



State Archives  
& Records

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23 May 2019

Ref: 16/0177

The Hon. Peter Hall QC  
Chief Commissioner  
Independent Commission Against Corruption  
GPO Box 500  
Sydney NSW 2001

Dear Chief Commissioner

### **The Regulation of lobbying, access and influence in NSW**

Thank you for this opportunity to provide comments on the *ICAC Consultation Paper: The Regulation of lobbying, access and influence in NSW*.

As a prelude to specific comments on questions and issues raised in the consultation paper, NSW State Archives and Records would note that underpinning and supporting accountability in all its guises is the proof provided by records. Records are evidence - they provide us with proof of what happened, what information was communicated, or what decision or action was taken and, thus, they provide an essential means to meet accountability requirements.

Poor records and recordkeeping, or a lack of records, can hamper transparency and contribute to accountability failures in the conduct of official business. In some instances, a lack of records, inadequate records, or poor recordkeeping practices, can heighten the risk of corruption.

Supporting accountable business activity, sound administrative practice and good governance, through good records and recordkeeping is one of the policy objectives of the *State Records Act 1998*.

#### **Response to questions in the Consultation paper**

***Question 7 - Should lobbyists be required to provide, or at least record, details of each lobbying contact they have, as well as specify the legislation/grant/ contract they are seeking to influence? Should this information be provided only to regulatory agencies or be publicly available?***

We would recommend that lobbyists be required to record details of the lobbying contact that they have and that these details should be provided to the regulator.

We note that lobbyists are not bound by the requirements of the State Records Act, however legislation regulating lobbyists would be able to incorporate recordkeeping requirements.

We would suggest that lobbyists be required to identify and document:

- who participated in the meeting/conversation/discussion
- the purpose of the meeting (topic)
- whether the meeting relates to legislation, grants or contracts (specify which legislation, grants or contracts)
- what information was provided or communicated in the meeting
- what advice, decisions, actions or consultation was to be undertaken (i.e. outcomes).

The information contained in the record should be sufficient in detail to enable others to understand what took place in the meeting and any commitments that were made.

We note that the Register of lobbyists and associated documentation are required as State archives (see *Functional retention and disposal authority - Government and public sector administration, support, coordination and service delivery* (FA313), disposal class 10.1.4 at <https://www.records.nsw.gov.au/recordkeeping/rules/retention-and-disposal-authorities/functional>). We have enclosed a copy of this functional retention and disposal authority for your information.

**Question 9 - How should lobbying interactions with ministerial advisers, public servants, and members of Parliament be recorded and disclosed?**

Public servants (including public servants in NSW Government agencies and departments, and departmental staff on secondment to the Minister's office) are bound by the requirements of the *State Records Act 1998*. Ministerial advisers, chief of staff, and members of Parliament are outside the application of the Act.

Public servants are required to "make and keep full and accurate records of the activities of the office." (section 12(1) of the Act). This requirement is embedded into policies, procedures, and business rules; departmental codes of conduct; requirements in the Public Service Commission's Capability Framework; and reinforced through induction programs, training and awareness programs, and monitoring activities to ensure that staff are complying with requirements to make records and save these into the organisation's records management system.

Ministerial advisers, chief of staff, and members of Parliament require guidance and assistance in this area. Having documented proof of what happened, what information was communicated, what decision or action was taken, would enable these office holders to meet accountability requirements in this high risk area of official business.

**Question 10 - What information should ministers be required to disclose from their diaries and when?**

Memorandum M2015-05 - *Publication of Ministerial Diaries and Release of Overseas Travel Information* (replacing Memorandum M2014-07 - *Publication of Ministerial Diaries*) requires:

*... all Ministers to regularly publish extracts from their diaries detailing scheduled meetings held with stakeholders, external organisations, third-party lobbyists and individuals. Scheduled meetings include meetings scheduled to take place in person or by videoconference, teleconference or telephone call.*

*Ministers must publish summaries in the attached form one month after the end of each quarter. The summary should disclose the organisation with whom the meeting occurred (or, if an individual is attending in a personal capacity, the name of the individual) and the purpose of the meeting.*

*If a third-party lobbyist attends the meeting, the summary should disclose that third-party lobbyist, as well as the names of all individuals engaged by the third-party lobbyist to undertake the lobbying who are attending the meeting, and the name of their client.*

*The published diaries should include details of all scheduled meetings of a Minister involving the discussion of a matter that may be considered by the Minister, whether formally or informally, in his or her role as portfolio Minister or as a member of Cabinet.*

These requirements go some way to providing transparency on meetings held with Ministers, however the requirements, nor the *Meeting Summary Template* to be used by Ministers (or their staff), provide a sufficiently 'full and accurate' record of the meeting. In fact, there is very minimal information, which does not allow for full transparency nor accountability of the meetings/contact that the Minister is involved in.

For a record of the meeting to be full and accurate, the record would also need to provide information on what information was provided in the meeting, what advice, decisions, actions, or consultation is to be undertaken. The information contained in the record should be sufficient in

detail to enable others to understand what took place and any commitments that were made. We note that Ministers of the Crown are covered by the requirements of the *State Records Act 1998* (see section 3, k1) and are required to “make and keep full and accurate records of the activities of the office.” (section 12(1) of the Act).

We would recommend that Ministers should disclose all information that is necessary to understand:

- who participated in the meeting/conversation/discussion
- the purpose of the meeting (topic)
- whether the meeting relates to legislation, grants or contracts (specify which legislation, grants or contracts)
- what information was provided or communicated in the meeting
- what advice, decisions, actions or consultation was to be undertaken (i.e. outcomes).

We are appreciative of the workloads undertaken by Ministers and their staff and would emphasise that good recordkeeping can be built into processes ‘by design’, so as to ensure that recordkeeping is automatic and routine and supports, rather than creating an impost on people’s work.

#### **Appendix B: Table 1 – The implementation of recommendations made in the NSW ICAC Lobbying Report**

We have reviewed the implementation of recommendations made in the 2010 ICAC Report and note that Recommendation 3 has been implemented, but not Recommendation 2.

We note the importance of Recommendation 2 and that to build a robust recordkeeping culture around lobbying activity, that there are a number of strategies that need to be deployed:

- Codes of conduct
- policies and procedures
- assigning responsibilities for making full and accurate records of lobbying activity (meetings, telephone discussions etc.)
- induction programs for new staff
- ongoing training and awareness
- designing recordkeeping into work processes to enable automatic and seamless creation of records
- changing common perceptions of records and recordkeeping, and recognition that good recordkeeping brings value, not a liability.

We see value in reiterating Recommendation 2 and broadening the requirements of 2(e) and 2(f) to ensure that records created are sufficient in detail to enable others to understand what took place and any commitments that were made.

We note that making records of meetings has also been addressed in the NSW Ombudsman’s *Good conduct and administrative practice - Guidelines for state and local government* (2017). *Module 14 – Acting transparently* includes detailed information on making minutes/notes of meetings and telephone conversations.

Thank you for the opportunity to provide a response to the Consultation Paper. NSW State Archives and Records is happy for our response to be made publicly available on the Commission’s website.

If you would like to discuss any aspect of the information above, please feel free to contact me on either 9673 1788 or at [ben.alexander@records.nsw.gov.au](mailto:ben.alexander@records.nsw.gov.au) or Andrew Pickles, Manager, Government Recordkeeping on 8257 2900 or email: [andrew.pickles@records.nsw.gov.au](mailto:andrew.pickles@records.nsw.gov.au).

Yours sincerely

A handwritten signature in black ink, appearing to read 'Ben Alexander', with a stylized, flowing script.

**Ben Alexander**  
**Acting Executive Director**  
**State Archives and Records Authority of New South Wales**

## **State Archives and Records Authority of New South Wales**

### **Functional Retention and Disposal Authority: FA313**

This authority covers records documenting the function of government and public sector administration, support, coordination and service delivery

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



# State Archives and Records Authority of New South Wales

## Functional Retention and Disposal Authority

**Authority no**      **FA313**

**SR file no**      **07/0742**

**Scope**      This functional retention and disposal authority covers records documenting the function of government and public sector administration, support, coordination and service delivery from 1976 onwards.

