nomination, appointment, resignation or termination of occupational health and safety representatives or minutes of meetings of occupational health and safety committees and representatives. Use STAFF DEVELOPMENT - TRAINING for records relating to the training of representatives as required under occupational health and safety legislation.

Retention:

GA28-14.11.01

Description: Records relating to the election of occupational health and safety representatives to committees and/or to act independently. Records include: -ballot papers-nominations.

Retention: Retain minimum of 2 years after election is finalised, then destroy

GA28-14.11.02

Description: Records relating to the nomination, appointment, resignation and termination of first aid officers, fire wardens and safety officers. Records include:-letters of appointment -details of roles and responsibilities -letters of resignation.

Retention: Retain minimum of 1 year after appointment lapses, then destroy

OCCUPATIONAL HEALTH & SAFETY - Reviewing

GA28-14.12.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use OCCUPATIONAL HEALTH & SAFETY - AUDIT for records relating to system wide or individual audits of occupational health and safety performance. Use OCCUPATIONAL HEALTH & SAFETY - PLANNING, OCCUPATIONAL HEALTH & SAFETY - POLICY or OCCUPATIONAL HEALTH & SAFETY - PROCEDURES for records relating to the review of occupational health and safety plans, policies or procedures.

Retention:

GA28-14.12.01

Function/Activity

GDA No

GA28-14.12.01

Description: Records relating to the review of occupational health and safety programs and services. Records include:-records setting review parameters-analyses of injury and illness data, hazard and incident reports, notifications and accident investigation outcomes to establish trends-measurements and reviews of performance against performance indicators -reports on review and recommendations.

Retention: Retain minimum of 5 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Risk management

GA28-14.13.00

Description: The process involving the identification of risks and hazards, and the implementation of appropriate practices and procedures to reduce the number and/or severity of incidents and the impact of incidents on the organisation. Use OCCUPATIONAL HEALTH & SAFETY - PLANNING for records relating to medical evacuation plans/emergency evacuation plans or STRATEGIC MANAGEMENT - PLANNING for records relating to strategic business continuity/counter disaster planning for the organisation.

Retention:

GA28-14.13.01

Description: Records relating to risk management of occupational health and safety hazards where risk assessments indicate risk to employees and where health surveillance and/or monitoring of employees are necessary, and where the severity of risk is high. Records include:-records identifying and assessing hazards and risks associated with them including hazard reports-reviews of relevant health and safety information related to hazards/risks-records of decisions and reports developed to eliminate or control risks, e.g. health surveillance, changes to facilities, systems or methods of work or plan or substances used for work-reviews of hazards/risks-records of consultation with committees/representatives and affected employees on hazards/risks.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-14.13.02

Description: Records relating to risk management of occupational health and safety hazards where risk assessments indicate risk to employees and where ongoing health surveillance and/or monitoring of employees are necessary, but where the severity of risk is low. Records include:-records identifying and assessing hazards and risks associated with them including hazard reports-reviews of relevant health and safety information related to hazards/risks-records of decisions and reports developed to eliminate or control risks, e.g. health surveillance, changes to facilities, systems or methods of work or plans or substances used for work-reviews of hazards/risks-records of consultation with committees/representatives and affected employees on hazards/risks. Remarks: Occupational Health and Safety Regulation 2001 requires all risk assessment reports indicating a need for atmospheric monitoring or health surveillance, and records of the results of any atmospheric monitoring or health surveillance for at least 30 years after the date of last entry (s.171).

Retention: Retain minimum of 30 years after action completed, then destroy

GA28-14.13.03

Description: Records relating to risk management of occupational health and safety hazards where risk assessments indicate minimal or no risk to employees and where health surveillance and/or monitoring is not required. Records include: -records identifying and assessing hazards and risks associated with them including hazard reports-reviews of relevant health and safety information related to hazards/risks-reviews of hazards/risks-records of consultation with committees/representatives and affected employees on hazards/risks.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-14.13.04

Description: Records relating to the monitoring of atmospheric contaminants when a risk assessment indicates that it should be undertaken. Use OCCUPATIONAL HEALTH & SAFETY - INSPECTIONS for records relating to routinely conducted inspections of hazardous substances in the workplace. Remarks: Section 55 of the Occupational Health and Safety Regulation 2001 indicates that if a risk assessment indicates that monitoring of atmospheric contaminants should be undertaken at a workplace, monitoring needs to be undertaken, recorded and the results made readily accessible to employees who may have been exposed. Under s.171 these records should be available for at least 30 years.

Retention: Retain minimum of 30 years after action completed, then destroy

OCCUPATIONAL HEALTH & SAFETY - Standards

GA28-14.14.00

Description: The process of developing and implementing industry or organisational benchmarks for occupational health and safety to enhance the quality and efficiency of the organisation. Includes the development and implementation of occupational health and safety codes of practice. Use OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE for records relating to the organisation's compliance with standards.

Retention:

GA28-14.14.01

Function/Activity

GDA No

GA28-14.14.01

Description: Records relating to the development and implementation of industry codes of practice. Records include:-records of consultations with WorkCover NSW-copies of draft codes-submissions on draft codes.

Retention: Retain minimum of 2 years after action completed, then destroy

PERSONNEL

GA28-15.00.00

Description: The function of managing all employees in the organisation. Employees include Ministerial, permanent, temporary and part-time employees and people working under scholarships, traineeships, apprenticeships and similar relationships. Includes appeals, overtime, salaries, superannuation and working hours when related to persons rather than Industrial Relations. Also includes arrangements for employee travel and arrangements for volunteers to work in the organisation. Note: This function is included mainly to cover 'see' and 'see also' references from General Retention and Disposal Authority - Personnel records (GDA2). That authority has been referred to where relevant. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use GOVERNING BODIES for records relating to members of governing bodies such as boards, trusts, councils, commissions etc.

Retention:

GDA12-02.00.00

Description: The function of managing all employees in the organisation. Employees include Ministerial, permanent, temporary and part-time employees, people working under scholarships, traineeships, apprenticeships and similar relationships. Includes appeals, overtime, salaries, superannuation and working hours when related to persons rather than Industrial Relations. Also includes arrangements for staff travel and arrangements for volunteers to work in the organisation. Use General Retention and Disposal Authority - Administrative records for records relating to COMPENSATION, ESTABLISHMENT, INDUSTRIAL RELATIONS, OCCUPATIONAL HEALTH & SAFETY or STAFF DEVELOPMENT. Use General Retention and Disposal Authority - Administrative records for records relating to the management of salaries and payroll. Note: Consultants and contractors are not covered in the personnel function. Use General Retention and Disposal Authority - Administrative records, CONTRACTING-OUT.

Retention:

GDA23-6.0.0

Description: See also General Retention and Disposal Authority: Personnel Records

Retention:

PERSONNEL - Academic Promotions

GDA23-6.1.0

Description:

Retention:

GDA23-6.1.1

Description: Records relating to successful applicant for academic promotion.

Retention: Retain for same period as personal file, then destroy.

GDA23-6.1.2

Description: Records created or received in the course of the decision-making process for promotion of staff. Examples of records records of promotions and appeals committees; applications and supporting material; referee reports.

Retention: Retain for minimum of 1 year after action completed, then destroy.

PERSONNEL - Allowances

GDA12-02.01.00

Description: The activities involved in arranging and managing money paid to employees in addition to salary to cover expenses incurred in the course of employment, e.g. travelling allowances, first aid allowances. Use General Retention and Disposal Authority - Administrative records, FINANCIAL MANAGEMENT - SALARIES for records relating to payment of allowances. Use 2.12.0 PERSONNEL - EMPLOYMENT CONDITIONS for records relating to terms and conditions regarding allowances.

Retention:

PERSONNEL - Appeals (decisions)

GDA12-02.02.00

Function/Activity

GDA No

GDA12-02.02.00

Description: The activities involved in the process of appeals against decisions by application to a higher authority. Use 2.10.0 PERSONNEL - DISCIPLINE for records relating to disciplinary appeals. Use General Retention and Disposal Authority - Administrative records, COMPENSATION - CLAIMS for records relating to appeals regarding compensation claims.

Retention:

GDA12-02.02.01

Description: Records relating to internal appeals (where an organisation may have their own internal appeal mechanisms) including: -Case records -Register of appeals.

Retention: Retain for a minimum of 10 years after action completed, then destroy

GDA12-02.02.02

Description: Records relating to appeals made to external bodies, eg Government and Related Employees Appeals Tribunal (GREAT), Transport Appeals Board (TAB) and Statutory and Other Offices Remuneration Tribunal including: -Case records -Register of appeals. Note: Primary records of appeals are held by the external body.

Retention: Retain for a minimum of 5 years after action completed, then destroy

PERSONNEL - Arrangements

GDA12-02.03.00

Description: The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc. Also includes arrangements made for the usage of facilities, vehicles, equipment and space. May include arrangements to work from home.

Retention:

GDA12-02.03.01

Description: Records relating to approvals and authorisations for an employee to undertake a trip, a journey for work or arrangements to work from home including: -Approved applications. Use General Retention and Disposal Authority - Administrative records, FINANCIAL MANAGEMENT - AUTHORISATION for records relating to approvals where the approval form also includes a claim for expenses, subsistence etc and FINANCIAL MANAGEMENT - ACCOUNTING for records relating to payments for accommodation and vehicle hire.

Retention: Retain for a minimum of 6 years after action completed, then destroy

GDA12-02.03.02

Description: Records relating to travel arrangements and bookings made for an employee undertaking a trip or journey for work (eg accommodation, vehicle hire) including: -Booking records. Use General Retention and Disposal Authority - Administrative records, FINANCIAL MANAGEMENT - ACCOUNTING for records relating to payments for accommodation and vehicle hire.

Retention: Retain for a minimum of 2 years after action completed, then destroy

GDA12-02.03.03

Description: Records documenting the management of employee rosters. Use 2.17.0 PERSONNEL - LEAVE for records relating to leave. Use 2.12.10-11 PERSONNEL - EMPLOYMENT CONDITIONS for records relating to attendance.

Retention: Retain for a minimum of 6 months after action completed, then destroy

PERSONNEL - Audit

GDA12-02.04.00

Description: The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits. Use General Retention and Disposal Authority - Administrative records, STAFF DEVELOPMENT - AUDIT for records relating to skills audits. Use General Retention and Disposal Authority - Administrative records, STRATEGIC MANAGEMENT - AUDIT for records relating to audits which cross functions, examine core functions or measure organisational performance at a strategic level.

Retention:

PERSONNEL - Authorisation

GDA12-02.05.00

Function/Activity

GDA No

GDA12-02.05.00

Description: The process of seeking and granting permission to undertake a requested action. Use 2.3.0 PERSONNEL - ARRANGEMENTS for records relating to authorisations for employees to undertake a journey or trip. Use General Retention and Disposal Authority - Administrative records, STRATEGIC MANAGEMENT -AUTHORISATION for records relating to banking/financial authorities and delegations of authority.

Retention:

GDA12-02.05.01

Description: Records relating to authorisations for individuals to hold private employment.

Retention: Retain for a minimum of 7 years after private employment or employment ceases, then destroy

PERSONNEL - Circulars

GDA12-02.07.03

Description: Records regarding advice and guidance shared between the agency and external bodies concerning compliance matters including: - Circulars -Information letters. Use the appropriate activity for records relating to compliance regarding specific activities e.g. use 2.17.0 PERSONNEL - LEAVE for records relating to leave matters.

Retention: Retain for a minimum of 7 years after reference ceases, then destroy.

PERSONNEL - Committees

GDA12-02.06.00

Description: The activities associated with the management of committees. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agenda etc. Use 2.23.1 PERSONNEL - RECRUITMENT for records relating to selection committees for recruitment. Use General Retention and Disposal Authority - Administrative records, COMMITTEES for records relating to the formation, meetings and decisions of committees, task forces, working parties or groups etc.

Retention:

PERSONNEL - Compliance

GA28-15.01.00

Description: The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards. Use PERSONNEL - PLANNING, PERSONNEL - POLICY or PERSONNEL - PROCEDURES for records relating to the development and review of personnel management plans, policies or procedures. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - COMPLIANCE for records relating to the registration of the organisation with approved screening agencies for processes associated with working with children checks, records relating to reporting of critical incidents or matters where there is a statutory requirement to report to external bodies and records relating to advice and guidance shared between the organisation and external organisations regarding compliance matters.

Retention:

GA28-15.01.01

Description: Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements relating to the management of personnel. Note: The retention period provided is a guideline only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.

Retention: Retain minimum of 6 years after action completed, then destroy

GDA12-02.07.00

Description: The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series. Use General Retention and Disposal Authority - Administrative records, PERSONNEL - COMPLIANCE for records relating to organisational compliance with standards or requirements regarding the management of personnel.

Retention:

GDA12-02.07.01

Description: Records relating to the registration of an organisation with an 'approved screening agency' for all processes associated with the working with children checks including: -Copy of working with children registration form. Use 2.23.7-8 PERSONNEL - RECRUITMENT for records relating to working with children checks. Note: The registration records created or received by approved screening agencies are not covered in this Authority.

Retention: Retain for a minimum of 7 years after registration ceases, then destroy

GDA12-02.07.02

Function/Activity

GDA No

GDA12-02.07.02

Description: Records concerning reporting of critical incidents or matters where there is a statutory requirement to report to external bodies (eg Commission for Children and Young People, Ombudsman) including: -Notification of rejected applicants -Notification of disciplinary proceedings -Notification of findings -Reporting of reportable incidents -Copies of investigation reports, statements and documents and details of action taken regarding reported child abuse. Note: This class applies to the records of reporting/notification only. The reports or notifications should be retained by the external body. Records held by the public office on which the report or notification was based (such as discipline records) should be kept according to the retention periods outlined in this Authority. Use 2.10.0 PERSONNEL - DISCIPLINE for records relating to disciplinary matters. Use 2.23.7-8 PERSONNEL - RECRUITMENT for records relating to working with children checks.

Retention: Retain for a minimum of 10 years after action completed, then destroy

PERSONNEL - Contracting-out

GDA12-02.08.00

Description: The activities involved in arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services. Sometimes referred to as outsourcing. Note: The PERSONNEL function does not cover records of contractors and consultants. Use General Retention and Disposal Authority - Administrative records, CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use General Retention and Disposal Authority - Administrative records, TENDERING for records relating to receiving and assessing tenders.

Retention:

PERSONNEL - Counselling

GDA12-02.09.00

Description: The activities associated with giving advice or guidance to an employee. Use 2.10.0 PERSONNEL - DISCIPLINE for records relating to disciplinary matters. Use 2.19.0 PERSONNEL - PERFORMANCE MANAGEMENT for records relating to counselling regarding poor performance as part of performance management strategies.

Retention:

GDA12-02.09.01

Description: Records relating to counselling of employees. This includes career, trauma, financial and new entry counselling. Also includes counselling regarding breaches of the code of conduct. Records include: -Case file -Reports

Retention: Retain for minimum of 5 years after action completed, then destroy

GDA12-02.09.02

Description: Records of the implementation of counselling programs or schemes, such as career or trauma counselling programs, including: - Program plans -Reports.

Retention: Retain for a minimum of 5 years after action completed, then destroy

GDA12-02.09.03

Description: Records relating to reference information about external counselling programs or schemes.

Retention: Retain until reference ceases, then destroy

PERSONNEL - Discipline

GDA12-02.10.00

Description: The activities associated with the disciplinary process. Includes investigation, charges, formal inquiries, punishment and appeals. Note: This activity also includes allegations of misconduct and investigation of those allegations. Use 2.9.0 PERSONNEL - COUNSELLING for records relating to counselling.

Retention:

GDA12-02.10.01

Description: Records relating to allegations and disciplinary proceedings where the Ombudsman and the Commission for Children and Young People are notified (eg cases involving suspected abuse or neglect of children). This includes records concerning investigations, charges, inquiries and punishments and matters that have been referred to external bodies for investigation (eg NSW Department of Community Services). It also includes false, malicious or disproved allegations. Records include: -Advice of allegation and response -Risk assessments and action to minimise risk -Reports -Investigation documentation and reports -Interview transcripts -Signed statements -Inquiry records -Representations -Referrals to external bodies -Records of remedial and/or disciplinary action -Submissions in relation to disciplinary action. Use 2.7.2 PERSONNEL - COMPLIANCE for records relating to statutory reporting of critical incidents.

Retention: Retain for a minimum of 99 years after action completed, then destroy.

GDA12-02.10.02

Function/Activity

GDA No

GDA12-02.10.02

Description: Records relating to disciplinary proceedings where an officer is found to have committed a breach and serious disciplinary action is taken, but the offence has not involved a child or young person. This includes records concerning investigations, charges, inquiries and punishments and matters that have been referred to external bodies for investigation (eg NSW Police Service, ICAC). Records include: -Advice of allegation and response -Reports -Investigations -Interview transcripts -Signed statements -Inquiry records -Representations -Referrals to external bodies -Records of remedial and/or disciplinary action (including dismissal) -Submissions in relation to disciplinary action. Use 2.7.2 PERSONNEL - COMPLIANCE for records relating to statutory reporting of critical incidents.

Retention: Retain for a minimum of 25 years after action completed, then destroy

GDA12-02.10.03

Description: Records relating to disciplinary proceedings where an officer is found to have committed a breach of discipline but minor or no disciplinary action is taken (eg caution or reprimand) and the offence has not involved a child or young person. This includes records concerning investigations, charges, formal enquiries and/or punishments. Records include: -Advice of allegation and response -Reports -Investigations -Interview transcripts -Signed statements -Inquiry records -Representations -Records of remedial and/or disciplinary action -Submissions in relation to disciplinary action.

Retention: Retain for a minimum of 7 years after action completed, then destroy

GDA12-02.10.04

Description: Records relating to preliminary/fact finding investigations of misconduct that were not proceeded with and disciplinary matters where an officer is found not to have committed a breach of discipline (i.e. the allegations have been found to be false, vexatious or misconceived or could not be proven) and the accusation has not involved a child or a young person. This includes unsubstantiated allegations. Records include: -Advice of allegation and response -Reports -Investigations -Interview transcripts -Signed statements.

Retention: Retain for a minimum of 7 years after action completed, then destroy

PERSONNEL - Emeritus/ Adjunct professors

GDA23-6.2.0

Description: Records relating to activities of emeritus/adjunct professors should be sentenced under relevant function/activity.

Retention:

GDA23-6.2.1

Description: Records relating to the appointment of emeritus/adjunct professors.

Retention: Required as State archives

PERSONNEL - Employee files

GDA12-02.11.00

Description: Employee files can contain a range of records documenting a variety of activities relating to an individual employee. Filing practices can differ significantly from one organisation to another. This Authority authorises disposal of records according to the activity records document rather than the way they are managed in files. Note: Refer to Part 2, section 2.4: Disposing of personnel files for guidance on disposing of existing personnel files.

Retention:

PERSONNEL - Employment Conditions

GDA12-02.12.00

Description: The activities associated with managing the general conditions of employment for personnel. Use 2.28.0 PERSONNEL - SEPARATIONS for records relating to separation of an employee from the organisation. Use General Retention and Disposal Authority - Administrative records, OCCUPATIONAL HEALTH & SAFETY - HEALTH PROMOTION for records relating to promotion of the health of employee.

Retention:

GDA12-02.12.01

Description: Records summarising the employment or service history of an employee or volunteer including: -Employee history card -Service card (including electronic versions). Note: This is regardless of whether the employee is permanent, temporary or casual. Note: Summary records may include details such as: identification number, name, date of birth, address, contacts, date appointed, status, position and dates held, locations worked, promotions and higher duties and dates held, salary rates, allowances. Refer to Part 2, section 2.5: Identifying records required as State archives for more information. Use 2.17.1 PERSONNEL - LEAVE for records relating to consolidated leave.

Retention: Required as State archives.

GDA12-02.12.02

Function/Activity

GDA No

GDA12-02.12.02

Description: Records documenting the appointment and service of employees and volunteers: -who have made significant or unique achievements or contributions to society -whose employment experiences demonstrate significant or unique societal or public service attitudes to employment issues. Records include: -Gazettal -Recognition of prior service -Instruments of appointment - Conditions of engagement -Details of probation -Contract of employment -Confidentiality agreement as part of employment -Code of conduct -Service records -Details of any extenuating circumstances eg bankruptcy. Note: This is regardless of whether an employee is permanent, temporary or casual. Note: Refer to Part 2, section 2.5: Identifying records required as State archives for more information. Use 2.23.2 PERSONNEL - RECRUITMENT for records relating to the recruitment of these employees and volunteers.

Retention: Required as State archives.

GDA12-02.12.03

Description: Records documenting the appointment and service of employees (other than those in 2.12.2) where an adequate summary record is held (see 2.12.1) including: -Gazettal -Recognition of prior service -Instruments of appointment -Conditions of engagement - Details of probation -Contract of employment -Confidentiality agreement as part of employment -Code of conduct -Service records -Details of any extenuating circumstances eg bankruptcy. Note: This is regardless of whether an employee is permanent, temporary or casual. Use 2.23.0 PERSONNEL - RECRUITMENT for records relating to the recruitment process, including working with children checks and risk assessments and criminal record checks.

Retention: Retain for a minimum of 7 years after employment ceases, then destroy

GDA12-02.12.04

Description: Records documenting the appointment and service of employees (other than those in 2.12.2) where an adequate summary record is not held (see 2.12.1) including: -Gazettal -Recognition of prior service -Instruments of appointment -Conditions of engagement - Details of probation -Contract of employment -Confidentiality agreement as part of employment -Code of conduct -Service records -Details of any extenuating circumstances eg bankruptcy. Note: This is regardless of whether an employee is permanent, temporary or casual. Use 2.23.0 PERSONNEL - RECRUITMENT for records relating to the recruitment process, including working with children checks and risk assessments and criminal record checks.

Retention: Retain for a minimum of 75 years after date of birth or 7 years after last action, whichever is later, then destroy

GDA12-02.12.05

Description: Records relating to the appointment and service of volunteers (other than those covered by 2.12.2) including: -Agreements - Undertakings -Conditions of engagement -Details of work performed -Code of conduct -Service records. Use 2.23.0 PERSONNEL - RECRUITMENT for records relating to recruitment of volunteers and working with children checks. Use General Retention and Disposal Authority - Administrative records, COMPENSATION - CLAIMS for records relating to compensation claims made by volunteers.

Retention: Retain for a minimum of 3 years after service completed, or until the person reaches the age of 25, whichever is longer, then destroy

GDA12-02.12.06

Description: Records relating to the appointment and management of persons performing work experience including: -Agreements - Undertakings -Conditions of engagement -Details of work performed -Code of conduct. Use 2.23.0 PERSONNEL - RECRUITMENT for records relating to working with children checks. Use General Retention and Disposal Authority - Administrative records, COMPENSATION - CLAIMS for records relating to compensation claims made by work experience students.

Retention: Retain for a minimum of 3 years after action completed, or until the person reaches the age of 25, whichever is longer, then destroy

GDA12-02.12.07

Description: Records of employee's interests including: -Declarations eg pecuniary interest -Benefits -Contacts

Retention: Retain for a minimum of 7 years after superseded, then destroy

GDA12-02.12.08

Description: Records relating to the transfer or secondment of employees to the service of another organisation or another position within the same public office. Includes the transfer of teachers and hospital staff. Records include: -Request/direction - Authorisation/consent -Arrangements and conditions -Advice regarding proposed appointments -Termination of transfer. Use 2.17.2 PERSONNEL - LEAVE for records relating to leave without pay in excess of 6 months. Use 2.28.0 PERSONNEL - SEPARATIONS for records relating to an employee leaving the organisation.

Retention: Retain for a minimum of 7 years after action completed, then destroy

GDA12-02.12.09

Description: Records regarding arrangements for employees acting in higher positions than their substantive positions including: -Expressions of interest -Offer/appointment -Arrangements for acting in higher positions -Confidentiality agreements for higher positions - Termination of higher duties. Use 2.23.0 PERSONNEL - RECRUITMENT for records relating to promotions obtained by recruitment processes. Use General Retention and Disposal Authority - Administrative records, FINANCIAL MANAGEMENT - SALARIES for records relating to the payment of allowances.

Retention: Retain for a minimum of 7 years after action completed, then destroy

Function/Activity

GDA No

GDA12-02.12.10

Description: Records relating to the documentation of attendance of employees (excluding those employees who work with children) including: -Flexitime sheet -Flex adjustment sheet -Timecard -Absentee list -Attendance book. Note: If the organisation is covered by the Commonwealth Workplace Relations Amendment (Work Choices) Act 2005, these records should be retained for a minimum of 7 years after action completed.

