

**State Records Authority of New South Wales**

**Standard: No. 9**

**Standard on the appraisal and disposal  
of State records**

**issued under the State Records Act 1998**

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# Standard for Records Management

**Standard no** 9

**SR file no** 07/0094

**Title of Standard** Standard on the appraisal and disposal of State records

**Scope** This standard sets benchmarks to guide public offices in conducting appraisal and disposal processes, including the development of records retention and disposal authorities and the implementation of these authorities in the public office.

**Application** This standard applies to all public offices as defined in section 3 of the *State Records Act 1998*, to which Part 2 of the Act applies. This standard covers all State records on any topic and in any format.

**Authority** This standard is issued under section 13(1) of the State Records Act. It has been approved by the Board of the State Records Authority in accordance with section 13(2) of the State Records Act.

**Authorised**

David Roberts  
Director  
State Records Authority of New South Wales

18/04/2007  
Date

# Standard on the appraisal and disposal of State records

## Summary

This standard sets out principles guiding the appraisal and disposal of State records in accordance with best practice and to meet the requirements of section 21 of the *State Records Act 1998*.

The principles require that decisions and actions to make, keep, and dispose of records should be:

- analytical
- comprehensive
- authorised
- accountable, and
- implemented.

Each of these principles are supported by mandatory compliance requirements.

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## Introduction

### Purpose

The purpose of this standard is to set benchmarks and to guide public offices in conducting appraisal and disposal processes, including the development of records retention and disposal authorities and the implementation of these authorities in the public office.

### Authority

This standard is issued under section 13(1) of the State Records Act, which enables State Records to 'approve standards and codes of best practice for records management by public offices.'

### Application

This standard applies to all public offices as defined in section 3 of the State Records Act, to which Part 2 of the Act applies. This standard covers all State records on any topic and in any format.

## **Background**

The appraisal and disposal of records has a central place in the records management program of all public offices. Every public office needs to know how long to keep the records of its business.

It is important to make sound decisions about how long to retain records and when to dispose of them. Records, and the information contained in them, are key assets of any business and need to be retained and disposed of properly.

The *Standard on Full and Accurate Records*, revised in 2004, specifies requirements for the creation and capture of records and the design of recordkeeping systems. This standard complements the *Standard on Full and Accurate Records* and focuses on other aspects of the appraisal process such as determining how long records should be retained and the management of the disposal of State records within public offices.

The *Standard on Managing a Records Management Program*, revised in 2004, specifies that a public office's records management policy statement directs how records should be disposed of in the public office, that retention and disposal authorities are in place for all records of the public office, and that records are disposed of according to these retention and disposal authorities. This standard complements the *Standard on Managing a Records Management Program* and focuses on how the retention and disposal authorities and disposal processes should be implemented as part of a public office's records management program.

This standard also supports important provisions of the *State Records Act 1998*. Section 21 of the Act, in general, prohibits the disposal of State records except where disposal is authorised. Some exceptions to this requirement include disposal of State records required under other legislation or by court order. State Records usually provides permission for disposal through the approval of retention and disposal authorities. The 'normal administrative practice' provisions of the Act provide for the limited legal disposal of State records without the specific authorisation of State Records to enable public offices to carry out a number of everyday, common sense procedures and practices.

Section 27 provides that, once State records are no longer in use for official purposes in the public office responsible for them, State Records is entitled to control of them. This means that, where records have been identified in a retention and disposal authority as being required as State archives, a public office should advise State Records when they are no longer in use for official purposes and make arrangements to transfer them to State Records' control. This will involve either transferring the records to State Records' custody or negotiating a 'distributed management agreement' with State Records whereby the public office or a third party will have custody of the records and assume responsibility to care for them as State archives.

Records are regarded as no longer in use for official purposes in a public office if they are more than 25 years old, unless the public office has made a 'still in use determination' covering them. A public office should therefore transfer records required as State archives to State Records' control once they are 25 years old (unless a still in use determination is in force), but the records should be transferred earlier if they cease to be in use for official purposes earlier, as will often be the case.

Undertaking the process of appraisal and disposing of records has a number of benefits for public offices and the Government. By appraising and disposing of records in an efficient and effective manner, public offices can:

- reduce storage costs for the organisation

- prevent destruction of records required for the business operations of the organisation, and
- facilitate better management of records.