**Public office**      Department of Premier and Cabinet and Infrastructure NSW

**Issue date**      24/10/2011 Department of Premier and Cabinet  
  
16/04/2014 Amendment to entries covering Grant assistance (3.3.0)  
  
23/08/2018 Infrastructure NSW  
Approval to use:

- State Infrastructure Projects (entry 9.0.0)
- Strategic Planning and Advice (entry 10.0.0)

## About the Functional Retention and Disposal Authority

### Purpose of the authority

The purpose of this retention and disposal authority is to identify those records created and maintained by NSW public offices which are required as State archives and to provide approval for the destruction of certain other records created and maintained by NSW public offices, after minimum retention periods have been met.

The approval for disposal given by this authority is given under the provisions of the *State Records Act 1998* only and does not override any other obligations of an organisation to retain records.

### The retention and disposal of State records

The records retention and disposal practices outlined in this authority are approved under section 21(2)(c) of the *State Records Act 1998 (NSW)*. Part 3 (Protection of State Records) of the Act provides that records are not to be disposed of without the consent of the State Archives and Records Authority of New South Wales (State Archives and Records NSW) with certain defined exceptions. These exceptions include an action of disposal which is positively required by law, or which takes place in accordance with a normal administrative practice (NAP) of which State Archives and Records NSW does not disapprove. Advice on the State Records Act can be obtained from State Archives and Records NSW.

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. State Archives and Records NSW reviews and approves organisations' retention and disposal authorities under the *State Records Act*. It is the duty of a public office, in submitting a draft retention and disposal authority for approval, to disclose to State Archives and Records NSW any information which affects the retention of the records covered by the authority.

State Archives and Records NSW's decisions take into account both the administrative requirements of public offices in discharging their functional responsibilities and the potential research use of the records by the NSW Government and the public. One of State Archives and Records NSW's functions is to identify and preserve records as State archives. These are records which document the authority and functions of Government, its decision-making processes and the implementation and outcomes of those decisions, including the nature of their influence and effect on communities and individual lives. Criteria for the identification of State archives are listed in *Building the Archives: Policy on records appraisal and the identification of State archives*. The Policy also explains the roles and responsibilities of State Archives and Records NSW and of public offices in undertaking appraisal processes and disposal activities.

### Implementing the authority

This retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority should be implemented as part of the records management program of the organisation. Two primary objectives of this program are to ensure that records are kept for as long as they are of value to the organisation and its stakeholders and to enable the destruction or other disposal of records once they are no longer required for business or operational purposes.

The implementation process entails the assessment or examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. For further advice see *Implementing a retention and disposal authority*.

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or



technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see the *General Retention and Disposal Authority – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology dependent records is available for the periods prescribed.

## Disposal action

### ***Records required as State archives***

Records which are to be retained as State archives are identified with the disposal action 'Required as State archives'. Records that are identified as being required as State archives should be stored in controlled environmental conditions and control of these records should be transferred to State Archives and Records NSW when they are no longer in use for official purposes.

The transfer of control of records as State archives may, or may not, involve a change in custodial arrangements. Records can continue to be managed by the public office under a distributed management agreement. Public offices are encouraged to make arrangements with State Archives and Records NSW regarding the management of State archives.

Transferring records identified as State archives and no longer in use for official purposes to State Archives and Records NSW should be a routine and systematic part of a public office's records management program. If the records are more than 25 years old and are still in use for official purposes, then a 'still in use determination' should be made.

### ***Records approved for destruction***

Records that have been identified as being approved for destruction may only be destroyed once a public office has ensured that all other requirements for retaining the records are met. Retention periods set down in this authority are *minimum* periods only and a public office should keep records for a longer period if necessary. Reasons for longer retention can include legal requirements, administrative need, government directives and changing social or community expectations. A public office **must not** dispose of any records where the public office is aware of possible legal action (including legal discovery, court cases, formal applications for access) where the records may be required as evidence.

Once all requirements for retention have been met, destruction of records should be carried out in a secure and environmentally sound way. Relevant details of the destruction should be recorded. See *Destruction of records: a practical guide*.

Organisations should review functional retention and disposal authorities regularly to ensure that they remain relevant as the organisation's functions and activities, operating environment and requirements for records change. Retention requirements may change over time. This can occur when:

- business needs or practices change
- new laws, regulations or standards are introduced
- new technology is implemented
- government administration is restructured and functions are moved between entities, or
- unforeseen or new community expectations become apparent.

State Archives and Records NSW recommends that organisations check any functional retention and disposal authorities more than 5 years old to ensure that the retention periods and disposal actions remain relevant.

Regardless of whether a record has been approved for destruction or is required as a State archive, a public office or an officer of a public office **must not** permanently transfer possession or ownership of a State record to any person or organisation without the explicit approval of State Archives and Records NSW.

### **Administrative change**

This retention and disposal authority has been designed to link records to the functions they document rather than to organisational structure. This provides for a stable retention and disposal authority that is less affected by administrative change. The movement of specified functions between branches or units within the public office does not require the authority to be resubmitted to State Archives and Records NSW for approval. However, when functions move from one public office to another the public office that inherits the new function should contact State Archives and Records NSW to discuss use of any existing retention and disposal authority approved for use by a predecessor organisation.

### **Amendment and review of this authority**

State Archives and Records NSW must approve any amendment to this authority. Public offices that use the authority should advise State Archives and Records NSW of any proposed changes or amendments to the authority.

State Archives and Records NSW recommends a review of this authority after five years to establish whether its provisions are still appropriate. Either the public office or State Archives and Records NSW may propose a review of the authority at any other time, particularly in the case of change of administrative arrangements, procedures or to operating environments which are likely to affect the value of the records covered by this authority.

In all cases the process of review will involve consultation between State Archives Records NSW and the public office. If the process of review reveals that this authority requires amendment, the necessary amendments should be made and approved.

#### **Contact Information**

State Archives and Records NSW  
PO Box 516  
Kingswood NSW 2747  
Telephone: (02) 9673 1788  
E-mail: [govrec@records.nsw.gov.au](mailto:govrec@records.nsw.gov.au)

## Functional Retention and Disposal Authority

### Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

#### List of Functions and Activities covered

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## Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

### List of Functions and Activities covered

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## Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

### List of Functions and Activities covered

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## Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

### List of Functions and Activities covered

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## Functional Retention and Disposal Authority

### Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
1.0.0	<b>ABORIGINAL TRUST FUND REPAYMENT SCHEME (AFTRS)</b>	The administration of the Aboriginal Trust Fund Repayment Scheme (ATFRS) established to repay to Aboriginal people and their descendants money that was put into trust funds and never repaid.	
1.1.0	<b>Claims</b>	The receipt and assessment of claims.	
1.1.1		Records relating to applications made under the Aboriginal Trust Fund Repayment Scheme. Records include: <ul style="list-style-type: none"> <li>the register of the applications</li> <li>applications and supporting evidence</li> <li>correspondence with applicants</li> <li>research into, assessments of and recommendations on applications (this includes recommendations of the AFTRS unit and of the AFTRS Panel or the DG to the Minister in respect of the claim)</li> <li>final determinations and advice to applicants regarding recommendations/decisions</li> <li>appeals by applicants and their determination.</li> </ul>	Required as State archives
1.1.2		Records relating to the development of guidelines governing the making and payment of claims. Records include background research, draft versions containing significant changes/alterations or formally circulated for comment, reports analysing issues and the outcomes of consultation with stakeholders, etc.	Required as State archives
1.1.3		Records relating to meetings and liaison held with other agencies and stakeholders to coordinate and discuss the administration of claims processes. Includes meetings with NSW State Records, Legal Aid, Aboriginal Affairs, Department of Community Services etc. Records include agenda and minutes of meetings, correspondence relating to actions or business arising.	Retain minimum of 20 years after action completed, then destroy

## Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
<i>CABINET SERVICES</i>			
2.0.0	<b>CABINET SERVICES</b>	The provision of administrative services to Cabinet and its committees and to the Executive Council.	
2.0.1		Cabinet Office set of agenda and minutes of Executive Council meetings. This includes schedules of agenda items prepared by the Cabinet Secretariat and copies of agenda items prepared by the Office of the Governor and circulated to the Cabinet Office.	Retain until administrative or reference use ceases, then, subject to confirmation of the transfer of Governor's Office set as State archives, destroy
3.0.0	<b>COMMUNITY SUPPORT</b>	The function of facilitating, delivering or coordinating programs or projects to assist or support or to address issues impacting on the general community or targeted community groups such as regional or rural communities, the Aboriginal community, women, seniors, children, etc.  See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS</b> for records of addresses, speeches, media releases or statements delivered or issued by the Premier	
3.1.0	<b>Committees</b>	The activities associated with the management of executive and advisory committees and task forces.  See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Advice</b> for records relating to legal advice furnished to committees	
3.1.1		Records relating to the registration of persons interested in serving on boards and committees. Records include expressions of interest, applications, correspondence with applicants.	Retain until interest withdrawn or reference use ceases, then



## Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
<i>COMMUNITY SUPPORT - Committees</i>			
			destroy
3.1.2		Records relating to advertisements on behalf of agencies seeking candidates to sit on boards and committees. Records include requests from agencies, and the placement of advertisements.	Retain minimum of 2 years after action completed, then destroy
3.1.3		Guidelines and handbooks relating to board or committee appointments, remuneration, standards of conduct, etc. This includes guidelines and handbooks developed for use by agencies or for board or committee members.	Required as State archives
3.1.4		Records relating to the development of guidelines and handbooks concerning board or committee appointments, remuneration, standards of conduct, etc. Includes records of drafting and development processes.	Retain minimum of 10 years after action completed, then destroy
3.1.5		Summary information resources and brochures developed for the public relating to or promoting community representation on boards and committees.	Retain minimum of 5 years after superseded or withdrawn, then destroy
3.2.0	<b>Community Cabinets</b>	Activities associated with arranging and responding to issues arising from Community Cabinets.  See Functional Retention and Disposal Authority <i>Cabinet Secretariat, policy advice and support services to the Government</i> <b>CABINET SERVICES - Regional visits</b> for records relating to regional cabinets	
3.2.1		Records relating to forums or meetings held as part of regional visits and the handling of issues arising from them. Includes records of invitations to attend or details of participants who attended, records documenting issues raised or matters discussed during meetings, forums and Q&A sessions and briefings and reports	Required as State archives

## Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
<i>COMMUNITY SUPPORT - Community Cabinets</i>			
		relating to the investigation of issues raised.	
3.2.2		Records relating to arrangements for community cabinets. Includes advertising and notification of meetings, booking and arrangements regarding venues, facilities, etc.	Retain minimum of 2 years after action completed, then destroy
3.3.0	<b>Grant assistance<sup>1</sup></b>	<p>The activities associated with receiving applications for and issuing grant funding to community groups, organisations or individuals.</p> <p>See Functional Retention and Disposal Authority <i>Department for Women</i> <b>COMMUNITY ENGAGEMENT - Grant funding</b> for grants arranged through the Office for Women or its successor organisations</p> <p>See Functional Retention and Disposal Authority <i>Cabinet Secretariat, policy advice and support services to the Government</i> <b>COORDINATION OF GOVERNMENT, MAJOR PROJECTS AND LEGAL SERVICES - Submissions</b> for requests to the Premier from individuals or organisations for small grants</p>	
3.3.1		Records of the deliberations and decisions of committees or panels responsible for the assessment of grant or funding applications, submissions to the Premier or responsible delegated officer concerning recommendations for grant or funding approvals and records documenting the Premier's or delegated officer's approval or variance of these recommendations and summary records or registers of grant applications (successful or unsuccessful) where the information or detail is not otherwise documented in the organisation's annual report, committee or panel records or ministerial submissions.	Required as State archives
3.3.2		Records of successful grant applications and their administration where the grant relates to projects or services of State or regional significance. This includes	Required as State archives

<sup>1</sup> Scope of entries 3.3.1 – 3.3.3 amended, retention period for records covered by entry 3.3.4 reduced from 7 years to 4 years and new entry 3.3.5 added April 2014

## Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
<i>COMMUNITY SUPPORT - Grant assistance</i>			
		records of the grant application and associated records relating to the administration and monitoring of the grant, including correspondence and consultation with and reports, papers or financial statements, etc., submitted by the grant recipient.	
3.3.3		Records of successful grants to support community projects or services within local communities. This includes records of the grant application and associated records relating to the administration and monitoring of the grant, including correspondence and consultation with and reports, papers or financial statements, etc., submitted by the grant recipient.	Retain minimum of 7 years after all grant conditions are complete, then destroy
3.3.4		Records relating to the assessment of grant applications that are unsuccessful.	Retain minimum of 4 years after action completed, then destroy
3.3.5		Summary records or registers of grant program applications (successful or unsuccessful) where the information or details are also documented in the organisation's annual report, committee or panel records or ministerial submissions.	Retain minimum of 7 years after action completed, then destroy
3.4.0	<b>Policy</b>	The activities associated with developing and establishing policy decisions relating to development and delivery of services and programs to the community.  See <b>COMMUNITY SUPPORT - COMMITTEES</b> for records relating to the development of policies and guidelines for people to sit on boards and committees.	
3.4.1		Records relating to development of whole of government or multiple agency policy concerning the provision of services and programs to the general community or to targeted community groups, where the agency takes a lead role in development and implementation of the policy. Records include guidelines setting the criteria for the involvement of the agency in service delivery projects or improvement activities, policy proposals, background research, records of consultations or	Required as State archives

## Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
<i>COMMUNITY SUPPORT - Programs</i>			
		meetings, draft versions of policies containing significant changes or alterations or formally circulated for comment, reports analysing issues and the outcomes of consultation with stakeholders etc.	
3.5.0	<b>Programs</b>	<p>The process of managing a set of procedures, activities, resources, related projects and/or management strategies that are usually ongoing.</p> <p>See <b>COMMUNITY SUPPORT - Service coordination</b> for records relating to projects initiated to resolve local issues requiring interagency coordination</p> <p>See <b>PUBLIC SECTOR PERFORMANCE REVIEW - Program performance improvement</b> for state wide strategies to address structural issues in the performance and delivery of programs in the New South Wales public sector.</p>	
3.5.1		Records relating to programs or schemes developed to address issues affecting or to support the development and delivery of services to the general community or to targeted community groups e.g. programs to assist community groups with employment and settlement, support volunteering or crime prevention and community safety programs. Includes records documenting programs of work, consultation and liaison with other organisations, agencies or community groups, guidelines and publications developed to support the programs. Also includes records documenting the evaluation, assessment or reporting on the outcomes of the programs.	Required as State archives
3.6.0	<b>Service coordination</b>	<p>The processes involved in coordinating and facilitating the delivery of government services to communities in NSW. Includes regional forums and task forces convened to resolve particular issues of concern to local communities.</p> <p>See <b>COMMUNITY SUPPORT - Programs</b> for the development of programs</p> <p>See General Retention and Disposal Authority <i>Administrative records COMMITTEES</i> for records relating to project committees or task forces coordinated by other government agencies</p>	
3.6.1		Records relating to projects initiated to resolve issues associated with local service	Required as State

## Government and public sector administration, support, coordination and service delivery

Authority number: FA313

Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
<i>COMMUNITY SUPPORT - Service coordination</i>			
		delivery or local problems requiring interagency coordination where the organisation is the lead agency, NSW representative or has secretariat responsibility. Includes records of meetings of groups, committees, etc established or convened to coordinate activities, including records of associated correspondence and business arising, records of forums and meetings held with other agencies and/or community representatives relating to the issue or project, agreements or memoranda of understanding with other organisations, agencies, community groups, etc concerning coordination or implementation of the project, project action plans, reports and issues papers relating to the project, its progress, outcomes etc.	archives
3.6.2		Records relating to the provision of advice and reports to the Premier on interagency projects initiated to resolve issues associated with local service delivery or local problems where the organisation is not the lead or primary coordinating agency.	Required as State archives
4.0.0	<b>EMERGENCY MANAGEMENT</b>	The function of preparing for and responding to natural disasters, security threats, terrorism and other emergencies within the State. This includes co-ordination and support of emergency services organisations as well as the analysis, co-ordination and development of policies, procedures and guidelines.	
4.1.0	<b>Advice</b>	<p>The activities associated with offering opinions by or to the organisation as to an action or judgment. Includes the process of advising.</p> <p>See <b>EMERGENCY MANAGEMENT - Emergency and disaster response</b> for records relating to post emergency event de-briefing and analysis</p> <p>See <b>EMERGENCY MANAGEMENT - Reviewing</b> for records relating to advice associated with reviews of programs and operations</p> <p>See General Retention and Disposal Authority <i>Administrative records COMMITTEES</i> for records relating to representation on interagency and national committees.</p>	