Retention: Retain for a minimum of 6 years after action completed, then destroy

GDA12-02.12.11

Description: Records relating to the documentation of attendance of employees who work with children.

Retention: Retain for a minimum of 10 years after action completed, then destroy

GDA12-02.12.12

Description: Records relating to the management of employment schemes and job assistance schemes which have been implemented to recruit personnel such as apprenticeships, cadetships, traineeships and scholarships. This also includes schemes that target specific groups such as Aboriginal employment schemes or unemployed persons schemes. Records include: -Reports - Correspondence -Bonds and liabilities -Register of apprenticeships -Register of cadetships. Note: These employees will also have separate appointment and service records: Use 2.12.1-4 PERSONNEL - EMPLOYMENT CONDITIONS.

Retention: Retain for a minimum of 7 years after action completed, then destroy

GDA12-02.12.13

Description: Records relating to the management of terms and conditions of employment including advice about employment conditions and issues eg flexible work practices.

Retention: Retain for a minimum of 5 years after action completed, then destroy

GDA12-02.12.14

Description: General records relating to the administration of employment conditions including general information and reference materials held for information purposes, including: -Circulars -Memorandum.

Retention: Retain for a minimum of 2 years after action completed, then destroy

PERSONNEL - Evaluation

GDA12-02.13.00

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

Retention:

GDA12-02.13.01

Description: Records relating to the evaluation of needs, initiatives and schemes, which support the management of personnel, includes: Reports. Use General Retention and Disposal Authority - Administrative records, ESTABLISHMENT -EVALUATION for records relating to the evaluation of positions against existing or planned organisational structures.

Retention: Retain for minimum of 7 years after action completed, then destroy

GDA12-02.13.02

Description: Records relating to the job evaluation of particular positions or gradings. Use General Retention and Disposal Authority - Administrative Records, ESTABLISHMENT - VARIATIONS for records relating to variations to positions.

Retention: Retain for a minimum of 5 years after action completed, then destroy

PERSONNEL - Grievances

GDA12-02.14.00

Description: The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination; or complaints arising over work environment, work organisations or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion or higher duties. Note: Complaints over perceived discrimination could be on the grounds of sex, race, disability, pregnancy, carer responsibilities, homosexuality or transgender status and could also cover bullying or harassment. Note: If complaints involve children or young people, see 2.10.0 PERSONNEL - DISCIPLINE. Use General Retention and Disposal Authority - Administrative records, INDUSTRIAL RELATIONS - DISPUTES for records relating to industrial disputes.

Retention:

GDA12-02.14.01

Function/Activity

GDA No

GDA12-02.14.01

Description: Records relating to formal grievances raised by an employee, which are precedent setting cases and have resulted in significant change to agency procedure. Records include: -Case file.

Retention: Retain for a minimum of 10 years after action completed, then destroy

GDA12-02.14.02

Description: Records relating to all other formal grievances raised by an employee. Records include: -Case file.

Retention: Retain for a minimum of 5 years after action completed, then destroy

GDA12-02.14.03

Description: Records relating to grievances that were raised informally and not proceeded with. Records include: -Notes.

Retention: Retain for a minimum of 1 year after action completed, then destroy

PERSONNEL - Infringements

GDA12-02.15.00

Description: The activities associated with handling breaches of rules. Includes driving or traffic infringements and infringements of the organisation's intellectual property. Use 2.9.0 PERSONNEL - COUNSELLING for records relating to counselling over infringements that is not part of disciplinary action. Use 2.10.0 PERSONNEL - DISCIPLINE for records relating to infringements dealt with using disciplinary action. Use General Retention and Disposal Authority - Administrative records, FLEET MANAGEMENT - INFRINGEMENTS for records relating to driving or traffic infringements.

Retention:

PERSONNEL - Insurance

GA28-15.02.00

Description: The process of taking out premiums to cover the personal effects of employees while being moved between locations. Use COMPENSATION - INSURANCE for records relating to insurance policies covering employees against injury. Use FINANCIAL MANAGEMENT - REPORTING for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

Retention:

GA28-15.02.01

Description: Insurance policies supporting the management of personnel, e.g. for personnel and household effects being moved between locations, including information provided for renewals.

Retention: Retain minimum of 7 years after expiry of the policy, then destroy

GA28-15.02.02

Description: Records relating to the administration of insurance policies. Records include:-notices of renewals, advice on premiums payable etc.

Retention: Retain minimum of 1 year after action completed, then destroy

GDA12-02.16.00

Description: The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or while engaged during employment. Use General Retention and Disposal Authority - Administrative records, PERSONNEL - INSURANCE for records relating to insurance policies regarding the management of personnel, other than compensation policies. Use General Retention and Disposal Authority - Administrative records, COMPENSATION - INSURANCE for records relating to compensation insurance policies. Use General Retention and Disposal Authority - Administrative records, FINANCIAL MANAGEMENT - REPORTING for records relating to reporting to Treasury regarding yearly premium renewals for insurance policies.

Retention:

PERSONNEL - Leave

GDA12-02.17.00

Description: The process of administering leave for which staff are eligible. Includes unauthorised leave taken by staff.

Retention:

GDA12-02.17.01

Function/Activity

GDA No

GDA12-02.17.01

Description: Summary records of the administration of leave, leave requests, long term entitlements and the transfer of entitlements to other employers. Records include: -Register of Leave -Leave cards -Consolidated leave records. Use 2.12.1 PERSONNEL - EMPLOYMENT CONDITIONS for summary records of service.

Retention: Retain for a minimum of 75 years after date of birth of employee, or 7 years after action completed, whichever is later, then destroy

GDA12-02.17.02

Description: Records of extended (long service) leave, study leave and leave without pay in excess of 6 months including: -Leave requests - Leave forms -Authorisations.

Retention: Retain for a minimum of 75 years after date of birth of employee, or 7 years after action completed, whichever is later, then destroy

GDA12-02.17.03

Description: Records relating to applications for leave and the administration of leave, except for extended (long service) leave, study leave and leave without pay in excess of 6 months including: -Reports of unauthorised leave -Leave requests -Leave forms -Authorisations - Leave returns -Leave rosters -Medical certificates. Note: If the organisation is covered by the Commonwealth Workplace Relations Amendment (Work Choices) Act 2005, these records should be retained for a minimum of 7 years after action completed.

Retention: Retain for a minimum of 6 years after action completed, then destroy

PERSONNEL - Marketing

GDA12-02.18.00

Description: The process of analysing, creating and promoting careers and employment opportunities. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation. Use 2.23.1 PERSONNEL - RECRUITMENT for records relating to job advertisements.

Retention:

GDA12-02.18.01

Description: Records relating to the marketing of professions, career paths and employment schemes including: -Campaign records - Advertisements.

Retention: Retain until ceases to be of administrative use, then destroy

PERSONNEL - Performance Management

GDA12-02.19.00

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

Retention:

GDA12-02.19.01

Description: Records relating to the administration and implementation of the performance management program.

Retention: Retain for a minimum of 5 years after action completed, then destroy

GDA12-02.19.02

Description: Records of individual performance agreements with senior or executive officers on contracts of employment. Includes final version of the agreement, notes from meetings with employees and assessment and review reports. Also includes: -Annual reviews - Remedial action.

Retention: Retain for 7 years after employment ceases, then destroy

GDA12-02.19.03

Description: Records of individual performance agreements with other employees. Includes final version of the agreement, notes from meetings with employees and assessments and review reports. Also includes: -Work plan -Appraisal report -Performance counselling -Reviews.

Retention: Retain for a minimum of 3 years after action completed, then destroy

GDA12-02.19.04

Description: Records relating to the administration of internal prize, award or recognition schemes for employees.

Retention: Retain for a minimum of 2 years after action completed, then destroy

GDA12-02.19.05

Function/Activity

GDA No

GDA12-02.19.05

Description: Records of significant awards given to employees in recognition of service including: -Nomination -Details of awards.

Retention: Required as State archives

GDA12-02.19.06

Description: Records of routine or periodic awards given to employees in recognition of service including: -Nomination -Details of awards.

Retention: Retain for a minimum of 5 years after action completed, then destroy

PERSONNEL - Planning

GA28-15.03.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use ESTABLISHMENT - PLANNING for records relating to plans for the structure/establishment of sections or business units. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning, including equal employment opportunity planning.

Retention:

GA28-15.03.01

Description: Final, approved versions of plans for personnel projects, systems and activities within the organisation, e.g. plans for the deployment of employees, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-15.03.02

Description: Records relating to the development and review of personnel plans, e.g. plans for the deployment of employees. Records include:- 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.

Retention: Retain minimum of 3 years after action completed, then destroy

GDA12-02.20.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use General Retention and Disposal Authority - Administrative records, PERSONNEL - PLANNING for records relating to planning for personnel projects, systems and activities within the organisation. Use General Retention and Disposal Authority - Administrative records, STRATEGIC MANAGEMENT - PLANNING for records relating to planning if it forms part of broader, strategic planning.

Retention:

GDA12-02.20.01

Description: Working papers, masters and copies of routine and operational plans regarding personnel issues including: -Draft plans -Master plans -Reports.

Retention: This class has been superseded by General Retention and Disposal Authority - Administrative records, PERSONNEL - PLANNING, 15.3.1-2 (approved 25 June 2007)

PERSONNEL - Policy

GA28-15.04.00

Description: 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. Use PERSONNEL - COMPLIANCE for records relating to the organisation's compliance with standards or statutory requirements relating to the management of personnel. Use ESTABLISHMENT - POLICY for records relating to establishment policies, e.g. policies regarding classification and grading of positions, establishment and review of positions etc. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-15.04.01

Description: Final, approved versions of personnel policies, e.g. on employee travel, recruitment etc, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

Function/Activity

GDA No

GA28-15.04.02

Description: Records relating to the development and review of the organisation's personnel policies, e.g. on employee travel, recruitment etc. Records include:-policy proposals-background research -records of consultations or meetings-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.

Retention: Retain minimum of 3 years after action completed, then destroy

GDA12-02.21.00

Description: 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. Use General Retention and Disposal Authority - Administrative records, PERSONNEL - COMPLIANCE for records relating to an organisation's compliance with policies. Use General Retention and Disposal Authority - Administrative records, PERSONNEL - POLICY for records relating to personnel policies. Use General Retention and Disposal Authority - Administrative records, STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies, e.g. EEO. Use General Retention and Disposal Authority - Administrative records, STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GDA12-02.21.01

Description: Records relating to the formulation and implementation of an agency's own policy on routine and operational personnel matters including: -Drafts -Research.

Retention: This class has been superseded by General Retention and Disposal Authority - Administrative records, PERSONNEL - POLICY, 15.4.2 (approved 25 June 2007)

GDA12-02.21.02

Description: Records relating to the implementation of government-wide policies relating to routine and operational personnel management.

Retention: This class has been superseded by General Retention and Disposal Authority - Administrative records, STRATEGIC MANAGEMENT - IMPLEMENTATION, 19.9.1 (approved 25 June 2007)

GDA12-02.21.03

Description: Master circulars, memorandum and final policy documents created by the agency relating to routine and operational personnel policy.

Retention: This class has been superseded by General Retention and Disposal Authority - Administrative records, PERSONNEL - POLICY, 15.4.1 (approved 25 June 2007)

GDA12-02.21.04

Description: Copies of policy documents specifically relating to personnel.

Retention: Retain until ceases to be of administrative use, then destroy

PERSONNEL - Procedures

GA28-15.05.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use ESTABLISHMENT - PROCEDURES for records relating to 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. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures. Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to cross-functional or organisation-wide procedures.

Retention:

GA28-15.05.01

Description: Final, approved versions of manuals, handbooks, directives etc detailing the organisation's personnel procedures, e.g. recruitment procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-15.05.02

Description: Records relating to the development and review of manuals, handbooks, directives etc detailing the organisation's personnel procedures, e.g. recruitment procedures. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

GDA12-02.22.00

Function/Activity

GDA No

GDA12-02.22.00

Description: Standard methods of operating laid down by an organisation according to formulated policy. Use General Retention and Disposal Authority - Administrative records, PERSONNEL - PROCEDURES for records relating to the organisation's personnel procedures. Use General Retention and Disposal Authority - Administrative records, STRATEGIC MANAGEMENT- PROCEDURES for records relating to the organisation's manuals, handbooks, directives etc detailing the organisation's procedures on cross-functional or organisation-wide matters.

Retention:

GDA12-02.22.01

Description: Masters of routine and operational agency procedures regarding the administration of personnel. Includes: -Procedure manuals - Circulars.

Retention: This class has been superseded by General Retention and Disposal Authority - Administrative records, PERSONNEL - PROCEDURES, 15.5.1 (approved 25 June 2007)

GDA12-02.22.02

Description: Records concerning the development of procedures and implementation of routine and operational procedures regarding the administration of personnel including: -Drafts -Research.

Retention: This class has been superseded by General Retention and Disposal Authority - Administrative records, PERSONNEL - PROCEDURES, 15.5.2 (approved 25 June 2007)

GDA12-02.22.03

Description: Copies of routine and operational procedures relating to personnel.

Retention: Retain until ceases to be of administrative use, then destroy

PERSONNEL - Recruitment

GDA12-02.23.00

Description: The process of recruiting which includes applying for approval to fill existing vacancies, the advertising of vacant positions, and the handling of applications, interviews, selection, culling and appointment. Also includes recruiting volunteers. Use 2.2.0 PERSONNEL - APPEALS for records relating to appeals of recruitment decisions. Use 2.23.7-8 PERSONNEL - RECRUITMENT for records relating to working with children checks and 2.23.6 PERSONNEL - RECRUITMENT for records relating to criminal record checks.

Retention:

GDA12-02.23.01

Description: Records of selection including advertisements, interview reports, reference checks and gazette notices. Includes selection for promotion. Records include: -Advertisements -Selection committee reports -Reports on selection on other grounds -Eligibility lists - Gazette notices -Reference checks. Use 2.23.2-5 PERSONNEL - RECRUITMENT for records relating to applications for positions.

Retention: Retain for a minimum of 2 years after recruitment has been finalised, then destroy

GDA12-02.23.02

Description: Records documenting the recruitment of employees and volunteers - successful applicant: -who have made significant or unique achievements or contributions to society -whose employment experiences demonstrate significant or unique societal or public service attitudes to employment issues. Includes processing prior to appointment to the organisation or, in the case of promotions, to the new position. Records include: -Application including resume and references -Evidence of educational qualifications and personal particulars -Offer -Acceptance -Copy of position description or duty statement -Health declarations - Results of medical examinations at recruitment. Note: Refer to Part 2, Understanding and using the Authority, section 2.5: Identifying records required as State archives for more information. Use 2.12.1-2 PERSONNEL - EMPLOYMENT CONDITIONS for records relating to appointment and service in these categories.

Retention: Required as State archives.

GDA12-02.23.03

Description: Records of recruitment of other employees and volunteers - successful applicant. Includes processing prior to appointment to the organisation or, in the case of promotions, to the new position. Records include: -Application including resume and references - Evidence of educational qualifications and personal particulars -Offer -Acceptance -Copy of position description or duty statement - Health declarations -Results of medical examinations at recruitment. Use 2.12.1-5 PERSONNEL - EMPLOYMENT CONDITIONS for records relating to appointment and service.

Retention: Retain for a minimum of 7 years after employment ceases, then destroy

GDA12-02.23.04

Function/Activity

GDA No

GDA12-02.23.04

Description: Records of recruitment - unsuccessful applicant. Records include: -Application including resume and references -Evidence of educational qualifications and personal particulars -Copy of position description or duty statement -Health declarations -Results of medical examinations -Notification.

Retention: Retain for a minimum of 1 year after recruitment finalised, then destroy

GDA12-02.23.05

Description: Unsolicited resumes and requests for employment.

Retention: Retain until ceases to be of administrative use, then destroy

GDA12-02.23.06

Description: Records relating to criminal records checks carried out by a public office. Use 2.23.7-8 PERSONNEL - RECRUITMENT for records relating to working with children checks. Note: The records of criminal checks created or received by approved screening agencies are not covered in this Authority.

Retention: Retain in accordance with public office requirements, then destroy

GDA12-02.23.07

Description: Records relating to working with children checks as a result of which: a job applicant is offered employment an existing employee is determined fit to work with children an existing employee is determined unfit to work with children. Records include: - Prohibited person declaration form -Consent for working with children check -Request to screening agency for working with children check -Notification of result of working with children check. Use 2.7.0 PERSONNEL - COMPLIANCE for records relating to registration of organisations with approved screening agencies, and statutory reporting of critical incidents. Use 2.23.6 PERSONNEL - RECRUITMENT for records relating to criminal record checks. Note: The records of working with children checks or risk assessments created or received by approved screening agencies are not covered in this Authority.

Retention: Retain for a minimum of 75 years after date of birth of employee, or 7 years after action completed, whichever is later, then destroy

GDA12-02.23.08

Description: Records relating to working with children checks as a result of which a job applicant is not offered employment. Note: The records of working with children checks or risk assessments created or received by approved screening agencies are not covered in this Authority. Use 2.7.2 PERSONNEL - COMPLIANCE for records relating to statutory reporting of critical incidents. Use 2.23.6 PERSONNEL - RECRUITMENT for records relating to criminal record checks carried out as part of the recruitment process.

Retention: Retain for minimum of 1 year after recruitment finalised, then destroy

PERSONNEL - Rehabilitation

GDA12-02.24.00

Description: The process of managing programs designed to restore the injured worker to the fullest physical, psychological, social, vocational and economic usefulness of which they are capable - consistent with pre-injury status. Includes early intervention with appropriate, adequate and timely services through the use of a Rehabilitation Coordinator.

Retention:

GDA12-02.24.01

Description: Records relating to the rehabilitation of employees where the rehabilitation is not related to a compensation case. Records include: -Return to work plans. Use General Retention and Disposal Authority - Administrative records, COMPENSATION -CLAIMS for records relating to rehabilitation cases involving compensation.

Retention: Retain for a minimum of 10 years after action completed, then destroy

PERSONNEL - Reporting

GA28-15.06.00

Description: 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.

Retention:

GA28-15.06.01

Description: Records relating to reports regarding the management of personnel, e.g. workforce profile reports. Records include: -background research-records relating to the outcomes of consultation with employees, unions, other stakeholders etc-draft versions of reports containing significant changes/alterations or formally circulated for comment-final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-15.06.02

Function/Activity

GDA No

GA28-15.06.02

Description: Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding personnel programs and services. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

PERSONNEL - Representatives

GDA12-02.25.00

Description: The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees', councils or groups. Includes organisational legal representatives. Use General Retention and Disposal Authority - Administrative Records, FINANCIAL MANAGEMENT - SALARIES for records relating to the payment of allowances.

Retention:

GDA12-02.25.01

Description: Records relating to the nomination, appointment or resignation of individuals from the organisation as delegates or representatives. Records include: -Correspondence.

Retention: Retain for a minimum of 2 years after action completed, then destroy

PERSONNEL - Reviewing

GA28-15.07.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use PERSONNEL - PLANNING, PERSONNEL - POLICY or PERSONNEL - PROCEDURES for records relating to the review of plans, policies or procedures. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - EVALUATION for records relating to the evaluation of needs, initiatives and schemes which support the management of personnel.

Retention:

GA28-15.07.01

Description: Records relating to the review of needs, initiatives and schemes to support the management of personnel, including post implementation reviews. Records include:-documents establishing the review-development of methodologies for review-background research-draft versions of review reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports-project or action plans.

Retention: Retain minimum of 5 years after action completed, then destroy

PERSONNEL - Salaries

GA28-15.08.00

Description: The process of managing the payment of salaries to personnel. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - SALARIES for records relating to routine correspondence, including requests for information and reference material regarding superannuation. Use FINANCIAL MANAGEMENT - SALARIES for records relating to the payment of employee salaries.

Retention:

GA28-15.08.01

Description: Periodic returns from superannuation bodies regarding payments made by the organisation.

Retention: Retain minimum of 5 years after action completed, then destroy

GDA12-02.26.00

Description: The process of managing the payment of salaries to personnel. Use General Retention and Disposal Authority - Administrative records, PERSONNEL - SALARIES for records relating to returns from superannuation bodies regarding payments made by the organisation. Use General Retention and Disposal Authority - Administrative Records, FINANCIAL MANAGEMENT - SALARIES for records relating to other salary matters.

Retention:

GDA12-02.26.01

Description: Routine correspondence, including requests for information and reference material regarding superannuation.

Retention: Retain for a minimum of 2 years after action completed, then destroy

PERSONNEL - Security

GDA12-02.27.00

Function/Activity

GDA No

GDA12-02.27.00

Description: The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

Retention:

GDA12-02.27.01

Description: Records relating to the management of personnel security. This includes issuing identification, reporting of security incidents and arranging for identity checking. Records include: -Security checks -Reports.

Retention: Retain for a minimum of 5 years after action completed, then destroy

GDA12-02.27.02

Description: Personal Security Files (PSFs) of employees or contractors where the records are in the ownership of NSW State Government agencies. **Note:** Personal Security Files (PSFs) contain personal security information maintained in conformity with the standards set out in the Australian Government Protective Security Manual (PSM). PSFs are raised for employees and contracted services providers with security clearances, but may also be raised for some uncleared personnel. These records document security checks (vetting) carried out as part of pre-engagement and pre-employment checks and periodic reviews.

Retention: Retain for a minimum of 5 years after separation from service or 6 years after the date of last clearance check on file, whichever is sooner, then destroy

GDA12-02.27.03

Description: Personal Security Files (PSFs) of employees or contractors who take up permanent employment with Federal, other State or Territory government agencies.

Retention: Transfer custody and ownership to the relevant Federal, other State or Territory government agency upon request and in conformity with standards set out in the Australian Government Protective Security Manual (PSM). This approval permits the transferred r

GDA12-02.27.04

Description: Personal Security Files (PSFs) of employees or contractors who take up temporary employment with Federal, other State or Territory government agencies. **Note:** PSFs of staff temporarily transferred should return to the NSW Government agency at the end of the transfer period.

Retention: Transfer custody to the relevant Federal, other State or Territory government agency upon request and in conformity with standards set out in the Australian Government Protective Security Manual (PSM). This approval permits the transferred records to leave

PERSONNEL - Separations

GDA12-02.28.00

Description: The activities associated with managing any method of leaving an organisation. Includes resignation, retirement, dismissal, death, redundancy, retrenchment and dispensations of services of temporary personnel. Excludes temporary transfers. Use 2.12.8 PERSONNEL - EMPLOYMENT CONDITIONS for records relating to transfers or secondments.

Retention:

GDA12-02.28.01

Description: Records of planning the implementation of separations from the organisation eg as a result of work redesign, restructuring, and redeployments.

Retention: Retain for a minimum of 10 years after action completed, then destroy

GDA12-02.28.02

Description: Records of the separation of individuals from the organisation, excluding separations caused by deaths while the individual is on duty or on their way to or from work, or from work related injuries or disease. Records include: -Letter of notice -Reports/details of discharge etc -Exit interviews -Gazette notice of retirement or resignation -Certificate of service -Details of entitlements. Use 2.10.0 PERSONNEL - DISCIPLINE for records relating to disciplinary proceedings that result in dismissal. Use 2.28.4 PERSONNEL - SEPARATIONS for records relating to the redeployment of senior or executive officers to other organisations.

Retention: Retain for a minimum of 7 years after employment ceases, then destroy

GDA12-02.28.03

Description: Records of the separation of individuals from the organisation, when death occurs while the individual is on duty or on their way to or from work, or from work related injuries or disease. Records include: -Report/details of death -Details of entitlements. Use General Retention and Disposal Authority - Administrative records, COMPENSATION for records relating to compensation.

Retention: Retain for a minimum of 7 years after death of individual, then destroy

GDA12-02.28.04

Function/Activity

GDA No

GDA12-02.28.04

Description: Records regarding the redeployment or reassignment of senior or executive officers on contracts of employment to other organisations. Records include: -Order or determination.

Retention: Retain for a minimum of 75 years after date of birth of employee, or 7 years after action completed whichever is the longer, then destroy

PERSONNEL - Social Clubs

GDA12-02.29.00

Description: The activities involved in the organisation's relationship with social clubs. Note: The records of the club itself, such as minutes of meetings, are not public records and are therefore not covered by this Authority.

Retention:

GDA12-02.29.01

Description: Records relating to the interaction between the organisation and employee run social clubs.

Retention: Retain for a minimum of 2 years after action completed, then destroy

PERSONNEL - Suggestions

GDA12-02.30.00

Description: The process of using suggestions from personnel to improve the services and processes of the organisation. Use General Retention and Disposal Authority - Administrative Records, COMMUNITY RELATIONS - PUBLIC REACTION for records relating to suggestions from the public.

