

## State Records Authority of New South Wales

### **General retention and disposal authority: personnel records (GDA12)**

This general authority covers records documenting the personnel function created and maintained by New South Wales Public Offices from 1940.

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

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# Part 1: The general retention and disposal authority

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## 1.1 Statement of authority

GDA No	GDA12
Public office	All public offices as defined by the State Records Act 1998 except councils and county councils under the Local Government Act 1993
Scope	This general retention and disposal authority covers records documenting the personnel function and some aspects of the occupational health and safety function.
Authority	This general retention and disposal authority is issued under section 21(2)(c) of the State Records Act. It has been approved by the Board of the State Records Authority in accordance with section 21(3) of the State Records Act.
Authorised	David Roberts Director State Records Authority of New South Wales 16 October 2002

## 1.2 Quick reference to functions and activities covered

The following table provides the reference for each of the functions and activities covered by the Authority.

Function	Activity	Reference
<b>OCCUPATIONAL HEALTH &amp; SAFETY</b>	Health promotion	1.0.0 SUPERSEDED <i>Use General retention and disposal authority: administrative records</i>
<b>PERSONNEL</b>	Arrangements	<i>Use General retention and disposal authority: administrative records</i>
	Allowances	2.1.0
	Appeals (decisions)	2.2.0
	Arrangements	2.3.0
	Audit	2.4.0
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	Leave	2.17.0
	Marketing	2.18.0
	Performance management	2.19.0
	Planning	2.20.0 SUPERSEDED <b>Use</b> <i>General retention and disposal authority: administrative records</i>
	Policy	2.21.0 SUPERSEDED <b>Use</b> <i>General retention and disposal authority: administrative records</i>
	Procedures	2.22.0 SUPERSEDED <b>Use</b> <i>General retention and disposal authority: administrative records</i>
	Recruitment	2.23.0
	Rehabilitation	2.24.0
	Reporting	<b>Use</b> <i>General retention and disposal authority: administrative records</i>
	Representatives	2.25.0
	Reviewing	<b>Use</b> <i>General retention and disposal authority: administrative records</i>
	Salaries	2.26.0
	Security	2.27.0
	Separations	2.28.0
	Social clubs	2.29.0
	Suggestions	2.30.0

### 1.3 Records authorised for disposal

The following table comprises disposal classes (arranged by function and activity) and the authorised minimum retention periods and disposal actions that apply to those disposal classes.

Ref No	Function/Activity/Description	Disposal Action
<b>1.0.0</b>	<b>OCCUPATIONAL HEALTH &amp; SAFETY</b>	
	<p>The function of implementing and co-ordinating occupational health and safety and associated legislation throughout the organisation. Includes safety policy and the monitoring of safe work practices, procedures and preventative measures. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i> for records relating to COMPENSATION or OCCUPATIONAL HEALTH &amp; SAFETY.</p>	
<b>1.1.0</b>	<b>Health promotion</b>	
	The process of promotion by the organisation of programs which encourage the establishment and maintenance of a healthy working environment.	
1.1.1	Records relating to the management and administration of programs to promote a healthy working environment, such as routine immunisation and health monitoring programs.	This class has been superseded by <i>General retention and disposal authority: administrative records, OCCUPATIONAL HEALTH &amp; SAFETY – HEALTH PROMOTION, 14.5.4</i> (approved 25 June 2007).
1.1.2	<p>Health promotion records relating to an individual employee, such as reports of health monitoring or notifications or certificates of immunisation or vaccination and including:</p> <ul style="list-style-type: none"> <li>• Reports/notification of outcomes of medical examinations to determine fitness for duty.</li> </ul> <p><b>Use</b> 2.23.2-4 PERSONNEL – RECRUITMENT for records relating to medical examinations performed for the purposes of recruitment.</p>	This class has been superseded by <i>General retention and disposal authority: administrative records, OCCUPATIONAL HEALTH &amp; SAFETY – HEALTH PROMOTION, 14.5.5</i> (approved 25 June 2007).
1.1.3	<p>Records relating to the health surveillance and/or monitoring of individual employees exposed to hazardous substances or conditions, including asbestos or cytotoxins and including:</p> <ul style="list-style-type: none"> <li>• Reports of outcomes of medical examinations to determine exposure or monitor the effects of exposure on an ongoing basis.</li> </ul>	This class has been superseded by <i>General retention and disposal authority: administrative records, OCCUPATIONAL HEALTH &amp; SAFETY – COMPLIANCE, 14.4.3</i> (approved 25 June 2007).

Ref No	Function/Activity/Description	Disposal Action
<b>2.0.0</b>	<b>PERSONNEL</b>	
	<p>The function of managing all employees in the organisation. Employees include Ministerial, permanent, temporary and part-time employees, people working under scholarships, traineeships, apprenticeships and similar relationships. Includes appeals, overtime, salaries, superannuation and working hours when related to persons rather than Industrial Relations. Also includes arrangements for staff travel and arrangements for volunteers to work in the organisation.</p> <p><b>Use General retention and disposal authority:</b> <i>administrative records</i> for records relating to COMPENSATION, ESTABLISHMENT, INDUSTRIAL RELATIONS, OCCUPATIONAL HEALTH &amp; SAFETY or STAFF DEVELOPMENT.</p> <p><b>Use General retention and disposal authority:</b> <i>administrative records</i>, FINANCIAL MANAGEMENT for records relating to the management of salaries and payroll.</p> <p><b>Note:</b> Consultants and contractors are not covered in the personnel function. <b>Use General retention and disposal authority:</b> <i>administrative records</i>, CONTRACTING-OUT.</p>	
	<b>Agreements</b>	
	<p><b>Use 2.12.0 PERSONNEL – EMPLOYMENT CONDITIONS</b> for records relating to signed individual agreements that form part of conditions of employment, e.g. Australian Workplace Agreements (AWAs).</p> <p><b>Use General retention and disposal authority:</b> <i>administrative records</i>, INDUSTRIAL RELATIONS – AGREEMENTS for records relating to agreements heard or certified by the central arbitration or determining body, e.g. enterprise and contract agreements or standard agreements used as the basis of Australian Workplace Agreements (AWAs).</p>	
<b>2.1.0</b>	<b>Allowances</b>	
	<p>The activities involved in arranging and managing money paid to employees in addition to salary to cover expenses incurred in the course of employment, e.g. travelling allowances, first aid allowances. [1]</p> <p><b>Use General retention and disposal authority:</b> <i>administrative records</i>, FINANCIAL MANAGEMENT – SALARIES for records relating to payment of allowances.</p> <p><b>Use 2.12.0 PERSONNEL – EMPLOYMENT CONDITIONS</b> for records relating to terms and conditions regarding allowances.</p>	

Ref No	Function/Activity/Description	Disposal Action
<b>2.2.0</b>	<b>Appeals (decisions)</b>	
	<p>The activities involved in the process of appeals against decisions by application to a higher authority.</p> <p><b>Use</b> 2.10.0 PERSONNEL – DISCIPLINE for records relating to disciplinary appeals.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, COMPENSATION – CLAIMS for records relating to appeals regarding compensation claims.</p>	
2.2.1	<p>Records relating to internal appeals (where an organisation may have their own internal appeal mechanisms) including:</p> <ul style="list-style-type: none"> <li>• Case records</li> <li>• Register of appeals.</li> </ul>	Retain for a minimum of 10 years after action completed, then destroy
2.2.2	<p>Records relating to appeals made to external bodies, eg Government and Related Employees Appeals Tribunal (GREAT), Transport Appeals Board (TAB) and Statutory and Other Offices Remuneration Tribunal including:</p> <ul style="list-style-type: none"> <li>• Case records</li> <li>• Register of appeals.</li> </ul> <p><b>Note:</b> Primary records of appeals are held by the external body.</p>	Retain for a minimum of 5 years after action completed, then destroy
<b>2.3.0</b>	<b>Arrangements</b>	
	<p>The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc. Also includes arrangements made for the usage of facilities, vehicles, equipment and space. May include arrangements to work from home.</p>	
2.3.1	<p>Records relating to approvals and authorisations for an employee to undertake a trip, a journey for work or arrangements to work from home including:</p> <ul style="list-style-type: none"> <li>• Approved applications. [2]</li> </ul> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, FINANCIAL MANAGEMENT – AUTHORISATION for records relating to approvals where the approval form also includes a claim for expenses, subsistence etc and FINANCIAL MANAGEMENT – ACCOUNTING for records relating to payments for accommodation and vehicle hire.</p>	Retain for a minimum of 6 years after action completed, then destroy