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Authority number: FA313

Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
<i>EMERGENCY MANAGEMENT - Advice</i>			
4.1.1		Records relating to the formulation and provision of advice on security and emergency management issues. This may include advice provided to the Premier, Cabinet, heads of agencies, interagency and inter government committees, non-government organisations or the private sector. Records include: <ul style="list-style-type: none"> <li>• briefing notes</li> <li>• minutes</li> <li>• reports</li> <li>• correspondence, and</li> <li>• associated source data supporting the advice.</li> </ul>	Required as State archives
4.2.0	<b>Community Liaison</b>	The activities associated with maintaining regular general contact between the Government, community groups, the private sector etc. concerning security and emergency management.	
4.2.1		Records of liaison and meetings with community leaders and representatives of community groups to discuss matters or issues relating to the management or minimisation of security risks.	Required as State archives
4.2.2		Records relating to general liaison and information exchange with community groups concerning security or emergency management arrangements or initiatives.	Retain minimum of 5 years after action completed, then destroy
4.3.0	<b>Emergency and disaster response</b>	The activities associated with the response to emergencies arising from acts of terrorism, natural disasters and other incidents.	
4.3.1		Records relating to the response to emergencies, natural disasters or incidents that have a significant impact on the State or a particular region or locality and its residents. This includes emergencies, natural disasters or incidents that are declared State emergencies or disasters, that result in major loss of life, injury or	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>EMERGENCY MANAGEMENT - Emergency and disaster response</i>			
		damage to property or that have a notable impact e.g. there is formal inquiry into the emergency either in relation to its causes or handling, the emergency results in substantial changes to legislation or government policy, the emergency was the result of a terrorist act or deliberate attempt or act of sabotage against the government. Records include activation and operation of the State crisis centre, liaison with police, emergency services and other State, local and Commonwealth Government and their agencies, de-briefing provided during and after the emergency, reviews of the response and recommendations for future action such as improvements in response times, coordination of services or intelligence gathering/information requirements etc.	
4.3.2		Records relating to the response to emergency incidents that have a limited impact on persons or property (i.e. do not involve significant loss of life or major injury or damage to property within the State or a particular region or locality or do not have major policy/legislative impact). Records include liaison with police, emergency services and other State, local and Commonwealth Government and their agencies, de-briefing provided during and after the emergency, reviews of the response and recommendations for future action.	Retain minimum of 10 years after action completed, then destroy
4.3.3		Records relating to pro-active incident, emergency or crisis response coordination and planning for major events (such as World Youth Day and Asia-Pacific Economic Cooperation (APEC)), that are incident free or where incidents are minor. Includes debriefings, reviews and recommendations for the management of future events.	Required as State archives
4.3.4		Records relating to routine correspondence, enquiries and information about emergency arrangements.	Retain minimum of 7 years after action completed, then destroy
4.4.0	<b>Exercises &amp; training</b>	The activities associated with State and interjurisdictional exercises to test preparedness to respond to and recover from emergencies arising from act of terrorism, natural disasters and other incidents.	

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No	Function/Activity	Description	Disposal Action
<i>EMERGENCY MANAGEMENT - Exercises &amp; training</i>			
4.4.1		Records relating to the conduct of the exercises to test preparedness for emergencies or security incidents. Includes records relating to the establishment of exercises, invitations to participate in exercises, staffing arrangements, the use and supply of equipment, handbooks, training documentation, the umpiring of exercises in other jurisdictions.	Retain minimum of 7 years after action completed, then destroy
4.5.0	<b>Implementation</b>	The activities associated with carrying out or putting into action, plans, policies, procedures or instructions.	
4.5.1		Records relating to the implementation of recommendations from formal Inquiries into an emergency incident e.g. in relation to its causes or handling.	Required as State archives
4.6.0	<b>Media &amp; Public Information Campaigns</b>	Information campaigns designed to disseminate the Government's message in relation to national and State security.	
4.6.1		Records relating to media and public information campaigns to promote counter-terrorism and security awareness among the general community. Includes campaigns planned as part of national information campaigns. Records include project briefs, project plans, approved drafts, proofs of posters, leaflets and web sites, campaign launches etc.	Required as State archives
4.7.0	<b>Planning</b>	The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.	
4.7.1		Records relating to the formulation and development of plans and strategic initiatives for emergency, security or disaster preparedness and response within the State where the agency has a major input into planning processes. Records include planning or project proposals and approvals, 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 stakeholders etc.	Required as State archives



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No	Function/Activity	Description	Disposal Action
<i>EMERGENCY MANAGEMENT - Planning</i>			
4.7.2		Records relating to the formulation and development of plans and strategic initiatives for emergency, security or disaster preparedness and response within the State where the agency has no or only minor input into planning processes. Records include draft versions of plans or reports received for comment or information purposes.	Retain minimum of 5 years after action completed, then destroy
4.7.3		Records relating to planning for the protection of current and former New South Wales office holders. Records include manuals, risk assessments of office holders, risk plans and risk escalation plans in the event of an incident.	Required as State archives
4.8.0	<b>Policy</b>	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.	
4.8.1		Records relating to the policy coordination of the Government's response to terrorism events and threats. 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 stakeholders.	Required as State archives
4.9.0	<b>Procedures</b>	Standard methods of operating laid down by an organisation according to formulated policies.	
4.9.1		Records relating to the development of procedures governing counter-terrorism response for NSW Government agencies. Includes input into national procedures, manuals or handbook (such as the national Counter-terrorism handbook). 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 stakeholders.	Required as State archives
4.9.2		Records relating to the development of counter-terrorism training manuals and instructional material for use in the NSW Government.	Retain minimum of 5 years after action

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No	Function/Activity	Description	Disposal Action
<i>EMERGENCY MANAGEMENT - Programs</i>			
			completed, then destroy
4.10.0	<b>Programs</b>	The process of managing a set of procedures, activities, resources, related projects and/or management strategies that are usually ongoing.  See <b>EMERGENCY MANAGEMENT - Reviewing</b> for records relating to reviews of programs	
4.10.1		Records relating to development of programs for supporting or coordinating emergency, security or disaster preparedness and response within the State where the agency has a major input into or responsibility for the program. Includes training programs developed for NSW Government agencies. Records include background research, draft versions of reports containing substantial changes/alterations or formally circulated for comment, final, approved versions of proposals concerning changes, the outcomes of meetings with program stakeholders etc.	Required as State archives
4.10.2		Records relating to development of programs for supporting or coordinating emergency, security or disaster preparedness and response within the State where the agency plays a non-significant role or they are Commonwealth run programs. Records include background research, draft versions of programs containing significant changes/alterations or formally circulated for comment, notes of meetings or reports analysing issues and the outcomes of stakeholders including Commonwealth and other State parties.	Retain minimum of 5 years after action completed, then destroy
4.11.0	<b>Reviewing</b>	The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.  See General Retention and Disposal Authority <i>Personnel records</i> <b>PERSONNEL - Security</b> for records relating to security clearances	

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No	Function/Activity	Description	Disposal Action
<i>EMERGENCY MANAGEMENT - Reviewing</i>			
4.11.1		Records relating to reviews of government programs and operations for managing and responding to natural disasters, security threats, terrorism and other emergencies within the State. Records include - documents establishing the review, background research, draft versions of review reports containing significant changes/alterations or formally circulated for comment, final and approved versions of reports, project or action plans.	Required as State archives
5.0.0	<b>MINISTERIAL AND PARLIAMENTARY SERVICES</b>	The function of supporting elected officials in the execution of their duties. Includes Ministers' offices support, including the Premier as well as Executive support and support for the Leader of the Opposition and former Office Holders.  See <b>STRATEGIC POLICY AND ADVICE - Policy</b> for ministerial memoranda issued by the Premier	
5.1.0	<b>Audit</b>	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. Includes audits of Ministers' offices administrative processes and office expenditure.  See General Retention and Disposal Authority <i>Administrative records</i> <b>FINANCIAL MANAGEMENT - Audit</b> for records relating to formal audits of accounts or the management of financial resources.  See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Audit</b> for records relating to organisation-wide audits across functions	
5.1.1		Records relating to the conduct of audits of Ministers' offices administrative processes and expenditure which identify major irregularities and lead to findings of misuse or inappropriate practices. Records include records of audit planning, liaison with auditing bodies, 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	Required as State archives

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No	Function/Activity	Description	Disposal Action
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### MINISTERIAL AND PARLIAMENTARY SERVICES - Audit

		audit reports, records of any remedial action taken.	
5.1.2		Records relating to the conduct of audits of Ministers' offices administrative processes and expenditure which are routine. Records include records of audit planning, liaison with auditing bodies, 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 any remedial action taken.	Retain minimum of 7 years after action completed, then destroy
5.2.0	<b>Leave</b>	The administration of applications for leave.	
5.2.1		Records relating to notices and approvals of Ministerial absences by the Premier.	Retain minimum of 7 years after action completed, then destroy
5.3.0	<b>Policy</b>	<p>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.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Policy</b> 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.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Submissions</b> for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Policy</b> for records relating to the organisation's policies on cross-functional or organisation-wide matters.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC</b></p>	