Retention:

GDA12-02.30.01

Description: Records of suggestions from personnel.

Retention: Retain for a minimum of 2 years after action completed, then destroy

PERSONNEL - Visiting/conjoint/ adjunct academics

GDA23-6.3.0

Description:

Retention:

GDA23-6.3.1

Description: Records relating to visiting, conjoint & adjunct academics, including fellows.

Retention: Retain for minimum of 7 years after action completed, then destroy.

PERSONNEL - Volunteers

GDA23-6.4.0

Description:

Retention:

GDA23-6.4.1

Description: Personal records relating to the recruitment and management of volunteers. Examples of records signed code of conduct; attendance records; contracts or other agreements. See General Retention and Disposal Authority: Personnel Records for 'working with children' records.

Retention: Retain for minimum of 6 years after separation, then destroy.

PROPERTY & FACILITIES MANAGEMENT

GDA23-7.0.0

Description: The function of managing working, storage or living space within premises and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Premises include buildings and grounds owned, rented or leased by the organisation such as office blocks, repositories and workshops. Note: this also includes the management etc of grounds including landscaping, roads and pathways. See also General Retention and Disposal Authority: Administrative Records for records relating to property and premises management.

Retention:

PROPERTY & FACILITIES MANAGEMENT - Capital works

GDA23-7.1.0

Description: The construction of, renovation to or upgrade of buildings, structures, landscapes and environs.

Retention:

GDA23-7.1.1

Description: Construction Significant building/structure Key records relating to the construction of, major renovations to, or major capital works to, buildings, structures or environs that are of significance due to the fact that they are: award winning; a local or regional landmark; or heritage listed. Examples of records: plans/designs as approved; plans/designs as executed; specifications; photographs

Retention: Required as State archives

GDA23-7.1.2

Description: Construction – principal records Construction records of buildings, structures or environs not considered as ‘significant’ as defined in 7.1.1. Examples of records: plans/designs as approved; plans/designs as executed; specifications; photographs.

Retention: Retain for minimum of 7 years after building or structure disposed of, then destroy.

GDA23-7.1.3

Description: Construction – minor records Minor records relating to the construction of, or major capital works to buildings, structures or environs not covered in 7.1.1 and 7.1.2. See General Retention and Disposal Authority: Administrative Records for contracts.

Retention: Retain for minimum of 7 years after construction work completed, then destroy.

GDA23-7.1.4

Description: Fit-outs, renovations, installations & maintenance (involving structural changes) Records relating to structural changes to buildings, structures or environs as part of fit-outs, renovations, installations and maintenance. Examples of records: plans/designs as designed; plans/designs as executed; specifications; construction contracts & tender documents; photographs.

Retention: Retain for minimum of 7 years after building or structure disposed of, then destroy.

GDA23-7.1.5

Description: Fit-outs, installations & maintenance (non-structural changes) Records relating to non-structural changes to buildings, structures or environs as part of fit-outs, renovations, installations and maintenance. See General Retention and Disposal Authority: Administrative Records for contracts.

Retention: Retain for minimum of 7 years from completion of work, then destroy.

GDA23-7.1.6

Description: Upgrades or installation of services Key records relating to the upgrade or installation of services to buildings, structures and environs. Examples of records: plans; and specifications.

Retention: Retain for minimum of 7 years from when superseded, then destroy.

GDA23-7.1.7

Description: Administrative and supporting documentation relating to upgrades or installation of services.

Retention: Retain for minimum of 7 years from completion of work, then destroy.

GDA23-7.1.8

Description: Records relating to identification and management of asbestos used in construction.

Retention: Retain for minimum of 99 years from removal or disposal of asbestos, then destroy.

PROPERTY & FACILITIES MANAGEMENT - Commemorative plaques

GDA23-7.2.0

Description:

Retention:

GDA23-7.2.1

Description: Records relating to the design of plaques for use in or on structures within the university grounds.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-7.2.2

Function/Activity

GDA No

GDA23-7.2.2

Description: Records relating to the installation, management and removal or relocation of plaques for use in or on structures within the university grounds.

Retention: Retain for minimum of 2 years after action completed, then destroy.

PROPERTY & FACILITIES MANAGEMENT - Flora/fauna management

GDA23-7.3.0

Description: Records relating to the management, handling and relocation of protected or endangered flora and fauna in areas under the control of the university.

Retention:

GDA23-7.3.1

Description: Records relating to the handling, relocation or disposal of protected flora and fauna. This can include: animal species registers; animal surveys; plant species registers; and plant surveys.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-7.3.2

Description: Records relating to the management of native flora.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-7.3.3

Description: Records relating to the management of wildlife and native flora reserves.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-7.3.4

Description: Records relating to the management of endangered species.

Retention: Retain for minimum of 10 years after action completed, then destroy.

PROPERTY & FACILITIES MANAGEMENT - Maps

GDA23-7.4.0

Description: Maps which are used for informational purposes. See PROPERTY & FACILITIES MANAGEMENT – Capital Works for architectural plans and survey maps. See also General Retention and Disposal Authority: Administrative Records for architectural or survey maps and plans.

Retention:

GDA23-7.4.1

Description: Master copies of maps of university.

Retention: Required as State archives

GDA23-7.4.2

Description: Maps used for any other purpose which are based on the master map. For example maps produced for induction/orientation week activities.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-7.4.3

Description: Drafting records for maps and plans.

Retention: Retain for minimum of 1 year after action completed, then destroy.

PROPERTY & FACILITIES MANAGEMENT - Naming

GDA23-7.5.0

Description:

Retention:

GDA23-7.5.1

Function/Activity

GDA No

GDA23-7.5.1

Description: Records relating to the naming of university buildings, roads, ovals, reserves and other structures.

Retention: Retain for minimum of 10 years after building/structure disposed of, then destroy.

PROPERTY & FACILITIES MANAGEMENT - Traffic management

GDA23-7.6.0

Description:

Retention:

GDA23-7.6.1

Description: Records of a routine nature relating to parking and other traffic matters.

Retention: Retain for minimum of 6 months after action completed, then destroy.

GDA23-7.6.2

Description: Records relating to management and planning of parking and traffic control.

Retention: Retain for minimum of 5 years after action completed, then destroy.

GDA23-7.6.3

Description: Applications for parking permits. Note: If the applications contain payment authorities such as salary deductions or credit card details they should be sentenced under the appropriate entry in General Retention and Disposal Authority - Financial & Accounting Records.

Retention: Retain for minimum of 1 year after expiry of permit, then destroy.

GDA23-7.6.4

Description: Records relating to fines/penalties for parking and other traffic offences.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-7.6.5

Description: Records relating to traffic accidents which involve injury or damage to property. See also General Retention and Disposal Authority - Administrative Records: COMENSATION; INSURANCE; LEGAL MATTERS – Litigation; and OCCUPATIONAL HEALTH & SAFETY (OH&S)

Retention: Retain for minimum of 6 years after action completed, then destroy.

PROPERTY & FACILITIES MANAGEMENT - Waste management

GDA23-7.7.0

Description: The management of waste and the off-site disposal of waste products. See also General Retention and Disposal Authority: Administrative Records for contracts. PROPERTY & FACILITIES MANAGEMENT – Capital Works for records relating to the management and disposal of asbestos used in construction. Note: For definition of hazardous substances and further information refer to legislation and industry codes, eg Occupational Health and Safety Regulation 2001 and Australian Dangerous Goods Code.

Retention:

GDA23-7.7.1

Description: Records relating to the management and off-site disposal of non-hazardous substances.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-7.7.2

Description: Records relating to the management and off-site disposal of hazardous substances where the level of danger to humans and the environment is low and the effects are not potentially long-term, such as clinical and related waste. Note: For definition of hazardous substances and further information refer to legislation and industry codes, eg Occupational Health and Safety Regulation 2001 and Australian Dangerous Goods Code.

Retention: Retain for minimum of 20 years after action completed, then destroy.

GDA23-7.7.3

Description: Records relating to the management and off-site disposal of hazardous substances with potential long term effects on humans and the environment, such as radioactive waste, pesticides, etc.

Retention: Retain for minimum of 99 years after action completed, then destroy.

PROPERTY MANAGEMENT

Description: The function of managing land and working, storage or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of property. Includes buildings and land allotments owned, rented or leased by the organisation, such as office blocks, repositories and workshops. Also includes energy and environmental management, the removal of pollutants and waste and the management of grounds including landscaping, roads and pathways. Use the organisation's functional retention and disposal authority for records relating to the acquisition, design, construction and disposal of purpose-built, specialised premises supporting core functions or with unique design features, e.g. school buildings, Sydney Observatory, Sydney Opera House etc. Use COMMUNITY RELATIONS - CELEBRATIONS, CEREMONIES, FUNCTIONS for records relating to functions held to commemorate the opening and naming of buildings, premises, landmark structures, etc. Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to the monitoring and assessment of property as corporate assets. Use OCCUPATIONAL HEALTH & SAFETY for records relating to the management of occupational health and safety matters and for records relating to accidents involving employees or visitors to the property. Note: Properties of heritage significance can include buildings, objects, monuments, Aboriginal places, gardens, bridges, landscapes, archaeological sites, shipwrecks, relics, bridges, streets, industrial structures and conservation precincts. Note: For the purposes of this authority, a property is 'heritage listed' if it is featured on: -the National Heritage List searchable via the Australian Heritage Database at: <http://www.environment.gov.au/cgi-bin/ahdb/search.pl>-the State Heritage Register searchable at: http://www.heritage.nsw.gov.au/07_subnav_02.cfm-the organisation's heritage and conservation register -a local environmental planning (LEP) instrument -the Royal Australian Institute of Architects' (RAIA), NSW Chapter, Register of 20th Century Buildings of Significance searchable at: <http://www.architecture.com.au/i-cms?page=8450> and/or -the DOCOMOMO Register of Modern Movement Buildings, sites and landscapes in Australia (NSW) searchable at: http://www.docomomoaustralia.com.au/page/building_register.html Note: Current minimum retention periods for records relating to monitoring and reporting on greenhouse gas emissions, and energy production and consumption may not reflect the retention requirements specified in new or updated legislation (e.g. the Energy Efficiency Opportunities Regulations 2006 (Commonwealth) and the National Greenhouse and Energy Reporting Act 2007 (Commonwealth)). Before implementing the disposal decisions in this authority, organisations should ensure they are aware of any legislative requirements to retain records for longer than specified by the minimum retention periods. Note: State and local government agencies responsible for the management of Crown reserves, commons and land that is currently or may potentially be the subject of a claim under the Aboriginal Land Rights Act 1983 should ensure records providing evidence of ownership, control and usage of the relevant parcel are retained and not destroyed until a claim has been granted over that parcel of land. These records could include planning documents or decisions concerning proposed or approved use of the land, surveys, agreements, memorandums, consents and tenure arrangements regarding the following land matters – acquisition, transfers, boundaries, usage, rights of way and easements, leases or licences for any uses/purposes, land/resource management and management of parks and reserves. Please note that the making of a claim which is unsuccessful does not preclude the making of further claims over the same areas of land under the Act. For further advice and guidance as to land that is claimable under the Aboriginal Land Rights Act and records requiring retention, agencies should contact the Crown Lands division of the Land and Property Management Authority.☐

Retention:

PROPERTY MANAGEMENT - Acquisition

GA28-16.01.00

Description: The process of gaining ownership or use of property required for the conduct of business. Use the organisation's functional retention and disposal authority for records relating to the acquisition of specialised premises supporting core functions or which have unique design features, e.g. school buildings, Sydney Observatory, Sydney Opera House etc. Use PROPERTY MANAGEMENT - LEASING for records relating to leasing accommodation, premises or real estate from another organisation. Use PROPERTY MANAGEMENT - REPORTING for records relating to reporting on procurement decisions for property, e.g. energy consumption reports. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use EQUIPMENT & STORES - ACQUISITION for records relating to the acquisition of equipment and stores required for the management of property, e.g. furniture and furnishings. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting acquisitions. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-16.01.01

Description: Records relating to the acquisition of property that is significant due to the fact that it is:-a recipient of prestigious State, national or international architectural or design awards-an important local or regional landmark, or -heritage listed. Records include:- records of investigations into and reports on the property-images, including digital recordings, photographs, maps etc-records demonstrating public reaction to the purchase-environmental impact assessments-budget estimates-cost-benefit analyses-correspondence with the vendor or owner-due diligence checks prior to purchase-draft versions of contracts of purchase containing significant changes/alterations-final, approved versions of contracts of purchase.

Retention: Required as State archives

GA28-16.01.02

Function/Activity

GDA No

GA28-16.01.02

Description: Records relating to the acquisition of property that is not:-a recipient of prestigious State, national or international architectural or design awards-an important local or regional landmark, or -heritage listed.Records include:-records of investigations into and reports on the property-images, including digital recordings, photographs, maps etc-records demonstrating public reaction to the purchase-environmental impact assessments-budget estimates-cost-benefit analyses-correspondence with the vendor or owner-due diligence checks prior to purchase-draft versions of contracts of purchase containing significant changes/alterations-final, approved versions of contracts of purchase.Note: Specialty contracts include contracts under seal and deeds to property. Note: 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.

Retention: (A) For specialty contracts:Retain minimum of 12 years after disposal of property, then destroy (B) For standard contracts or agreements:Retain minimum of 7 years after disposal of property, then destroy

GA28-16.01.03

Description: Summary records created to facilitate the management of property owned by the organisation, e.g. deed registers, property registers, land registers etc.

Retention: Required as State archives

GA28-16.01.04

Description: Deeds or certificates of title for property owned by the organisation.

Retention: Retain until property is sold, then transfer title deeds or certificates to new owner

GA28-16.01.05

Description: Records relating to negotiations for property where the acquisition is not proceeded with.

Retention: Retain minimum of 10 years after action completed, then destroy

GA28-16.01.06

Description: Records relating to the acquisition of services supporting property management, e.g. temporary use of plumbers, groundkeepers, electricians, where there is no tender or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering or where no maintenance contract is in place.

Retention: Retain minimum of 7 years after action completed, then destroy

PROPERTY MANAGEMENT - Arrangements

GA28-16.02.00

Description: The activities involved in arranging usage of facilities and space. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions for the use of premises.

Retention:

GA28-16.02.01

Description: Records relating to routine arrangements for the use of property. Includes parking arrangements and facility bookings.Use PROPERTY MANAGEMENT - ACQUISITION for records relating to agreements regarding use of property that form part of acquisition processes, e.g. agreements relating to easements and right of way arrangements.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PROPERTY MANAGEMENT - Audit

GA28-16.03.00

Description: 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. Use PROPERTY MANAGEMENT - COMPLIANCE for records relating to the organisation's compliance with standards or requirements relating to the management of property.Use PROPERTY MANAGEMENT - CONSERVATION for records relating to the remediation of contaminated sites.Use FINANCIAL MANAGEMENT - AUDIT for records relating to formal audits of accounts or the management of financial resources.☐

Retention:

GA28-16.03.01

Description: Records relating to audits of processes and systems to detect the presence of hazardous substances or conditions in buildings or land.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-16.03.02

Function/Activity

GDA No

GA28-16.03.02

Description: Records relating to audits of the organisation's property or property management processes and systems not related to hazardous substances, e.g. water or waste recycling audits, energy usage audits, audits of construction processes etc. Records include:- records of audit planning or liaison with auditing body -minutes or notes of meetings-notes taken at interviews-correspondence-draft versions of reports containing significant changes/alterations or formally circulated for comment -final versions of authorised reports-records of remedial action.

Retention: Retain minimum of 6 years after action completed, then destroy

PROPERTY MANAGEMENT - Claims

GA28-16.04.00

Description: The process of administering and managing claims and appeals lodged after an incident as compensation for damage to or destruction of property. Use the organisation's functional retention and disposal authority for records relating to native title claims and claims and appeals made against the compulsory acquisition of property or the level of compensation received.Use PROPERTY MANAGEMENT - ACQUISITION for records relating to the compulsory acquisition of property.Use PROPERTY MANAGEMENT - INSURANCE for records relating to property insurance policies.Use COMPENSATION - CLAIMS for records relating to the handling of claims for compensation and the rehabilitation of employees.

Retention:

GA28-16.04.01

Description: Records relating to insurance claims and appeals by the organisation for damage to and/or loss of property.

Retention: Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy

PROPERTY MANAGEMENT - Compliance

GA28-16.05.00

Description: 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.Use PROPERTY MANAGEMENT - INSPECTIONS for records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land.

Retention:

GA28-16.05.01

Description: Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements relating to the management of property, e.g. Australian and international standards for building management, disabled access, air conditioning, environmental regulations and building regulations, safety certification, maintenance for fire prevention and access to water supplies.Use PROPERTY MANAGEMENT - CONSERVATION for records relating to the remediation of contaminated sites. Note: Retention period is provided as a guide only. Any records providing evidence of organisational compliance with statutory or operating requirements must be kept as long as the organisation has to account for its actions.

Retention: Retain minimum of 6 years after action completed, then destroy

GA28-16.05.02

Description: Records relating to breaches of regulatory requirements by the organisation, e.g. breaches of waste or environmental requirements, breaches of orders or requirements for the maintenance of heritage properties etc. Use PROPERTY MANAGEMENT - SECURITY for records relating to breaches of property security.Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of compliance requirements.

Retention: Retain minimum of 15 years after action completed, then destroy

PROPERTY MANAGEMENT - Conservation

GA28-16.06.00

Description: The activities involved in the preservation, protection, maintenance, restoration and enhancement of property. Includes the management of heritage property, remediation of contaminated land and the conservation of Aboriginal sites.Use PROPERTY MANAGEMENT - CONSTRUCTION for records relating to the construction, major renovation or restoration of buildings, structures or environs.Use PROPERTY MANAGEMENT - MAINTENANCE for records relating to the ongoing maintenance of property. Use PROPERTY MANAGEMENT - PLANNING for records relating to conservation management plans or plans to support the management of property, e.g. environment management plans.Use PROPERTY MANAGEMENT - REPORTING for records relating to reporting to the heritage organisations on conservation issues, and conservation and condition treatment reports.Use STRATEGIC MANAGEMENT - GRANT FUNDING for records relating to applications for grants to conserve heritage property.Use STRATEGIC MANAGEMENT - PLANNING for records relating to heritage asset management strategic plans.

Retention:

GA28-16.06.01

Function/Activity

GDA No

GA28-16.06.01

Description: Summary records created to record and facilitate the identification and ongoing management of heritage assets, e.g. heritage and conservation registers. Includes records of changes to the heritage status of properties on the register.

Retention: Required as State archives

GA28-16.06.02

Description: Records relating to the identification and assessment of assets owned by the organisation where the assessment has confirmed that the asset is of heritage significance. Includes records relating to assets which are subsequently removed from the organisation's heritage and conservation register due to transfer or sale. Records include:-internal organisational assessments-records of consultation with communities and other stakeholders-consultants' reports -nominations and submissions on proposed listings-correspondence with heritage bodies-notifications of inclusion on heritage listings-notifications of permanent heritage orders.

Retention: Required as State archives

GA28-16.06.03

Description: Records relating to the identification and assessment of assets owned by the organisation where the assessment has determined that the asset is not of heritage significance. Includes records relating to assets provisionally listed on the organisation's heritage and conservation register that, once assessed, are subsequently removed. Records include:-internal organisational assessments-records of consultation with communities and other stakeholders-consultants' reports -nominations and submissions on proposed listings-correspondence with heritage bodies-notifications of outcome-notifications of interim heritage orders.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-16.06.04

Description: Records relating to the ongoing conservation maintenance of assets owned or occupied by the organisation that have been identified as having heritage significance. Includes records relating to assets which are subsequently removed from the organisation's heritage and conservation register due to transfer or sale. Records include:-applications seeking changes to heritage places -notifications or orders from the Heritage Council, e.g. notifications or orders restricting development or harm to buildings or regarding failures to maintain or repair-advice and submissions given to or received from heritage bodies regarding maintenance, repair or adaptation-heritage agreements -records of site inspections and monitoring-records of remedial action.

Retention: Required as State archives

GA28-16.06.05

Description: Records relating to the remediation of contaminated sites that:-present a major long term public health risk, e.g. toxic waste-involve major public controversy, or -have a significant impact on policies/procedures. Records include: -environmental and heritage impact assessments and plans-records of consultations-records of site inspections-records of remedial action -records of environmental monitoring.

Retention: Required as State archives

GA28-16.06.06

Description: Records relating to the remediation of contaminated sites that do not:-present a major long term public health risk-involve major public controversy, or -have a significant impact on policies/procedures. Records include: -environmental and heritage impact assessments and plans-records of consultations-records of site inspections-records of remedial action -records of environmental monitoring.

Retention: Retain for minimum of 75 years after action completed, then destroy

PROPERTY MANAGEMENT - Construction

GA28-16.07.00

Description: The process of making, erecting, renovating or restoring a structure or environs. Includes major maintenance work involving structural changes. Use the organisation's functional retention and disposal authority for records relating to the construction of purpose-built, specialised premises supporting core functions or with unique design features, e.g. school buildings, Sydney Observatory, Sydney Opera House etc. Use PROPERTY MANAGEMENT - PLANNING for records relating to planning construction programs. Use CONTRACTING-OUT for records relating to the contracting-out or outsourcing of construction work including contracts. Use TENDERING for records relating to receiving and assessing tenders for construction work.

Retention:

GA28-16.07.01

Function/Activity

GDA No

GA28-16.07.01

Description: Key records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that is of significance due to the fact that it is:-a recipient of a prestigious State, national or international architectural or design award-an important local or regional landmark, or-heritage listed.Records include:-building and development applications, including supporting documentation recording reviews of environmental factors such as environmental impact statements, archaeological or heritage impact statements-records demonstrating public reaction to the construction-plans/designs as approved-plans/designs as executed and variations-specifications-photographs-drawings-site diaries and plans-archival recordings of demolition-records of structural changes made for installations, fit-outs and maintenance-records of decisions or approvals regarding naming of buildings, use of coats of arms/heraldry and the erection of plaques on buildings, structures and public spaces-display models of architectural quality. Use 16.7.3 for project management records.

Retention: Required as State archives

GA28-16.07.02

Description: Key records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that is not:-a recipient of prestigious State, national or international architectural or design awards-an important local or regional landmark, or-heritage listed.Records include:-building and development applications, including supporting documentation recording reviews of environmental factors such as environmental impact statements, archaeological or heritage impact statements-records demonstrating public reaction to the construction-plans/designs as approved-plans/designs as executed and variations-specifications-photographs-drawings-site diaries and plans-records of structural changes made for installations, fit-outs and maintenance-records of decisions or approvals regarding naming of buildings, use of coats of arms/heraldry and the erection of plaques on buildings, structures and public spaces-display models of architectural quality.Use 16.7.3 for project management records.

Retention: Retain minimum of 7 years after building or structure is disposed of, then destroy OR transfer to new owner as required

GA28-16.07.03

Description: Records relating to project management for construction works. Records include:-records of budget and costs-records of client liaison on non technical matters-records of contractual matters such as variations, payment and sign off on construction-records of logistics -site procedures-records of quality and performance measurements-periodic reports-project risk management records and schedules-records of consultations.Use 16.7.1-2 for site diaries.

Retention: Retain minimum of 12 years after project completed, then destroy

GA28-16.07.04

Description: Records for projects or proposals proceeded with relating to the construction of property (other than key construction records, project management or records of hazardous materials) such as non-architectural quality models, correspondence with builders and records relating to minor day-to-day repairs or maintenance of site.Use 16.7.3 for project management records.Use PROPERTY MANAGEMENT - INSTALLATION for records relating to the installation of service systems, e.g. installation of heating, plumbing, air conditioning, security equipment, cabling, alarms etc, that do not involve structural changes.Use PROPERTY MANAGEMENT - MAINTENANCE for records relating to minor maintenance works.

Retention: Retain minimum of 7 years after construction work completed, then destroy

GA28-16.07.05

Description: Records relating to the identification and management of hazardous materials including asbestos used or encountered in construction work.

Retention: Retain minimum of 75 years after removal or disposal of hazardous materials, then destroy OR transfer to new owners on disposal of property

GA28-16.07.06

Description: Records relating to construction projects or proposals not proceeded with.

Retention: Retain minimum of 7 years after action completed, then destroy

PROPERTY MANAGEMENT - Disposal

GA28-16.08.00

Description: The process of disposing of property no longer required by the organisation by sale, transfer, termination of lease, auction, or destruction. Use the organisation's functional retention and disposal authority for records relating to the disposal of purpose-built, specialised premises supporting core functions or with unique design features, e.g. school buildings, Sydney Observatory, Sydney Opera House etc.Use PROPERTY MANAGEMENT - LEASING for records relating to the termination of leases.Use PROPERTY MANAGEMENT - MOVING for records relating to the relocation of business units to another premises.Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to the removal of items from the organisation's asset register.