The benefits for Government include:

- reducing significantly the total cost to Government of records storage
- facilitating better access to records required for decision-making and delivering services to the community
- ensuring that records of permanent value to the Government and the people of NSW are retained safely and preserved for ongoing use.

## **Structure**

This standard sets out five principles for managing the appraisal and disposal of State records. Under each principle there is an explanation of the principle and identified compliance requirements.

A consolidated list of compliance requirements is available at **Appendix A**.

To assist public offices in undertaking appraisal and disposal activities, State Records has a range of guidance and training available. **Appendix B** of the standard provides guidance on implementing the principles and links to relevant guidance and training materials from State Records.

## **Definitions**

### **Appraisal**

The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organizational accountability and community expectations. **AS 4390 Part 1 Clause 4.3**

### **Disposal**

A range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from recordkeeping systems. They may also include the migration or transmission of records between recordkeeping systems, and the transfer of custody or ownership of records. **AS 4390 Part 1 Clause 4.9**

### **Disposal action**

A disposal action in a retention and disposal authority is a statement of the disposal decision (the retention period before destruction or whether the record is required as a State archive). A disposal action may also be considered to be the implementation of disposal decisions or the activity of disposal.

### **Normal Administrative Practice**

Disposal of generally ephemeral or facilitative records without the need for formal authorisation of State Records. See **State Records Act (NSW) s. 22** and **State Records Regulation 2005**

## **Record**

Record means any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means. **State Records Act 1998 (NSW)**

## **Retention and disposal authority**

Document approved by State Records that sets out appropriate retention periods and disposal decisions for classes of records. There are two main types:

**Functional retention and disposal authorities** authorise the retention and disposal of records unique to a specific organisation.

**General retention and disposal authorities** authorise the retention and disposal of records common to more than one organisation. Such records may include:

- general administrative records
- common records that relate to unique functions, and
- records relating to the unique functions of like organisations such as local councils, universities and public health services.

## **Retention period**

The period of time, usually based on an estimate of the frequency of current and future use, and taking into account statutory and regulatory provisions, that records need to be retained before their final disposal. **Ellis (ed), Keeping Archives, p. 479**

## **Sentencing**

The process of identifying and classifying records according to a retention and disposal authority, recording/registering the appropriate disposal decision and action for the records, and applying the disposal action specified in the retention and disposal authority.

## **State record**

Any record, made and kept, or received and kept, by any person in the course of the exercise of official functions in a public office, or for any purpose of a public office, or for the use of a public office. **State Records Act 1998 (NSW)**

For further definitions of general recordkeeping terms used in this document, see State Records' *Glossary of Recordkeeping Terms*.

## **Acknowledgement**

State Records acknowledges the use of information from the National Archives of Australia's *Appraisal* guidance in the development of this standard.

## **Further information**

For more information on this standard, please contact State Records.

## Using this standard

### Overview

This section provides context for the requirements of the standard, explaining the meaning of, and benefits arising from the appraisal and disposal of State records.

### What is appraisal?

Appraisal is a process of analysis and decision-making undertaken to determine what records should be created and captured about the organisation's business and how long these records need to be retained. The appraisal process informs the development of requirements for systems to create, capture, and manage records, and the development of disposal authorities.

By undertaking an analysis of business functions and activities of an organisation, recordkeeping requirements are identified. The implementation of these requirements ensures that records required to support business processes and provide evidence of the organisation's business activities are created and captured into recordkeeping systems and maintained for as long as they are required. Appraisal activities, such as functional analysis, are often carried out as part of the design and implementation of recordkeeping systems, business systems and processes to ensure that recordkeeping functionality is built into the systems. This is increasingly important where records are either 'born digital' or digitised and need to be managed appropriately within business systems.

Appraisal primarily involves:

1. determining what records should be created and captured to document a business function or activity, and
2. determining how long the records should be retained and how they should eventually be disposed of.

This standard focuses on the second aspect of appraisal.

The appraisal decision-making process should be planned, systematic, consistent, transparent and accountable. The result of this process is that appropriate records are created and captured into systems and are retained for as long as they are required. Appraisal decisions relating to the retention and disposal of records should be incorporated into retention and disposal authorities.

One of State Records' 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 for State Records and public offices in undertaking appraisal processes and disposal activities.