Ref No	Function/Activity/Description	Disposal Action
2.3.2	<p>Records relating to travel arrangements and bookings made for an employee undertaking a trip or journey for work (eg accommodation, vehicle hire) including:</p> <ul style="list-style-type: none"> <li>• Booking records</li> </ul> <p><b>Use General retention and disposal authority: administrative records, FINANCIAL MANAGEMENT – ACCOUNTING</b> for records relating to payments for accommodation and vehicle hire.</p>	Retain for a minimum of 2 years after action completed, then destroy
2.3.3	<p>Records documenting the management of employee rosters.</p> <p><b>Use 2.17.0 PERSONNEL – LEAVE</b> for records relating to leave.</p> <p><b>Use 2.12.10-11 PERSONNEL – EMPLOYMENT CONDITIONS</b> for records relating to attendance.</p>	Retain for a minimum of 6 months after action completed, then destroy
<b>2.4.0</b>	<b>Audit</b>	
	<p>The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.</p> <p><b>Use General retention and disposal authority: administrative records, STAFF DEVELOPMENT – AUDIT</b> for records relating to skills audits.</p> <p><b>Use General retention and disposal authority: administrative records, STRATEGIC MANAGEMENT – AUDIT</b> for records relating to audits which cross functions, examine core functions or measure organisational performance at a strategic level.</p>	
<b>2.5.0</b>	<b>Authorisation</b>	
	<p>The process of seeking and granting permission to undertake a requested action.</p> <p><b>Use 2.3.0 PERSONNEL – ARRANGEMENTS</b> for records relating to authorisations for employees to undertake a journey or trip.</p> <p><b>Use General retention and disposal authority: administrative records, STRATEGIC MANAGEMENT – AUTHORISATION</b> for records relating to banking/financial authorities and delegations of authority.</p>	
2.5.1	Records relating to authorisations for individuals to hold private employment.	Retain for a minimum of 7 years after private employment or employment ceases, then destroy

Ref No	Function/Activity/Description	Disposal Action
<b>2.6.0</b>	<b>Committees</b>	
	<p>The activities associated with the management of committees. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes, reports, agenda etc.</p> <p><b>Use</b> 2.23.1 PERSONNEL – RECRUITMENT for records relating to selection committees for recruitment.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, COMMITTEES for records relating to the formation, meetings and decisions of committees, task forces, working parties or groups etc.</p>	
<b>2.7.0</b>	<b>Compliance</b>	
	<p>The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, PERSONNEL – COMPLIANCE for records relating to organisational compliance with standards or requirements regarding the management of personnel.</p>	
2.7.1	<p>Records relating to the registration of an organisation with an 'approved screening agency' for all processes associated with the working with children checks including:</p> <ul style="list-style-type: none"> <li>• Copy of working with children registration form.</li> </ul> <p><b>Use</b> 2.23.7-8 PERSONNEL – RECRUITMENT for records relating to working with children checks.</p> <p><b>Note:</b> The registration records created or received by approved screening agencies are not covered in this Authority.</p>	Retain for a minimum of 7 years after registration ceases, then destroy
2.7.2	<p>Records concerning reporting of critical incidents or matters where there is a statutory requirement to report to external bodies (eg Commission for Children and Young People, Ombudsman) including:</p> <ul style="list-style-type: none"> <li>• Notification of rejected applicants</li> <li>• Notification of disciplinary proceedings</li> <li>• Notification of findings</li> <li>• Reporting of reportable incidents</li> <li>• Copies of investigation reports, statements and documents and details of action taken regarding reported child abuse.</li> </ul>	Retain for a minimum of 10 years after action completed, then destroy

Ref No	Function/Activity/Description	Disposal Action
	<p><b>Note:</b> This class applies to the records of reporting/notification only. The reports or notifications should be retained by the external body. Records held by the public office on which the report or notification was based (such as discipline records) should be kept according to the retention periods outlined in this Authority.</p> <p><b>Use</b> 2.10.0 PERSONNEL – DISCIPLINE for records relating to disciplinary matters.</p> <p><b>Use</b> 2.23.7-8 PERSONNEL – RECRUITMENT for records relating to working with children checks.</p>	
2.7.3	<p>Records regarding advice and guidance shared between the agency and external bodies concerning compliance matters including:</p> <ul style="list-style-type: none"> <li>• Circulars</li> <li>• Information letters.</li> </ul> <p><b>Use</b> the appropriate activity for records relating to compliance regarding specific activities e.g. use 2.17.0 PERSONNEL – LEAVE for records relating to leave matters.</p>	Retain for a minimum of 7 years after reference ceases, then destroy
<b>2.8.0</b>	<b>Contracting-out</b>	
	<p>The activities involved in arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services. Sometimes referred to as outsourcing.</p> <p><b>Note:</b> The PERSONNEL function does not cover records of contractors and consultants.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, CONTRACTING-OUT for records relating to the acquisition of services through a contracting-out or outsourcing process.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, TENDERING for records relating to receiving and assessing tenders.</p>	
<b>2.9.0</b>	<b>Counselling</b>	
	<p>The activities associated with giving advice or guidance to an employee.</p> <p><b>Use</b> 2.10.0 PERSONNEL – DISCIPLINE for records relating to disciplinary matters.</p> <p><b>Use</b> 2.19.0 PERSONNEL – PERFORMANCE MANAGEMENT for records relating to counselling regarding poor performance as part of performance management strategies.</p>	

Ref No	Function/Activity/Description	Disposal Action
2.9.1	Records relating to counselling of employees. This includes career, trauma, financial and new entry counselling. Also includes counselling regarding breaches of the code of conduct. Records include: <ul style="list-style-type: none"> <li>• Case file</li> <li>• Reports.</li> </ul>	Retain for minimum of 5 years after action completed, then destroy
2.9.2	Records of the implementation of counselling programs or schemes, such as career or trauma counselling programs, including: <ul style="list-style-type: none"> <li>• Program plans</li> <li>• Reports.</li> </ul>	Retain for a minimum of 5 years after action completed, then destroy
2.9.3	Records relating to reference information about external counselling programs or schemes.	Retain until reference ceases, then destroy
<b>2.10.0</b>	<b>Discipline</b>	
	The activities associated with the disciplinary process. Includes investigation, charges, formal inquiries, punishment and appeals. <b>Note:</b> This activity also includes allegations of misconduct and investigation of those allegations. <b>Use 2.9.0 PERSONNEL – COUNSELLING</b> for records relating to counselling.	
2.10.1	Records relating to allegations and disciplinary proceedings where the Ombudsman and the Commission for Children and Young People are notified (eg cases involving suspected abuse or neglect of children). This includes records concerning investigations, charges, inquiries and punishments and matters that have been referred to external bodies for investigation (eg NSW Department of Community Services). It also includes false, malicious or disproved allegations. Records include: <ul style="list-style-type: none"> <li>• Advice of allegation and response</li> <li>• Risk assessments and action to minimise risk</li> <li>• Reports</li> <li>• Investigation documentation and reports</li> <li>• Interview transcripts</li> <li>• Signed statements</li> <li>• Inquiry records</li> <li>• Representations</li> <li>• Referrals to external bodies</li> <li>• Records of remedial and/or disciplinary action</li> <li>• Submissions in relation to disciplinary action.</li> </ul> <b>Use 2.7.2 PERSONNEL – COMPLIANCE</b> for records relating to statutory reporting of critical incidents.	Retain for a minimum of 99 years after action completed, then destroy [3] [4]

Ref No	Function/Activity/Description	Disposal Action
2.10.2	<p>Records relating to disciplinary proceedings where an officer is found to have committed a breach and serious disciplinary action [5] is taken, but the offence has not involved a child or young person. This includes records concerning investigations, charges, inquiries and punishments and matters that have been referred to external bodies for investigation (eg NSW Police Service, ICAC). Records include:</p> <ul style="list-style-type: none"> <li>• Advice of allegation and response</li> <li>• Reports</li> <li>• Investigations</li> <li>• Interview transcripts</li> <li>• Signed statements</li> <li>• Inquiry records</li> <li>• Representations</li> <li>• Referrals to external bodies</li> <li>• Records of remedial and/or disciplinary action (including dismissal)</li> <li>• Submissions in relation to disciplinary action.</li> </ul> <p><b>Use</b> 2.7.2 PERSONNEL – COMPLIANCE for records relating to statutory reporting of critical incidents.</p>	Retain for a minimum of 25 years after action completed, then destroy
2.10.3	<p>Records relating to disciplinary proceedings where an officer is found to have committed a breach of discipline but minor or no disciplinary action is taken (eg caution or reprimand) and the offence has not involved a child or young person. This includes records concerning investigations, charges, formal enquiries and/or punishments. Records include:</p> <ul style="list-style-type: none"> <li>• Advice of allegation and response</li> <li>• Reports</li> <li>• Investigations</li> <li>• Interview transcripts</li> <li>• Signed statements</li> <li>• Inquiry records</li> <li>• Representations</li> <li>• Records of remedial and/or disciplinary action</li> <li>• Submissions in relation to disciplinary action.</li> </ul>	Retain for a minimum of 7 years after action completed, then destroy

Ref No	Function/Activity/Description	Disposal Action
2.10.4	<p>Records relating to preliminary/fact finding investigations of misconduct that were not proceeded with and disciplinary matters where an officer is found not to have committed a breach of discipline (i.e. the allegations have been found to be false, vexatious or misconceived or could not be proven) and the accusation has not involved a child or a young person. [6] This includes unsubstantiated allegations. Records include:</p> <ul style="list-style-type: none"> <li>• Advice of allegation and response</li> <li>• Reports</li> <li>• Investigations</li> <li>• Interview transcripts</li> <li>• Signed statements.</li> </ul>	Retain for a minimum of 7 years after action completed, then destroy
<b>2.11.0</b>	<b>Employee files</b>	
	<p>Employee files can contain a range of records documenting a variety of activities relating to an individual employee. Filing practices can differ significantly from one organisation to another. This Authority authorises disposal of records according to the activity records document rather than the way they are managed in files.</p> <p><b>Note:</b> Refer to Part 2, section 2.4: <i>Disposing of personnel files</i> for guidance on disposing of existing personnel files.</p>	
<b>2.12.0</b>	<b>Employment conditions</b>	
	<p>The activities associated with managing the general conditions of employment for personnel. [7] [8]</p> <p><b>Use</b> 2.28.0 PERSONNEL – SEPARATIONS for records relating to separation of an employee from the organisation.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, OCCUPATIONAL HEALTH &amp; SAFETY – HEALTH PROMOTION for records relating to promotion of the health of employee.</p>	
2.12.1	<p>Records summarising the employment or service history of an employee or volunteer including:</p> <ul style="list-style-type: none"> <li>• Employee history card</li> <li>• Service card (including electronic versions). [9]</li> </ul> <p><b>Note:</b> This is regardless of whether the employee is permanent, temporary or casual.</p> <p><b>Note:</b> Summary records may include details such as: identification number, name, date of birth, address, contacts, date appointed, status, position and dates held, locations worked, promotions and higher duties and dates held, salary rates, allowances. Refer to Part 2, section 2.5: <i>Identifying records required as State archives</i> for more information.</p>	Required as State archives