Retention:

GA28-16.08.01

Function/Activity

GDA No

GA28-16.08.01

Description: Records relating to the disposal of property that is significant due to the fact that it is:-a recipient of a prestigious State, national or international architectural or design award-an important local or regional landmark, or -heritage listed.Records include:- assessments and investigations-valuation certificates-records of preparation undertaken before disposal-archival recordings of demolition-draft versions of contracts of sale containing significant changes/alterations-final, approved versions of contracts of sale.

Retention: Required as State archives

GA28-16.08.02

Description: Records relating to the disposal of property that is not:-a recipient of prestigious State, national or international architectural or design awards-an important local or regional landmark, or -heritage listed.Records include:-assessments and investigations-valuation certificates-records of preparation undertaken before disposal-draft versions of contracts of sale containing significant changes/alterations-final, approved versions of contracts of sale.

Retention: (A) For specialty contracts:Retain minimum of 12 years after disposal of property, then destroy (B) For standard contracts or agreements:Retain minimum of 7 years after disposal of property, then destroy

PROPERTY MANAGEMENT - Evaluation

GA28-16.09.00

Description: The process of determining the suitability of potential or existing property in relation to meeting the needs of the given situation. Includes ongoing monitoring.

Retention:

GA28-16.09.01

Description: Records relating to the evaluation of the suitability of potential property or the monitoring of existing property in relation to meeting the needs of the organisation's accommodation and business requirements, e.g. sourcing, appraising and evaluating potential accommodation, business cases, feasibility studies etc.

Retention: Retain minimum of 5 years after action completed, then destroy

PROPERTY MANAGEMENT - Flora & fauna management

GA28-16.10.00

Description: The activities concerning the management, handling and relocation of protected or endangered flora and fauna in areas under the control of the organisation.Use the organisation's functional retention and disposal authority for records relating to the recording and management of threatened or endangered flora and fauna if the organisation has primary responsibility for its oversight, e.g. Department of Environment and Climate Change.

Retention:

GA28-16.10.01

Description: Records relating to the management of native flora or wildlife and flora reserves, and the relocation or disposal of protected flora and fauna from the organisation's property. Records include:-summary records created to facilitate the management of animal species, e.g. animal species registers-animal surveys-plant species registers-plant surveys.Note: With paper-based registers, retain minimum of 2 years after last entry in the register. With electronic registers, retain minimum of 2 years after last update or amendment to an entry, or after data has become obsolete, then destroy.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-16.10.02

Description: Records relating to the management of endangered species.

Retention: Retain minimum of 10 years after action completed, then destroy

PROPERTY MANAGEMENT - Inspections

GA28-16.11.00

Function/Activity

GDA No

GA28-16.11.00

Description: The process of official examinations of facilities to ensure compliance with agreed standards and objectives. Use the organisation's functional retention and disposal authority for records relating to inspections if a function of the organisation is to conduct property management inspections of other organisations. Use PROPERTY MANAGEMENT - AUDIT for records relating to audits of property. Use PROPERTY MANAGEMENT - COMPLIANCE for records relating to the organisation's compliance with standards and requirements relating to the management of property. Use PROPERTY MANAGEMENT - CONSERVATION for records relating to the remediation of contaminated sites. Use PROPERTY MANAGEMENT - CONSTRUCTION for records relating to inspections of construction undertaken. Use PROPERTY MANAGEMENT - LEASING-OUT for records relating to inspections undertaken as part of the leasing-out of accommodation, premises or real estate to another organisation or person. Use PROPERTY MANAGEMENT - MAINTENANCE for records relating to maintenance inspections or the storage, removal and off-site disposal of toxic or hazardous substances. Use OCCUPATIONAL HEALTH & SAFETY - INSPECTIONS for records relating to routine workplace inspections and inspections of hazardous substances in the workplace.

Retention:

GA28-16.11.01

Description: Records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land.

Retention: Retain minimum of 75 years after action completed, then destroy OR if property is sold before this date, transfer to new owner as required

PROPERTY MANAGEMENT - Installation

GA28-16.12.00

Description: The activities involved in placing equipment in position and connecting and adjusting it for use. Use PROPERTY MANAGEMENT - CONSTRUCTION for records relation to installations undertaken as part of construction or renovation projects that involve structural changes. Use TECHNOLOGY & TELECOMMUNICATIONS - INSTALLATION for records relating to the routine installation of technology and telecommunications equipment.

Retention:

GA28-16.12.01

Description: Plans relating to the installation of service systems within the organisation's property, e.g. installation of heating, plumbing, air conditioning, security equipment, cabling, alarms etc, that do not involve structural changes.

Retention: Retain until installation is removed, then destroy; OR retain until building or structure disposed of, then destroy or transfer to new owner as required

GA28-16.12.02

Description: Records relating to the installation of service systems within the organisation's property, other than plans, that do not involve structural changes.

Retention: Retain minimum of 2 years after action completed, then destroy

PROPERTY MANAGEMENT - Insurance

GA28-16.13.00

Description: The process of taking out premiums to cover loss or damage to property or premises. Use FINANCIAL MANAGEMENT - REPORTING for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

Retention:

GA28-16.13.01

Description: Records relating to property insurance policies including information provided for renewals and summary records created to facilitate the management of policies, e.g. insurance registers. Note: With paper-based registers, retain minimum of 7 years after expiry of the last policy listed in the register. With electronic registers, retain minimum of 7 years after expiry of the policy relating to an entry or after data has become obsolete, then destroy.

Retention: Retain minimum of 7 years after expiry of policy, then destroy

GA28-16.13.02

Description: General insurance records. Records include:-routine correspondence such as notices of renewals, details of amounts of cover, advice on premiums payable -statistics.

Retention: Retain minimum of 1 year after action completed, then destroy

PROPERTY MANAGEMENT - Leasing

GA28-16.14.00

Function/Activity

GDA No

GA28-16.14.00

Description: The activities involved in leasing accommodation, premises or real estate from another organisation. Use PROPERTY MANAGEMENT - LEASING-OUT for records relating to leasing-out of accommodation, premises or real estate to another organisation or person. Use PROPERTY MANAGEMENT - MAINTENANCE for records relating to repairs and maintenance of leased property. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions in the leasing process. Use LEGAL SERVICES - ADVICE for records relating to legal advice received regarding property leasing.

Retention:

GA28-16.14.01

Description: Records relating to the leasing of property (where the organisation is the leasee). Records include:-correspondence and records of negotiations-signed leases-records of ongoing management of lease.

Retention: Retain minimum of 7 years after lease expires or is terminated, then destroy

GA28-16.14.02

Description: Summary records created to facilitate the management of leased property, e.g. lease registers. Note: 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.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-16.14.03

Description: Records relating to leasing which is not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

PROPERTY MANAGEMENT - Leasing-out

GA28-16.15.00

Description: The activities involved in leasing-out accommodation, premises or real estate to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc. of both parties. Also includes subleasing. Use PROPERTY MANAGEMENT - LEASING for records relating to leasing accommodating, premises or real estate from another organisation.

Retention:

GA28-16.15.01

Description: Records relating to the leasing of property (where the organisation is the lessor), including leasing residential accommodation to employees. Records include:-correspondence and records of negotiations-signed leases-records of ongoing management of lease.

Retention: Retain minimum of 7 years after lease expires or is terminated, then destroy

GA28-16.15.02

Description: Records relating to leasing-out which is not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

PROPERTY MANAGEMENT - Maintenance

GA28-16.16.00

Description: The activities associated with the upkeep, repair and preservation of internal/external conditions of premises. Includes managing waste and the offsite disposal of waste products. Use PROPERTY MANAGEMENT - CONSERVATION for records relating to ongoing conservation maintenance undertaken on properties of heritage significance. Use PROPERTY MANAGEMENT - INSPECTIONS for records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land. Use CONTRACTING-OUT for records relating to the contracting-out or outsourcing of maintenance and maintenance service contracts. Use EQUIPMENT & STORES - MAINTENANCE for records relating to the maintenance of plant and equipment. Use OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE for records relating to the licensing or registration process for maintenance and storage of substances. Use OCCUPATIONAL HEALTH & SAFETY - INSPECTIONS for records relating to routine inspections of hazardous materials in buildings. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to the monitoring of atmospheric contaminants.

Retention:

GA28-16.16.01

Description: Records relating to major maintenance work carried out during the lifetime of a building, e.g. sometimes referred to as the maintenance history of a building. Records include:-plans of major maintenance work undertaken-records of outcomes of consultations-requests for quotes (when not part of contracting-out or tendering arrangements)-final, approved agreements-warranties.

Retention: Retain until property is disposed of, then destroy or transfer to new owner as required

Function/Activity

GDA No

GA28-16.16.02

Description: Records relating to accidents or damage occurring to premises. Records include:-reports of accidents or damage-maintenance work undertaken.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-16.16.03

Description: Records relating to routine maintenance of property, not involving structural changes. Includes cleaning, painting, grounds maintenance, electrical and air-conditioning maintenance, minor modifications for disabled access, pest control etc. Excludes maintenance/service contracts.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-16.16.04

Description: Records relating to the maintenance of cooling water systems. Records include: -operating and maintenance manuals for cooling towers-test results-service log sheets.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-16.16.05

Description: Records relating to the monitoring of building management systems or energy management systems to ensure they are operating effectively.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-16.16.06

Description: Records relating to the removal, storage and disposal of toxic or hazardous substances where risk assessments indicate that the severity of the risk to humans is high, e.g. asbestos, radioactive waste, some pesticides etc.Note: In some circumstances it may be appropriate for organisations to keep these records for longer periods.

Retention: Retain minimum of 75 years after action completed, then destroy

GA28-16.16.07

Description: Records relating to the removal, storage and disposal of toxic or hazardous substances where risk assessments indicate that the severity of the risk to humans is low, e.g. petrol, gas, some chemicals etc.

Retention: Retain minimum of 30 years after action completed, then destroy

GA28-16.16.08

Description: Records relating to the removal, storage and disposal of non-toxic, non-hazardous substances.

Retention: Retain minimum of 1 year after action completed, then destroy

PROPERTY MANAGEMENT - Moving

GA28-16.17.00

Description: The process of relocating a business unit to another premises.Use PROPERTY MANAGEMENT - PLANNING for records relating to facility planning.Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process.Use TENDERING for records relating to receiving and assessing tenders.Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to the payment of money, e.g. payments to removalists etc.

Retention:

GA28-16.17.01

Description: Records relating to the moving of business operations. Records include:-inventories-records of costings-records of arrangements with removalists.

Retention: Retain minimum of 2 years after action completed, then destroy

PROPERTY MANAGEMENT - Planning

GA28-16.18.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning and other high level plans and strategies including those that cross a number of functions, e.g. total asset management plans or heritage asset management plans.

Retention:

GA28-16.18.01

Function/Activity

GDA No

GA28-16.18.01

Description: Final, approved versions of conservation management plans and related records documenting major conservation or restoration work carried out on heritage properties or items, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Required as State archives

GA28-16.18.02

Description: Final, approved versions of plans to support the management of property, e.g. facility and usage plans, plans for disabled access, energy management plans, environment management plans and waste reduction and purchasing plans, and associated correspondence indicating who the plans apply to and responsibilities for their implementation. Excludes conservation management plans.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-16.18.03

Description: Records relating to the development and review of conservation management plans and plans to support the management of property, e.g. facility and usage plans, plans for disabled access, energy management plans, environment management plans and waste reduction and purchasing plans. Records include:-background research-draft versions of plans containing significant changes/alterations or formally circulated for comment-notes of meetings and reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.

Retention: Retain minimum of 3 years after action completed, then destroy

PROPERTY MANAGEMENT - Policy

GA28-16.19.00

Description: 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. Use PROPERTY MANAGEMENT - COMPLIANCE for records relating to organisational compliance with standards and requirements regarding the management of property. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-16.19.01

Description: Final, approved versions of the organisation's policies relating to the management of facilities or property, e.g. security policies, energy management policies, environment management policies, waste management and recycling policies, leasing and hiring policies etc, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: There may be some policies relating to the acquisition or disposal of property that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

GA28-16.19.02

Description: Records relating to the development and review of the organisation's policies relating to the management of facilities or property, e.g. security policies, energy management policies, environment management policies, waste management and recycling policies, leasing and hiring policies etc. Records include:-policy proposals-background research -records of consultations or meetings-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.

Retention: Retain minimum of 3 years after action completed, then destroy

PROPERTY MANAGEMENT - Procedures

GA28-16.20.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures. Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to quality assurance procedures.

Retention:

GA28-16.20.01

Function/Activity

GDA No

GA28-16.20.01

Description: Final, approved versions of manuals, handbooks, directives etc detailing procedures relating to the management of facilities or property, e.g. security procedures, energy management procedures, environment management procedures, waste management and recycling procedures etc, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: There may be some procedures relating to the acquisition or disposal of property that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-16.20.02

Description: Records relating to the development and review of procedures relating to the management of facilities or property, e.g. security procedures, energy management procedures, environment management procedures, waste management and recycling procedures etc. Records include: -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.

Retention: Retain minimum of 3 year after action completed, then destroy

PROPERTY MANAGEMENT - Reporting

GA28-16.21.00

Description: 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.

Retention:

GA28-16.21.01

Description: Final, approved versions of reports regarding heritage property that contain detailed recommendations and initiatives concerning heritage issues, e.g. condition treatment reports, conservation reports.

Retention: Required as State archives

GA28-16.21.02

Description: Final, approved versions of significant reports regarding the management of property owned or occupied by the organisation unrelated to heritage issues, e.g. reports on security, environment management, reporting against waste reduction and purchasing plans etc.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-16.21.03

Description: Final, approved versions of periodic internal reports on general administrative matters used to monitor and document recurring activities relating to the management of the organisation's properties, e.g. condition reports, monthly reports, returns etc.

Retention: Retain minimum of 3 years after last action, then destroy

GA28-16.21.04

Description: Records relating to the development and review of all reports on the organisation's property. Records include:-background research-draft versions of reports containing significant changes/alterations or formally circulated for comment.

Retention: Retain minimum of 3 years after action completed, then destroy

PROPERTY MANAGEMENT - Reviewing

GA28-16.22.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use PROPERTY MANAGEMENT - PLANNING, PROPERTY MANAGEMENT - POLICY or PROPERTY MANAGEMENT - PROCEDURES for records relating to the review of plans, policies or procedures.

Retention:

GA28-16.22.01

Description: Records relating to internal or external reviews of property management processes, programs and services, e.g. accommodation reviews, space and accommodation assessments. Records include:-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.

Retention: Retain minimum of 5 years after action completed, then destroy

PROPERTY MANAGEMENT - Risk management

Function/Activity

GDA No

GA28-16.23.00

Description: The process involving the identification of risks, and the implementation of appropriate practices and procedures which will reduce wastage and the impact of economic loss arising from an incident. Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to the assessment of occupational health and safety risks. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic business continuity/counter disaster planning for the organisation. Use STRATEGIC MANAGEMENT - RISK MANAGEMENT for records relating to the identification and assessment of risks to property as part of broader strategic risk management processes.

Retention:

GA28-16.23.01

Description: Records relating to the identification and assessment of risks associated with the management of facilities or property and associated facilities or services, e.g. risk assessment reports for water cooling systems. Records include: -risk assessments-treatment schedules-action plans-risk registers. Note: 'Action completed' may be after the next risk assessment.

Retention: Retain minimum of 7 years action completed, then destroy

PROPERTY MANAGEMENT - Security

GA28-16.24.00

Description: The activities associated with measures taken to protect premises from accidental or intentional damage or from unauthorised access. Includes managing breaches of security. Use PROPERTY MANAGEMENT - PLANNING, PROPERTY MANAGEMENT - POLICY, or PROPERTY MANAGEMENT - PROCEDURES for records relating to security plans, policies or procedures. Use CONTRACTING-OUT for records relating to the contracting-out or outsourcing of security activities. Use EQUIPMENT & STORES - SECURITY for records relating the security of equipment and stores. Use TECHNOLOGY & TELECOMMUNICATIONS - SECURITY for records relating to the security of technology and telecommunications equipment. Use TENDERING for records relating to tendering for the provision of security services. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to disciplinary action taken against employees for security breaches. Use General Retention and Disposal Authority - Video and visual surveillance records (GDA8) video and visual surveillance recordings.

Retention:

GA28-16.24.01

Description: Records relating to security breaches or incidents where it is strongly suspected or proven that sabotage was intended. May include cases of:-unauthorised access or entry/trespass to buildings or restricted areas-acts of terrorism-intentional, major damage resulting in death or serious injury-bomb threats where it is established that the threat was real-fires-armed hold ups. Records include:-reports of breaches or incidents-records of investigations-records of liaison with law enforcement agencies.

Retention: Required as State archives

GA28-16.24.02

Description: Records relating to security breaches or incidents where charges are laid or damage or injury has occurred, but where sabotage is not strongly suspected or proven. May include cases of:-unauthorised access or entry/trespass to building or restricted areas-intentional, major damage-bomb threats where it is established that the threat was real-fires-armed hold ups. Records include:-reports of breaches or incidents-records of investigations-records of liaison with law enforcement agencies.

Retention: Retain minimum of 15 years after action completed, then destroy

GA28-16.24.03

Description: Records relating to minor security breaches or incidents, e.g. where charges are not laid or significant damage has not occurred, and where sabotage is not strongly suspected or proven. May include cases of:-unauthorised access or entry/trespass to buildings, e.g. unintentional-minor damage. Records include:-reports of breaches or incidents-records of investigations.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-16.24.04

Description: Records relating to property guarding, surveillance and patrol operations. Records include:-rosters -security reports. Note: Some of these records may be relevant to an investigation into a security breach, in which case they should be retained for the same period as breach records.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-16.24.05

Description: Records relating to property access controls to secure areas. Records include:-access registers (e.g. visitors books, sign in sheets)-keys registers-security data logs-records of issue of security passes to visitors-reports on responses to alarm warnings. Note: 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.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-16.24.06

Function/Activity

GDA No

GA28-16.24.06

Description: Records relating to combinations for building locks.

Retention: Retain until combination changes, then destroy

PUBLICATION

GA28-17.00.00

Description: 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. Use 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. Use 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. Use 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). Use 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. Use GOVERNMENT RELATIONS – REPORTING for records relating to the development and final, approved versions of reports to government, e.g. annual reports. Use INFORMATION MANAGEMENT for records relating to the management of library collections. Use STRATEGIC MANAGEMENT – PLANNING for records relating to the drafting and final, approved versions of strategic, corporate and business plans. Use TECHNOLOGY & TELECOMMUNICATIONS for records relating to the technical design and management of databases and data for the Internet or Intranet. Use 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. Use General Retention and Disposal Authority – Audio visual programs and recordings for audio recordings, films and videos produced by or for the organisation. See HTML or PDF version on State Records' website for notes regarding use of this function.

Retention: Reference to 'websites' in this function includes intranet and extranet resources as well as public websites on the World Wide Web.

PUBLICATION - Agreements

GA28-17.01.00

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use STRATEGIC MANAGEMENT - AGREEMENTS for records relating to intellectual property agreements. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-17.01.01

Description: 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:-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.

Retention: Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy

PUBLICATION - Authorisation

GA28-17.02.00

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

Retention:

GA28-17.02.01

Description: Records relating to authorisations given by individuals to the organisation granting permission to take and use images of individuals in publications, on websites and intranets.

Retention: Retain minimum of 15 years after use of the image for publication purposes or until disposal of image, then destroy

PUBLICATION - Compliance

GA28-17.03.00

Function/Activity

GDA No

GA28-17.03.00

Description: 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. Use 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. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for infringements of intellectual property rights.

Retention:

GA28-17.03.01

Description: 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:-records of lodgements of organisation publications under the Copyright Act 1879 (NSW) and the Copyright Act 1968 (Commonwealth) and Premier's Memorandum 2000-15-records of allocation of ISBN/ISSN numbers, and URL addresses-records of use of official symbols-records of Internet domain names. 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.

Retention: Retain minimum of 6 years after action completed, then destroy

GA28-17.03.02

Description: Records relating to breaches or failures to meet compliance requirements regarding the management of published materials.

Retention: Retain minimum of 2 years after action completed, then destroy

PUBLICATION - Corporate style

GA28-17.04.00

Description: 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.

Retention:

GA28-17.04.01

Description: 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. Use COMMUNITY RELATIONS - AGREEMENTS for records relating to agreements to make use of another organisation's logo. Use STRATEGIC MANAGEMENT - INTELLECTUAL PROPERTY for records relating to the registration of logos.

Retention: Retain until superseded, then destroy

GA28-17.04.02

Description: Records relating to rejected designs for letterheads, logos, stationery, templates and publications incorporating the corporate style of the organisation.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PUBLICATION - Distribution

GA28-17.05.00

Description: The activities associated with disseminating items, correspondence or publications through sales, deliveries or other customer services. Use PUBLICATION - AGREEMENTS for records relating to distribution agreements. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to invoices, purchase orders etc for the sale of publications.

Retention:

GA28-17.05.01

Description: Records relating to the distribution and dissemination of the organisation's publications. Records include:-records of the receipt and management of orders other than purchase orders-records of to whom publications were distributed or supplied.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PUBLICATION - Drafting

GA28-17.06.00

Function/Activity

GDA No

GA28-17.06.00

Description: The activities associated with preparing preliminary drafts or outlines of publications prior to production. Use 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. Use PUBLICATION - PRODUCTION for records relating to the design, layout, printing, web publishing etc of publications and for final versions of internally directed publications. Use 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. Use STRATEGIC MANAGEMENT - LEGISLATION for records relating to the drafting of legislation. Use 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. 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 Records' Guideline 8: Normal Administrative Practice.

Retention:

GA28-17.06.01

Description: Records relating to the drafting of internally directed publications for staff information purposes, other than plans, policies, procedures or reports, e.g. employee newsletters.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PUBLICATION - Enquiries

GA28-17.07.00

Description: The activities associated with the handling of requests for information about the organisation's publications by the general public or another organisation. Use PUBLICATION - INTELLECTUAL PROPERTY for records relating to enquiries/requests for permission for use of copyright materials. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to purchase orders for published materials. Use 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. Use INFORMATION MANAGEMENT - DISTRIBUTION for records relating to the distribution of information resources. Use INFORMATION MANAGEMENT - ENQUIRIES for records relating to enquiries concerning library services provided by the organisation.

Retention:

GA28-17.07.01

Description: Records relating to routine enquiries regarding the purchase, availability of or access to the organisation's publications.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PUBLICATION - Evaluation

GA28-17.08.00

Description: The process of determining the suitability of potential or existing publication programs, services or systems or products. Includes ongoing monitoring. Use PUBLICATION - REVIEWING for records relating to the review of publication programs and services, or methods, tools and formats. Use 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.

Retention:

GA28-17.08.01

Description: 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.

Retention: Retain minimum of 5 years after action completed, then destroy

PUBLICATION - Intellectual property

GA28-17.09.00

Description: The activities involved in managing the organisation's intellectual property, including the management of copyright and royalties for the reproduction of published materials. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to the payment of money. Use LEGAL SERVICES - ADVICE for records relating to legal advice furnished to the organisation by internal and external legal providers on intellectual property issues. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of intellectual property rights. Use STRATEGIC MANAGEMENT - AGREEMENTS for records relating to intellectual property agreements. Use STRATEGIC MANAGEMENT - COMPLIANCE for records relating to infringements of intellectual property. Use STRATEGIC MANAGEMENT - INTELLECTUAL PROPERTY for records relating to the establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.

Retention:

GA28-17.09.01

Function/Activity

GDA No

GA28-17.09.01

Description: Records relating to managing applications: -received by the organisation for permission to reproduce published or unpublished material in which the organisation retains copyright, or -made by the organisation to reproduce material in which another party holds the copyright, where permission has been granted. 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.

Retention: Retain minimum of 7 years after action completed, or permission expires, whichever is later, then destroy

GA28-17.09.02

Description: 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.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PUBLICATION - Joint ventures

GA28-17.10.00

Description: 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. Use relevant entries in general and functional retention and disposal authorities for records relating to the work or products generated by joint venture arrangements. Use PUBLICATION - AGREEMENTS for records relating to joint venture agreements which do not involve contracting-out or tendering. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions regarding the sale of organisation publications. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use 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. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-17.10.01

Description: 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:-correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants-monitoring of arrangements-reporting on arrangements. Note: If the joint venture involves contracts or agreements, retain in accordance with retention period specified in PUBLICATION - AGREEMENTS.