### Benefits of undertaking appraisal

The benefits of undertaking appraisal include:

- understanding the need to create and manage records which document the business activities of the public office
- being aware of and planning for the capture of adequate evidence of the rights, entitlements and obligations of the public office and its clients

- complying with laws and regulations
- developing records management tools such as whole of public office retention and disposal authorities which assist the public office manage records from 'birth to death'
- preserving corporate memory, and
- preserving permanently valuable records for use by the people of New South Wales.

## **What is disposal?**

The process of implementing appraisal decisions is disposal. This can include the physical destruction of hard-copy records, the deletion of records from recordkeeping or business systems, the transfer of records to archival custody (to State Records' repositories) or the transfer of records to private ownership.

## **Benefits of implementing retention and disposal authorities**

The benefits of implementing retention and disposal authorities include:

- managing records effectively, as the organisation knows what records it creates and maintains, how long they need to be kept, and has permission to undertake disposal
- minimising the risks arising from uncertain retention/disposal arrangements
- keeping records that are required as evidence of the organisation's business activities for the appropriate periods of time
- identifying and protecting records that should be retained as State archives
- minimising the cost to organisations from storing time-expired records unnecessarily, and
- ensuring more efficient utilisation of available records storage space.

## **Principles**

### **Principle 1: Analytical**

Decisions for retaining and disposing of records should be based on an analysis of business needs, organisational accountability and community expectations.

#### **Explanatory Note**

A public office should make decisions on the creation, capture, retention and disposal of records based on an analysis of the administrative, legal, social, and recordkeeping contexts within which the organisation operates.

The analysis should identify the:

- legislative and regulatory obligations of the organisation
- business needs for records
- stakeholder interests
- other requirements for accountability (for example probity requirements)
- core business functions, activities and transactions of the organisation

- relationships between business processes and records, and
- the potential future use and value of the records for information and cultural heritage purposes.

Regulatory and accountability provisions relating to issues of privacy, security, secrecy or confidentiality may impact on records sensitivity and should be identified and documented as part of the analysis. However, decisions to dispose of records should not be solely based on these considerations. Records sensitivity issues can be addressed through appropriate security management and restricted access conditions for the records.

If the public office chooses not to meet an identified recordkeeping requirement, the analysis should also include an identification and assessment of the risks resulting from this decision. The inability to produce records of the public office's business activities can have an adverse effect on the organisation's ability to defend itself against public scrutiny or legal action.

Using a defined process for analysing the business context and undertaking appraisal, such as the *Designing and Implementing Recordkeeping Systems* (or DIRKS) methodology, will enable public offices to make decisions about records that are well-informed and considered. Documenting this analytical and decision-making process, and the resulting retention and disposal authorities will enable public offices to justify their decisions and actions regarding the retention and disposal of State records.

The analysis will assist public offices to determine:

- recordkeeping requirements for the organisation
- records that need to be captured and retained
- records which support or are dependent upon the business activities or records of other public offices
- the risks of not having records as evidence of the public office's business activities in the future, and
- appropriate retention periods and disposal actions for records.

Consultation with stakeholders and identification of interests will also assist the public office in determining potential long term or ongoing requirements for records to be retained.

Appraisal decisions and retention and disposal authorities should be routinely reviewed to ensure that the original recordkeeping requirements on which appraisal decisions and retention and disposal authorities are based are still applicable. Public offices should monitor triggers for the review of retention and disposal authorities and undertake a review when necessary.

Triggers to review retention and disposal authorities include:

- the age of the retention and disposal authority, for example if a disposal authority is more than 5 years old then it should be checked to ensure that retention periods and disposal actions are still relevant.
- changes in recordkeeping requirements for the organisation, for example legislation. Recordkeeping requirements do change over time and it is important that appraisal decisions reflect changes to requirements.
- changes in business processes and the way business is conducted, for example automating business processes can often result in changed processes with records being captured at different points in the process.

- changes in administrative arrangements. The restructure of government administration means functions and activities are transferred between different organisations. Disposal authorities may need to be updated to encompass such administrative changes.

The review should consider the following:

- Are the records currently being created, captured and maintained sufficient to meet business needs and accountability requirements?
- Are existing recordkeeping systems adequately capturing records required to support business activities and accountability requirements?
- Do retention periods and disposal actions in existing retention and disposal authorities adequately cover records created, captured and maintained by the public office?
- Have the administrative, legal, social, and recordkeeping contexts changed?