Ref No	Function/Activity/Description	Disposal Action
	<p><b>Use 2.17.1 PERSONNEL – LEAVE</b> for records relating to consolidated leave.</p>	
2.12.2	<p>Records documenting the appointment and service of employees and volunteers:</p> <ul style="list-style-type: none"> <li>• who have made significant or unique achievements or contributions to society</li> <li>• whose employment experiences demonstrate significant or unique societal or public service attitudes to employment issues.</li> </ul> <p>Records include:</p> <ul style="list-style-type: none"> <li>• Gazettal</li> <li>• Recognition of prior service</li> <li>• Instruments of appointment</li> <li>• Conditions of engagement</li> <li>• Details of probation</li> <li>• Contract of employment</li> <li>• Confidentiality agreement as part of employment</li> <li>• Code of conduct</li> <li>• Service records</li> <li>• Details of any extenuating circumstances eg bankruptcy</li> </ul> <p><b>Note:</b> This is regardless of whether an employee is permanent, temporary or casual.</p> <p><b>Note:</b> Refer to Part 2, section 2.5: <i>Identifying records required as State archives</i> for more information.</p> <p><b>Use 2.23.2 PERSONNEL – RECRUITMENT</b> for records relating to the recruitment of these employees and volunteers.</p>	Required as State archives
2.12.3	<p>Records documenting the appointment and service of employees (other than those in 2.12.2) where an adequate summary record is held (see 2.12.1) including:</p> <ul style="list-style-type: none"> <li>• Gazettal</li> <li>• Recognition of prior service</li> <li>• Instruments of appointment</li> <li>• Conditions of engagement</li> <li>• Details of probation</li> <li>• Contract of employment</li> <li>• Confidentiality agreement as part of employment</li> <li>• Code of conduct</li> <li>• Service records</li> <li>• Details of any extenuating circumstances eg bankruptcy</li> </ul>	Retain for a minimum of 7 years after employment ceases, then destroy

Ref No	Function/Activity/Description	Disposal Action
	<p><b>Note:</b> This is regardless of whether an employee is permanent, temporary or casual.</p> <p><b>Use</b> 2.23.0 PERSONNEL – RECRUITMENT for records relating to the recruitment process, including working with children checks and risk assessments and criminal record checks.</p>	
2.12.4	<p>Records documenting the appointment and service of employees (other than those in 2.12.2) where an adequate summary record is not held (see 2.12.1) including:</p> <ul style="list-style-type: none"> <li>• Gazettal</li> <li>• Recognition of prior service</li> <li>• Instruments of appointment</li> <li>• Conditions of engagement</li> <li>• Details of probation</li> <li>• Contract of employment</li> <li>• Confidentiality agreement as part of employment</li> <li>• Code of conduct</li> <li>• Service records</li> <li>• Details of any extenuating circumstances eg bankruptcy</li> </ul> <p><b>Note:</b> This is regardless of whether an employee is permanent, temporary or casual.</p> <p><b>Use</b> 2.23.0 PERSONNEL – RECRUITMENT for records relating to the recruitment process, including working with children checks and risk assessments and criminal record checks.</p>	Retain for a minimum of 75 years after date of birth or 7 years after last action, whichever is later, then destroy
2.12.5	<p>Records relating to the appointment and service of volunteers (other than those covered by 2.12.2) including:</p> <ul style="list-style-type: none"> <li>• Agreements</li> <li>• Undertakings</li> <li>• Conditions of engagement</li> <li>• Details of work performed</li> <li>• Code of conduct</li> <li>• Service records</li> </ul> <p><b>Use</b> 2.23.0 PERSONNEL – RECRUITMENT for records relating to recruitment of volunteers and working with children checks.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, COMPENSATION – CLAIMS for records relating to compensation claims made by volunteers.</p>	Retain for a minimum of 3 years after service completed, or until the person reaches the age of 25, whichever is longer, then destroy

Ref No	Function/Activity/Description	Disposal Action
2.12.6	<p>Records relating to the appointment and management of persons performing work experience including:</p> <ul style="list-style-type: none"> <li>• Agreements</li> <li>• Undertakings</li> <li>• Conditions of engagement</li> <li>• Details of work performed</li> <li>• Code of conduct.</li> </ul> <p><b>Use</b> 2.23.0 PERSONNEL – RECRUITMENT for records relating to working with children checks.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, COMPENSATION – CLAIMS for records relating to compensation claims made by work experience students.</p>	Retain for a minimum of 3 years after action completed, or until the person reaches the age of 25, whichever is longer, then destroy
2.12.7	<p>Records of employee's interests including:</p> <ul style="list-style-type: none"> <li>• Declarations eg pecuniary interest</li> <li>• Benefits</li> <li>• Contacts.</li> </ul>	Retain for a minimum of 7 years after superseded, then destroy
2.12.8	<p>Records relating to the transfer or secondment of employees to the service of another organisation or another position within the same public office. Includes the transfer of teachers and hospital staff. Records include:</p> <ul style="list-style-type: none"> <li>• Request/direction</li> <li>• Authorisation/consent</li> <li>• Arrangements and conditions</li> <li>• Advice regarding proposed appointments</li> <li>• Termination of transfer.</li> </ul> <p><b>Use</b> 2.17.2 PERSONNEL – LEAVE for records relating to leave without pay in excess of 6 months.</p> <p><b>Use</b> 2.28.0 PERSONNEL – SEPARATIONS for records relating to an employee leaving the organisation.</p>	Retain for a minimum of 7 years after action completed, then destroy
2.12.9	<p>Records regarding arrangements for employees acting in higher positions than their substantive positions including:</p> <ul style="list-style-type: none"> <li>• Expressions of interest</li> <li>• Offer/appointment</li> <li>• Arrangements for acting in higher positions</li> <li>• Confidentiality agreements for higher positions</li> <li>• Termination of higher duties.</li> </ul> <p><b>Use</b> 2.23.0 PERSONNEL – RECRUITMENT for records relating to promotions obtained by recruitment processes.</p>	Retain for a minimum of 7 years after action completed, then destroy

Ref No	Function/Activity/Description	Disposal Action
	<p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, FINANCIAL MANAGEMENT – SALARIES for records relating to the payment of allowances.</p>	
2.12.10	<p>Records relating to the documentation of attendance of employees (excluding those employees who work with children) including:</p> <ul style="list-style-type: none"> <li>• Flexitime sheet</li> <li>• Flex adjustment sheet</li> <li>• Timecard</li> <li>• Absentee list</li> <li>• Attendance book. [10]</li> </ul> <p><b>Note:</b> If the organisation is covered by the Commonwealth <i>Workplace Relations Amendment (Work Choices) Act 2005</i>, these records should be retained for a minimum of 7 years after action completed.</p>	Retain for a minimum of 6 years after action completed, then destroy
2.12.11	<p>Records relating to the documentation of attendance of employees who work with children. [11]</p>	Retain for a minimum of 10 years after action completed, then destroy
2.12.12	<p>Records relating to the management of employment schemes and job assistance schemes which have been implemented to recruit personnel such as apprenticeships, cadetships, traineeships and scholarships. This also includes schemes that target specific groups such as Aboriginal employment schemes or unemployed persons schemes. Records include:</p> <ul style="list-style-type: none"> <li>• Reports</li> <li>• Correspondence</li> <li>• Bonds and liabilities</li> <li>• Register of apprenticeships</li> <li>• Register of cadetships.</li> </ul> <p><b>Note:</b> These employees will also have separate appointment and service records: <b>Use</b> 2.12.1-4 PERSONNEL – EMPLOYMENT CONDITIONS.</p>	Retain for a minimum of 7 years after action completed, then destroy
2.12.13	<p>Records relating to the management of terms and conditions of employment including advice about employment conditions and issues eg flexible work practices.</p>	Retain for a minimum of 5 years after action completed, then destroy

Ref No	Function/Activity/Description	Disposal Action
2.12.14	General records relating to the administration of employment conditions including general information and reference materials held for information purposes, including: <ul style="list-style-type: none"> <li>• Circulars</li> <li>• Memorandum.</li> </ul>	Retain for a minimum of 2 years after action completed, then destroy
<b>2.13.0</b>	<b>Evaluation</b>	
	The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.	
2.13.1	Records relating to the evaluation of needs, initiatives and schemes, which support the management of personnel, includes: <ul style="list-style-type: none"> <li>• Reports.</li> </ul> <b>Use</b> <i>General retention and disposal authority: administrative records</i> , ESTABLISHMENT – EVALUATION for records relating to the evaluation of positions against existing or planned organisational structures.	Retain for minimum of 7 years after action completed, then destroy
2.13.2	Records relating to the job evaluation of particular positions or gradings. <b>Use</b> <i>General retention and disposal authority: administrative records</i> , ESTABLISHMENT – VARIATIONS for records relating to variations to positions.	Retain for a minimum of 5 years after action completed, then destroy
<b>2.14.0</b>	<b>Grievances</b>	
	The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination; or complaints arising over work environment, work organisations or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion or higher duties. <p><b>Note:</b> Complaints over perceived discrimination could be on the grounds of sex, race, disability, pregnancy, carer responsibilities, homosexuality or transgender status and could also cover bullying or harassment.</p> <p><b>Note:</b> If complaints involve children or young people, see 2.10.0 PERSONNEL – DISCIPLINE.</p> <b>Use</b> <i>General retention and disposal authority: administrative records</i> , INDUSTRIAL RELATIONS – DISPUTES for records relating to industrial disputes.	