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No	Function/Activity	Description	Disposal Action
<i>MINISTERIAL AND PARLIAMENTARY SERVICES - Policy</i>			
		<b>MANAGEMENT - implementation</b> for records relating to the implementation of government-wide policies by the organisation.	
5.3.1		Records relating to the development and review of policies and codes of conduct for Ministers and ministerial staff. 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 stakeholders and final versions of policies and codes of conduct. This includes the Ministerial handbook and associated guidelines and correspondence regarding the application of policies and responsibilities for their implementation.	Required as State archives
5.4.0	<b>Security (includes Ministerial protection)</b>	<p>The activities involved in providing security protection to current and former New South Wales office holders.</p> <p>See <b>EMERGENCY MANAGEMENT - Planning</b> for records relating to risk assessments and the development of plans for the protection of current and former office holders.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>PROPERTY MANAGEMENT - Security</b> for records relating to the protection of current and former office holder's residential and business premises.</p>	
5.4.1		Records relating to major security occurrences, such as terrorist attacks, assassination attempts, break-ins, involving current and former office holders or their families. Includes records of liaison and reports relating to the incident and its handling.	Required as State archives
5.4.2		Records relating to liaison activities and reports concerning security and protection for current and former office holders or their families where there was no security occurrence or the security occurrence was of a non threatening nature (e.g. a false alarm).	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>MINISTERIAL AND PARLIAMENTARY SERVICES - Security (includes Ministerial protection)</i>			
5.4.3		Records relating to arrangements for the personal security of current and former office holders.	Retain minimum of 3 years after action completed, then destroy
6.0.0	<b>PROTOCOL AND EVENTS</b>	<p>The function of delivering or coordinating government support for special events and providing ceremonial, protocol or hospitality services to visiting guests of the government. Includes the management of State aspects of the Australian Honours system and supporting the Governor of NSW in their ceremonial and community roles.</p> <p>See <b>COMMUNITY SUPPORT - Grant assistance</b> for records relating to the funding or sponsorship of community events</p>	
6.1.0	<b>Awards and honours</b>	<p>Titles, certificates or decorations conferred on persons as a token of respect or in recognition of service, distinction or achievement.</p> <p>See <b>PUBLIC SECTOR EMPLOYMENT - Awards and honours</b> for records relating to the award of the Public Service Medals</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Celebrations, ceremonies, functions</b> for records relating to administrative arrangements for functions to present awards</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Celebrations, ceremonies, functions</b> for records relating to the receipt of awards by the agency</p>	
6.1.1		Records relating to the administration of awards schemes, for example the Premiers and Australia Day Awards, by the agency. Records include nominations for awards, decisions on granting award and details of award recipients.	Required as State archives
6.2.0	<b>Celebrations, ceremonies and</b>	The activities associated with arranging and managing festivities or celebrations to honour a particular event or occasion.	

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No	Function/Activity	Description	Disposal Action
<i>PROTOCOL AND EVENTS - Celebrations, ceremonies and functions</i>			
	<b>functions</b>	<p>See <b>PROTOCOL AND EVENTS - Committees</b> for records of committees established to plan and coordinate particular events</p> <p>See <b>PROTOCOL AND EVENTS - Community events and programs</b> for records relating to sponsorship programs</p> <p>See <b>PROTOCOL AND EVENTS - Official visits</b> for records relating to hospitality functions associated with official visits</p> <p>See Functional Retention and Disposal Authority <i>Cabinet Secretariat, policy advice and support services to the Government</i> <b>CO-ORDINATION OF GOVERNMENT, MAJOR PROJECTS AND LEGAL SERVICES - Visits</b> for records relating to overseas visits made or proposed to be made by Ministers</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> for records relating to the management of issues associated with intellectual property, use of logos etc</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Celebrations, ceremonies, functions</b> for records relating to catering, transport and venue bookings for events.</p>	
6.2.1		Key records relating to government ceremonies, festivities or celebrations, this includes annual events (e.g. ANZAC Day and Australia Day) and one-off public events or ceremonies to mark a specific event or occasion (e.g. Welcome home parades, Opening of Parliament, State Funerals, memorial services). Records include development and approval of events, funding details, merchandising, badgeing, programs, guest lists, selected official photos, including funding details, official patrons and reports relating to the occasion or event or programs associated with the event.	Required as State archives
6.2.2		Records relating to the coordination of arrangements for ceremonies, festivities, celebrations or events. Records include event planning, marketing and media relations, liaison and consultation with other government agencies or levels of government or the community sector.	Retain minimum of 7 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
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### PROTOCOL AND EVENTS - Celebrations, ceremonies and functions

6.2.3		Records relating to arrangements for Government exhibitions or displays at community events such as agricultural shows, trade shows, sporting events or exhibitions. Includes records relating to administrative arrangements for the mounting of displays such as transport, equipment, facilities.	Retain minimum of 5 years after action completed, then destroy
6.3.0	<b>Committees</b>	The activities associated with the management of committees and task forces (internal and external, private, local, state, Commonwealth etc.).  See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to the establishment and meetings of Boards and advisory committees, councils etc and administrative arrangements for meetings	
6.3.1		Records relating to the establishment and meetings of committees, councils, etc. established for the purposes of coordinating or delivering particular special events, e.g. the Australia Day Council, the Committee for the Sesquicentenary of Responsible Government in NSW. Includes records relating to the committee's establishment, terms of reference, appointment of members, resignations and declarations of pecuniary interests, proceedings, minutes, reports, agendas etc.	Required as State archives
6.4.0	<b>Emblem administration</b>	The activities associated with managing State emblems including the Coat of Arms, Floral Emblem, and the State flag. Includes the protection of emblems, the processing of requests for usage and reproduction and the provision of flags to community groups and organisations.	
6.4.1		Records relating to the management of New South Wales Emblems, State flag and the New South Wales Coat of Arms. Records include memoranda and circulars issued by the agency stipulating the how State symbols may be used, the conditions under which applications may be made and approvals for use where the permission given is of a permanent nature.	Required as State archives
6.4.2		Records relating to the provision of advice to both government and the public on the use of State symbols. Includes records relating to the provision of access to	Retain minimum of 7 years after action



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No	Function/Activity	Description	Disposal Action
<i>PROTOCOL AND EVENTS - Emblem administration</i>			
		image libraries and approvals of artwork.	completed, then destroy
6.4.3		Records relating to requests by organisations and individuals to use State symbols on a one off or temporary basis. Records includes requests and responses giving or denying permission.	Retain minimum of 7 years after permission expires or is superseded, then destroy
6.5.0	<b>Official visits</b>	<p>The activities involved in coordinating visits to Australia by guests of the New South Wales Government. Includes visits by the Royal Family, foreign heads of government and representatives of foreign governments.</p> <p>See <b>PROTOCOL AND EVENTS - PROTOCOL &amp; PROCEDURES</b> for records relating to policy governing the correct protocol and precedence to follow during official visits.</p> <p>See Functional Retention and Disposal Authority <i>Cabinet Secretariat, policy advice and support services to the Government</i> <b>CO-ORDINATION OF GOVERNMENT, MAJOR PROJECTS AND LEGAL SERVICES - Visits</b> for records relating to overseas visits made or proposed to be made by Ministers</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Corruption</b> for records relating to the management of official gifts</p>	
6.5.1		Records relating to visits by the Royal Family, foreign Heads of State, Heads of Government and other leading dignitaries, including the Secretary-General of the United Nations. Includes records of organising and managing official or formal social occasions, liaison and coordination with Commonwealth authorities, programs and guest lists for hosted functions, selected official photos, reports, etc.	Required as State archives
6.5.2		Records relating to private/transit visits or cancelled official guest of government visits.	Retain minimum of 10 years after