### **Compliance Requirements**

1. Decisions on the creation, capture, and disposal of records are based on an analysis of the administrative, legal, social, and recordkeeping contexts within which records are created and maintained.
2. Decisions are documented and justified.
3. Recordkeeping requirements, appraisal decisions, and retention and disposal authorities for the public office are regularly reviewed.

## **Principle 2: Comprehensive**

Decisions made regarding the retention and disposal of records should include all records of the organisation in all formats.

### **Explanatory Note**

All records supporting the business functions and activities of the public office should be covered by appropriate disposal authorisation, regardless of the format of the records or the systems in which they are maintained. The public office should ensure that their functional retention and disposal authority includes all records created by the organisation which are not covered by general administrative retention and disposal authorities or the *Normal Administrative Practice* provisions of the State Records Act.

Classes of records supporting or resulting from the various business functions, activities and transactions of the organisation should be identified in retention and disposal authorities with appropriate retention periods and disposal actions. Disposal classes should be format independent. Entries within functional retention and disposal authorities should be applicable to existing records and to those yet to be created of identified business functions and activities regardless of the systems in which they are maintained.

Functional retention and disposal authorities should include:

- records relating to current functions undertaken by the public office
- records from merged services within a public office
- records relating to functions and activities formerly carried out by the public office where these records are still in existence
- records of predecessor organisations, or

- records which have been transferred to the organisation as part of administrative change within Government ('legacy records').

The public office also needs to be aware of changing contexts and requirements over time and ensure that these are incorporated into reviews of functional retention and disposal authorities.

### **Compliance Requirements**

1. Retention periods and disposal actions for records in any format and of all business functions and activities of a public office are documented in approved retention and disposal authorities.
2. Legacy records or records of non-current business functions and activities of a public office are documented in approved retention and disposal authorities.

## **Principle 3: Authorised**

Decisions and actions to keep, destroy or transfer records should be authorised.

### **Explanatory Note**

All disposal activities should be in accordance with section 21 of the State Records Act. Public offices should use approved records retention and disposal authorities and approved *Normal Administrative Practices*.

Authorisation of decisions and actions occurs at a number of different points on the appraisal and disposal process.

Public offices are able to dispose of certain State records using the *Normal Administrative Practice* provisions of the *State Records Act 1998*. Public offices should develop internal policies and procedures, based on Schedule 3 of the *State Records Regulation 2005*, to define and authorise what is meant by normal administrative practice for their organisation and to identify and document the types of records that are disposed of under this provision of the Act.

Public offices should ensure that all decisions for the retention and disposal of records are approved and authorised by the appropriate business units within the public office and that the retention and disposal authority is authorised by an appropriately senior officer (such as the Chief Executive) prior to its submission to State Records for approval.

All disposal actions within the public office should be approved and authorised by an employee with appropriate delegated authority. All authorisations to dispose of records should be documented and included in the records of the public office.

The sentencing and disposal of all State records should be undertaken according to policies and procedures of the public office. Responsibility for sentencing and disposal of State records should be assigned to an employee who has the appropriate delegated authority within the public office.

Prior to the authorisation of disposal actions, public offices should ensure that sentencing decisions are confirmed as current and accurate.

### **Compliance Requirements**

1. Decisions to keep, destroy or transfer records are authorised.
2. Disposal activities are approved, supervised and authorised in accordance with established procedures and by those with the appropriate delegated authority.

3. The sentencing of records is monitored before disposal actions are carried out.

## **Principle 4: Accountable**

Actions to keep, destroy or transfer records should be accountable.

### **Explanatory Note**

The disposal of records is an accountable process. Public offices should conduct disposal in accordance with statutory requirements, Government policy and organisational policy, and procedures. Public offices should monitor the disposal of records to ensure that it is an accurate and quality process. This should also include the monitoring of practices to ensure that *Normal Administrative Practice* is implemented appropriately.

Public offices should be able to justify and account for their retention and disposal of records. If required, public offices should be able to make available all information regarding an appraisal decision and evidence that the decision and the subsequent disposal of records was permitted and authorised under legislation, including the State Records Act.