Ref No	Function/Activity/Description	Disposal Action
2.14.1	Records relating to formal grievances raised by an employee, which are precedent setting cases and have resulted in significant change to agency procedure. Records include: <ul style="list-style-type: none"> <li>Case file.</li> </ul>	Retain for a minimum of 10 years after action completed, then destroy
2.14.2	Records relating to all other formal grievances raised by an employee. Records include: <ul style="list-style-type: none"> <li>Case file.</li> </ul>	Retain for a minimum of 5 years after action completed, then destroy
2.14.3	Records relating to grievances that were raised informally and not proceeded with. Records include: <ul style="list-style-type: none"> <li>Notes.</li> </ul>	Retain for a minimum of 1 year after action completed, then destroy
<b>2.15.0</b>	<b>Infringements</b>	
	<p>The activities associated with handling breaches of rules. Includes driving or traffic infringements and infringements of the organisation's intellectual property.</p> <p><b>Use 2.9.0 PERSONNEL – COUNSELLING</b> for records relating to counselling over infringements that is not part of disciplinary action.</p> <p><b>Use 2.10.0 PERSONNEL – DISCIPLINE</b> for records relating to infringements dealt with using disciplinary action.</p> <p><b>Use General retention and disposal authority: administrative records, FLEET MANAGEMENT – INFRINGEMENTS</b> for records relating to driving or traffic infringements.</p>	
<b>2.16.0</b>	<b>Insurance</b>	
	<p>The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or while engaged during employment.</p> <p><b>Use General retention and disposal authority: administrative records, PERSONNEL – INSURANCE</b> for records relating to insurance policies regarding the management of personnel, other than compensation policies.</p> <p><b>Use General retention and disposal authority: administrative records, COMPENSATION – INSURANCE</b> for records relating to compensation insurance policies.</p> <p><b>Use General retention and disposal authority: administrative records, FINANCIAL MANAGEMENT – REPORTING</b> for records relating to reporting to Treasury regarding yearly premium renewals for insurance policies.</p>	

Ref No	Function/Activity/Description	Disposal Action
<b>2.17.0</b>	<b>Leave</b>	
	The process of administering leave for which staff are eligible. Includes unauthorised leave taken by staff.	
2.17.1	Summary records of the administration of leave, leave requests, long term entitlements and the transfer of entitlements to other employers. Records include: <ul style="list-style-type: none"> <li>• Register of Leave</li> <li>• Leave cards</li> <li>• Consolidated leave records.</li> </ul> <b>Use</b> 2.12.1 PERSONNEL – EMPLOYMENT CONDITIONS for summary records of service.	Retain for a minimum of 75 years after date of birth of employee, or 7 years after action completed, whichever is later, then destroy
2.17.2	Records of extended (long service) leave, study leave and leave without pay in excess of 6 months including: <ul style="list-style-type: none"> <li>• Leave requests</li> <li>• Leave forms</li> <li>• Authorisations. [12]</li> </ul>	Retain for a minimum of 75 years after date of birth of employee, or 7 years after action completed, whichever is later, then destroy
2.17.3	Records relating to applications for leave and the administration of leave, except for extended (long service) leave, study leave and leave without pay in excess of 6 months including: <ul style="list-style-type: none"> <li>• Reports of unauthorised leave</li> <li>• Leave requests</li> <li>• Leave forms</li> <li>• Authorisations</li> <li>• Leave returns</li> <li>• Leave rosters</li> <li>• Medical certificates.</li> </ul> <b>Note:</b> If the organisation is covered by the Commonwealth <i>Workplace Relations Amendment (Work Choices) Act 2005</i> , these records should be retained for a minimum of 7 years after action completed.	Retain for a minimum of 6 years after action completed, then destroy
<b>2.18.0</b>	<b>Marketing</b>	
	The process of analysing, creating and promoting careers and employment opportunities. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation. <b>Use</b> 2.23.1 PERSONNEL – RECRUITMENT for records relating to job advertisements.	

<b>Ref No</b>	<b>Function/Activity/Description</b>	<b>Disposal Action</b>
2.18.1	Records relating to the marketing of professions, career paths and employment schemes including: <ul style="list-style-type: none"> <li>• Campaign records</li> <li>• Advertisements.</li> </ul>	Retain until ceases to be of administrative use, then destroy
<b>2.19.0</b>	<b>Performance management</b>	
	The process of identifying, evaluating, and developing corporate and employee work performance so that the organisation's goals and objectives are achieved and also benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.	
2.19.1	Records relating to the administration and implementation of the performance management program.	Retain for a minimum of 5 years after action completed, then destroy
2.19.2	Records of individual performance agreements with senior or executive officers on contracts of employment. Includes final version of the agreement, notes from meetings with employees and assessment and review reports. Also includes: <ul style="list-style-type: none"> <li>• Annual reviews</li> <li>• Remedial action.</li> </ul>	Retain for 7 years after employment ceases, then destroy
2.19.3	Records of individual performance agreements with other employees. Includes final version of the agreement, notes from meetings with employees and assessments and review reports. Also includes: <ul style="list-style-type: none"> <li>• Work plan</li> <li>• Appraisal report</li> <li>• Performance counselling</li> <li>• Reviews.</li> </ul>	Retain for a minimum of 3 years after action completed, then destroy
2.19.4	Records relating to the administration of internal prize, award or recognition schemes for employees.	Retain for a minimum of 2 years after action completed, then destroy
2.19.5	Records of significant awards given to employees in recognition of service including: <ul style="list-style-type: none"> <li>• Nomination</li> <li>• Details of awards.</li> </ul>	Required as State archives
2.19.6	Records of routine or periodic awards given to employees in recognition of service including: <ul style="list-style-type: none"> <li>• Nomination</li> <li>• Details of awards.</li> </ul>	Retain for a minimum of 5 years after action completed, then destroy

Ref No	Function/Activity/Description	Disposal Action
<b>2.20.0</b>	<b>Planning</b>	
	<p>The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, PERSONNEL – PLANNING for records relating to planning for personnel projects, systems and activities within the organisation.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, STRATEGIC MANAGEMENT – PLANNING for records relating to planning if it forms part of broader, strategic planning.</p>	
2.20.1	<p>Working papers, masters and copies of routine and operational plans regarding personnel issues including:</p> <ul style="list-style-type: none"> <li>• Draft plans</li> <li>• Master plans</li> <li>• Reports.</li> </ul>	<p>This class has been superseded by <i>General retention and disposal authority: administrative records</i>, PERSONNEL – PLANNING, 15.3.1-2 (approved 25 June 2007)</p>
<b>2.21.0</b>	<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><b>Use</b> <i>General retention and disposal authority: administrative records</i>, PERSONNEL – COMPLIANCE for records relating to an organisation's compliance with policies.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, PERSONNEL – POLICY for records relating to personnel policies.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, STRATEGIC MANAGEMENT – IMPLEMENTATION for records relating to the implementation of government-wide policies, e.g. EEO.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, STRATEGIC MANAGEMENT – POLICY for records relating to the organisation's policies on cross-functional or organisation-wide matters.</p>	

Ref No	Function/Activity/Description	Disposal Action
2.21.1	Records relating to the formulation and implementation of an agency's own policy on routine and operational personnel matters including: <ul style="list-style-type: none"> <li>• Drafts</li> <li>• Research.</li> </ul>	This class has been superseded by <i>General retention and disposal authority: administrative records, PERSONNEL – POLICY, 15.4.2</i> (approved 25 June 2007)
2.21.2	Records relating to the implementation of government-wide policies relating to routine and operational personnel management.	This class has been superseded by <i>General retention and disposal authority: administrative records, STRATEGIC MANAGEMENT – IMPLEMENTATION, 19.9.1</i> (approved 25 June 2007)
2.21.3	Master circulars, memorandum and final policy documents created by the agency relating to routine and operational personnel policy.	This class has been superseded by <i>General retention and disposal authority: administrative records, PERSONNEL – POLICY, 15.4.1</i> (approved 25 June 2007)
2.21.4	Copies of policy documents specifically relating to personnel.	Retain until ceases to be of administrative use, then destroy
<b>2.22.0</b>	<b>Procedures</b>	
	Standard methods of operating laid down by an organisation according to formulated policy. <b>Use</b> <i>General retention and disposal authority: administrative records, PERSONNEL – PROCEDURES</i> for records relating to the organisation's personnel procedures. <b>Use</b> <i>General retention and disposal authority: administrative records, STRATEGIC MANAGEMENT-PROCEDURES</i> for records relating to the organisation's manuals, handbooks, directives etc detailing the organisation's procedures on cross-functional or organisation-wide matters.	
2.22.1	Masters of routine and operational agency procedures regarding the administration of personnel. Includes: <ul style="list-style-type: none"> <li>• Procedure manuals</li> <li>• Circulars.</li> </ul>	This class has been superseded by <i>General retention and disposal authority: administrative records, PERSONNEL – PROCEDURES, 15.5.1</i> (approved 25 June 2007)