Retention: Retain minimum of 5 years after action completed, then destroy

PUBLICATION - Marketing

GA28-17.11.00

Description: The process of analysing, creating and selling publications. Includes market research, sales forecasting, advertising, promotion, pricing and product evaluation. Use COMMUNITY RELATIONS - CELEBRATIONS, CEREMONIES, FUNCTIONS for records relating to functions organised to launch publications. Use COMMUNITY RELATIONS - MARKETING for records relating to the organisation's advertisements featured in publications produced by other organisations. Use COMMUNITY RELATIONS - MEDIA RELATIONS for records relating to media releases issued by the organisation.

Retention:

GA28-17.11.01

Description: Records relating to the marketing and promotion of organisational publications. Records include:-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.

Retention: Retain minimum of 2 years after action completed, then destroy

PUBLICATION - Planning

GA28-17.12.00

Description: The process of formulating ways in which organisational objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use PUBLICATION - MARKETING for records relating to marketing plans. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning.

Retention:

GA28-17.12.01

Description: 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.

Retention: Retain minimum of 3 years after plan is superseded, then destroy

GA28-17.12.02

Function/Activity

GDA No

GA28-17.12.02

Description: Records relating to the development and review of the organisation's plans for the coordination of publication programs and services. Records include: -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.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PUBLICATION - Policy

GA28-17.13.00

Description: 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. Use PUBLICATION - CORPORATE STYLE for guidelines relating to corporate style, such as style manuals compiled by the organisation. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-17.13.01

Description: Final, approved versions of policies concerning the issue, sale, distribution, production, marketing or supply of publications, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.

Retention: Retain minimum of 3 years after policy is superseded, then destroy

GA28-17.13.02

Description: 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:-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.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PUBLICATION - Procedures

GA28-17.14.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use PUBLICATION - CORPORATE STYLE for guidelines relating to corporate style, such as style manuals compiled by the organisation. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures.

Retention:

GA28-17.14.01

Description: 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.

Retention: Retain minimum of 3 years after procedures are superseded, then destroy

GA28-17.14.02

Description: Records relating to the development and review of the organisation's publication procedures. Records include: -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.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PUBLICATION - Production

GA28-17.15.00

Description: 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.

Retention:

GA28-17.15.01

Function/Activity

GDA No

GA28-17.15.01

Description: 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.

Retention: Retain in accordance with disposal actions given under the relevant functions in current general and functional retention and disposal authorities

GA28-17.15.02

Description: Records that demonstrate the structure and organisation of the organisation's public websites (i.e. externally accessible websites that document the role and services of the organisation) and records of substantial changes made, e.g. site maps. Use 17.15.9 for records that demonstrate the structure and organisation of internally-focussed websites, e.g. intranets.

Retention: Required as State archives

GA28-17.15.03

Description: 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.

Retention: Retain in accordance with disposal actions given under the relevant functions in current general and functional retention and disposal authorities

GA28-17.15.04

Description: Final, approved versions of forms, e.g. forms for business transacted either manually or on websites.

Retention: Retain for as long as the records transacted using the forms are kept, then destroy

GA28-17.15.05

Description: Records relating to the development and review of forms, e.g. forms for business transacted either manually or on websites.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-17.15.06

Description: Final, approved versions of internally directed publications for staff information purposes, e.g. employee newsletters.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-17.15.07

Description: Translations of the organisation's publications into other languages.

Retention: Retain until superseded, updated or ceases to be of administrative or reference use, then destroy

GA28-17.15.08

Description: Records relating to the preparation of materials and drafts for publication, including technical specifications. For paper publications, records include:-records of graphic design-records of indexing-records of printing/binding. For electronic publications records include:-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.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-17.15.09

Description: Records that demonstrate the structure and organisation of websites other than the organisation's public websites (e.g. intranets) and records of substantial changes made, e.g. site maps.

Retention: Retain until ceases to be of administrative or reference use, then destroy

PUBLICATION - Reporting

GA28-17.16.00

Description: 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. Use 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. Use 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. Use STRATEGIC MANAGEMENT - REPORTING for records relating to reports on strategic issues. Use TECHNOLOGY & TELECOMMUNICATIONS - REPORTING for records relating to statistical reports on use of web publications.

Retention:

GA28-17.16.01

Function/Activity

GDA No

GA28-17.16.01

Description: Records relating to formal reports regarding publication programs and services, methods, tools and formats. Records include: - background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-17.16.02

Description: 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: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

PUBLICATION - Reviewing

GA28-17.17.00

Description: The activities involved in re-evaluating or re-examining programs and services. Records include recommendations and advice resulting from these activities. Use 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. Use PUBLICATION - PLANNING, PUBLICATION - POLICY or PUBLICATION - PROCEDURES for records relating to the review of plans, policies or procedures. Use STRATEGIC MANAGEMENT - REVIEWING for records relating to the review of strategic programs and services.

Retention:

GA28-17.17.01

Description: Records relating to the review of publication programs and services or methods, tools and formats. Records include:-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.

Retention: Retain minimum of 5 years after action completed, then destroy

PUBLICATION - Stocktake

GA28-17.18.00

Description: 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.

Retention:

GA28-17.18.01

Description: Records relating to stocktakes of the organisation's publications. Includes examining, counting and valuing publications.

Retention: Retain until ceases to be of administrative or reference use, then destroy

RESEARCH MANAGEMENT

GDA23-23.0.0

Description: The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure. See also General Retention and Disposal Authority: Administrative Records for agreements/ contractual records of joint ventures such as agreements with external bodies (including other educational institutions).

Retention:

RESEARCH MANAGEMENT - Ethics & safety

GDA23-23.1.0

Description: The assessment of the appropriateness of research on ethical grounds in relation to such areas as human and animal ethics, bio-safety and radiation safety. Includes records of Ethics Committees. See also Animal Research Regulation 2005, Schedule 2 clause 9(3). ENROLMENT – Enrolling for working with children checks. General Retention and Disposal Authority: Personnel Records for records relating to disciplinary action against a staff member as result of a breach of ethical practice.

Retention:

GDA23-23.1.1

Description: Human Ethics records of assessment and approval of research.

Retention: Retain for minimum of 20 years after action completed, then destroy.

Function/Activity

GDA No

GDA23-23.1.2

Description: Radiation Ethics records of assessment and approval of research.

Retention: Retain for minimum of 20 years after action completed, then destroy.

GDA23-23.1.3

Description: Animal Ethics records of assessment and approval of research.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-23.1.4

Description: Bio-safety Ethics records of assessment and approval of research, includes GM (genetically modified plants and organisms) research.

Retention: Retain for minimum of 20 years after action completed, then destroy.

GDA23-23.1.5

Description: Records relating to breaches of ethical practice as approved by the ethics committee(s).

Retention: Retain as per relevant ethics approval disposal class.

GDA23-23.1.6

Description: Records of complaints and resulting investigations in relation to research.

Retention: Retain as per relevant ethics approval disposal class.

RESEARCH MANAGEMENT - Product management

GDA23-23.2.0

Description: Matters arising at the end of a research project; including: patents; licensing; and intellectual property. See also COMMERCIAL ACTIVITIES – Commercialisation for product commercialisation.

Retention:

GDA23-23.2.1

Description: Records relating to use of intellectual property of the university. Examples of records: contracts; licensing agreements; and other formal arrangements.

Retention: Retain for minimum of 7 years after conditions of the contract or agreement have been met, then destroy.

GDA23-23.2.2

Description: Records relating to the registration of patents, copyright and ownership of intellectual property where owned in part or completely by the university.

Retention: Required as State archives

RESEARCH MANAGEMENT - Proposal development

GDA23-23.3.0

Description: See also Research administration for other records relating to the applications for research.

Retention:

GDA23-23.3.1

Description: Formulation or deliberations leading to application for funding/approval or commencement of research. Examples of records: correspondence; and working papers.

Retention: Retain until no longer required for reference or administrative purpose, then destroy.

RESEARCH MANAGEMENT - Reporting

GDA23-23.4.0

Description: Reporting as required by legislation, grant conditions, or research protocols. See GOVERNANCE – Strategic Management for statutory reporting to other bodies.

Retention:

GDA23-23.4.1

Description: Final reports on individual research projects that include outcomes of the research project. See below for other research reports.

Retention: Required as State archives

Function/Activity

GDA No

GDA23-23.4.2

Description: All other reports on individual research projects – for example progress reports, inspection reports and reports on expenditure.

Retention: Retain for minimum of 7 years after conditions relating to the proposal have been satisfied, then destroy.

RESEARCH MANAGEMENT - Research administration

GDA23-23.5.0

Description:

Retention:

GDA23-23.5.1

Description: Records relating to the administration of research projects that are approved, including: applications/proposals; approvals; resource allocation. See also RESEARCH - Reporting.

Retention: Retain minimum of 7 years after action completed, then destroy.

GDA23-23.5.2

Description: Records relating to the administration of research projects that are not approved.

Retention: Retain minimum of 2 years after action completed, then destroy.

GDA23-23.5.3

Description: Records of accreditation from external bodies to conduct research and testing, such as accreditation for laboratories. For example, accreditation from the National Association of Testing Authorities (NATA). Note: where accreditation is successful the 'action completed' trigger should be taken as the date of expiry of the accreditation. Note: there may be some areas of research accreditation that will require a longer retention period, such as those dealing with radioactive materials, gene manipulation, etc. Retention periods should reflect regulatory requirements.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-23.5.4

Description: Records of inspections of research facilities. Includes inspection reports and correspondence.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-23.5.5

Description: Registration of the university as a premise to manage, possess and sell radioactive materials and devices. See also PROPERTY & FACILITIES MANAGEMENT – Waste management

Retention: Retain for minimum of 99 years after action completed, then destroy.

RESEARCH MANAGEMENT - Research data

GDA23-23.6.0

Description: Records generated in the conduct of the research project where the university is entitled to control or ownership of research data. Note: For research involving human subjects this includes de-identification records, subject consent forms, and participant information letters specifying conditions of research.

Retention:

GDA23-23.6.1

Description: Research data Projects of major national or international significance, interest or controversy or where the principal investigator has a widely acknowledged influence on the area of scholarship and where the data is crucial to the substantiation of the research findings and cannot be readily or practically duplicated.

Retention: Required as State archives

GDA23-23.6.2

Description: Research data Projects which are not of major significance – where the project has human subjects and potential long term effects including animal testing for human products. Includes clinical or psychological research. For example: intervention or invasive testing, drug and complementary medicine trials, scanning and radioactivity, clinical studies, genetic manipulation, human tissue studies, trials of devices, some psychological research. Note: this retention period has factored in the recommendations of the joint statement of the National Health and Medical Research Council (NHMRC) and Australian Vice-Chancellors' Committee (AVCC). However, other considerations affecting retention may need to be taken into account. For example, workers compensation regulations allow for a claimant to re-open a case at any time during the lifetime of the claimant, which may necessitate records to be retained for up to approximately 70 years after the research project is completed.

Retention: Retain for minimum of 20 years after project completed, or after research subjects have reached the age of 25 years, whichever is longer, then destroy.

Function/Activity

GDA No

GDA23-23.6.3

Description: Research data Projects which are not of major significance – where the research has potential long term environmental effect. For example: genetic trials, disease and pest management, changes to ecosystems; use of environmentally hazardous materials. Note: Retention periods for these records may need to also take into account other legislative or regulatory requirements such as the Environmentally Hazardous Chemicals Act (1985) and the Contaminated Land Management Act (1997)

Retention: Retain for minimum of 20 years after project completed, then destroy.

GDA23-23.6.4

Description: Research data Projects which are not of major significance – where the research does not have potential long term affects, including research on animals. Note: this retention period is based on the recommendations of the joint statement of the National Health and Medical Research Council (NHMRC) and Australian Vice-Chancellors' Committee (AVCC)

Retention: Retain for minimum of 5 years after project completed, then destroy.

GDA23-23.6.5

Description: Research data Paper records which have been converted to electronic format (eg through data entry or imaging).

Retention: Retain until no longer required for reference or administrative purpose, then destroy.

GDA23-23.6.6

Description: Research infrastructure (equipment, buildings etc). See General Retention and Disposal Authority: Administrative Records.

Retention:

SCHOLARSHIPS/ PRIZES/ BURSARIES/ FELLOWSHIPS

GDA23-15.0.0

Description: To bestow on students scholarships, bursaries, prizes or fellowships. These can take the form of money, medals, certificates or the waving of fees. Some will have conditions placed on the student and/or the institution. This includes both internal and external scholarships, bursaries, prizes or fellowships. Scholarships: Benefits, usually in the form of money, which are tenable by students for specified periods of time under certain conditions, eg proceeding to the next year in a course. They are generally gained on the basis of performance at examinations. Prizes: Rewards for results in annual examinations, essay, compositions and other forms of assessment. Fellowships: Benefits, usually in the form of money, travel or accommodation costs, tenable for specified periods and usually offered by, or in conjunction with another university or other institution. Bursaries: Financial support available to students, usually on the home campus, who meet specified criteria. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure. See also General Retention and Disposal Authority: Administrative Records – FINANCIAL MANAGEMENT for financial records.

Retention:

SCHOLARSHIPS/ PRIZES/ BURSARIES/ FELLOWSHIPS - Administrative arrangements

GDA23-15.1.0

Description:

Retention:

GDA23-15.1.1

Description: Records relating to administrative arrangements for the delivery of scholarships, bursaries, prizes or fellowships.

Retention: Retain for minimum of 6 years after action completed, then destroy.

SCHOLARSHIPS/ PRIZES/ BURSARIES/ FELLOWSHIPS - Applications and nominations

GDA23-15.2.0

Description:

Retention:

GDA23-15.2.1

Description: Records relating to applications and nominations to receive scholarships, bursaries, prizes or fellowships including records relating to the decision making process.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-15.2.2

Description: Registers of recipients of scholarships, bursaries, prizes or fellowships.

Retention: Required as State archives

SCHOLARSHIPS/ PRIZES/ BURSARIES/ FELLOWSHIPS - Establishment

GDA23-15.3.0

Description: The establishment of scholarships, prizes, bursaries and fellowships.

Retention:

GDA23-15.3.1

Description: Records relating to the establishment and conditions of scholarships, prizes, bursaries and fellowships. This can include terms and conditions for both internal and external scholarships, prizes, bursaries and fellowships.

Retention: Retain for minimum of 10 years after scholarship, prize, bursary or fellowship is discontinued, then destroy.

GDA23-15.3.2

Description: Records relating to the management of scholarships, prizes, bursaries and fellowships. Includes funds management.

Retention: Retain for minimum of 6 years after action completed, then destroy.

SHORT/NON-AWARD COURSES

GDA23-24.0.0

Description:

Retention:

SHORT/NON-AWARD COURSES - Continuing education programs & community courses

GDA23-24.1.0

Description:

Retention:

GDA23-24.1.1

Description: Registration, enrolment and results

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-24.1.2

Description: Administrative records relating to course management and delivery. Note: this disposal class should not be used for records covered elsewhere in this, or other, relevant disposal authorities. For example, financial and personnel records should generally use General Retention and Disposal Authority: Administrative Records and General Retention and Disposal Authority: Personnel Records respectively.

Retention: Retain for minimum of 2 years after action completed, then destroy.

SHORT/NON-AWARD COURSES - Externally accredited courses (eg VETAB)

GDA23-24.2.0

Description:

Retention:

GDA23-24.2.1

Description: Records of accreditation to deliver externally accredited courses.

Retention: Retain for minimum of 30 years after course discontinued, then destroy.

GDA23-24.2.2

Description: Results

Retention: Retain for minimum of 30 years after action completed, then destroy.

GDA23-24.2.3

Description: Registration and enrolment.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-24.2.4

Function/Activity

GDA No

GDA23-24.2.4

Description: Course development.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-24.2.5

Description: Administrative records relating to course management and delivery. Note: this disposal class should not be used for records covered elsewhere in this, or other, relevant disposal authorities. For example, financial and personnel records should generally use General Retention and Disposal Authority: Administrative Records and General Retention and Disposal Authority: Personnel Records respectively.

Retention: Retain for minimum of 2 years after action completed, then destroy.

SHORT/NON-AWARD COURSES - Non-award courses

GDA23-24.3.0

Description: Non-award courses are where students complete individual units/subjects from a degree/diploma course. Note: records that are normally accumulated as part of the delivery of a course should be sentenced using other relevant parts of this disposal authority.

Retention:

GDA23-24.3.1

Description: Final grades.

Retention: Retain for minimum of 75 years after action completed, then destroy.

GDA23-24.3.2

Description: Administrative records relating to the management and running of non-award courses. Note: this disposal class should not be used for records covered elsewhere in this, or other, relevant disposal authorities. For example, financial and personnel records should generally use General Retention and Disposal Authority: Administrative Records and General Retention and Disposal Authority: Personnel Records respectively.

Retention: Retain for minimum of 2 years after action completed, then destroy.

SHORT/NON-AWARD COURSES - Tertiary preparation & support programs

GDA23-24.4.0

Description:

Retention:

GDA23-24.4.1

Description: Registration, enrolment and results

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-24.4.2

Description: Administrative records relating to course management and delivery. Note: this disposal class should not be used for records covered elsewhere in this, or other, relevant disposal authorities. For example, financial and personnel records should generally use General Retention and Disposal Authority: Administrative Records and General Retention and Disposal Authority: Personnel Records respectively.

Retention: Retain for minimum of 2 years after action completed, then destroy.

STAFF DEVELOPMENT

GA28-18.00.00

Description: The function of encouraging staff to develop their skills and abilities (through activities, programs and events) to maximise their potential and increase their productivity. Includes identifying and implementing all aspects of training needs and programs (internal and external) available to employees. Use the organisation's functional retention and disposal authority for records relating to training offered by the organisation to external clients. Use the organisation's functional retention and disposal authority for records relating to the provision of organisation-specific training that results in a qualification the employee is required to possess in order to perform their duties, e.g. training of fire personnel and police officers, or for records relating to the management and operation of Registered Training Organisations (RTOs). Use General Retention and Disposal Authority - Personnel records, PERSONNEL - REPRESENTATIVES for records relating to the nomination of staff members for staff development programs (e.g. Spokeswomen's program, internal programs).

Retention:

STAFF DEVELOPMENT - Acquisition

Function/Activity

GDA No

GA28-18.01.00

Description: The process of gaining ownership or use of goods and services required for the conduct of business through purchase or requisition. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting acquisitions. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-18.01.01

Description: Records relating to the acquisition of goods and services, e.g. training packages and training consultants, where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.

Retention: Retain minimum of 7 years after action completed, then destroy

STAFF DEVELOPMENT - Addresses

GA28-18.02.00

Description: The activity of giving addresses for staff development purposes. Includes speeches and multi-media presentations. Use the organisation's functional retention and disposal authority for records relating to addresses presented as part of the core functions of the public office. Use STAFF DEVELOPMENT - CONFERENCES for records relating to addresses presented at staff conferences. Use STAFF DEVELOPMENT - TRAINING for records relating to specific training arranged for staff development, e.g. occupational health and safety training. Use COMMUNITY RELATIONS - ADDRESSES for records relating to addresses made by employees for professional, community relations or sales purposes. Use COMMUNITY RELATIONS - CONFERENCES for records relating to addresses given at conferences and for conference proceedings. Use GOVERNMENT RELATIONS - ADDRESSES for records relating to addresses to government audiences or on government occasions. Use PUBLICATION - PRODUCTION for records relating to the preparation of addresses for publication.

Retention:

GA28-18.02.01

Description: Records relating to addresses, speeches or papers presented for staff development purposes, including those delivered by internal employees and external service providers. Records include: -background research-draft versions of addresses containing significant changes/alterations or formally circulated for comment-final, approved versions-voice recordings.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-18.02.02

Description: Records relating to administrative arrangements for addresses, speeches or papers. Records include:-invitations and acceptances-catering arrangements-venue bookings-accommodation and transport arrangements-related correspondence.

Retention: Retain until ceases to be of administrative or reference use, then destroy

STAFF DEVELOPMENT - Audit

GA28-18.03.00

Description: The activities associated with officially assessing and evaluating the organisation's skill levels against requirements to assess staff development needs. Includes skills analyses, audits and training needs analyses. Use the organisation's functional retention and disposal authority if one of the functions of the organisation is to audit other organisations regarding staff development. Use STRATEGIC MANAGEMENT - AUDIT for records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - PERFORMANCE MANAGEMENT for records relating to the identification of training and development needs of individuals.

Retention:

GA28-18.03.01

Description: Final, approved versions of audit reports relating to staff development or training programs. Includes reports of outcomes of skills analyses, audits and broad training needs analyses.

Retention: Retain minimum of 6 years after action completed, then destroy

GA28-18.03.02

Description: Records relating to the planning and conduct of audits relating to staff development or training programs. Records include:- records of audit planning or liaison with auditing body -minutes or notes of meetings-notes taken at interviews-correspondence-draft versions of reports containing significant changes/alterations or formally circulated for comment -records of remedial action.

Retention: Retain minimum of 2 years after action completed, then destroy

STAFF DEVELOPMENT - Conferences

GA28-18.04.00

Function/Activity

GDA No

GA28-18.04.00

Description: The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity and reports of participants etc. Use COMMUNITY RELATIONS - CONFERENCES for records relating to conferences or seminars arranged for the general public, government organisations or external stakeholders/clients of the organisation and addresses delivered by employees at external conferences or seminars. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting conference activities. Use PUBLICATION - PRODUCTION for records relating to the preparation of conference materials for publication, e.g. graphic design, printing, binding etc. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - ARRANGEMENTS for records relating to approvals and authorisations for travel and travel arrangements for employees to attend conferences.

Retention:

GA28-18.04.01

Description: Final, approved versions of unpublished proceedings, reports and addresses from conferences, seminars or forums arranged by the organisation for staff development, skills or professional development purposes.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-18.04.02

Description: Records relating to administrative arrangements for conferences, seminars or forums arranged by the organisation for staff development purposes. Records include:-records of program development-invitations to speakers and responses-publicity records-registrations-venue bookings-catering arrangements-accommodation and transport arrangements-reports on conferences.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-18.04.03

Description: Records relating to employee attendance at conferences, seminars or forums for staff development purposes where the conferences are held by other organisations. Records include:-registration forms-programs-reports of participants-invitations-copies of publicity records-copies of proceedings.

Retention: Retain until ceases to be of administrative or reference use, then destroy

STAFF DEVELOPMENT - Evaluation

GA28-18.05.00

Description: The process of determining the suitability of potential or existing activities, programs, and events in relation to meeting the needs of the given situation. Includes ongoing monitoring. Use STAFF DEVELOPMENT - REVIEWING for records relating to the review of staff development activities, programs and events. Use STAFF DEVELOPMENT - TRAINING for records relating to the evaluation of courses by participants.

Retention:

GA28-18.05.01

Description: Records relating to the evaluation of staff development activities, programs and events to determine whether they will bridge skill and knowledge gaps or meet the training needs of the organisation.

Retention: Retain minimum of 5 years after action completed, then destroy

STAFF DEVELOPMENT - Planning

GA28-18.06.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use STRATEGIC MANAGEMENT - PLANNING for records relating to strategic, corporate and business planning.

Retention:

GA28-18.06.01

Description: Final, approved versions of staff development plans, including plans for training programs, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 3 years after plan is superseded, then destroy

GA28-18.06.02

Description: Records relating to the development and review of the organisation's staff development plans, including plans for training programs. Records include:-background research-draft versions of plans containing significant changes/alterations or formally circulated for comment-notes of meetings and reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.

Retention: Retain until ceases to be of administrative or reference use, then destroy

STAFF DEVELOPMENT - Policy

Function/Activity

GDA No

GA28-18.07.00

Description: 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. Use 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. Use 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of government-wide policies by the organisation. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-18.07.01

Description: Final, approved versions of staff development policies and associated correspondence indicating who the policies apply to and responsibilities for their implementation.

Retention: Retain minimum of 3 years after policy is superseded, then destroy

GA28-18.07.02

Description: Records relating to the development and review of the organisation's staff development policies. Records include:-policy proposals-background research-records of consultations or meetings-draft versions of policies containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.

Retention: Retain until ceases to be of administrative or reference use, then destroy

STAFF DEVELOPMENT - Procedures

GA28-18.08.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures. Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to quality assurance procedures.

Retention:

GA28-18.08.01

Description: Final, approved versions of organisation manuals, handbooks, directives etc detailing staff development procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

Retention: Retain minimum of 3 years after procedures are superseded, then destroy

GA28-18.08.02

Description: Records relating to the development and review of the organisation's staff development procedures. Records include: -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.

Retention: Retain until ceases to be of administrative or reference use, then destroy

STAFF DEVELOPMENT - Reporting

GA28-18.09.00

Description: 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. Use PUBLICATION - PRODUCTION for records relating to the organisation's annual reports.