Documentation of disposal, excluding those records identified and documented by organisational policy and procedure addressing acceptable Normal Administrative Practices, should list the:

- records disposed of
- type of disposal action that occurred, eg destruction, transfer to archives, transfer to successor organisation
- identity of the person authorising the disposal action
- date and time that this disposal action was implemented, and identity of person implementing this disposal action, and
- the retention and disposal authority authorising the action.

All decisions to retain and dispose of records should be approved, authorised and overseen by employees with appropriate delegations. It is possible that different employees may authorise disposal action and/or implement disposal actions. Sentencing and disposal of records should be carried out or supervised by staff with appropriate skills and knowledge of the organisation and its business and structure.

Any decisions to retain records for longer periods than those stated in retention and disposal authorities should also be recorded along with the reasons for extending the retention.

An accountable process also recognises and takes into account changes which may have impacted on a public office's recordkeeping requirements and override original appraisal and sentencing decisions. These can include:

- ongoing business needs
- ongoing legal proceedings
- changes to legislative or regulatory requirements
- records subject to ICAC inquiries, or
- government moratoriums on the disposal of certain records.

Administrative changes affecting a public office's functions or business activities may also trigger a re-appraisal of the organisation's recordkeeping requirements.

For these reasons, public offices should ensure that disposal decisions in retention and disposal authorities (including where these have been recorded in business systems and recordkeeping systems) are reviewed by an appropriate person before decisions are acted upon.

### **Compliance Requirements**

1. Disposal of all records is documented including the nature and time of the disposal action, the identity of the person authorising the action and the disposal authority authorising the action.
2. Sentencing and records disposal activities are carried out by personnel who have appropriate skills and knowledge for these tasks.

## **Principle 5: Implemented**

Decisions to keep, destroy or transfer records should be routinely implemented.

### **Explanatory Note**

Public offices should have clear policy, procedure and business rules for the appraisal and disposal of records. This includes assigning responsibility for the sentencing and disposal of records, the establishment of authorisation processes, and procedures for undertaking disposal. Appraisal and disposal activities should occur as part of the public office's Records Management Program.

Once a public office has an approved retention and disposal authority, it should be implemented. This includes incorporating recordkeeping requirements such as retention and disposal decisions into business and recordkeeping systems. It also includes ensuring that when business or recordkeeping systems are upgraded, the records and their contextual information that are still required to be retained are transferred to the new platforms and records no longer required to be retained are not transferred or migrated unnecessarily.

The public office should ensure, that where possible and practicable, records are sentenced at or soon after their creation. This means that records created in business and recordkeeping systems are appropriately identified, managed and retained for as long as they are required.

Implementing retention and disposal authorities ensures that records are retained for the correct period of time and no longer (or shorter) than necessary. It also ensures that records are disposed of in a timely, routine and efficient manner. Undertaking sentencing and regular disposal of records ensures that the organisation is not exposed to unnecessary costs for retaining paper and digital records it no longer requires.

Records identified in retention and disposal authorities as State archives and no longer in use for official purposes in the public office should be transferred to State Records' control. 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.

Transferring records identified as State archives and no longer in use for official purposes to State Records' control should be a routine and systematic part of a public office's records management program.

### **Compliance Requirements**

1. Policy, procedures and business rules direct how appraisal and disposal activities are undertaken in the public office.

2. Records sentencing and disposal actions are undertaken as a routine and regular part of the public office's Records Management Program.
3. Records identified as State archives are transferred to State Records' control when no longer in use for official purposes in the public office.

## Appendix A: List of Compliance Requirements

The table below lists the compliance requirements contained in the standard.