Ref No	Function/Activity/Description	Disposal Action
2.22.2	Records concerning the development of procedures and implementation of routine and operational procedures regarding the administration of personnel including: <ul style="list-style-type: none"> <li>• Drafts</li> <li>• Research.</li> </ul>	This class has been superseded by <i>General retention and disposal authority: administrative records, PERSONNEL – PROCEDURES, 15.5.2</i> (approved 25 June 2007)
2.22.3	Copies of routine and operational procedures relating to personnel.	Retain until ceases to be of administrative use, then destroy
<b>2.23.0</b>	<b>Recruitment</b>	
	The process of recruiting which includes applying for approval to fill existing vacancies, the advertising of vacant positions, and the handling of applications, interviews, selection, culling and appointment. Also includes recruiting volunteers. <b>Use 2.2.0 PERSONNEL – APPEALS</b> for records relating to appeals of recruitment decisions. <b>Use 2.23.7-8 PERSONNEL – RECRUITMENT</b> for records relating to working with children checks and <b>2.23.6 PERSONNEL – RECRUITMENT</b> for records relating to criminal record checks.	
2.23.1	Records of selection including advertisements, interview reports, reference checks and gazette notices. Includes selection for promotion. Records include: <ul style="list-style-type: none"> <li>• Advertisements</li> <li>• Selection committee reports</li> <li>• Reports on selection on other grounds</li> <li>• Eligibility lists</li> <li>• Gazette notices</li> <li>• Reference checks</li> </ul> <b>Use 2.23.2-5 PERSONNEL – RECRUITMENT</b> for records relating to applications for positions.	Retain for a minimum of 2 years after recruitment has been finalised, then destroy
2.23.2	Records documenting the recruitment of employees and volunteers – successful applicant: <ul style="list-style-type: none"> <li>• who have made significant or unique achievements or contributions to society</li> <li>• whose employment experiences demonstrate significant or unique societal or public service attitudes to employment issues.</li> </ul> Includes processing prior to appointment to the organisation or, in the case of promotions, to the new position. Records include: <ul style="list-style-type: none"> <li>• Application including resume and references</li> <li>• Evidence of educational qualifications and personal particulars</li> </ul>	

Ref No	Function/Activity/Description	Disposal Action
	<ul style="list-style-type: none"> <li>• Offer</li> <li>• Acceptance</li> <li>• Copy of position description or duty statement</li> <li>• Health declarations</li> <li>• Results of medical examinations at recruitment.</li> </ul> <p><b>Note:</b> Refer to Part 2, <i>Understanding and using the Authority</i>, section 2.5: <i>Identifying records required as State archives</i> for more information.</p> <p><b>Use</b> 2.12.1-2 PERSONNEL – EMPLOYMENT CONDITIONS for records relating to appointment and service in these categories.</p>	
2.23.3	<p>Records of recruitment of other employees and volunteers – successful applicant. Includes processing prior to appointment to the organisation or, in the case of promotions, to the new position. Records include:</p> <ul style="list-style-type: none"> <li>• Application including resume and references</li> <li>• Evidence of educational qualifications and personal particulars</li> <li>• Offer</li> <li>• Acceptance</li> <li>• Copy of position description or duty statement</li> <li>• Health declarations</li> <li>• Results of medical examinations at recruitment.</li> </ul> <p><b>Use</b> 2.12.1-5 PERSONNEL – EMPLOYMENT CONDITIONS for records relating to appointment and service.</p>	Retain for a minimum of 7 years after employment ceases, then destroy
2.23.4	<p>Records of recruitment – unsuccessful applicant. Records include:</p> <ul style="list-style-type: none"> <li>• Application including resume and references</li> <li>• Evidence of educational qualifications and personal particulars</li> <li>• Copy of position description or duty statement</li> <li>• Health declarations</li> <li>• Results of medical examinations</li> <li>• Notification.</li> </ul>	Retain for a minimum of 1 year after recruitment finalised, then destroy
2.23.5	Unsolicited resumes and requests for employment.	Retain until ceases to be of administrative use, then destroy

Ref No	Function/Activity/Description	Disposal Action
2.23.6	<p>Records relating to criminal records checks carried out by a public office.</p> <p><b>Use</b> 2.23.7-8 PERSONNEL – RECRUITMENT for records relating to working with children checks.</p> <p><b>Note:</b> The records of criminal checks created or received by approved screening agencies are not covered in this Authority.</p>	Retain in accordance with public office requirements, then destroy [13]
2.23.7	<p>Records relating to working with children checks as a result of which:</p> <ul style="list-style-type: none"> <li>• a job applicant is offered employment</li> <li>• an existing employee is determined fit to work with children</li> <li>• an existing employee is determined unfit to work with children.</li> </ul> <p>Records include:</p> <ul style="list-style-type: none"> <li>• Prohibited person declaration form</li> <li>• Consent for working with children check</li> <li>• Request to screening agency for working with children check</li> <li>• Notification of result of working with children check.</li> </ul> <p><b>Use</b> 2.7.0 PERSONNEL – COMPLIANCE for records relating to registration of organisations with approved screening agencies, and statutory reporting of critical incidents.</p> <p><b>Use</b> 2.23.6 PERSONNEL – RECRUITMENT for records relating to criminal record checks.</p> <p><b>Note:</b> The records of working with children checks or risk assessments created or received by approved screening agencies are not covered in this Authority.</p>	Retain for a minimum of 75 years after date of birth of employee, or 7 years after action completed, whichever is later, then destroy
2.23.8	<p>Records relating to working with children checks as a result of which a job applicant is not offered employment. [14]</p> <p><b>Note:</b> The records of working with children checks or risk assessments created or received by approved screening agencies are not covered in this Authority.</p> <p><b>Use</b> 2.7.2 PERSONNEL – COMPLIANCE for records relating to statutory reporting of critical incidents.</p> <p><b>Use</b> 2.23.6 PERSONNEL – RECRUITMENT for records relating to criminal record checks carried out as part of the recruitment process.</p>	Retain for minimum of 1 year after recruitment finalised, then destroy

Ref No	Function/Activity/Description	Disposal Action
<b>2.24.0</b>	<b>Rehabilitation</b>	
	The process of managing programs designed to restore the injured worker to the fullest physical, psychological, social, vocational and economic usefulness of which they are capable – consistent with pre-injury status. Includes early intervention with appropriate, adequate and timely services through the use of a Rehabilitation Coordinator.	
2.24.1	Records relating to the rehabilitation of employees where the rehabilitation is not related to a compensation case. Records include: <ul style="list-style-type: none"> <li>• Return to work plans.</li> </ul> <p><b>Use General retention and disposal authority: administrative records, COMPENSATION – CLAIMS</b> for records relating to rehabilitation cases involving compensation.</p>	Retain for a minimum of 10 years after action completed, then destroy
	<b>Reporting</b>	
	<b>Use 2.7.2 PERSONNEL – COMPLIANCE</b> for records relating to statutory reporting of critical incidents. <b>Use General retention and disposal authority: administrative records, PERSONNEL – REPORTING</b> for records relating to reporting on initiatives and schemes to support the management of personnel.	
<b>2.25.0</b>	<b>Representatives</b>	
	The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees', councils or groups. Includes organisational legal representatives. <b>Use General retention and disposal authority: administrative records, FINANCIAL MANAGEMENT – SALARIES</b> for records relating to the payment of allowances.	
2.25.1	Records relating to the nomination, appointment or resignation of individuals from the organisation as delegates or representatives. Records include: <ul style="list-style-type: none"> <li>• Correspondence.</li> </ul>	Retain for a minimum of 2 years after action completed, then destroy
	<b>Reviewing</b>	
	<b>Use General retention and disposal authority: administrative records, PERSONNEL – REVIEWING</b> for records relating to reviews of needs, initiatives and schemes which support the management of personnel.	