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No	Function/Activity	Description	Disposal Action
<i>PROTOCOL AND EVENTS - Official visits</i>			
			action completed, then destroy
6.5.3		Records relating to visits to New South Wales by other guests of the government, including Ministers of foreign governments. Includes records of organising and managing official or formal social occasions, liaison and coordination with Commonwealth authorities etc.	Retain minimum of 10 years after action completed, then destroy
6.6.0	<b>Protocol &amp; Procedures</b>	Policy and procedures governing the management of protocol and conduct or staging of events.  See <b>PROTOCOL AND EVENTS - EMBLEM ADMINISTRATION</b> for records relating to management and use of the State symbols, flags and emblems	
6.6.1		Records relating to development of protocols for State or government ceremonies, forms of address, and tables of precedence and flag procedures. Includes Aboriginal Cultural Protocols and Practices Policy established by the office.	Required as State archives
6.6.2		Records relating to the development of policies or policy advice to government concerning the management or staging of events e.g. user pays policy for private sector events	Required as State archives
6.6.3		Records relating to the development of procedures for the management or holding of events.	Retain minimum of 10 years after action completed, then destroy
7.0.0	<b>PUBLIC SECTOR EMPLOYMENT</b>	The function of managing employment and remuneration practices for people working in the State Public Service including State/sector wide policy, procedures and guidelines. Includes the negotiation of industrial awards and agreements, the provision of assistance to agencies to resolve industrial relations and employment matters, workforce planning and management with respect to data collection, superannuation, capability development, executive services, recruitment, ethics,	

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC SECTOR EMPLOYMENT - Advice</i>			
		occupational health and safety, redeployment and relocation, and equity and diversity.  See General Retention and Disposal Authority <i>Personnel records</i> for records relating for records relating to the management of all staff within the organisation	
7.1.0	<b>Advice</b>	The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.  See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS - Advice</b> for general advice to the Premier or Cabinet regarding public sector employment issues.	
7.1.1		Records relating to the receipt, development and provision of advice by the agency concerning public service-wide employment policy and its formulation or concerning major reforms or changes to practices. May include advice concerning issues that are controversial, attract media or parliamentary scrutiny or ministerial involvement. Includes advice on employment conditions, superannuation, retirement policy, equity and diversity etc. Records include: <ul style="list-style-type: none"> <li>• briefing notes (includes background briefs and question time briefs)</li> <li>• minutes providing advice to the Minister</li> <li>• advice concerning or the drafting of government responses to inquiry recommendations</li> <li>• policy papers (white papers for policy and green papers for discussion)</li> <li>• ministerial statements</li> <li>• advice to other agencies.</li> </ul>	Required as State archives
7.1.2		Records relating to the receipt and provision of advice concerning public sector employment that <b>does not</b> relate to the formulation of public service-wide policy or concern major reforms or changes to practices. Also includes advice provided to agencies on routine industrial advocacy matters.	Retain minimum of 10 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC SECTOR EMPLOYMENT - Advocacy</i>			
7.2.0	<b>Advocacy</b>	<p>The activities associated with the provision of advocacy services and advice in courts and tribunals to facilitate successful implementation of the government's public sector workforce management policies. Includes development and presentation of submissions on behalf of the Minister/Government and State government departments and agencies in issues such as dispute notifications, award applications, unfair dismissal, cases and agreement processes.</p> <p>See <b>PUBLIC SECTOR EMPLOYMENT - ADVICE</b> for records relating to the provision of advice or assistance to agencies on issues, matters or cases not affecting or likely to impact on the overall terms and conditions or framework for the management of public sector employees, e.g. on issues such as unfair dismissal or enterprise bargaining.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INDUSTRIAL RELATIONS - Disputes</b> for disputes that the agency has with the agency's own employees.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INDUSTRIAL RELATIONS - Grievances</b> for records relating to the handling of employee grievances and complaints.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Litigation</b> for records relating to managing lawsuits or legal proceedings between the organisation and other parties in a court or other tribunal.</p> <p>See General Retention and Disposal Authority <i>Personnel records</i> <b>PERSONNEL - Discipline</b> for records relating to disciplining employees.</p> <p>See General Retention and Disposal Authority <i>Personnel records</i> <b>PERSONNEL - Grievances</b> for records relating to individual grievances raised by employees.</p>	
7.2.1		<p>Records relating to submissions and representations made to tribunals and courts regarding matters affecting the overall terms and conditions and framework for the management of public sector employees or statutory appointments and offices. Includes research, submissions, representations and exhibits made on dispute</p>	Required as State archives

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Dates of coverage: 1976+

No	Function/Activity	Description	Disposal Action
<i>PUBLIC SECTOR EMPLOYMENT - Awards and honours</i>			
		notifications or wage and pay related allowance proposals and to test cases on matters such as parental leave, superannuation and pay equity.	
7.3.0	<b>Awards and honours</b>	<p>Awards or honours conferred on public servants and public service agencies in recognition of service, distinction or achievement.</p> <p>See <b>PROTOCOLS AND EVENTS - Awards and honours</b> for records relating to Australia Day or the Premiers Awards</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Celebrations, ceremonies, functions</b> for records relating to arrangements for award ceremonies</p> <p>See General Retention and Disposal Authority <i>Personnel records</i> <b>PERSONNEL - Performance management</b> for records relating to awards issued to staff as part of programs or schemes internal to the agency</p>	
7.3.1		Records relating to the issue of awards recognising the achievement of agencies or of individual employees or office holders. Includes records of nominations, recommendations of review panels and judging committees and Premier's approval.	Required as State archives
7.4.0	<b>Industrial awards and agreements</b>	<p>The activities relating to negotiations and consultation with representative organisations on industrial matters affecting the public sector workforce.</p> <p>See <b>PUBLIC SECTOR EMPLOYMENT - Advice</b> for records relating to the provision of advice to agencies undertaking negotiations with unions</p> <p>See <b>PUBLIC SECTOR EMPLOYMENT - Advocacy</b> for submissions or representations to courts or tribunals on industrial relations matters</p> <p>See <b>PUBLIC SECTOR EMPLOYMENT - Reviewing</b> for records relating to reviews of agency bargaining claims against service wide guidelines</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>INDUSTRIAL RELATIONS - Agreements</b> for records relating to workplace or</p>	

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No	Function/Activity	Description	Disposal Action
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### PUBLIC SECTOR EMPLOYMENT - Industrial awards and agreements

		other agreements that the agency negotiates with its own employees.	
7.4.1		Records relating to the negotiation of awards and agreements governing public sector employment conditions. Records include final versions of industrial awards and agreements and any variations, minutes of meetings or consultation processes, correspondence relating to the negotiation of terms and conditions etc.	Required as State archives
7.5.0	<b>Learning And Development (Training)</b>	<p>The activities involved in providing learning and development services to government agencies and employees. Includes providing consultancy services and developing, evaluating and delivering training and skills development programs.</p> <p>See <b>POLICY (INTERNAL) OR WORKFORCE PLANNING AND MANAGEMENT</b> for records relating to the development of public sector management policy in areas other than learning and development.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to representation on national or State industry training or educational committees</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMUNITY RELATIONS - Marketing</b> for records relating to the promotion of education or training programs and opportunities</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Evaluation</b> for records relating to the evaluation of the administration and operation of courses.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Joint ventures</b> for records relating to the development of programs and agreements with other State and federal government agencies or with service providers.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>STRATEGIC MANAGEMENT - Planning</b> for records of operational plans for delivering programs</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>TENDERING</b></p>	

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC SECTOR EMPLOYMENT - Learning And Development (Training)</i>			
		<b>or CONTRACTING OUT</b> for records relating to the issue and assessment of tenders for the provision of courses or training services or the evaluation of contracted service providers	
7.5.1		Records relating to the development of educational programs for the professional development of public sector employees. Records include program business case/proposals, program authorisation, planning for the program and variations.	Required as State archives
7.5.2		Records relating to policy for the management and delivery of public sector learning and development programs and services. Records include background research, drafts containing significant changes/alterations or formally circulated for comments, notes of meetings or consultation with stakeholders etc.	Required as State archives
7.5.3		Records relating to the monitoring, review and evaluation of public sector leadership, learning and skills development programs and training courses. Includes reporting on the progress and outcomes of programs and initiatives and reports and recommendations relating to formal evaluations and reviews of programs, pilots, etc.	Required as State archives
7.5.4		Records relating to the development of procedures for the management of learning and development programs and services, includes guidelines for education providers and students. Records include background research, drafts or versions containing significant changes/alterations or formally circulated for comment, etc.	Retain minimum of 5 years after superseded, then destroy
7.5.5		Records relating to the enrolment of students into a course or subject. Includes enrolment forms and register and records of withdrawals from courses/units.	Retain minimum of 6 years after completion or discontinuation of course by the student, then destroy

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC SECTOR EMPLOYMENT - Learning And Development (Training)</i>			
7.5.6		Records relating to determination of progressive results/grades. Includes records relating to the grading/marking of individual assessment components of a subject or course. Includes also appeals against results.	Retain minimum of 1 year after appeal period expires, then destroy
7.5.7		Records relating to student academic transcripts/final results and awards.	Retain until administrative or reference use ceases, then destroy
7.5.8		Records relating to applications for entry into and assistance to undertake professional development programs. Records include application forms, including applications for associated scholarships or assistance to undertake program, correspondence with applicants and course providers, advice about the result of the application. Records include application forms, correspondence with applicants and course providers, advice about the result of the application.	Retain minimum of 5 years after action completed, then destroy
7.6.0	<b>Policy (internal)</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.  See <b>PUBLIC SECTOR EMPLOYMENT - Workforce planning &amp; management</b> for policies applying throughout the New South Wales public sector.	
7.6.1		Records relating to the development and establishment of internal policies to support the conduct or administration of public sector employment processes or activities. Includes drafts and final versions.	Required as State archives
7.7.0	<b>Workforce planning &amp; management</b>	Activities relating to the central coordination, oversight and control of the public sector workforce. Includes service-wide policies, procedures and guidelines and workforce management, planning and strategy.	