<b>1</b>	<b>Decisions for retaining and disposing of records should be based on an analysis of business needs, organisational accountability and community expectations.</b>
1.1	Decisions on the creation, capture, and disposal of records are based on an analysis of the administrative, legal, social, and recordkeeping contexts within which records are created and maintained.
1.2	Decisions are documented and justified.
1.3	Recordkeeping requirements, appraisal decisions, and retention and disposal authorities for the public office are regularly reviewed.
<b>2</b>	<b>Decisions made regarding the retention and disposal of records should include all records of the organisation in all formats.</b>
2.1	Retention periods and disposal actions for records in any format and of all business functions and activities of a public office are documented in approved retention and disposal authorities.
2.2	Legacy records or records of non-current business functions and activities of a public office are documented in approved retention and disposal authorities.
<b>3</b>	<b>Decisions and actions to keep, destroy or transfer records should be authorised.</b>
3.1	Decisions to keep, destroy or transfer records are authorised.
3.2	Disposal activities are approved, supervised and authorised in accordance with established procedures and by those with the appropriate delegated authority.
3.3	The sentencing of records is monitored before disposal actions are carried out.
<b>4</b>	<b>Actions to keep, destroy or transfer records should be accountable.</b>
4.1	Disposal of all records is documented including the nature and time of the disposal action, the identity of the person authorising the action and the disposal authority authorising the action.
4.2	Sentencing and records disposal activities are carried out by personnel who have appropriate skills and knowledge for these tasks.
<b>5</b>	<b>Decisions to keep, destroy or transfer records should be routinely implemented.</b>
5.1	Policy, procedures and business rules direct how appraisal and disposal activities are undertaken in the public office.
5.2	Records sentencing and disposal actions are undertaken as a routine and

	regular part of the public office's Records Management Program.
5.3	Records identified as State archives are transferred to State Records' control when no longer in use for official purposes in the public office.

## Appendix B: Implementing the Standard

*This appendix is provided for advice only and will be updated as required. It does not form part of the requirements of the standard.*

Records management processes and practices will vary between public offices because of differences in size, complexity and ways of carrying out business. However the principles in the standard will be the same for all NSW public offices.

The principles of the standard are focused on outcomes so that they are flexible enough to accommodate the different organisational contexts in which they will be implemented. This appendix gives some guidance on implementing the principles, including links to existing guidance from State Records, and links to other standards.

	Requirement	Examples of how to comply	Further guidance
1.1	Decisions on the creation, capture, and disposal of records are based on an analysis of the administrative, legal, social, and recordkeeping contexts within which records are created and maintained.	<p>To ensure appropriate appraisal decisions are made for your organisation's unique functions, use the 'DIRKS' methodology to analyse legislation, accountability requirements, community expectations and risk factors affecting recordkeeping.</p> <p>Interview relevant staff to confirm your analysis.</p> <p>Document the analysis and requirements to create, capture and dispose of records by source or by function or business area within the public office.</p>	<p><i>Strategies for Documenting Government Business – the DIRKS Manual (Steps A-C)</i></p> <p><i>Standard on Full and Accurate Records</i></p> <p><i>Developing a Functional Retention and Disposal Authority training course</i></p>
1.2	Decisions are documented and justified.	<p>Document the analysis and decision-making process.</p> <p>Have decisions approved at a senior level in the organisation.</p> <p>Refer to State Records <i>Procedures for Disposal Authorisation</i> for appropriate details and form of justifications for decisions.</p>	<i>Procedures for disposal authorisation</i>
1.3	Recordkeeping requirements, appraisal decisions, and	Establish a cycle for the review of recordkeeping	<i>Strategies for Documenting Government</i>

	retention and disposal authorities for the public office are regularly reviewed.	<p>requirements, appraisal decisions and functional authorities, eg. every 5 years unless administrative change or business changes prompt an earlier review.</p> <p>Include reviews in the planning cycle for the Records Management Program for the public office.</p> <p>Reviews should examine DIRKS analysis and decision-making to determine if the analysis and decisions are still correct.</p>	<p><i>Business – the DIRKS Manual (Steps A-C and H)</i></p> <p><i>Developing a Functional Retention and Disposal Authority training course</i></p>
2.1	Retention periods and disposal actions for records in any format and of all business functions and activities of a public office are documented in approved retention and disposal authorities.	<p>NSW Government agencies must:</p> <ul style="list-style-type: none"> <li>• have a current functional retention and disposal authority (FA), or</li> <li>• be in the process of developing a functional retention and disposal authority, or</li> <li>• have a plan to develop a functional retention and disposal authority</li> </ul> <p>for records of their unique functions. Common administrative functions (eg personnel management ) are covered by General retention and disposal authorities.</p> <p>Government agencies should check with State Records regarding the currency and use of older Disposal Recommendations.</p> <p>For councils, universities and the public health sector, disposal coverage is authorised through General retention and disposal authorities (GAs).</p>	<p><i>Procedures for disposal authorisation</i></p> <p><i>General retention and disposal authorities</i></p> <p><i>Functional retention and disposal authorities</i></p> <p><i>Developing a Functional Retention and Disposal Authority training course</i></p>
2.2	Legacy records or records of non-current business functions and activities of a public office are documented in approved retention and disposal authorities.	<p>Functional retention and disposal authorities (FAs) should include (where relevant):</p> <ul style="list-style-type: none"> <li>• records from predecessor organisations</li> <li>• records from business functions which have</li> </ul>	<p><i>Functional retention and disposal authorities</i></p> <p><i>Procedures for Disposal Authorisation</i></p> <p><i>Developing a Functional Retention and Disposal Authority training course</i></p>