Ref No	Function/Activity/Description	Disposal Action
<b>2.26.0</b>	<b>Salaries</b>	
	<p>The process of managing the payment of salaries to personnel.</p> <p><b>Use General retention and disposal authority: administrative records, PERSONNEL – SALARIES</b> for records relating to returns from superannuation bodies regarding payments made by the organisation.</p> <p><b>Use General retention and disposal authority: administrative records, FINANCIAL MANAGEMENT – SALARIES</b> for records relating to other salary matters.</p>	
2.26.1	Routine correspondence, including requests for information and reference material regarding superannuation.	Retain for a minimum of 2 years after action completed, then destroy
<b>2.27.0</b>	<b>Security</b>	
	The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.	
2.27.1	<p>Records relating to the management of personnel security. This includes issuing identification, reporting of security incidents and arranging for identity checking. Records include:</p> <ul style="list-style-type: none"> <li>• Security checks</li> <li>• Reports.</li> </ul>	Retain for a minimum of 5 years after action completed, then destroy
2.27.2	<p>Personal Security Files (PSFs) of employees or contractors where the records are in the ownership of NSW State Government agencies. [15]</p> <p><b>Note:</b> Personal Security Files (PSFs) contain personal security information maintained in conformity with the standards set out in the <i>Australian Government Protective Security Manual</i> (PSM).</p> <p>PSFs are raised for employees and contracted services providers with security clearances, but may also be raised for some uncleared personnel. These records document security checks (vetting) carried out as part of pre-engagement and pre-employment checks and periodic reviews.</p>	Retain for a minimum of 5 years after separation from service or 6 years after the date of last clearance check on file, whichever is sooner, then destroy

Ref No	Function/Activity/Description	Disposal Action
2.27.3	Personal Security Files (PSFs) of employees or contractors who take up permanent employment with Federal, other State or Territory government agencies. [16]	Transfer custody and ownership to the relevant Federal, other State or Territory government agency upon request and in conformity with standards set out in the <i>Australian Government Protective Security Manual</i> (PSM).  This approval permits the transferred records to leave the State.
2.27.4	Personal Security Files (PSFs) of employees or contractors who take up temporary employment with Federal, other State or Territory government agencies. [17]  <b>Note:</b> PSFs of staff temporarily transferred should return to the NSW Government agency at the end of the transfer period.	Transfer custody to the relevant Federal, other State or Territory government agency upon request and in conformity with standards set out in the <i>Australian Government Protective Security Manual</i> (PSM).  This approval permits the transferred records to leave the State.
<b>2.28.0</b>	<b>Separations</b>	
	The activities associated with managing any method of leaving an organisation. Includes resignation, retirement, dismissal, death, redundancy, retrenchment and dispensations of services of temporary personnel. Excludes temporary transfers.  <b>Use</b> 2.12.8 PERSONNEL – EMPLOYMENT CONDITIONS for records relating to transfers or secondments.	
2.28.1	Records of planning the implementation of separations from the organisation eg as a result of work redesign, restructuring, and redeployments.	Retain for a minimum of 10 years after action completed, then destroy
2.28.2	Records of the separation of individuals from the organisation, excluding separations caused by deaths while the individual is on duty or on their way to or from work, or from work related injuries or disease. Records include: <ul style="list-style-type: none"> <li>• Letter of notice</li> <li>• Reports/details of discharge etc</li> <li>• Exit interviews</li> </ul>	Retain for a minimum of 7 years after employment ceases, then destroy

Ref No	Function/Activity/Description	Disposal Action
	<ul style="list-style-type: none"> <li>• Gazette notice of retirement or resignation</li> <li>• Certificate of service</li> <li>• Details of entitlements.</li> </ul> <p><b>Use</b> 2.10.0 PERSONNEL – DISCIPLINE for records relating to disciplinary proceedings that result in dismissal.</p> <p><b>Use</b> 2.28.4 PERSONNEL – SEPARATIONS for records relating to the redeployment of senior or executive officers to other organisations.</p>	
2.28.3	<p>Records of the separation of individuals from the organisation, when death occurs while the individual is on duty or on their way to or from work, or from work related injuries or disease. Records include:</p> <ul style="list-style-type: none"> <li>• Report/details of death</li> <li>• Details of entitlements.</li> </ul> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, COMPENSATION for records relating to compensation.</p>	Retain for a minimum of 7 years after death of individual, then destroy
2.28.4	<p>Records regarding the redeployment or reassignment of senior or executive officers on contracts of employment to other organisations. Records include:</p> <ul style="list-style-type: none"> <li>• Order or determination.</li> </ul>	Retain for a minimum of 75 years after date of birth of employee, or 7 years after action completed whichever is the longer, then destroy
<b>2.29.0</b>	<b>Social clubs</b>	
	<p>The activities involved in the organisation's relationship with social clubs.</p> <p><b>Note:</b> The records of the club itself, such as minutes of meetings, are not public records and are therefore not covered by this Authority.</p>	
2.29.1	Records relating to the interaction between the organisation and employee run social clubs.	Retain for a minimum of 2 years after action completed, then destroy
<b>2.30.0</b>	<b>Suggestions</b>	
	<p>The process of using suggestions from personnel to improve the services and processes of the organisation.</p> <p><b>Use</b> <i>General retention and disposal authority: administrative records</i>, COMMUNITY RELATIONS – PUBLIC REACTION for records relating to suggestions from the public.</p>	
2.30.1	Records of suggestions from personnel.	Retain for a minimum of 2 years after action completed, then destroy

[1] The type of allowances and maximum amounts payable for NSW agencies are defined by the *NSW Personnel Handbook* and the *Crown Employees (Public Service and Conditions of Employment 1997) Award*.

[2] 'Each occasion of overseas travel, its date and duration, the officer(s) or employees (and any companions) travelling, purpose, any associated private leave granted, the cost and funding source need to be justified and recorded by agencies for audit purposes.' Premiers Circular C1999-60 *Official travel – consolidation of guidelines*.

[3] The *Commission for Children and Young People Act 1998* s 39 (5) states that 'it is the duty of an employer to retain records of information that the employer is required to notify under this section.' The information under this section includes the name and other identifying particulars of any employee against whom relevant disciplinary proceedings have been completed by the employer in relation to children and young people. If the charges are not proven or the inquiry is not proceeded with the Commission should also be informed. That duty applies despite any requirement for disposal of the record (for example any regulation applying to the records of information of disciplinary proceedings with respect to public sector employees). *NSW Personnel Handbook*, 9-2.14.4.

**Note:** This retention period of 99 years is to cover the life of the alleged perpetrator and victim. State Records has had discussions with the Commission for Children and Young People and the NSW Ombudsman who indicated that the retention period set meets their requirements.

[4] 'Recordkeeping is a crucial aspect of the child protection systems which heads of agency must set up. Accurate records of investigations should be kept by a delegated person within the agency detailing allegations and the subsequent risk assessments, investigations and action resulting. These records need to be treated as highly confidential, kept securely and must be kept permanently.' *Child Protection: Responding To Allegations of Child Abuse Against Employees*, NSW Ombudsman, Sydney, 2001 p.65, s.5.13. This retention period of 99 years is to cover the life of the alleged perpetrator and victim. State Records has had discussions with the Commission for Children and Young People and the NSW Ombudsman who indicated that the retention period set meets their requirements.

[5] Serious disciplinary action may include fine, demotion, suspension, direction to resign, dismissal or annulment of appointment. If an officer is convicted of an offence punishable by penal servitude or imprisonment for 12 months, the Department head may also impose punishment under s.48 *Public Sector Employment and Management Act 2002*.

[6] If an officer is found not to have committed a breach of discipline with which an officer has been charged, or for which an inquiry has been instituted, the charge or alleged breach of discipline must not be recorded in any record maintained in relation to the officer or by the department. *Public Sector Management General Regulation*, s.28; *NSW Personnel Handbook*, 5-3.4.8. State Records had discussions with the Public Sector Management Office who indicated that these should be kept on official files but not on the personnel/employee file. More guidance will be released by the Public Sector Management Office shortly.

[7] When an employee permanently transfers to another department within the NSW Public Sector, all employee service and leave records should be forwarded to the new department. This also applies in the instance of temporary employment. *NSW Personnel Handbook*, NSW Government, 5-3.2.3.

**Note:** this practice is not relevant to the university sector.

[8] Employee files must be maintained in accordance with the Information Protection Principles in Part 2 Division 1 of the *Privacy and Personal Information Protection Act*

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1998, in particular they should be protected by reasonable security measures and protected from unauthorised use or disclosure.

[9] Separate leave and service records should be maintained for individual employees. Service records should be used to record all details relating to an employee's employment; while leave records should be used to record all leave matters other than flex leave. *NSW Personnel Handbook*, NSW Government 5-3.2.2

[10] The *Industrial Relations Act 1996*, Ch 2 Employment, Part 10 Payment of remuneration, s.129 states that: '(1) An employer must ensure the following daily records are kept in relation to the employees of the employer: (a) records of remuneration paid and hours worked by employees, and (b) any other prescribed records relating to conditions of employment set by the industrial relations legislation or industrial instruments;...and (4) the employer must ensure that the records are kept for a period of at least 6 years.'

[11] The *Children's Services Regulation 2004* s.93 (2) requires that 'the licensee of a centre based or mobile children's service must ensure that records are made and kept up to date of the day to day attendance of each member of staff, casual employee or contractor of the service, including times of arrival and departure during the day and including details of all absences.' These records must be kept 'for a period of not less than 7 years after the member of staff ceases to be a member of staff of the service' (s.96 (2) (b)).

[12] The *Annual Holidays Act 1944* s.9 requires that 'every employer shall keep or cause to be kept a holiday record in a form approved by the Minister for a period of at least six years after the last entry therein.' The *Long Service Leave Act 1955*, s.8 requires that 'every employer shall keep or cause to be kept a long service leave record in a form approved by the Minister for a period of at least six years after the last entry therein.' 'All leave applications may be destroyed after 6 years except for the following applications which are to be placed on an employee's personnel file: extended leave, study leave and leave without pay in excess of 6 months' *Personnel Handbook*, NSW Government 6-4.3.2

[13] This class pertains to records of criminal record checks requested and maintained by a public office as part of the recruitment process, and where the screening is undertaken by another organisation, such as a service provider or the Police. Records of screening undertaken by the public office should be addressed in its functional retention and disposal authority.