Retention:

GA28-18.09.01

Description: Records relating to formal internal and external reports regarding staff development. Records include: -background research-draft versions of reports containing significant changes/alterations or formally circulated for comment-records of consultation with employees, unions, other stakeholders etc-final, approved versions of reports.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-18.09.02

Description: Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities regarding staff development programs and services. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

STAFF DEVELOPMENT - Reviewing**GA28-18.10.00**

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use STAFF DEVELOPMENT - EVALUATION for records relating to the evaluation of staff development activities, programs and events. Use STAFF DEVELOPMENT - PLANNING, STAFF DEVELOPMENT - POLICY or STAFF DEVELOPMENT - PROCEDURES for records relating to the review of plans, policies or procedures for staff development and training.

Retention:

GA28-18.10.01

Description: Records relating to the review of staff development activities, programs and events, including reviews of training programs to determine if they bridge skill and knowledge gaps. Records include:-documents establishing the review-background research, e.g. employee surveys-draft versions of review reports containing significant changes/alterations or formally circulated for comment - final, approved versions of reports-project or action plans.

Retention: Retain minimum of 5 years after action completed, then destroy

STAFF DEVELOPMENT - Training**GA28-18.11.00**

Description: The activities associated with the development of training materials and delivery arrangements for training. Use the organisation's functional retention and disposal authority for records relating to training offered by the organisation to external clients; or for records relating to the publication of information for public education. Use the organisation's functional retention and disposal authority for records relating to the provision of organisation-specific training that results in a qualification the employee is required to possess in order to perform their duties, e.g. training of fire personnel and police officers, or for records relating to the management and operation of Registered Training Organisations (RTOs). Use COMMUNITY RELATIONS - ADDRESSES for records relating to addresses given to visitors and the public aimed at promoting the organisation. Use STRATEGIC MANAGEMENT - PLANNING for records relating to the incorporation of training needs into strategic, corporate and business planning. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - EMPLOYMENT CONDITIONS for copies of qualifications, certificates of competency, statements of attainment, arrangements for training and descriptions of training etc when they relate to occupational health and safety training or where these are required by individual employees as part of employment conditions or to perform their duties.

Retention:

GA28-18.11.01

Description: Records relating to the administration of government-wide training initiatives.

Retention: Retain minimum of 5 years after action completed, then destroy

GA28-18.11.02

Description: Records relating to the content of training that forms part of specific study schemes, e.g. scholarships, apprenticeships, cadetships etc. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - EMPLOYMENT CONDITIONS, 2.12.12 for records relating to the management of such schemes.

Retention: Retain minimum of 7 years after scheme ceases, then destroy

GA28-18.11.03

Description: Records relating to arrangements for employee attendance on training courses for staff development purposes. Records include:- records of confirmation of course attendance-records of lodgement of application forms -accommodation and transport arrangements.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-18.11.04

Description: Notices of assessment or examination results of internally conducted training or sent to the organisation by external training providers. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - EMPLOYMENT CONDITIONS for copies of individual qualifications, certificates of competency, statements of attainment etc where these relate to occupational health and safety training or are required by employees as part of employment conditions or to perform their duties. Use 18.11.9 for records relating to summary registers for occupational health & safety training. Note: Registered Training Organisations (RTO) are required to keep sufficient records to enable the reissue of a statement of attainment or qualification for 30 years. (Australian Quality Training Framework, 2005, standard 4). Registered Training Organisations should cover these records in their functional retention and disposal authority.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-18.11.05

Description: Records relating to participant evaluations of internally and externally conducted courses.

Retention: Retain minimum of 1 year after action completed, then destroy

Function/Activity

GDA No

GA28-18.11.06

Description: Final, approved versions of training material for courses run internally by the organisation for their employees, e.g. induction, graduate training, volunteer training. Records include:-programs-lecture notes-handouts.

Retention: Retain until course or training material is superseded, then destroy

GA28-18.11.07

Description: Records relating to the development of training materials for courses run internally by the organisation for their employees.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-18.11.08

Description: Records relating to administrative arrangements for conducting training courses, or attendance at workshops, seminars etc. Records include:-records of applications -records of confirmation of attendance-venue bookings-records of equipment hire-catering arrangements.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-18.11.09

Description: Summary records created to facilitate the management and monitoring of the provision of occupational health and safety training to employees, contractors etc, 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.

Retention: Retain minimum of 75 years after action completed, then destroy

STRATEGIC MANAGEMENT

GA28-19.00.00

Description: 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. Use GOVERNING BODIES for records relating to governing bodies such as boards, trusts, councils, commissions etc. Use 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. Use PROPERTY MANAGEMENT - PLANNING for records relating to energy management and waste reduction plans.

Retention:

STRATEGIC MANAGEMENT - Agreements

GA28-19.01.01

Description: 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:-correspondence and records of negotiations-drafts containing significant changes/alterations or formally circulated for comment-final, approved versions of agreements-reviews of agreements.

Retention: Required as State archives

GA28-19.01.02

Description: 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. Use COMMUNITY RELATIONS - AGREEMENTS for records relating to agreements for use of corporate logos. Use STRATEGIC MANAGEMENT - INTELLECTUAL PROPERTY for other records relating to the management of the organisation's intellectual property.

Retention: Retain minimum of 70 years after date of agreement, or after expiry date specified in agreement, then destroy

GA28-19.1.0

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements. Use STRATEGIC MANAGEMENT - JOINT VENTURES for records relating to joint venture agreements. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use 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. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

STRATEGIC MANAGEMENT - Audit

GA28-19.02.00

Function/Activity

GDA No

GA28-19.02.00

Description: 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. Use STRATEGIC MANAGEMENT - COMPLIANCE for records relating to managing compliance with quality management processes. Use FINANCIAL MANAGEMENT - AUDIT for records relating to formal audits of accounts or the management of financial resources. Use 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.

Retention:

GA28-19.02.01

Description: Records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level, which do not:-set a precedent, or-lead to a major change in policies.Records include:-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-records of remedial action.

Retention: Required as State archives

GA28-19.02.02

Description: Records relating to audits which cross functions, examine core functions or measure organisational performance or compliance at a strategic level, which do not:-set a precedent, or-lead to a major change in policies.Records include:-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-records of remedial action.

Retention: Retain minimum of 6 years after action completed, then destroy

STRATEGIC MANAGEMENT - Authorisation

GA28-19.03.00

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

Retention:

GA28-19.03.01

Description: 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.

Retention: Required as State archives

GA28-19.03.02

Description: 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.

Retention: Retain minimum of 7 years after delegation is superseded, then destroy

GA28-19.03.03

Description: 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.Note: In determining a suitable retention period for delegation manuals, organisations should consider the retention requirements for procedure manuals (GA28, 19.16.1).

Retention: Retain until ceases to be of administrative or reference use, then destroy

STRATEGIC MANAGEMENT - Compliance

GA28-19.04.00

Function/Activity

GDA No

GA28-19.04.00

Description: 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. Use 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. Use the organisation's functional retention and disposal authority for records relating to compliance with or failures to meet compliance requirements concerning the organisation's core functions, e.g. licensing, breaches of industry standards. Use STRATEGIC MANAGEMENT - AUDIT for records relating to formal internal or external audits against compliance requirements. Use 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. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of compliance requirements. Use 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.

Retention:

GA28-19.04.01

Description: 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:-records of assessments of requirements with which the organisation needs to comply-background research into existing levels of compliance and breaches - records of development of initiatives to improve compliance.

Retention: Retain minimum of 10 years after action completed, then destroy

GA28-19.04.02

Description: Records relating to the assessment and certification of the organisation's quality systems by an external organisation.

Retention: Retain minimum of 3 years after certification lapses, then destroy

GA28-19.04.03

Description: Records relating to the registration of business names by the organisation.

Retention: Retain minimum of 7 years after registration ceases, then destroy

GA28-19.04.04

Description: Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements. Use OCCUPATIONAL HEALTH & SAFETY - COMPLIANCE for records relating to compliance with occupational health and safety standards or requirements. Note: 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.

Retention: Retain minimum of 7 years after action completed, then destroy

STRATEGIC MANAGEMENT - Corruption

GA28-19.05.00

Description: 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). Use STRATEGIC MANAGEMENT - AUDIT or the relevant function/AUDIT for records relating to compliance audits. Use STRATEGIC MANAGEMENT - PLANNING, STRATEGIC MANAGEMENT - POLICY or STRATEGIC MANAGEMENT - PROCEDURES for records relating to the development and review of plans, policies or procedures regarding corruption prevention or fraud control. Use GOVERNING BODIES - CORRUPTION for records relating to investigations into allegations of corruption against members of governing bodies. Use GOVERNMENT RELATIONS - INQUIRIES for records relating to inquiries involving the organisation. Use STAFF DEVELOPMENT - TRAINING for records relating to training employees in appropriate standards of conduct and reporting allegedly corrupt behaviour. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to investigations into corruption allegations made against an employee, including protected disclosures.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-19.05.01

Description: Records relating to the management of gifts and benefits made to the organisation such as from visiting dignitaries, e.g. gifts and benefits registers. Note: 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.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-19.05.02

Description: Records relating to the organisation's compliance with mandatory statutory reporting requirements. Includes reporting corrupt, suspected corrupt or inappropriate behaviour.

Retention: Retain minimum of 7 years after action completed, then destroy

STRATEGIC MANAGEMENT - Customer service**GA28-19.06.00**

Description: The activities associated with the strategic planning, monitoring and evaluation of services provided to customers by the organisation. Use STRATEGIC MANAGEMENT - PLANNING for records relating to customer service planning as part of strategic, corporate or business planning. Use COMMUNITY RELATIONS - ENQUIRIES for records relating to requests for and the handling of enquiries regarding routine information about the organisation and its services from customers. Use COMMUNITY RELATIONS - CUSTOMER SERVICE or INFORMATION MANAGEMENT - CUSTOMER SERVICE for records relating to specific charters, standards or guarantees of service.

Retention:

GA28-19.06.01

Description: 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.

Retention: Retain minimum of 2 years after strategies are superseded, then destroy

STRATEGIC MANAGEMENT - Evaluation**GA28-19.07.00**

Description: 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. Use 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. Use STRATEGIC MANAGEMENT - REVIEWING for records relating to the review of strategic programs and services.

Retention:

GA28-19.07.01

Description: 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.

Retention: Retain minimum of 5 years after action completed, then destroy

STRATEGIC MANAGEMENT - Grant funding**GA28-19.08.00**

Description: The activities associated with applying for and receiving grants. Use 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. Note: For universities research grant applications are covered under General Retention and Disposal Authority - University records. Use STRATEGIC MANAGEMENT - PLANNING, STRATEGIC MANAGEMENT - POLICY or STRATEGIC MANAGEMENT - PROCEDURES for records relating to specific plans, policies or procedures supporting strategies for the application for, receipt or use of grant funding. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to the receipt and distribution of grant money. Use GOVERNMENT RELATIONS - REPORTING for records relating to reporting on grants projects in the organisation's annual reports.

Retention:

GA28-19.08.01

Description: Records relating to the investigation of potential or alternative sources of grant funding.

Retention: Retain minimum of 6 years after action completed, then destroy

GA28-19.08.02

Description: 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.

Retention: Required as State archives

GA28-19.08.03

Description: Records relating to successful applications for grants or funds which do not lead to the establishment of new and significant programs, events and outcomes.

Retention: Retain minimum of 6 years after action completed, then destroy

GA28-19.08.04

Description: Records relating to unsuccessful applications for grants or funds.

Retention: Retain minimum of 2 years after action completed, then destroy

STRATEGIC MANAGEMENT - Implementation

Function/Activity

GDA No

GA28-19.09.00

Description: 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. Use STRATEGIC MANAGEMENT - PLANNING, STRATEGIC MANAGEMENT - POLICY or STRATEGIC MANAGEMENT - PROCEDURES for records relating to the development and review of strategic management plans, policies or procedures.

Retention:

GA28-19.09.01

Description: 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.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-19.09.02

Description: Records relating to the implementation of quality management systems and monitoring implementation activities. Use STRATEGIC MANAGEMENT - COMPLIANCE for records relating to the assessment and certification of the organisation's quality systems by an external organisation.

Retention: Retain minimum of 3 years after action completed, then destroy

GA28-19.09.03

Description: Records relating to the implementation of counter disaster plans/business continuity plans after disasters have occurred. Records include:-photographs and records of assessment of damage-correspondence between relevant parties-documentation of action taken to implement plans. Use STRATEGIC MANAGEMENT - REPORTING for records relating to reporting on disasters.

Retention: Retain minimum of 7 years after action completed, then destroy

STRATEGIC MANAGEMENT - Intellectual property

GA28-19.10.00

Description: The activities involved in providing a framework for managing the organisation's intellectual property. Use STRATEGIC MANAGEMENT - AGREEMENTS for records relating to intellectual property agreements. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to the payment of money. Use INFORMATION MANAGEMENT - INTELLECTUAL PROPERTY for records relating to the management of copying services in the organisation. Use 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. Use LEGAL SERVICES - LITIGATION for records relating to lawsuits or legal proceedings resulting from breaches or disputes regarding intellectual property rights. Use PUBLICATION - INTELLECTUAL PROPERTY for records relating to managing applications for permission to reproduce published or unpublished material. Use TECHNOLOGY & TELECOMMUNICATIONS - INTELLECTUAL PROPERTY for records relating to managing applications to reproduce portions of software developed within the organisation. Use General Retention and Disposal Authority - Audio visual programs and recordings for records relating to rights management for audio visual records.

Retention:

GA28-19.10.01

Description: 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. Note: 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.

Retention: Retain minimum of 5 years after intellectual property rights lapse, then destroy

GA28-19.10.02

Description: Records relating to unsuccessful or abandoned attempts to establish intellectual property rights.

Retention: Retain minimum of 7 years after action completed, then destroy

STRATEGIC MANAGEMENT - Joint ventures

GA28-19.11.00

Function/Activity

GDA No

GA28-19.11.00

Description: 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. Use relevant entries in general and functional retention and disposal authorities for records relating to the work generated by joint venture arrangements. Use 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. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use 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. Use TENDERING for records relating to receiving and assessing tenders. Use the relevant function/AGREEMENTS for records relating to joint venture agreements which do not involve contracting-out or tendering.

Retention:

GA28-19.11.01

Description: 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:-correspondence and records of negotiations regarding the establishment of joint venture agreements-drafts of agreements containing significant changes/alterations or formally circulated for comment-final, approved versions of agreements-reviews of agreements -correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants-records of monitoring of arrangements-records of reporting on arrangements.

Retention: Required as State archives

GA28-19.11.02

Description: 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 not of significance to the State. Includes negotiations for joint ventures that do not proceed. Records include:-correspondence and records of negotiations regarding the establishment of joint venture agreements-drafts of agreements containing significant changes/alterations or formally circulated for comment-final, approved versions of agreements-reviews of agreements-correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants-records of monitoring of arrangements-records of reporting on arrangements. Note: Specialty contracts include contracts under seal and deeds to property. Note: 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. Note: 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.

Retention: (A) For specialty contracts: Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy (B) For standard contracts or agreements: Retain minimum of 7 years after expiry or termination of

STRATEGIC MANAGEMENT - Legislation

GA28-19.12.00

Description: The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each. Use GOVERNMENT RELATIONS - ADVICE for records relating to advice provided to Cabinet, the Minister and other government organisations on legislation. Use GOVERNMENT RELATIONS - LEGISLATION for records relating to the preparation and passage of legislation through Parliament. Use GOVERNMENT RELATIONS - SUBMISSIONS for records relating to submissions to the Minister and Cabinet regarding legislative proposals relating to the organisation's core functions. Use LEGAL SERVICES - ADVICE for records relating to legal advice sought and received on the interpretation of legislation. Use 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. Use 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.

Retention:

GA28-19.12.01

Description: Records relating to the development, implementation and review of legislation and regulations concerning the operations and functional responsibilities of the organisation. Records include: -preliminary drafting instructions-draft legislation or regulations - amendments-submissions to the organisation's executive or governing body-reports-submissions received-records documenting the outcomes of consultation with relevant organisations and stakeholders-development and gazettal of regulations.

Retention: Required as State archives

GA28-19.12.02

Description: Records relating to arrangements for consultation regarding changes in legislation, e.g. advertisements, notices for forums etc.

Retention: Retain until ceases to be of administrative or reference use, then destroy

STRATEGIC MANAGEMENT - Meetings

GA28-19.13.00

Function/Activity

GDA No

GA28-19.13.00

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

Retention:

GA28-19.13.01

Description: Records relating to routine general and section or unit meetings of employees and administrative arrangements for meetings. Records include:-meeting notifications-agenda and minutes-catering arrangements-venue bookings-accommodation and transport arrangements-related correspondence.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-19.13.02

Description: 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.

Retention: Required as State archives

GA28-19.13.03

Description: 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.

Retention: Retain until ceases to be of administrative or reference use, then destroy

STRATEGIC MANAGEMENT - Planning

GA28-19.14.00

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

Retention:

GA28-19.14.01

Description: 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.

Retention: Required as State archives

GA28-19.14.02

Description: Records relating to the development and review of the organisation's strategic, corporate or business plans. Records include:- 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.

Retention: Retain minimum of 7 years after plan is superseded, then destroy

GA28-19.14.03

Description: 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 management 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. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of business continuity or counter disaster plans after a disaster and STRATEGIC MANAGEMENT - REPORTING for records relating to reporting on the effects of disasters and recovery strategies. Note: 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.

Retention: Retain minimum of 7 years after plan is superseded, then destroy

GA28-19.14.04

Function/Activity

GDA No

GA28-19.14.04

Description: 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:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

STRATEGIC MANAGEMENT - Policy

GA28-19.15.00

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

Retention:

GA28-19.15.01

Description: 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.

Retention: Retain minimum of 7 years after policy is superseded, then destroy

GA28-19.15.02

Description: 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: -policy proposals-background research-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.

Retention: Retain minimum of 3 years after action completed, then destroy

STRATEGIC MANAGEMENT - Procedures

GA28-19.16.00

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures. Use 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.

Retention:

GA28-19.16.01

Description: 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.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-19.16.02

Description: 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: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

STRATEGIC MANAGEMENT - Reporting

GA28-19.17.00

Function/Activity

GDA No

GA28-19.17.00

Description: 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. Use 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.

Retention:

GA28-19.17.01

Description: 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:-plans that had been in place prior to the disaster -action taken to manage disasters -damage sustained, e.g. to records or property-effectiveness of plans-remedial action identified and taken.Use OCCUPATIONAL HEALTH & SAFETY - ACCIDENTS for records relating to personal injury sustained during a disaster.

Retention: Required as State archives

GA28-19.17.02

Description: Final, approved versions of reports relating to the performance of the organisation in meeting corporate goals, objectives and performance indicators.Use GOVERNING BODIES - MEETINGS for records relating to reports submitted to governing bodies.

Retention: Required as State archives

GA28-19.17.03

Description: Final, approved versions of reports relating to strategic management programs, services and systems that do not relate to: - 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-the performance of the organisation in meeting corporate goals, objectives and performance indicators. Includes periodic reports that span multiple functions, e.g. routine monthly reports on the activities of a business unit.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-19.17.04

Description: Records relating to the development and review of reports regarding strategic management programs, services and systems. Records include:-background research-records relating to the outcomes of consultation with employees, unions, other stakeholders etc-draft versions of reports containing significant changes/alterations or formally circulated for comment.

Retention: Retain minimum of 3 years after action completed, then destroy

STRATEGIC MANAGEMENT - Reviewing

GA28-19.18.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.Use STRATEGIC MANAGEMENT - EVALUATION for records relating to the evaluation of strategic programs, services and systems.Use STRATEGIC MANAGEMENT - LEGISLATION for records relating to the review of legislation and regulations concerning the operations and functional responsibilities of the organisation.Use STRATEGIC MANAGEMENT - PLANNING, STRATEGIC MANAGEMENT - POLICY or STRATEGIC MANAGEMENT - PROCEDURES for records relating to the review of plans, policies or procedures.

Retention:

GA28-19.18.01

Description: Records relating to the review of strategic programs and services. Records include:-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.

Retention: Retain minimum of 5 years after action completed, then destroy

STRATEGIC MANAGEMENT - Risk management

GA28-19.19.00

Description: 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.Use STRATEGIC MANAGEMENT - PLANNING for records relating to business continuity/counter disaster planning for the organisation.Use OCCUPATIONAL HEALTH & SAFETY - RISK MANAGEMENT for records relating to occupational health and safety risk management processes.

Retention:

GA28-19.19.01

Function/Activity

GDA No

GA28-19.19.01

Description: 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. Note: 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 obsolete, then destroy.

Retention: Retain minimum of 6 years after action completed, then destroy

STRATEGIC MANAGEMENT - Standards

GA28-19.20.00

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

Retention:

GA28-19.20.01

Description: 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:-background research -records of consultations-draft versions of proposed standards or benchmarks containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. Note: Copies of final versions of standards or benchmarks may be retained in the organisation's library.

Retention: Retain minimum of 5 years after action completed, then destroy

STUDENT EXCHANGE

GDA23-16.0.0

Description: See also ENROLMENT for records relating to the enrolment of students.

Retention:

STUDENT EXCHANGE - Cotutelle schemes

GDA23-16.1.0

Description: This scheme was originally developed by the French Government and was designed to establish and develop partnerships between French and other research units which include the facilitation of movement of French and other doctoral candidates under joint supervision arrangements. Cotutelle arrangements exist between French universities and universities in a number of other countries. The prime intent of such agreements is that they form part of an ongoing or developing cooperative research collaboration between a department or research group in the university and one elsewhere.

Retention:

GDA23-16.1.1

Description: Records relating to cotutelle arrangements for particular students.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-16.1.2

Description: Records relating to the development of cotutelle schemes between the university and other institution.

Retention: Retain for minimum of 7 years after action completed, then destroy.

STUDENT EXCHANGE - Student exchange programs

GDA23-16.2.0

Description: The exchange of students between institutions, including study abroad.

Retention:

GDA23-16.2.1

Description: Records relating to applications received for placement as an exchange student. Examples of records: application forms; correspondence; notification of acceptance/refusal

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-16.2.2

Description: Records relating to exchange arrangements for particular students.

Retention: Retain for minimum of 2 years after action completed, then destroy.

Function/Activity

GDA No

GDA23-16.2.3

Description: Records relating to arrangements, contracts or agreements with other universities for student exchange programs.

Retention: Retain for minimum of 7 years after the agreement expires or last action, whichever is the longer, then destroy.

STUDENT GRIEVANCES

GDA23-17.0.0

Description: Managing the activities associated with the handling and resolution of grievances from students. Includes handling complaints over perceived discrimination; or complaints arising over work/study environment, assessment/assignment organisation or distribution, peers, lecturers, tutors or supervisors. Also includes complaints regarding the provision of access to opportunities such as equipment, facilities (such as laboratories), tutorials, or other services. Note: Complaints over perceived discrimination could be on the grounds of sex, race, disability, pregnancy, carer responsibilities, homosexuality or transgender status and could also cover bullying or harassment. See GOVERNANCE – Breaches of by-laws and rules for student disciplinary matters and for complaints involving children or young people. GOVERNANCE – Policy and Procedure for records relating to policy and procedure. See also General Retention and Disposal Authority: Personnel Records for records relating to staff grievances or where a student grievance results in disciplinary action being taken in relation to a staff member.

Retention:

STUDENT GRIEVANCES - Grievances

GDA23-17.1.0

Description: The activities associated with the handling and resolution of grievances from students

Retention:

GDA23-17.1.1

Description: Records relating to formal grievances raised by a student, which are precedent setting cases and have resulted in significant change to University procedure.

Retention: Retain for minimum of 15 years after action completed, then destroy.

GDA23-17.1.2

Description: Records relating to all other grievances and complaints raised by a student (proven and not proven).

Retention: Retain for minimum of 6 years after action completed, then destroy.

STUDENT RECRUITMENT

GDA23-18.0.0

Description: This function relates to the recruitment of students to courses of study in the university and to student exchange programs. See ENROLMENT for records relating to the enrolment of students. GOVERNANCE – Policy and Procedure for records relating to policy and procedure.

Retention:

STUDENT RECRUITMENT - Marketing

GDA23-18.1.0

Description: Activities to encourage prospective students and researchers to apply to the university.

Retention:

GDA23-18.1.1

Description: Marketing of services and courses offered by the university in order to encourage prospective students and researchers to apply. This can include: open days; careers markets; and promotional material.

Retention: Retain for minimum of 1 year after action completed, then destroy.