		<p>been discontinued</p> <ul style="list-style-type: none"> <li>records which have been transferred to the public office from another public office under administrative change arrangements.</li> </ul> <p>When administrative change occurs, such as the merger of two organisations or the transfer of functions between organisations, functional retention and disposal authorities may continue to be used by those public offices that continue to perform the functions covered by the authority.</p>	
3.1	Decisions to keep, destroy or transfer records are authorised.	<p>Include description of how decision-making is done in organisational policy and procedures.</p> <p>Include authorisations to approve decisions to keep, destroy or transfer records in business rules and delegation manual for the organisation, where appropriate.</p> <p>Include a requirement in the decision-making process to confirm whether the records are required for any legal matters, inquiries or FOI requests, prior to the disposal of the records.</p> <p>Develop organisational policy and procedure to define what is meant by <i>Normal Administrative Practice</i> for the organisation and what are acceptable <i>Normal Administrative Practices</i> in the context of the organisation's business processes. Policy and procedure should identify and document the types of records that are authorised to be disposed of under <i>Normal Administrative Practice</i>.</p>	<p><i>Implementing a Disposal Authority</i> (Guideline 12)</p> <p><i>Normal Administrative Practice</i> (Guideline 8)</p>
3.2	Disposal activities are approved, supervised and authorised in accordance with established procedures and by those with the appropriate delegated authority.	<p>Delegate and assign responsibility for the sentencing and disposal of State records to an appropriate employee/s. The employee/s also need to be authorised to dispose of</p>	<p><i>Implementing a Disposal Authority</i> (Guideline 12)</p>

		<p>records (either by destruction or transfer to archival custody).</p> <p>Establish accountable and authorised processes for disposal activities in policy and procedures (including the appropriate and authorised processes for the destruction or transfer of records). See 5.1</p>	
3.3	The sentencing of records is monitored before disposal actions are carried out.	<p>Confirm and document:</p> <ul style="list-style-type: none"> <li>that the correct sentence has been applied to the records, and</li> <li>that the sentencing decisions are current and accurate.</li> </ul>	<i>Implementing a Disposal Authority</i> (Guideline 12)
4.1	Disposal of all records is documented including the nature and time of the disposal action, the identity of the person authorising the action and the disposal authority authorising the action.	<p>Document all disposal actions, excluding those records covered by <i>Normal Administrative Practice</i> policies and procedure, including:</p> <ul style="list-style-type: none"> <li>which general retention and disposal authority (GA) or functional retention and disposal authority (FA) used</li> <li>class of records and disposal action/sentence in the general or functional authority used for the disposal action</li> <li>records to be destroyed/deleted or transferred to archival custody</li> <li>date and time of disposal</li> <li>approval and authorisation including details of person undertaking disposal and their confirmation that the disposal occurred, and details of person authorising disposal of the records.</li> </ul> <p>Where appropriate use records management software or manual systems to record</p>	<p><i>Implementing a Disposal Authority</i> (Guideline 12)</p> <p><i>Destruction of records</i> (Guideline 3)</p> <p><i>NSW Recordkeeping Metadata Standard</i> (Part 2 Technical Specification)</p> <p><i>Implementing a Retention and Disposal Authority</i> training course</p> <p><i>Normal Administrative Practice</i> (Guideline 8)</p>