Public offices required to manage their employees in accordance with the NSW Government *Personnel Handbook* should ensure records relating to criminal records checks of employees are managed in accordance with requirements established by the Handbook. In accordance with procedures outlined in the Handbook, 'details of criminal records should in no circumstances be kept on the applicant's personal file. Details of criminal records should be kept separately from normal filing systems under secure arrangements with only limited access from authorised officers; records of criminal records checks must be destroyed within six months of the last action being taken on them.' (*NSW Personnel Handbook*, 2-15.5.1)

Where criminal record checks are carried out subject to a memorandum of understanding (MOU) with NSW Police or another organisation, the records should be maintained and disposed of in accordance with any guidelines or provisions of the MOU.

Public offices not required to manage their employees in accordance with the NSW Government *Personnel Handbook* will need to determine appropriate retention periods in accordance with legislation to which the organisation is subject, operational requirements and any current guidelines and codes of practice (including Memorandums of Understanding and Privacy codes of practice).

**Note:** This disposal action has been updated to reflect the disposal action as amended by GDA22, issued June 2005.

[14] *The Commission for Children and Young People Act 1998* s.40 (1) states that 'it is the duty of an employer to notify the Commission of the name and other identifying particulars of any person whose application for child-related employment with the employer has been rejected primarily because of a risk in employment screening.'

[15] Approved by GA34, October 2008.

[16] Approved by GA34, October 2008.

[17] Approved by GA34, October 2008.

## **1.4 Locating disposal authorisation for related functions and activities**

The following table indicates which general disposal authorities to use for disposal of records of related functions and activities.

<b>Function</b>	<b>Activity</b>	<b>General retention and disposal authority and Ref No</b>
COMPENSATION	All	Administrative records 3.0.0
ESTABLISHMENT	All	Administrative records 6.0.0
INDUSTRIAL RELATIONS	All	Administrative records 11.0.0
OCCUPATIONAL HEALTH & SAFETY	All	Administrative records 14.0.0
PERSONNEL	Academic Promotions Appeals	University records
	Compliance (excluding some specific cases in this authority)	Administrative records 15.1.0
	Insurance	Administrative records 15.2.0
	Planning	Administrative records 15.3.0
	Policy	Administrative records 15.4.0
	Procedures	Administrative records 15.5.0
	Reporting	Administrative records 15.6.0
	Reviewing	Administrative records 15.7.0
	Salaries (excluding some routine correspondence)	Administrative records 7.18.0, 15.8.0
STAFF DEVELOPMENT	All	Administrative Records 18.0.0

# Part 2: Understanding and using the authority

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## 2.1 Overview

### Purpose of the authority

The purpose of issuing the *General retention and disposal authority: personnel records* (GDA 12) is to permit NSW public offices to destroy certain common personnel records, after minimum retention periods have been met, and to identify which personnel records are required as State archives. The disposal actions contained in the Authority should enable public offices to better manage their personnel records from the time they are created, or even before their creation.

### Previous disposal authorisation superseded

This Authority supersedes previous disposal authorisation in the following authorities:

General retention and disposal authority	Parts superseded
Personnel Records (GDA 3) revised edition 1992 (reprinted 2000)	Whole
Administrative Records (GDA 2) revised edition 1996	Section 22.0.0 PERSONNEL Section 3.17.0 COMMUNITY RELATIONS – Work Experience Students
University Records (GDA 9) 2000	Class 6.1.1 PERSONNEL – Recognition of Service

### What records does this Authority cover?

This Authority authorises the disposal of:

- personnel files
- human resource management databases used to record summary details about employees
- other records relating to the management of employees as part of the PERSONNEL function
- records of aspects of the health promotion activity within the OCCUPATIONAL HEALTH & SAFETY function.

### Date range of records covered

This Authority applies to records wholly created after 1940 except where records are required as State archives where it applies to records of any age.

### What records are not covered?

This Authority does not cover all records relating to human resource management. Nor does it cover records relating to an organisation's unique or core functions. The following table indicates where to look for disposal authorisation for records of related functions and activities:

<b>For records relating to the function or activity of...</b>	<b>Use the following general retention and disposal authority</b>
Compensation	Administrative records
Establishment	Administrative records
Industrial Relations	Administrative records
Occupational Health and Safety	Administrative records
Staff Development	Administrative records
Personnel – Salaries (excluding some routine correspondence)	Administrative records

### **How long is the Authority in force?**

This Authority will remain in force until it is superseded by a new authority or it is withdrawn from use by State Records.

### **Providing feedback**

To suggest amendments or alterations to this Authority please contact us.

### **Further assistance**

See our Recordkeeping in brief [Managing personnel records](#) (RIB24) for assistance with implementing this Authority or contact us.

## **2.2 Structure and components**

### **A new structure**

This Authority is substantially different in structure from the previous General Retention and Disposal Authority - Personnel Records (GDA 3).

### **Arrangement of disposal classes by function and activity**

Authorised disposal actions for classes of records are arranged according to the function and activity that the records document. The functions and activities have been taken from State Records' records management thesaurus for administrative terms *Keyword AAA*.

### **Information components**

The Authority comprises a number of information components presented in a table of 3 columns as follows:

<b>Column</b>	<b>Information components</b>
Reference No.	<p><b>Function, activity and disposal class identifiers</b></p> <p>Each function, activity and disposal class has a unique number used to identify it. Each number has 3 parts which reflects the hierarchical arrangement of the Authority. The first part of each number represents the function, the second part the activity within that function, and the last part the disposal class within that function/activity combination.</p>

Function/Activity/Description	<p><b>Function and activity names</b></p> <p>Each function and activity has a name that is also used to identify it.</p> <p><b>Descriptions</b></p> <p>Each function, activity and disposal class has a description which gives its scope.</p> <p><b>Cross references</b></p> <p>Related functions, activities and disposal classes either within the Authority or in separate general retention and disposal authorities are identified by cross references.</p> <p><b>Notes</b></p> <p>Additional information is sometimes included in a note.</p>
Disposal action	<p>Disposal actions are made up of several parts:</p> <p><b>Minimum retention periods</b></p> <p>These identify how long the records must be kept as a minimum.</p> <p><b>Disposal triggers</b></p> <p>These identify the event from which the retention period is calculated.</p> <p><b>Disposal action</b></p> <p>This identifies what ultimately should happen to the records.</p> <p>Note: Where records are required as State archives there is no minimum retention period or disposal trigger given.</p> <p>Note: A <b>maximum retention period</b> means that the records must not be kept longer than the period given.</p>

**Footnotes** are also used to refer to legislation, directives, guidelines and other instruments that contain specific requirements that affect the retention or disposal of records belonging to a particular function, activity or disposal class.

## 2.3 Guidelines for implementation

### Introduction

Comprehensive information about implementation of disposal authorities is found in State Records' guidelines *Implementing a disposal authority*, *Destruction of records: a practical guide* and *Procedures for transferring custody of records as State archives*.

### Sentencing records titled using *Keyword AAA*

The functions and activities in this Authority generally correspond with the keyword PERSONNEL and its related activity descriptors in *Keyword AAA*. This will enable users of *Keyword AAA* to sentence many of their files by simply looking up the entries in the Authority corresponding with the keywords and activity descriptors used in their file titles.

## **Sentencing records not titled using Keyword AAA**

The Authority is designed to be applicable to all general personnel records regardless of titling conventions used. Records which have not been titled using *Keyword AAA* may still be sentenced with relative ease. A comprehensive index has been included to allow easy access to relevant disposal classes.

## **Minimum retention periods**

The Authority specifies minimum retention periods for all records not required as State archives. A public office must not destroy or otherwise dispose of records before the minimum retention period has expired. If a public office desires to reduce the minimum retention period it must seek specific written authorisation from State Records. Public offices may retain records for longer periods of time, subject to organisational need, without further reference to State Records.

## **Retention of electronic records**

Electronic records must be protected and readily accessible for the specified minimum retention period. See *Future Proof: Ensuring the accessibility of equipment/technology dependent records* for information relating to managing the accessibility of technology dependent records.

## **Destroying records**

When the authorised minimum retention period has been reached, appropriate arrangements for the destruction of records can be made. Destruction of records in accordance with the Authority may be undertaken without further reference to State Records, unless otherwise advised. Persons using the Authority should apply it with caution, bearing in mind that the authorisations for disposal are given in terms of the State Records Act only. It is the responsibility of every public office to ensure that all legal and other requirements for retention of records have been met before disposing of any of its records.

## **Transferring records required as State archives**

Records identified in the Authority as being required as State archives should be prepared for transfer to State Record's custody and/or control only when they are no longer required for ongoing business use.

## **Transfer of ownership must be authorised**

Regardless of whether a record has been authorised for destruction or is required as a State archive, a public office must not transfer ownership of a State record to any person or organisation without the explicit authorisation of State Records.

## **2.4 Disposing of personnel files**

### **Introduction**

Many organisations create a file on each employee that physically brings together documents relating to a range of matters in the ongoing management of that employee. These files are variously called personnel files, employee files, or personal files.

### **Issue**

The *General retention and disposal authority: personnel records* (GDA 12) authorises the disposal of records about individual employees according to the activities the records document rather than the way the records may be physically managed in files. This means that there is no single entry in the Authority relating to personnel files.

Furthermore, the minimum retention periods vary according to the activity documented in the records and hence a single file may contain records with different retention periods.

### Policy on culling and retention

Where existing personnel files comprise a variety of records relating to different activities, and with different retention periods, it is preferred that the whole file be retained together for the longest period. Removal of documents from files is not recommended. Where a personnel file contains records required as State archives the whole file should be retained as a State archive.