STUDENT RECRUITMENT - Overseas recruitment

GDA23-18.2.0

Description: Includes the recruitment of full fee paying students from overseas through the use of advertising and recruitment agents.

Retention:

GDA23-18.2.1

Function/Activity

GDA No

GDA23-18.2.1

Description: Records relating to arrangements with recruitment/advertising agencies. See General Retention and Disposal Authority: Administrative Records - CONTRACTING-OUT for agreements and contracts.

Retention: Retain for minimum of 2 years after action completed, then destroy.

STUDENT SERVICES

GDA23-19.0.0

Description: The provision of services to students by the university or other body which has an agreement or contract with the university such as counselling, financial assistance, child care and careers advice. Note: The disposal classes within this function only apply to records created or received by the university in the conduct of business. This does not extend to records created by external bodies, such as student bodies (eg students' union) or residential colleges (where the college is not run by the university), providing services to students. The records which are covered would include records created by the university as a result of its relationships with those external bodies. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure.

Retention:

STUDENT SERVICES - Careers advice

GDA23-19.1.0

Description:

Retention:

GDA23-19.1.1

Description: Advice to students on careers.

Retention: Retain for minimum of 2 years after action completed, then destroy.

STUDENT SERVICES - Employment services

GDA23-19.8.0

Description: Service of registering students seeking work and employers seeking casual workers. See also STUDENT SERVICES - Careers advice for records relating to advice on careers post graduation.

Retention:

GDA23-19.8.1

Description: Records relating to linking students with employment opportunities.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-19.8.2

Description: Records of enquiries and liaison with prospective employers.

Retention: Retain for minimum of 2 years after action completed, then destroy.

STUDENT SERVICES - Financial assistance

GDA23-19.2.0

Description: The provision of financial assistance to students often in the form of low or zero interest short term loans.

Retention:

GDA23-19.2.1

Description: Records relating to applications to receive assistance where the application is successful. This includes records of interviews and other assessment methods.

Retention: Retain for minimum of 6 years after action completed, then destroy.

GDA23-19.2.2

Description: Records relating to applications to receive assistance where the application is not successful. This includes records of interviews and other assessment methods.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-19.2.3

Description: Records relating to the management of loans.

Retention: Retain for minimum of 6 years after expiry of loan period, then destroy.

STUDENT SERVICES - Interaction with student associations

GDA23-19.3.0

Description: The relationship between the university and student associations such as the students' union, sporting clubs, special interest groups etc.

Retention:

GDA23-19.3.1

Description: Records relating to the interaction between the university and student associations.

Retention: Retain for minimum of 6 years after action completed, then destroy.

STUDENT SERVICES - Liaison with service providers

GDA23-19.4.0

Description: Liaison between the university and service providers where the service is not provided directly by the university. For example, child care services, student accommodation, medical and dental services. For records of services provided directly by the university or where the university has a right to control of records of the service provider see: CHILDCARE SERVICES, ACCOMMODATION SERVICES, COUNSELLING SERVICES, HEALTH SERVICES.

Retention:

GDA23-19.4.1

Description: Records of agreements to provide services.

Retention: Retain for minimum of 7 years after action completed, then destroy.

GDA23-19.4.2

Description: Records relating to interactions between the university and the service provider.

Retention: Retain for minimum of 5 years after action completed, then destroy.

STUDENT SERVICES - Other services

GDA23-19.10.0

Description: Other general services provided by the university which have not been dealt with specifically under other activities in this disposal authority.

Retention:

GDA23-19.10.1

Description: Client records.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-19.10.2

Description: Records relating to the delivery, management and operations of the service.

Retention: Retain until all business, legal and other requirements for retention have been met, then destroy.

STUDENT SERVICES - Religious services

GDA23-19.5.0

Description: The provision of religious services such as chaplaincies.

Retention:

GDA23-19.5.1

Description: Records relating to the appointment of chaplains or similar roles. This includes accepting a recommendation or nomination by a religious body or where the appointment of the chaplain is recognised by the university.

Retention: Retain for minimum of 5 years after end of appointment period, then destroy.

STUDENT SERVICES - Special needs support

GDA23-19.6.0

Description: Provision of services such as assistance to disabled students, foreign students, etc. This may include the provision of special needs services during examinations such as interpreters, reading assistance for sight impaired students, disabled access, etc.

Retention:

Function/Activity

GDA No

GDA23-19.6.1

Description: Special needs support for students with permanent/ long term disabilities. Records relating to administrative arrangements for the provision of special needs support services.

Retention: Retain for minimum of 6 years after action completed, then destroy.

GDA23-19.6.2

Description: Special needs support for students with temporary/short term disabilities. For example a student with a broken arm. Records relating to administrative arrangements for the provision of special needs support services.

Retention: Retain for minimum of 1 year after action completed, then destroy.

STUDENT SERVICES - Student orientation

GDA23-19.7.0

Description:

Retention:

GDA23-19.7.1

Description: Records relating to the planning and management of student orientation (such as orientation week activities and programs).

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-19.7.2

Description: Records relating to mentoring services for students. Includes student applications to become mentors, student applications/forms to be mentored, and reports by mentors/mentees.

Retention: Retain for minimum of 2 years after action completed then destroy.

STUDENT SERVICES - Study assistance services

GDA23-19.9.0

Description: Provision of advice and support to students in the course of their study and programs directed to specific needs (eg English and mathematics).

Retention:

GDA23-19.9.1

Description: Records relating to administration of specific programs.

Retention: Retain for minimum of 2 years after action completed, then destroy.

GDA23-19.9.2

Description: Client records.

Retention: Retain for minimum of 2 years after action completed, then destroy.

TEACHING

GDA23-25.0.0

Description: The process of conveying knowledge. See GOVERNANCE – Policy and Procedure for records relating to policy and procedure. See also General Retention and Disposal Authority - Administrative records for agreements/contractual records of joint ventures such as agreements with external bodies (including other educational institutions).

Retention:

TEACHING - Advice to students

GDA23-25.1.0

Description: Advice provided to students in relation to teaching, enrolment, progression, assessments, disputes, course delivery, complaints, etc. See also STUDENT SERVICES – Careers advice

Retention:

GDA23-25.1.1

Description: Records relating to the provision of advice to students as defined above. Note: Where these records are batched an estimation will need to be made on the likely graduation/ completion date for the majority of students.

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

TEACHING - Assessment**GDA23-25.2.0**

Description: The process of testing knowledge and understanding of candidates for degrees, programs etc by examination and other techniques. See also GOVERNANCE – Breaches of by-laws and rules for records dealing with academic misconduct, such as plagiarism.

Retention:

GDA23-25.2.1

Description: Assessment committee records.

Retention: Retain for minimum of 1 year after action completed, then destroy. Note: action completed includes appeals.

GDA23-25.2.2

Description: Student examination/ assessment scripts (eg examination papers completed by students). Includes any work, with the exception of theses, submitted or completed by students for the purposes of assessment or evaluation by: examinations (written or oral); assignments; practicum reports (see also below); field work reports; presentations; works of art. Examples of records: examination manuscripts; and assignments. See 25.2.5 for undergraduate, honours and postgraduate coursework theses and TEACHING – Course delivery for master set of examination papers.

Retention: Retain at least until the end of the appeal period, then destroy

GDA23-25.2.3

Description: Practicums – summary records for courses of study where the number of hours completed and proof of satisfactory performance may be required for accreditation purposes (for example nursing and teaching practicums). Note: For certification/accreditation purposes the information required will usually include the number of hour/days completed and the result/grade. These can usually be gained through a combination of the student's transcript and relevant handbooks. This disposal class should be used for practicum reports where these are not available. See also above for other practicum records such as practicum reports. Practicums – administrative records for arrangements and liaison with placement providers. See General Retention and Disposal Authority - Administrative Records for agreements/ contracts.

Retention: Retain for minimum of 50 years after completion of course of study, then destroy.

GDA23-25.2.5

Description: Undergraduate and honours theses submitted or completed by students for the purposes of assessment or evaluation. Includes postgraduate coursework theses (where student is not working towards a higher degree). See also TEACHING – Supervision of higher degree students for higher degree theses.

Retention: Retain for minimum of 3 years after date of submission, then destroy

GDA23-25.2.6

Description: Records of appeals of individual assessments. See also TEACHING – Results for appeals to final grades. Note: action completed may include escalation to internal or external formal grievance/ complaint processes.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-25.2.7

Description: Administrative arrangements for the conduct of examinations and other assessment activities. This includes: assessment/examination supervision; timetabling; eligibility lists; provision of examination/ assessment materials; and objections to taking part in an assessment/examination due to religious requirements. Examples of records: timetables; eligibility lists. See STUDENT SERVICES – Special needs support for records relating to the provision of special needs during examinations or other assessment activities.

Retention: Retain until no longer required for reference purpose, then destroy.

TEACHING - Attendance**GDA23-25.3.0**

Description: Attendance of students for teaching and assessment activities such as: examinations; assessment activities; classes; tutorials; and laboratory sessions.

Retention:

GDA23-25.3.1

Description: Records relating to attendance. Examples of records: attendance lists; sick leave forms; and medical certificates.

Retention: Retain at least until end of appeal period, then destroy.

GDA23-25.3.2

Function/Activity

GDA No

GDA23-25.3.2

Description: Records relating to attendance for practicums where students are working with children (eg nursing and education).

Retention: Retain for minimum of 10 years after action completed, then destroy.

TEACHING - Course delivery

GDA23-25.4.0

Description: The means by which teaching is conducted. See also TEACHING – Supervision of higher degree students for student supervision records.

Retention:

GDA23-25.4.1

Description: Subject resources and material used in course delivery. Examples of records: subject outlines; study guides; readings; self assessment exercises; audio/visual teaching aides; reading lists; assignment lists; and lecture notes.

Retention: Retain at least until no longer required for teaching or other purposes, then destroy.

GDA23-25.4.2

Description: Examination papers – master set of questions. See also TEACHING - Assessment for student scripts.

Retention: Required as State archives

GDA23-25.4.3

Description: Calendars, handbooks and guides – master set. These contain such information as descriptions of course requirements, prerequisites, content and outcomes. Examples of records: calendars; faculty handbooks; and course guides

Retention: Required as State archives

GDA23-25.4.4

Description: Working papers These are the academic's papers for course/subject preparation and/or delivery. Examples of records: research notes; drafts of documents.

Retention: Retain at least until no longer required for teaching or other purposes, then destroy.

GDA23-25.4.5

Description: Quality assurance Records relating to the assessment of data/feedback on course delivery. For example assessment/evaluation; findings of surveys; reporting and recommendations; action taken. See also General Retention and Disposal Authority - Administrative Records – STAFF DEVELOPMENT.

Retention: Retain until no longer required for reference or administrative purpose, then destroy.

GDA23-25.4.6

Description: Quality assurance – survey/data collection forms Records relating to the collection of assessment data on course delivery. Examples of records: data collection forms; and survey forms.

Retention: Retain until no longer required for reference or administrative purpose, then destroy.

GDA23-25.4.7

Description: Records relating to administrative arrangements for course delivery, such as timetables, rosters, organising venues, teaching allocations.

Retention: Retain until no longer required for administrative purposes, then destroy.

TEACHING - Curriculum approval

GDA23-25.5.0

Description: Institutional approval process, from school/department/discipline to governing body and/or external accreditation.

Retention:

GDA23-25.5.1

Description: Working papers. Note: This does not include committee records or the master set of approved curricula. Examples of records: correspondence; and notes.

Retention: Retain for minimum of 3 years after curricula superseded, then destroy.

GDA23-25.5.2

Function/Activity

GDA No

GDA23-25.5.2

Description: Records of the approval process, including committee records.

Retention: Retain for minimum of 10 years after curricula superseded, then destroy.

GDA23-25.5.3

Description: Approved curricula – master set. Note: Copies of curricula which are not approved can be disposed of under Working papers above.

Retention: Required as State archives

GDA23-25.5.4

Description: Records relating to successful external accreditation of courses by professional or registration bodies. Examples of records: letter/notification of successful accreditation.

Retention: Retain for minimum of 10 years after accreditation expires, then destroy.

GDA23-25.5.5

Description: Records relating to the process of gaining accreditation.

Retention: Retain for minimum of 5 years after action completed, then destroy.

GDA23-25.5.6

Description: Records relating to unsuccessful external accreditation. Examples of records: reports; criteria; correspondence.

Retention: Retain for minimum of 3 years after action completed, then destroy.

TEACHING - Curriculum development

GDA23-25.6.0

Description: The process of developing curricula for university courses. This includes the initiation or discussion of proposals.

Retention:

GDA23-25.6.1

Description: Working papers. Note: This does not include the master set of approved curricula. Examples of records: correspondence; reference/advisory/industry groups records of committees and working parties; and notes.

Retention: Retain for minimum of 3 years after curricula superseded, then destroy.

TEACHING - Curriculum review

GDA23-25.7.0

Description: Internal institutional and/or external review.

Retention:

TEACHING - Progression

GDA23-25.8.0

Description: Once a student enrolls in a course of study, their progression through to graduation is dependent upon meeting minimum success rates and correctly re-enrolling. The University may place students who have performed poorly on conditional enrolment, or exclude them from studies or take some other form of action (such as warnings).

Retention:

GDA23-25.8.1

Description: Records relating to the assessment of students in order to identify those whose progression may require intervention. Examples of records: decisions; requests for students to 'show cause'; documentation from students in support of their case; notification of exclusion; notification of conditional enrolment; monitoring and/or reports on student progress appeals. Note: Where these records are batched a careful estimation will need to be made on the likely graduation/ completion date for the majority of students.

Retention: Retain for minimum of 6 years after student has completed or discontinued course of study, then destroy.

GDA23-25.8.2

Description: Records of committees (including ad-hoc committees) responsible for assessing student progression cases.

Retention: Retain for minimum of 6 years after action completed, then destroy.

TEACHING - Results

Function/Activity

GDA No

GDA23-25.9.0

Description: Grading/marking of individual assessment components such as assignments, essays, theses, etc. Note: this does not include the final grade for a subject or course or the actual assessment items.

Retention:

GDA23-25.9.1

Description: Records relating to the grading/marking of individual assessment components of a subject or course. Note: These records need to be retained to allow students the opportunity to appeal.

Retention: Retain for minimum of 1 year after end of appeal period, then destroy.

GDA23-25.9.2

Description: Records of determination of final results/grades. See also above for marking/grading of individual assessment components.

Retention: Retain for minimum of 1 year after appeal period, then destroy.

GDA23-25.9.3

Description: Records relating to appeals of grades. See also TEACHING - Assessment for appeals of individual assessments. Note: action completed may include escalation to internal or external formal grievance/ complaint processes.

Retention: Retain for minimum of 1 year after action completed, then destroy.

GDA23-25.9.4

Description: Records relating to changes to assessment results. Note: Where these records are batched an estimation will need to be made on the likely graduation/completion date for the majority of students.

Retention: Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

TEACHING - Special consideration requests

GDA23-25.10.0

Description: Requests from students that special consideration be given due to circumstances which affected their performance in an examination or other assessment activity.

Retention:

GDA23-25.10.1

Description: Records relating to special consideration requests. Note: retention period based on recommendation of NSW Ombudsman made in the Final Report under Section 26 of the Ombudsman Act – Sydney University – The conduct of the University in handling applications for special consideration, complaints against staff and incidental conflicts of interest (February 2001) [unpublished]

Retention: Retain for minimum of 3 years after action completed, then destroy.

TEACHING - Supervision of higher degree students

GDA23-25.11.0

Description: Supervision of higher degree students (eg masters and Ph.D. level students) where assessment is not by coursework but by thesis or other significant work. See also TEACHING – Assessment for postgraduate coursework theses.

Retention:

GDA23-25.11.1

Description: Records relating to the supervision of higher degree students. Includes advice and liaison between a supervisor and student.

Retention: Retain for minimum of 6 years after action completed, then destroy.

GDA23-25.11.2

Description: Records relating to the appointment of examiners, assessors or supervisors.

Retention: Retain for minimum of 1 year after action completed or end of appeal period, whichever is longer, then destroy.

GDA23-25.11.3

Description: Examiners/assessors' reports and related records.

Retention: Retain at least until end of appeal period, then destroy.

GDA23-25.11.4

Description: Theses submitted by higher degree students where the student is awarded the higher degree.

Retention: Retain until no longer required for reference use, then destroy OR Return to student in compliance with university policy.

Function/Activity

GDA No

GDA23-25.11.5

Description: Theses submitted by higher degree students where the student is not awarded the higher degree.

Retention: Retain for minimum of 1 year after end of appeal period, then destroy OR Return to student in compliance with university policy.

TEACHING - Transcripts/ final results

GDA23-25.12.0

Description: The official record of the marks/grades achieved by a student in the course of the degree or program undertaken.

Retention:

GDA23-25.12.1

Description: Student academic transcript/final results.

Retention: Required as State archives

GDA23-25.12.2

Description: Paper records of student academic transcript/final results which have been converted to electronic format (eg through data entry or imaging).

Retention: Retain until no longer required for reference purposes, then destroy.

GDA23-25.12.3

Description: Records relating to requests for academic transcripts.

Retention: Retain until no longer required for reference purposes, then destroy.

GDA23-25.12.4

Description: Records relating to requests for verification of qualifications or graduation status.

Retention: Retain for minimum of 1 year after action completed, then destroy.

TEACHING and RESEARCH -Curriculum review

GDA23-25.7.1

Description: Records relating to the review of curricula, includes working papers. Note: This does not include the master set of approved curricula. Examples of records: committee records; reference/advisory/industry groups, correspondence; and notes.

Retention: Retain for minimum of 3 years after action completed, then destroy.

TECHNOLOGY & TELECOMMUNICATIONS

GA28-20.00.00

Description: The function of developing or acquiring, testing and implementing hardware infrastructure, and applications and databases to support the business needs of an organisation to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and websites. Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to the monitoring and assessment of technology and telecommunications equipment as corporate assets. Use EQUIPMENT & STORES - ACQUISITION and EQUIPMENT & STORES - DISPOSAL for records relating to the acquisition and disposal of other equipment and stores. Use INFORMATION MANAGEMENT for records relating to the management of information resources. Use PUBLICATION - PRODUCTION for records relating to the updating of the content of websites.

Retention:

TECHNOLOGY & TELECOMMUNICATIONS - Acquisition

GA28-20.01.01

Description: Records relating to the acquisition of services for the development of systems or the acquisition of off-the-shelf systems where the system is proceeded with and is acquired through a tendering or contracting-out process. Includes systems acquired through period contracts that involve tendering. Note: Organisations may choose to maintain all evaluation, acquisition, contracting-out and/or tendering records relating to systems according to this disposal action, or may refer to TENDERING or CONTRACTING-OUT if they wish to destroy some of the tendering or contracting-out documentation at an earlier date. Decisions may differ according to the system and should be based on a determination of how long records are required to meet the organisation's business needs in consultation with operational employees or business units.

Retention: Retain minimum of 7 years after system is superseded, then destroy

GA28-20.01.02

Function/Activity

GDA No

GA28-20.01.02

Description: Records relating to the acquisition of technology and telecommunications equipment or systems through any means (purchase, acquisition, requisition etc) where there is no tender or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include:-requests for quotes-orders-correspondence and records of negotiations-minutes or notes of meetings.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-20.01.03

Description: Records relating to investigations into the acquisition of technology and telecommunications equipment or systems not proceeded with.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-20.01.04

Description: Records relating to warranties and guarantees.

Retention: Retain until warranty or guarantee expires or item is disposed of, whichever is sooner, then destroy

GA28-20.1.0

Description: The process of gaining ownership or use of technology and telecommunications equipment and systems required for the conduct of business through purchase or requisition. Use TECHNOLOGY & TELECOMMUNICATIONS - AGREEMENTS for records relating to agreements regarding the provision or use of technology and telecommunications services that do not form part of contracting-out or tendering arrangements, e.g. software licences. Use TECHNOLOGY & TELECOMMUNICATIONS - EVALUATION for records relating to feasibility studies, assessments and other evaluations of technology and telecommunications programs, equipment, services and systems prior to purchase. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to financial transactions supporting acquisition activities. Use FINANCIAL MANAGEMENT - ASSET MANAGEMENT for records relating to the monitoring and assessment of equipment and systems as corporate assets.

Retention:

TECHNOLOGY & TELECOMMUNICATIONS - Agreements

GA28-20.02.00

Description: The processes associated with the establishment, negotiation, maintenance and review of agreements. Use CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process. Use TENDERING for records relating to receiving and assessing tenders.

Retention:

GA28-20.02.01

Description: Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision or use of technology and telecommunications services that do not form part of contracting-out or tendering arrangements, e.g. software licences. Records include:-correspondence and records of 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.

Retention: Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Allocation

GA28-20.03.00

Description: The process of assigning technology or telecommunications equipment to employees or organisational units. Use TECHNOLOGY & TELECOMMUNICATIONS - ARRANGEMENTS for records relating to the routine usage of technology and telecommunications equipment, e.g. booking to use laptops. Use TECHNOLOGY & TELECOMMUNICATIONS - AUDIT for records relating to audits of employees or business units to examine what technology and telecommunications equipment, services, facilities, hardware or software have been allocated to them. Use TECHNOLOGY & TELECOMMUNICATIONS - IMPLEMENTATION for records relating to the allocation of equipment, services, facilities, hardware or software to individuals or organisational units as part of the implementation of new or upgraded systems. Includes the allocation of telephones, mobile telephones and voicemail facilities. Use FINANCIAL MANAGEMENT - ASSET REGISTER for notations on the asset register regarding the allocation of assets.

Retention:

GA28-20.03.01

Description: Records relating to the routine allocation and distribution of technology and telecommunications equipment, services, facilities, hardware or software to business units within the organisation.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-20.03.02

Function/Activity

GDA No

GA28-20.03.02

Description: Records relating to the routine allocation and distribution of technology and telecommunications equipment, services, facilities, hardware or software to individuals for their ongoing use. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to billing of employees regarding personal use of organisational equipment.

Retention: Retain minimum of 2 years after reallocation of equipment, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Application development & management

GA28-20.04.00

Description: The activities associated with developing systems and managing them over time. Includes developing software and programming codes for business applications, developing specifications, testing and prototyping systems, developing the technical aspects of the design of databases including those for the Internet and Intranet, customising or configuring off-the-shelf packages and making system changes such as major problem solving, major enhancements and upgrades. Use TECHNOLOGY & TELECOMMUNICATIONS - EVALUATION for records relating to the establishment of user requirements, development of specifications and feasibility studies and evaluation of potential solutions prior to purchase. Use TECHNOLOGY & TELECOMMUNICATIONS - IMPLEMENTATION for records relating to the implementation and roll-out of technology and telecommunications strategies, projects and systems. Use TECHNOLOGY & TELECOMMUNICATIONS - MAINTENANCE for records relating to the maintenance of technology and telecommunications equipment. Use TECHNOLOGY & TELECOMMUNICATIONS - PROCEDURES for records relating to the development of user and technical manuals. Use TECHNOLOGY & TELECOMMUNICATIONS - REVIEWING for records relating to the review of technology and telecommunications programs and services.

Retention:

GA28-20.04.01

Description: Records relating to the design and development of systems which are proceeded with. Records include:-background research-project proposals-project management records-notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc-systems documentation-information regarding the source code and the source code itself - information regarding the interrelationship between systems-system specific data dictionaries -records of establishment of system logs-records of application and allocation of metadata-records of business rules-records of user requirements-records of system specifications and configurations-records of rectification of developmental problems -records of requests for system changes during development-records of final signoff by parties.

Retention: Retain minimum of 7 years after system is superseded, either through upgrade or major modification, and any data supported is migrated or destroyed, then destroy

GA28-20.04.02

Description: Records relating to proposals for the development and modification of specific applications which are not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-20.04.03

Description: Records relating to testing of applications. Records include:-records of testing strategies, e.g. user testing-result forms-test reports. Use 20.4.1 for records relating to the rectification of problems detected.

Retention: Retain minimum of 5 years after system goes live, then destroy

GA28-20.04.04

Description: Records relating to the configuration or customisation of off-the-shelf packages to meet the needs of the organisation.

Retention: Retain minimum of 7 years after system is superseded, then destroy

GA28-20.04.05

Description: Records relating to enhancements and upgrades to systems, and system-changing maintenance and problem management.

Retention: Retain minimum of 7 years after system is superseded, then destroy

GA28-20.04.06

Description: Records relating to the maintenance of system logs which are used to show a history of access or change to data, e.g. system access logs, Internet access and activity logs, system change logs, audit trails etc. Note: The Government Chief Information Office (GCIO), Information Security Guideline for NSW Government agencies indicates that the minimum retention period for audit logs should at least be sufficient to support the investigation of security incidents (p.97). System logs may be required for accountability purposes or as evidence in investigations to trace who accessed what records. The length of retention will be dependent on the organisation, the system and the nature of the risks faced. Remark: Audit trails relating to financial systems may be embedded in the transaction record or may be maintained separately. Where an audit trail is maintained separately it should be retained for the period of the base transaction record itself (as per GA28, 7.1.1).