		<p>information about disposal.</p> <p>If records are to be destroyed or deleted, public offices must be able to demonstrate that the records have been physically destroyed (eg. certificate from secure destruction service) or deleted from the system (eg. copy of the audit log showing the deletion; the system's metadata updated to include information about the deletion of records from the system).</p>	
4.2	<p>Sentencing and records disposal activities are carried out by personnel who have appropriate skills and knowledge for these tasks.</p>	<p>Ensure that staff carrying out disposal activities understand:</p> <ul style="list-style-type: none"> <li>the rules for records disposal in the NSW public sector</li> <li>how to interpret and use general retention and disposal authorities and functional retention and disposal authorities, and</li> <li>the nature of the organisation and its functions.</li> </ul> <p>Ensure contractors employed to sentence records have adequate knowledge of the above. Provide adequate supervision and monitoring of the work of contractors to ensure quality and accuracy of record sentencing.</p> <p>Advise all staff, including contractors, that the disposal of records is an accountable process (see 5.1) via:</p> <ul style="list-style-type: none"> <li>induction training</li> <li>information on public office Intranets or distributing fliers</li> <li>leaflets or brochures on disposal of records</li> <li>training for groups of staff, e.g. contractors, different business units, regional offices.</li> </ul>	<p><i>Implementing a Retention and Disposal Authority training course</i></p> <p><i>Implementing General Disposal Authority 10 – Local Government Records training course</i></p> <p><i>Retention and Disposal of Public Health Records training course</i></p> <p><i>Strategies for Documenting Government Business – the DIRKS Manual (Step F: Developing a training strategy)</i></p> <p>Leaflets giving records management advice: 'What have records got to do with me?', 'Recordkeeping reminders'</p>
5.1	<p>Policy, procedures and business rules direct how appraisal and disposal</p>	<p>Include statements about appraisal and disposal in organisational policy and</p>	<p><i>Strategies for Documenting Government Business – the DIRKS</i></p>

	<p>activities are undertaken in the public office.</p>	<p>procedures.</p> <p>Incorporate in policy, procedures and business rules an accountable process for appraisal and disposal activities (including Normal Administrative Practice).</p> <p>Include definitions of the responsibilities of staff appropriate to their roles, for example:</p> <ul style="list-style-type: none"> <li>- the CEO or delegate: has responsibility for signing off on draft functional retention and disposal authority prior to submission to State Records</li> <li>- the business unit or program managers: have responsibility for approving appraisal decisions, need to approve the disposal of records in accordance with disposal authorities, i.e. confirm that there are no impediments (eg legal action) to the disposal action occurring</li> <li>- records management specialists: set the rules and procedure for disposal of records in the public office, provide services to appraise and dispose of records, develop tools, undertake sentencing of records, undertake disposal actions, and conduct monitoring of the public office's disposal procedures and practices.</li> <li>- all staff: required to make records of their work and capture these into authorised recordkeeping systems; to follow policy and procedures on disposal of records, including Normal Administrative Practice.</li> <li>- contractors: required to know what the policy is and to adhere to it.</li> </ul> <p>Note: If records management is performed through a shared services arrangement, roles and responsibilities can be assigned via service level</p>	<p><i>Manual</i> (Step F – Applying the policy strategy)</p> <p><i>Create and Capture</i> (Guideline 13) – section 4.2</p> <p>Examples of policy on State Records website</p> <p><i>Normal Administrative Practice</i> (Guideline 8)</p>
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		<p>agreement or similar.</p> <p>If the organisation has a delegations manual, include information on appraisal and disposal authorisation processes.</p>	
5.2	Records sentencing and disposal actions are undertaken as a routine and regular part of the public office's Records Management Program.	<p>Incorporate up to date authorised appraisal decisions and triggers for disposal into recordkeeping systems and business systems as soon as functional retention and disposal authority approved, or general retention disposal authority issued by State Records.</p> <p>Establish and plan a regular program of sentencing and disposal activities across the organisation. This can be done as part of the Records Management Program.</p> <p>Undertake disposal (ie destruction or transfer of records to archival custody) on a regular basis as part of the Records Management Program.</p>	<i>Implementing a Retention and Disposal Authority guideline</i>
5.3	Records identified as State archives are transferred to State Records' control when no longer in use for official purposes in the public office.	<p>Determine if records identified as State archives are:</p> <ul style="list-style-type: none"> <li>• still in use for official purposes in the public office. If not, transfer as State archives to State Records' control</li> <li>• more than 25 years old and still in use for official purposes in the public office. If so, make 'still in use determination'.</li> </ul>	<p><i>Transferring custody of records as State archives procedures</i></p> <p><i>Transferring State Records training course</i></p> <p><i>Making Still In Use Determinations procedures</i></p>