### Identifying the minimum retention period

Working out the minimum retention period applying to an existing personnel file will be based on

- whether adequate summary records exist
- the date of birth of the employee, and
- what activity is documented on the file.

**Cautionary note:** The following general rules should be applied with caution. They are provided as a guide only. Minimum retention periods for existing personnel files should be confirmed in accordance with the disposal decisions authorised in the Authority.

#### General rule 1: where an adequate summary record is maintained

In general, where an adequate summary record has been created, and will be maintained for 75 years after the birth of the employee, an existing personnel file can be destroyed 7 years after employment ceases.

#### General rule 2: Where no summary record is maintained

In general, where no adequate summary records are maintained, existing personnel files must be kept for 75 years after the date of birth of the employee, or 7 years after last action, whichever is the later.

#### Exceptions to the general rules

Records relating to some activities are required to be retained for different periods to those indicated in general rules 1 and 2. This could result in records being required to be kept longer than 7 years after employment ceases (where adequate summary records are held) or longer than 75 years after date of birth of the employee (where adequate summary records are not held).

The following table summarises activities where the minimum retention period commences from an action (trigger) other than the employee's birth or their employment ceasing:

If your organisation's personnel files contain...	Then retain for a minimum of...
Records relating to the health surveillance and/or monitoring of individual employees exposed to hazardous substances or conditions, including asbestos and cytotoxins ( <i>General retention and disposal authority: administrative records, 14.4.3</i> )	75 years after action completed, then destroy
Records relating to internal appeals (where an organisation may have their own internal appeal mechanisms) (2.2.1)	10 years after action completed, then destroy

Records relating to allegations and disciplinary proceedings where the Ombudsman and the Commission for Children and Young People are notified (eg cases involving suspected abuse or neglect of children) (2.10.1)	99 years after action completed, then destroy
Records relating to disciplinary proceedings where an officer is found to have committed a breach and serious disciplinary action is taken, but the offence has not involved a child or young person (2.10.2)	25 years after action completed, then destroy
Records relating to the appointment and service of volunteers (2.12.5)	3 years after service completed, or until the person reaches the age of 25, whichever is longer, then destroy
Records relating to the appointment and management of persons performing work experience (2.12.6)	3 years after action completed, or until the person reaches the age of 25, whichever is longer, then destroy
Records relating to the documentation of attendance of employees who work with children (2.12.11)	10 years after action completed, then destroy
Records relating to formal grievances raised by an employee, which are precedent setting cases and have resulted in significant change to agency procedure (2.14.1)	10 years after action completed, then destroy
Records relating to the rehabilitation of employees where the rehabilitation is not related to a compensation case (2.24.1)	10 years after action completed, then destroy

### Determining adequate summary records

A summary record about an individual's employment may be satisfactory evidence for meeting ongoing legal and accountability needs in relation to a former employee. If a public office decides to create and maintain summary records on employees, they will need to determine what is an adequate summary record. Once a public office is satisfied that the summary records they maintain are adequate evidence, it may not be necessary for the public office to retain the detailed personnel file. Caution should nevertheless be exercised in sentencing and disposing of personnel files based on the existence of summary records.

## 2.5 Identifying records required as State archives

### Principle

The Authority requires as State archives those records:

- summarising employment or service history
- relating to significant awards given to employees in recognition of their service, and
- documenting the recruitment, appointment and service of those employees and volunteers

a) who have made significant or unique achievements or contributions to society

b) whose employment experiences demonstrate significant or unique societal or public service attitudes to employment issues.

## Identifying summary records

In some cases summary records are obvious: staff service cards, for example. Increasingly, organisations are using automated systems for recording and managing personnel information. Human resource management databases often provide a summary record of employment and service history and could therefore be required as State archives.

## Identifying significant and unique records

The provisions relating to significant and unique records are included for those 'special exceptions' which may arise from time to time. Public offices that think they hold personnel records relating to influential or significant employees or employment practices should contact State Records. Examples of the types of records that may be required are given below.

### **Example 1: Records of influential public servants or people with a public service background**

These may be records of the recruitment and service of chief executives or senior personnel who significantly changed the nature or focus of the organisation or the public service. They may include records of employees who leave the service and then become influential eg. Prime Minister Ben Chifley who originally worked on the NSW Government railways.

### **Example 2: Records of employees who have achieved standing in research or specialised activities.**

These could be achievements in scientific or administrative spheres or could be external activities eg sporting, music or the arts. The public office may decide on standard criteria for retention eg. some universities keep the records of all staff who reach the level of professor or above because they are likely to make a significant impact on the community or in research circles.

### **Example 3: Records that demonstrate significant or unique societal or public service attitudes to employment**

The changing nature of attitudes to employment may be documented in recruitment and promotion records, particularly in early records. For example, employee recruitment and promotion records in the post war era may demonstrate changing practices in the employment of women or migrants from non-English speaking backgrounds. Likewise personnel records may document changing attitudes toward the employment of Aboriginal and Torres Strait Islander peoples.

## 2.6 Glossary

The following definitions apply within this document.

### **Disposal**

A range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposal authorities or other instruments (Australian Standard AS ISO 15489 -2002, *Records Management*, Part 1, *General*, Clause 3.9)

### **Disposal action**

The action authorised in a disposal authority to be carried out in relation to a disposal class.

In this Authority the disposal action column includes the minimum retention period for the disposal class, the disposal 'trigger' or event from which the retention period is counted, and the consequent action to be carried out such as destruction or retention as State archives.

**Disposal authority**

A formal instrument that defines the retention periods and consequent disposal actions authorised for classes of records described in it. (Australian Standard AS 4390-1996, *Records Management*, Part 1, *General*, Clause 4.10)

State Records approves and issues disposal authorities under the State Records Act.

**Disposal classes**

Classes of records performing or recording similar activities and therefore having the same retention period and disposal action. (Australian Standard AS 4390-1996, *Records Management*, Part 1, *General*, Clause 4.11)

**Records**

Records are recorded information, in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity. (Australian Standard AS 4390-1996, *Records Management*, Part 1, *General*, Clause 4.21)

**Retention period**

The period for which State records are to be retained in a public office's control before being destroyed or transferred as State archives. The period may be specified as a minimum period or a maximum period.

**State archive**

State archive means a State record that the [State Records] Authority has control of under this Act. (*State Records Act 1998*)

**State record**

State record means 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*)

# Part 3: Acknowledgements and list of sources used

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## Introduction

The *General retention and disposal authority: personnel records* has been developed as a result of extensive research and consultation. Drafts of the Authority were circulated widely for comment and feedback was received from many public sector organisations. Written sources used include legislation, publications and web sites.

## Acknowledgements

State Records would like to acknowledge the following organisations who provided assistance and feedback in the development of the Authority:

Commission for Children and Young People

Department of Education and Training

Department of Industrial Relations

Department of Public Works and Services

Hunter Health

NSW Health

NSW Ombudsman

Privacy NSW

Public Sector Management Office, Premier's Department

Roads and Traffic Authority NSW

St Vincent's Hospital

State Library of NSW

State Rail Authority

Sydney Water

University of Newcastle

University of Sydney

University of Technology, Sydney

University of Western Sydney

WorkCover NSW

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*Centre Based and Mobile Child Care Services Regulation (No 2) 1996*

*Child Protection (Offenders Registration) Act 2000*

*Child Protection (Prohibited Employment) Act 1998*

*Children and Young Persons (Care and Protection) Act 1998*

*Commission for Children and Young People Act 1998*  
*Crown Employees (Public Service Conditions of Employment 1997) Award*  
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*Industrial Relations Act 1996*  
*Long Service Leave Act 1995*  
*Occupational Health and Safety Act 2000*  
*Ombudsman Act 1974*  
*Privacy and Personal Information Protection Act 1998*  
*Public Sector Management Act 1988*  
*Public Sector Management Regulation 1996*  
*Public Sector Employment and Management Act 2002*  
*State Records Act 1998*

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Records Management: Retention Scheduling, Personnel Records, Public Records Office of UK (Cited 14/7/00) <<http://www.pro.gov.au>>

State Records of South Australia, *General Disposal Schedule No. 15*, Effective 10 Nov 1998 to 10 Nov 2003, <<http://www.archives.sa.gov.au/publications/index.html>>

**Sources: Web sites**

Anti Discrimination Board (ADB), <<http://www.lawlink.nsw.gov.au/adb.nsf>>

Commission for Children and Young People, <<http://www.kids.nsw.gov.au/check>>

Department of Industrial Relations (DIR), <<http://www.dir.nsw.gov.au>>

NSW Ombudsman, <<http://www.nswombudsman.nsw.gov.au>>

NSW Privacy, <<http://www.lawlink.nsw.gov.au/pc.nsf/pages/index>>

Office of the Director of Equal Opportunity in Public Employment (ODEOPE)  
<<http://www.eeo.nsw.gov.au>>

Public Sector Management Office (PSMO), <<http://www.premiers.nsw.gov.au>>

## Part 4 Index

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**Note:** In 2007 with the release of the *General retention and disposal authority: administrative records* (GA28), State Records created a consolidated index to the new authority and the *General retention and disposal authority: personnel records* (GDA12). This index is more current than the one formerly included in this publication. The consolidated index can be found on State Records' website:  
<<http://www.records.nsw.gov.au/recordkeeping/government-recordkeeping-manual/rules/general-retention-and-disposal-authorities>>.