Retention: Retain in accordance with the organisation's requirements, then destroy

GA28-20.04.07

Function/Activity

GDA No

GA28-20.04.07

Description: Records relating to the maintenance of system logs which are not used to show a history of access or change to data, e.g. backup logs. Note: Backup logs are maintained by backup software to report the status of backups performed and information such as devices and tapes used, errors encountered, systems and lists of files backed up etc. Backups (e.g. backup tapes) are different: they store the actual backed up data and their disposal is covered by normal administrative practice (NAP) as they are facilitative records. It is not good practice to rely on backups as official records of business as they are not considered to be reliable recordkeeping systems. There should be established and documented routines for the destruction of backups in accordance with NAP.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-20.04.08

Description: Records relating to rectification plans, reports, remediation processes and testing of systems for year 2000 (Y2K) compliance.

Retention: Retain minimum of 5 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Arrangements

GA28-20.05.00

Description: The activities involved in making arrangements for the usage of technology and telecommunications equipment. Use TECHNOLOGY & TELECOMMUNICATIONS - ALLOCATION for records relating to the routine allocation and distribution of technology and telecommunications equipment, services, facilities, hardware or software to business units and individual employees.

Retention:

GA28-20.05.01

Description: Records relating to the routine usage of technology and telecommunications equipment, e.g. bookings to use laptops, videoconferencing facilities, data projectors etc.

Retention: Retain until ceases to be of administrative or reference use, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Audit

GA28-20.06.00

Description: 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. Use TECHNOLOGY & TELECOMMUNICATIONS - APPLICATION DEVELOPMENT & MANAGEMENT for records relating to the establishment and maintenance of system logs, including audit trails. Use TECHNOLOGY & TELECOMMUNICATIONS - COMPLIANCE for records relating to the organisation's compliance with mandatory or optional standards or statutory requirements regarding technology and telecommunications. Use TECHNOLOGY & TELECOMMUNICATIONS - EVALUATION or TECHNOLOGY & TELECOMMUNICATIONS - REVIEWING for records relating to the evaluation or review of technology & telecommunications programs, equipment, services and systems that are not formal audits. Use TECHNOLOGY AND TELECOMMUNICATIONS - SECURITY for records relating to security testing and audit. Use General Retention and Disposal Authority - Financial and accounting records, TECHNOLOGY & TELECOMMUNICATIONS - AUDIT for records relating to audit trails of computerised financial systems.

Retention:

GA28-20.06.01

Description: Records relating to audits of technology and telecommunications services, programs and systems, e.g. audits of licensing, equipment. Records include:-records of audit planning or liaison with auditing body -minutes or notes of meetings-notes taken at interviews-correspondence-draft versions of reports containing significant changes/alterations or formally circulated for comment - final, approved versions of reports-records of remedial action.

Retention: Retain minimum of 6 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Compliance

GA28-20.07.00

Description: 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. Use 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 technology and telecommunications standards, requirements and policies etc. Use TECHNOLOGY & TELECOMMUNICATIONS - AUDIT for records relating to formal audits against compliance requirements. Use TECHNOLOGY & TELECOMMUNICATIONS - SECURITY for records relating to compliance with security protection measures and breaches of security. Use INFORMATION MANAGEMENT - COMPLIANCE for records relating to the investigation of alleged breaches of privacy by the organisation. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of compliance requirements.

Retention:

GA28-20.07.01

Function/Activity

GDA No

GA28-20.07.01

Description: Records relating to the organisation's compliance with mandatory or optional standards or statutory requirements regarding technology and telecommunications, e.g. AS/NZS ISO/IEC 17799: 2001, Information Technology: Code of practice for information security management. Includes records of assessment and certification of compliance with standards. Note: Retention period is provided as a guide 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.

Retention: Retain minimum of 6 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Customer service

GA28-20.08.00

Description: The activities associated with establishing standards of customer service and administering specialised services provided to customers by the organisation.

Retention:

GA28-20.08.01

Description: Final, approved versions of charters, standards or guarantees relating to the provision of technology and telecommunications services to clients.

Retention: Retain minimum of 2 years after superseded, then destroy

GA28-20.08.02

Description: Records relating to the development and review of charters, standards or guarantees relating to the provision of technology and telecommunications services to clients. Records include: -background research-draft versions containing significant changes/alterations or formally circulated for comment-reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.

Retention: Retain until ceases to be of administrative or reference use, then destroy

GA28-20.08.03

Description: Records relating to the administration of specialised customer services relating to technology and telecommunications, e.g. help desks, and advice and assistance regarding technology and telecommunications systems, operations and services, e.g. advice to internal business units.

Retention: Retain minimum of 2 years after action completed, then destroy

GA28-20.08.04

Description: Records relating to suggestions received from personnel in relation to technology and telecommunications.

Retention: Retain until ceases to be of administrative or reference use, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Data administration

GA28-20.09.00

Description: The activities associated with maintaining and using the data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries and the application of vital records and counter disaster plan objectives to safeguard against data loss or corruption. Use the organisation's functional retention and disposal authority for records relating to the retention of the data itself. Use TECHNOLOGY & TELECOMMUNICATIONS - APPLICATION DEVELOPMENT & MANAGEMENT for records relating to the maintenance of system specific data dictionaries. Use TECHNOLOGY & TELECOMMUNICATIONS - IMPLEMENTATION for records relating to migration strategies and quality assurance checks for migration. Use TECHNOLOGY & TELECOMMUNICATIONS - IMPLEMENTATION for records relating to data clean-up performed as part of migration processes. Use INFORMATION MANAGEMENT - CONTROL for records relating to the research, development, implementation and maintenance of system data standards such as metadata rules and dictionaries. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of business continuity or counter disaster plans. Use STRATEGIC MANAGEMENT - PLANNING for records relating to the development and review of business continuity or counter disaster plans, including Year 2000 compliance risk assessments. Use STRATEGIC MANAGEMENT - REPORTING for records relating to reports on the implementation of business continuity or counter disaster plans. Use STRATEGIC MANAGEMENT - RISK MANAGEMENT for records relating to the identification and assessment of technology and telecommunications risks as part of broader strategic risk management processes, e.g. the analysis of insurance policies and legal liabilities across the organisation.

Retention:

GA28-20.09.01

Description: Records relating to the recovery of data, e.g. data lost during disasters, data corrupted by viruses etc. Records include records of testing for data recovery and post-incident reviews.

Retention: Retain minimum of 7 years after system is superseded, then destroy

GA28-20.09.02

Function/Activity

GDA No

GA28-20.09.02

Description: Records relating to the maintenance of organisation-wide data dictionaries.

Retention: Retain until ceases to be of administrative or reference use, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Disposal

GA28-20.10.00

Description: The process of disposing of technology and telecommunications equipment no longer required by the organisation by sale, transfer, termination of lease, auction or destruction. Use TECHNOLOGY & TELECOMMUNICATIONS - SECURITY for records relating to the sanitisation of technology equipment prior to disposal. Use FINANCIAL MANAGEMENT - ASSET REGISTER for records relating to the removal of items from the organisation's asset register.

Retention:

GA28-20.10.01

Description: Records relating to the disposal of technology and telecommunications equipment through any means including sale, transfer, auction, exchange, return or destruction. Records include for leased equipment:-written notices and related correspondence, e.g. to and from leasing companies-handover reports. Records include for purchased equipment:-independent valuation certificates verifying work undertaken on assets prior to valuation-written quotes-auction records-related correspondence.

Retention: Retain minimum of 7 years after disposal of asset, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Evaluation

GA28-20.11.00

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

Retention:

GA28-20.11.01

Description: Records relating to the evaluation of potential or existing technology and telecommunications programs, equipment, services and systems. Records include: -notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc-records establishing requirements for systems, including analysis of business processes and systems analysis - records of development and issue of specifications, including statements of requirements, requests for proposals, expressions of interest and business cases, initial pilot testing-records of evaluation of commercial 'off the shelf' products and services and whole of government solutions (including shared systems suites and endorsed suppliers) against user requirements-records of investigations into the feasibility of contracting-out technology and telecommunications activities.

Retention: If evaluation proceeds to purchase: Retain in accordance with TECHNOLOGY & TELECOMMUNICATIONS - ACQUISITION. If evaluation does not proceed to purchase: Retain minimum of 5 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Implementation

GA28-20.12.00

Description: 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 the implementation of manual or automated databases, applications or systems, and stand alone projects for installation but excludes the minor installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met. Use TECHNOLOGY & TELECOMMUNICATIONS - APPLICATION DEVELOPMENT & MANAGEMENT for records relating to the development of applications and the ongoing management of systems, including major changes, enhancements, upgrades, customisations or configurations. Use TECHNOLOGY & TELECOMMUNICATIONS - DATA ADMINISTRATION for records relating to the recovery of data, e.g. data lost during disasters. Use TECHNOLOGY & TELECOMMUNICATIONS - PLANNING, TECHNOLOGY & TELECOMMUNICATIONS - POLICY or TECHNOLOGY & TELECOMMUNICATIONS - PROCEDURES for records relating to the development and review of technology and telecommunications plans, policies and procedures. Use FINANCIAL MANAGEMENT - ACCOUNTING for computer transaction input forms and documents used to update financial information. Use STAFF DEVELOPMENT - TRAINING for records relating to training provided to employees as part of the implementation of technology and telecommunications systems. Use STRATEGIC MANAGEMENT - IMPLEMENTATION for records relating to the implementation of business continuity or counter disaster plans. Use STRATEGIC MANAGEMENT - PLANNING for records relating to the development and review of business continuity or counter disaster plans. Use STRATEGIC MANAGEMENT - REPORTING for records relating to reports on the effects of disasters.

Retention:

GA28-20.12.01

Description: Records relating to the implementation of technology and telecommunications strategies, projects, equipment and systems. Systems can include off-the-shelf products or internally developed applications. Records include:-notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc-project management documentation-records of implementation strategies and pilots-records of implementation testing-records of migration strategies and quality assurance checks for migration-records of allocation of technology and telecommunications equipment to individuals or organisational units as part of implementation roll-outs-records of monitoring of implementation.

Retention: Retain minimum of 5 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Installation

GA28-20.13.00

Description: The activities involved in placing equipment in position and connecting and adjusting it for use. Use TECHNOLOGY & TELECOMMUNICATIONS - IMPLEMENTATION for records relating to the installation of stand-alone projects, e.g. those involving capital expenditure. Use TECHNOLOGY & TELECOMMUNICATIONS - SECURITY for records relating to permissions for use of systems.

Retention:

GA28-20.13.01

Description: Records relating to arrangements for the routine installation or relocation of technology and telecommunications equipment including software and hardware when they are not part of stand-alone projects, e.g. installation of a few PCs or printers.

Retention: Retain minimum of 2 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Intellectual property

GA28-20.14.00

Description: The activities involved in managing the organisation's intellectual property, both published and unpublished. Includes copyright, patents and trademarks, royalties and matters of confidentiality such as trade secrets which are not available to the public under Freedom of Information (FOI) legislation. Use FINANCIAL MANAGEMENT - ACCOUNTING for records relating to the payment of money. Use LEGAL SERVICES - ADVICE for records relating to legal advice furnished to the organisation by internal and external legal service providers on intellectual property issues. Use LEGAL SERVICES - LITIGATION for records relating to prosecution of the organisation for breaches of intellectual property rights. Use STRATEGIC MANAGEMENT - AGREEMENTS for records relating to intellectual property agreements. Use STRATEGIC MANAGEMENT - COMPLIANCE for records relating to infringements of intellectual property. Use STRATEGIC MANAGEMENT - INTELLECTUAL PROPERTY for records relating to the establishment, registration and documentation of the organisation's intellectual property, including intellectual property registers.

Retention:

GA28-20.14.01

Description: Records relating to managing applications:-made by the organisation to use portions of software developed by another organisation or individual, or -from the public or other organisations for permission to reproduce portions of software developed by the organisation where permission has been granted.

Retention: Retain minimum of 7 years after action completed or permission expires, whichever is later, then destroy

GA28-20.14.02

Description: Records relating to managing applications:-made by the organisation to use portions of software developed by another organisation or individual, or -from the public or other organisations for permission to reproduce portions of software developed by the organisation where permission has not been granted.

Retention: Retain until ceases to be of administrative or reference use, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Leasing-out

GA28-20.15.00

Description: The activities involved in leasing-out equipment to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc of both parties. Also includes subleasing. Use TECHNOLOGY & TELECOMMUNICATIONS - ACQUISITION for records relating to leasing technology and telecommunications equipment from another organisation.

Retention:

GA28-20.15.01

Description: Records relating to arrangements for leasing-out the organisation's technology and telecommunications equipment, systems or services to other organisations.

Retention: Retain minimum of 7 years after lease expires or is terminated, and equipment is returned, then destroy

GA28-20.15.02

Description: Records relating to leasing-out which is not proceeded with.

Retention: Retain minimum of 2 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Maintenance

GA28-20.16.00

Function/Activity

GDA No

GA28-20.16.00

Description: The activities associated with the upkeep, repair, servicing and preservation of technology and telecommunications equipment and the maintenance of systems. Use TECHNOLOGY & TELECOMMUNICATIONS - APPLICATION DEVELOPMENT & MANAGEMENT for records relating to the development of applications and the ongoing management of systems, including major changes, enhancements, upgrades, customisations or configurations.

Retention:

GA28-20.16.01

Description: Records relating to the maintenance of technology and telecommunications equipment. Records include:-project management documentation-notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc-correspondence and records of advice from vendors, suppliers, consultants etc-records of maintenance inspections-records of requests for maintenance-documentation of minor maintenance action.

Retention: Retain minimum of 5 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Planning

GA28-20.17.00

Description: The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Use STRATEGIC MANAGEMENT - PLANNING for records relating to planning for technology and telecommunications resources if it forms part of broader strategic, corporate or business planning.

Retention:

GA28-20.17.01

Description: Final, approved versions of plans for technology and telecommunications projects, systems and activities within an organisation, e.g. plans for quality control and for acquisition and implementation projects, systems security plans, information system security plans, information management and technology strategic plans, access control plans, telecommunications plans, Year 2000 contingency plans, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

Retention: Retain minimum of 5 years after plan is superseded, then destroy

GA28-20.17.02

Description: Records relating to the development and review of the organisation's technology and telecommunications plans, e.g. plans for quality control and for acquisition and implementation projects, systems security plans, information system security plans, information management and technology strategic plans, access control plans, telecommunications plans, Year 2000 contingency plans. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Policy

GA28-20.18.00

Description: 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. Use TECHNOLOGY & TELECOMMUNICATIONS - CUSTOMER SERVICE for records relating to service charters. Use 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. Use STRATEGIC MANAGEMENT - POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.

Retention:

GA28-20.18.01

Description: Final, approved versions of policies for the use or management of technology and telecommunications systems, e.g. information system security policies, information technology security policies, mobile telephone policies, Year 2000 compliance policies, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: There may be some policies relating to the acquisition or disposal of technology and telecommunications equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.

Retention: Retain minimum of 5 years after policy is superseded, then destroy

GA28-20.18.02

Description: Records relating to the development and review of policies for the use or management of technology and telecommunications systems, e.g. information system security policies, information technology security policies, mobile telephone policies, Year 2000 compliance policies. Records include:-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.

Retention: Retain minimum of 3 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Procedures**GA28-20.19.00**

Description: Standard methods of operating laid down by an organisation according to formulated policies. Use STAFF DEVELOPMENT - TRAINING for records relating to training in procedures. Use STRATEGIC MANAGEMENT - PROCEDURES for records relating to quality assurance procedures.

Retention:

GA28-20.19.01

Description: Final, approved versions of manuals, handbooks, directives etc detailing technology and telecommunications procedures, e.g. system usage procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: Operating manuals for technology and telecommunications equipment, facilities or software not developed or customised by the organisation can be destroyed under normal administrative practice (NAP). Note: There may be some procedures relating to the acquisition or disposal of technology and telecommunications equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.

Retention: Retain minimum of 5 years after procedures are superseded, then destroy

GA28-20.19.02

Description: Records relating to the development and review of the organisation's technology and telecommunications procedures, e.g. system usage procedures. Records include: -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.

Retention: Retain minimum of 3 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Reporting**GA28-20.20.00**

Description: 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. Use FINANCIAL MANAGEMENT - ACCOUNTING or FINANCIAL MANAGEMENT - FINANCIAL STATEMENTS for computer generated reports/output produced or used for financial purposes.

Retention:

GA28-20.20.01

Description: Records relating to the development and review of formal reports regarding technology and telecommunications programs, services and systems, e.g. reports on systems development and implementation and reports on risk management processes. Records include: -background research-records relating to the outcomes of consultation with employees, unions, other stakeholders etc-draft versions of reports containing significant changes/alterations or formally circulated for comment-final, approved versions of reports.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-20.20.02

Description: Records relating to internal periodic reports on general administrative matters used to monitor recurring activities to support technology and telecommunications programs, services and systems. Records include: -background research-draft versions of reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports. Note: The disposal of some internal reports like batch reports, error reports, transaction reports etc is covered by normal administrative practice (NAP).

Retention: Retain minimum of 3 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Restructuring**GA28-20.21.00**

Description: The activities involved in the reassessment of the activities, goals and structure of an organisation. Includes consideration of the equipment and resources required to meet objectives. Use INFORMATION MANAGEMENT - DISPOSAL for records relating to arrangements for the transfer of records, data or information to successor organisations as a consequence of changes in administrative arrangements or functions or privatisation. Use STRATEGIC MANAGEMENT - AGREEMENTS for records relating to agreements regarding transfer of responsibilities and ownership of assets such as property, information, etc due to administrative change, privatisation or corporatisation. Use the relevant function/activity for records relating to specific aspects of arranging for the transfer of systems or information assets, e.g. use TECHNOLOGY & TELECOMMUNICATIONS - APPLICATION DEVELOPMENT & MANAGEMENT for records relating to major changes made to systems, e.g. use TECHNOLOGY & TELECOMMUNICATIONS - IMPLEMENTATION for records relating to implementation of systems.

Retention:

GA28-20.21.01

Function/Activity

GDA No

GA28-20.21.01

Description: Records relating to arrangements, e.g. project management documentation, for the transfer or integration of technology and telecommunications systems/assets to or from other organisations, e.g. after administrative change.

Retention: Retain minimum of 7 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Reviewing

GA28-20.22.00

Description: The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use TECHNOLOGY & TELECOMMUNICATIONS - APPLICATION DEVELOPMENT & MANAGEMENT for records relating to the development of applications and the ongoing management of systems, including major changes, enhancements, upgrades, customisations or configurations. Use TECHNOLOGY & TELECOMMUNICATIONS - EVALUATION for records relating to the evaluation of systems prior to purchase. Use TECHNOLOGY & TELECOMMUNICATIONS - PLANNING, TECHNOLOGY & TELECOMMUNICATIONS - POLICY or TECHNOLOGY & TELECOMMUNICATIONS - PROCEDURES for records relating to the review of plans, policies or procedures.

Retention:

GA28-20.22.01

Description: Records relating to the review of technology and telecommunications programs and services, including post implementation reviews. Records include:-documents establishing the review-records of development of methodologies for review-background research-records of testing activities undertaken as part of reviews, e.g. user acceptance testing -draft versions of review reports containing significant changes/alterations or formally circulated for comment -final, approved versions of reports-project or action plans-certificates of compliance/completion.

Retention: Retain minimum of 5 years after action completed, then destroy

TECHNOLOGY & TELECOMMUNICATIONS - Security

GA28-20.23.00

Description: The activities associated with measures taken to protect technology and telecommunications equipment from theft, accidental or intentional damage or from unauthorised access. Use TECHNOLOGY & TELECOMMUNICATIONS - COMPLIANCE for records relating to demonstrating compliance with security standards. Use INFORMATION MANAGEMENT - SECURITY for records relating to physical and intellectual security arrangements for access to records, e.g. security classifications and breaches of security affecting information resources, e.g. where records and information have been unlawfully accessed. Use PROPERTY MANAGEMENT - SECURITY for records relating to building security arrangements, e.g. control of access to computer rooms. Use General Retention and Disposal Authority - Personnel records, PERSONNEL - DISCIPLINE for records relating to disciplinary action taken against personnel for security breaches.

Retention:

GA28-20.23.01

Description: Records relating to requests and permissions for employees to access or connect to technology and telecommunications systems, e.g. local area networks, Internet, function specific systems etc. Note: Records are related to system logs (see APPLICATION DEVELOPMENT & MANAGEMENT 20.4.6) as they provide permissions to access systems, and logs show what systems are accessed and by whom. They may be required for accountability, but the length of retention is dependent on the system, the organisation's specific practices and risks. Each organisation will need to conduct risk assessments to determine suitable retention periods for these records.

Retention: Retain in accordance with the organisation's requirements, then destroy

GA28-20.23.02

Description: Records relating to security arrangements made for the protection of technology and telecommunications systems. Records include: -minutes or notes of meetings-records of authentication measures -records of encryption measures-records of advice/approval from other organisations regarding security issues-records of maintenance of firewalls-records of security testing and audit-records of sanitisation of technology equipment prior to disposal, e.g. wiping of hard disks. Note: Disposal of backups is covered by normal administrative practice (NAP) as they are facilitative records. It is not good practice to rely on backups as official records of business as they are not considered to be reliable recordkeeping systems. There should be established and documented routines for the destruction of backups in accordance with NAP.

Retention: Retain minimum of 7 years after action completed, then destroy

GA28-20.23.03

Description: Records relating to suspected or proven breaches of security arrangements for technology and telecommunications systems. Records include:-reports on security leaks-records of investigations into alleged security breaches-records of referral of breaches to law enforcement authorities.

Retention: Retain minimum of 7 years after action completed, then destroy

TENDERING

GA28-21.00.00

Function/Activity

GDA No

GA28-21.00.00

Description: The activities involved in receiving and assessing tenders, of making offers for and finalising contract arrangements for the supply, sale or purchase of goods and services. Use the organisation's functional retention and disposal authority for records relating to tenders for major construction projects for landmark structures or major infrastructure, e.g. Sydney Opera House, Sydney Harbour Tunnel etc or projects or services of government-wide impact, e.g. tenders for insurance or workers compensation for the whole of government. Use the organisation's functional retention and disposal authority for records relating to when an organisation manages tenders as a substantial component of its functional operations and responsibilities, e.g. Landcom regarding property development. Use CONTRACTING-OUT for records relating to contracts for outsourcing the operations or arranging, procuring and managing the provision of services by an external consultant or contractor once the tender has been decided. Use the relevant function/POLICY or the relevant function/PROCEDURES for records relating to policies or procedures regarding tendering, e.g. use EQUIPMENT & STORES - POLICY for records relating to policies regarding tendering for equipment.

Retention:

TENDERING - Contracts

GA28-21.00.03

Description: Records relating to contracts resulting from tenders and supporting records. Records include:-correspondence and records of negotiations including minutes or notes of meetings-draft versions of contracts or agreements containing significant changes/alterations or formally circulated for comment -final, approved and signed versions of contracts or agreements-records of variation or review of contracts or agreements. Note: Specialty contracts include contracts under seal and deeds to property. Note: 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. Note: 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.

Retention: (A) For specialty contracts: Retain minimum of 12 years after expiry or termination of agreement or after action completed, whichever is later, then destroy (B) For standard contracts or agreements: Retain minimum of 7 years after expiry or termination of

TENDERING - Issue, evaluation

GA28-21.00.01

Description: Records relating to the development, issue, evaluation and review of tenders. Records include:-records of planning for the tender - minutes or notes of meetings-Statements of Requirements-Requests for Proposals -Expressions of Interest-Requests for Tender (RFT)-draft contracts-records of arrangements for carrying out the evaluation process-evaluation reports-recommendations-final reports-public notices-records of post offer negotiations-records of due diligence checks.

Retention: Retain minimum of 7 years after tender process completed, then destroy

TENDERING - Summary records

GA28-21.00.04

Description: Summary records created to facilitate the management of contracts or tenders, e.g. contract registers, tender registers. Note: 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.

Retention: Retain minimum of 7 years after action completed, then destroy

TENDERING - Unsuccessful tenders

GA28-21.00.02

Description: Records relating to unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Records include:-submissions-notifications of outcome-reports on debriefing sessions.

Retention: Retain minimum of 2 years after action completed, then destroy