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No	Function/Activity	Description	Disposal Action
<i>PUBLIC SECTOR EMPLOYMENT - Workforce planning &amp; management</i>			
7.7.1		Records relating to the development and establishment of policies, procedures and guidelines relating to the public sector workforce, employment and employment practices. Records include proposals, research papers, results of consultations with agencies, unions and other stakeholders, drafts circulated for approval or comment, advice to the Premier and Minister, approved and final versions. Records includes Departmental circulars and Premiers Memoranda concerning employment or industrial relations matters, the Personnel Handbook, etc.	Required as State archives
7.7.2		Records relating to the authorisation of public sector (including senior executive) employment conditions and remuneration and approvals for establishment changes involving either increases in remuneration or the upgrading of establishment positions or an increase in the number of establishment positions. Records include submissions/requests for authorisation/approval, internal assessment of request and advice re confirmation/refusal of request.	Required as State archives
7.7.3		Records relating to reviews of public service employment structures and conditions. Includes reviews of senior executive (SES) remuneration structures, of agency based agreements to ensure they are within government policy and financial guidelines, of savings implementation plans submitted by agencies. Records include documents establishing the review, meetings with agencies, final report and action plan.	Required as State archives
7.7.4		Records relating to projects and planning exercises to assist in the reform or ongoing management of the public sector workforce or the implementation of significant changes to workforce management practices, policies and procedures. Records include background research, draft versions of plans formally circulated for comment, notes of meetings or consultation with stakeholder agencies, reports.	Required as State archives
7.7.5		Reports relating to the profile of the public sector workforce or the status or outcomes of sector wide workforce management or reform initiatives. This includes agency specific and sector wide annual, quarterly and ad hoc reports compiled from workforce profile data submitted by agencies and reporting from agencies	Required as State archives

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC SECTOR EMPLOYMENT - Workforce planning &amp; management</i>			
		regarding establishment changes.	
7.7.6		Records relating to the collection of public sector workforce profile data. Includes annual, quarterly and ad hoc collections. Records include collection form templates, data specifications, raw data, statistical data set collections, data quality audits.	Retain minimum of 10 years after action completed, then destroy
7.7.7		Records relating to consultation with agencies on workforce data collection. Includes records relating to arrangements for and feedback from information or Q&A session held with agencies concerning workforce profile information collection processes. Records include advertisements for feedback sessions, booking arrangements, registrations of participants, feedback from participants.	Retain minimum of 5 years after action completed, then destroy
7.7.8		Record relating to applications for exemptions to advertise Senior Executive Service (SES) positions. Records include requests received and decisions on the applications.	Retain minimum of 5 years after action completed, then destroy
8.0.0	<b>PUBLIC SECTOR PERFORMANCE REVIEW</b>	The function of reviewing regulatory regimes and public sector structures, performance and accountability and developing sector-wide, service or agency specific strategies for improvement.	
8.1.0	<b>Program or agency performance review and improvement</b>	<p>The activities involved in evaluating or examining the performance of government programs or agencies and the monitoring of initiatives or management of projects to achieve improved program outcomes or address issues affecting agency performance. Reviews may include agency and/or program reviews, major structural reviews involving multiple agencies, targeted agency or functional area reviews as requested by Cabinet.</p> <p>See <b>COMMUNITY SUPPORT - Service coordination</b> for records relating to coordination of services in regional areas to address local conditions or issues and reporting through regional coordination groups.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i></p>	

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### *PUBLIC SECTOR PERFORMANCE REVIEW - Program or agency performance review and improvement*

		<b>CONTRACTING-OUT</b> for records relating to contracting out of projects.	
8.1.1		Records relating to projects initiated for the purpose of assisting Government agencies to achieve better service outcomes and address impediments to effective performance. Includes Premier's priority projects. Records include project plans, project briefs, liaison and meetings with agencies, action plans, final reports.	Required as State archives
8.1.2		Records relating to reviews of government agencies, programs and functions for the purpose of providing recommendations to government on improvements to the cost and quality of service delivery. Includes reports to the Council on the Cost and Quality of Government. Records include project plans, advice to the Premier, establishment and operation of the project steering committee, correspondence with the agency, review working papers including drafts that have been approved or have been circulated for comment, research (including both documentary and survey data), discussion papers, reports to the project steering committee, review chronology, final reports or submissions relating to the findings and recommendations of the review, agency response to the review, implementation plans, monitoring schedule and correspondence of implementation.	Required as State archives
8.1.3		Reference documentation compiled in relation to agencies under review. Includes copies of documents received from agencies under review such as agency guidelines and policies, background information on the agency or services, agency publications, excerpts from legislation and regulations.	Retain minimum of 5 years after action completed, then destroy
8.2.0	<b>Regulation review and reform</b>	<p>The processes involved in reviewing agency regulatory proposals, specific regulatory frameworks or areas and monitoring the implementation of regulatory reform processes. Includes development of guidelines and standards to assist Government agencies with development and review of legislation, regulations and other Statutory instruments.</p> <p>See <b>PUBLIC SECTOR PERFORMANCE REVIEW - Reviewing</b> for records relating to reviews of specific regulatory frameworks or areas</p>	

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### *PUBLIC SECTOR PERFORMANCE REVIEW - Regulation review and reform*

8.2.1		Records relating to the assessment of regulatory proposals issued by Government agencies. Includes proposals that are not approved or proceeded with. Records include regulation statements submitted by agencies, assessments of regulatory proposals, consultations with agencies including meetings, amendments to proposals, advice to the Premier concerning a proposal, certificates of approval issued by the Premier or relevant Minister.	Required as State archives
8.2.2		Records relating to the development of policies, standards and guidelines for the making and review of legislation, regulations and other Statutory instruments. 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 stakeholders etc.	Required as State archives
8.2.3		Records relating to projects for improving regulation involving working with national or international organisations. Includes projects with the Council of Australian Governments and the Organisation of Economic Cooperation and Development. Records include project plans, meetings with project partners, project reports.	Required as State archives
8.2.4		Records relating to reporting on recommendations for regulatory review or reform and monitoring and reporting on progress in implementing regulatory reform. Includes responding to recommendations arising from reviews carried out by organisations such as the Independent Pricing and Regulatory Tribunal. Records include monitoring, research, consultation with agencies etc.	Required as State archives
8.2.5		Records relating to the provision of general advice to Government agencies concerning regulatory proposal development processes, such as advice concerning the application, requirements or interpretation of standards or guidelines.  (For advice provided in relation the actual assessment of a submitted proposal use the disposal class relating to assessments of regulatory proposals.)	Retain minimum of 20 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>PUBLIC SECTOR PERFORMANCE REVIEW - Regulation review and reform</i>			
8.2.6		Records relating to the advocacy within Government of improved regulatory performance. Records include submissions made to inquiries, advice made to the Premier, Cabinet and the Minister responsible for improving regulation.	Required as State archives
8.2.7		Records of statistics, surveys and other raw data collected or collated for the purposes of regulatory review or reform projects.	Required as State archives
8.2.8		Records relating to projects for the review of regulatory regimes in NSW. Records include issues papers, briefs to Cabinet, Cabinet endorsement of the project scope, project plans, liaison and meetings with other agencies, consultation and meetings with industry stakeholders, legal research, interim recommendations in made in consultation with the responsible agencies, final reports with recommendations made to Cabinet, draft legislation.	Required as State archives
8.2.9		Reference documentation compiled in relation to regulation review projects. Includes copies of documents collected or received from agencies in relation to the review such as guidelines and policies, agency publications, excerpts from legislation and regulations, literature reviews.	Retain minimum of 5 years after action completed, then destroy
9.0.0	<b>STATE INFRASTRUCTURE PROJECTS</b>	The function of facilitating the planning and development of State infrastructure. See General Retention and Disposal Authority <i>Administrative records</i> <b>GOVERNMENT RELATIONS</b> for records relating to submissions made to the Commonwealth concerning proposed infrastructure projects	
9.1.0	<b>Policy</b>	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.	
9.1.1		Records relating to the development of guidelines and protocols governing the management or delivery of infrastructure projects. Includes policy, protocols and guidelines relating to the conduct of major infrastructure projects, government agency involvement in infrastructure development, private sector participation or	Required as State archives

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No	Function/Activity	Description	Disposal Action
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### STATE INFRASTRUCTURE PROJECTS - Project planning and management

		involvement in projects. Records include background research, final versions and draft versions containing significant changes/alterations or formally circulated for comment, reports analysing issues and the outcomes of consultation with stakeholders such as the private sector, community representatives and government agencies involved in infrastructure development, etc.	
9.2.0	<b>Project planning and management</b>	The processes involved in planning and managing infrastructure projects. Includes project authorisation, evaluation and joint ventures supporting projects.	
9.2.1		Records relating to the assessment of infrastructure project proposals, including unsolicited proposals and proposals that are not proceeded with. Records include correspondence, business cases, reports on proposals or project viability, approvals or decisions relating to the proposal.	Required as State archives
9.2.2		Records relating to the making of orders or directions for the carrying out or take over of a major infrastructure project or the transfer or divesting of assets, rights and liabilities in relation to the project.	Required as State archives
9.2.3		Records relating to the management of State significant or major infrastructure projects where the agency plays the lead role in managing the project. This includes records relating to the negotiation and management of joint venture or partnership agreements, such as public private partnership or privately financed project agreements, project plans, records of meetings with stakeholders, project partners and key agencies, reports and briefings relating to the progress or status of the project.	Required as State archives
9.2.4		Records relating to the development of infrastructure projects where the agency does not play the lead role (for example its role is to provide advice or coordination to bring the agencies managing the infrastructure project together but it does not play a secretariat role) or the project is not of State significance. Records include proposals, assessments of proposals, advice provided and received from agencies, reports and project status and progress.	Retain minimum of 10 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>STRATEGIC POLICY AND ADVICE</i>			
10.0.0	<b>STRATEGIC POLICY AND ADVICE</b>	<p>The function of providing policy advice to the Premier, Cabinet, Executive, Governing bodies, etc.</p> <p>See Functional Retention and Disposal Authority <i>Cabinet Secretariat, policy advice and support services to the Government</i> for records relating to intergovernmental agreements</p> <p>See Functional Retention and Disposal Authority <i>Cabinet Secretariat, policy advice and support services to the Government</i> <b>SUBMISSIONS</b> for records relating to advice exchanged between the agency and other government agencies and governments on both legislative and non-legislative matters.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>COMMITTEES</b> for records relating to the establishment of and participation in intergovernmental and interagency committees</p>	
10.1.0	<b>Legal Policy</b>	<p>The activities involved in providing legal advice to the Premier and Cabinet on issues of public policy governing the whole of the State, intergovernment relations and State and federal constitutional matters.</p> <p>See General Retention and Disposal Authority <i>Administrative records</i> <b>LEGAL SERVICES - Advice</b> for records relating to legal advice provided to Premier &amp; Cabinet</p>	
10.1.1		Records relating to election writs for NSW State elections and by-elections.	Required as State archives
10.1.2		Records relating to the provision of advice to the Premier concerning the administration of casual vacancies within the Parliament.	Required as State archives
10.1.3		Records relating to the receipt of advice from the Legislative Assembly on election timetables and the return of writs for the administration of casual vacancies in the NSW legislative assembly.	Retain minimum of 5 years after action completed, then destroy

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No	Function/Activity	Description	Disposal Action
<i>STRATEGIC POLICY AND ADVICE - Legal Policy</i>			
10.1.4		Records relating to the registration of lobbyists. Includes the register, application forms, advice and decisions on applications, notification of applicants.	Required as State archives
10.2.0	<b>Legislation</b>	The process of making laws.  See <b>STRATEGIC POLICY AND ADVICE - Advice</b> for records relating to advice provided to the Premier on the legislative proposals of other agencies	
10.2.1		Records relating to the provision of advice and support to agencies on the development of legislation where the portfolio agency has primary carriage of the development of the legislation. Records include briefing notes and minutes providing advice to the Minister, comments on Cabinet submissions and proposals, correspondence, copies of drafting material including regulation impact statements, Explanatory Memoranda, reading speeches prepared for the portfolio Minister etc.	Required as State archives
10.2.2		Records relating to the development of legislation for whole of government purposes where the agency has primary carriage of the development process. Records include consultations with relevant agencies, organisations and stakeholders, advice to the Premier and other agencies, legislative drafting material including regulatory impact statements, second and subsequent reading speeches and preparation of Explanatory Memoranda.	Required as State archives
10.3.0	<b>Liaison</b>	The activities associated with maintaining regular general contact between the organisation and other government agencies.	
10.3.1		Records relating to routine liaison activities and information exchange undertaken with Commonwealth, State and/or local government organisations in order to assist in the coordination of government administration or projects.	Retain minimum of 5 years after action completed, then destroy
10.4.0	<b>Policy</b>	The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from	



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No	Function/Activity	Description	Disposal Action
<i>STRATEGIC POLICY AND ADVICE - Policy</i>			
		which the organisation's operating procedures are determined. Include policy responses to the findings of royal commissions and commissions of inquiry.	
10.4.1		Master set of circulars or memoranda issued by the Premier/Department.	Required as State archives
10.4.2		Records relating to the development and establishment of government policies that impact on whole-of-government or cross portfolio administration and/or have far reaching social or economic impact. Records include policy proposals, research papers, results of consultations, supporting reports, major drafts and final policy documents, national policy statements, working papers, comments made on such policies.	Required as State archives
10.5.0	<b>Reporting</b>	The processes involved in receiving reports from other organisations regarding their activities, including unsolicited reports received from not for profit organisations advertising their programs to the Premier's office.  See <b>STRATEGIC POLICY AND ADVICE - State plan development and reporting</b> for records of reports received against State Plan targets, See State Planning	
10.5.1		Records relating to reports received from agencies of government and non-Government organisations for the purpose of keeping the organisation or Department informed of their activities where issues dealt with in the reports are the subject of public interest or controversy or require further action by the organisation or Department. Records include copies of reports, covering letters, responses, etc.	Required as State archives
10.5.2		Records relating to reports received from agencies of government and non-Government organisations for the purpose of keeping the organisation or Department informed of their activities where issues dealt with in the reports require no further action from the organisation or Department. Records include copies of reports, covering letters, etc.	Retain minimum of 5 years after action completed, then destroy

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### STRATEGIC POLICY AND ADVICE - State plan development and reporting

10.6.0	<b>State plan development and reporting</b>	Activities associated with the development and implementation of key planning documents establishing objectives and priorities to guide the conduct and coordination of activities across government.	
10.6.1		Records relating to the development of planning documents establishing government priorities and objectives for action e.g. the State Plan, State Infrastructure Strategy Statements and associated plans to support the delivery of targets and actions e.g. Priority Delivery Plans negotiated with key agencies. Includes records of background research, submissions or advice government agencies, notes of meetings or reports analysing issues and the outcomes of consultation with stakeholders and the community, final versions and draft versions containing significant changes/alterations or formally circulated for comment.	Required as State archives
10.6.2		Records relating to reporting by agencies against State plan targets. Includes reports by other areas of the organisation monitoring NSW Government agencies and programs performance against State Plan targets and reports submitted by agencies concerning progress in meeting targets or outcomes and records of meetings with agencies to discuss reporting outcomes and progress towards them, such as agenda and minutes of meetings, advice, actions arising and follow up correspondence arising from business discussed.	Required as State archives
10.6.3		Records relating to the development of systems to manage performance reporting and monitoring of outcomes against planning initiatives. Records include background research, proposals and records relating to the implementation of systems e.g. notes of meetings, correspondence or reports relating to implementation issues and feedback or consultation with system users etc.	Retain minimum of 2 years after system superseded, then destroy