State Records Authority of New South Wales

Functional Retention and Disposal Authority: DA102

Approved: 19 December 2001

State Electoral Office

This authority covers records documenting the function of election management which includes the conduct of elections, by elections and referenda and the maintenance of electoral rolls.
**FUNCTIONAL RETENTION AND DISPOSAL AUTHORITY**

**Public office**  
State Electoral Office

**Scope**  
This functional retention and disposal authority covers records documenting *the function of election management which includes the conduct of elections, by elections and referenda and the maintenance of electoral rolls.*

This disposal authority covers records dating from c1891 - 1976.

**Authority**  
This functional retention and disposal authority is issued under Section 21(2)(c) of the *State Records Act 1998*. It has been approved by the Board of the State Records Authority in accordance with Section 21(3) of the *State Records Act 1998*.

**Authorised**  
19/12/2001  
David Roberts  
Date  
Director  
State Records Authority of New South Wales
How to use the Functional Retention and Disposal Authority

The disposal process

The disposal of State records is a range of processes that includes assessing the value of records for future use, identifying those State records that have continuing value and identifying how soon the remainder can be destroyed or otherwise disposed of. The disposal process can also involve transfer of ownership or custody of records and the alteration of records.

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

Purpose

This functional retention and disposal authority authorises the destruction or other disposal of State records as required by the State Records Act. This authority has been prepared as part of the records disposal program of the agency. Two primary objectives of this program are to ensure that records are kept for as long as they are of value and to enable destruction or other disposal of records once they are no longer of value. State Records decisions take into account both the administrative requirements of the public office in discharging its functional responsibilities and the potential research use of the records by the NSW Government and the public. It is the duty of a public office, in submitting a draft functional retention and disposal authority for approval, to disclose to State Records any information which affects the retention of the records covered by the authority.

Using the authority

This functional retention and disposal authority covers records controlled by the public office and applies only to the records or classes of records described in the authority. The authority is to be used to sentence records. Sentencing is the examination of records in order to identify the disposal class or series to which they belong. This process enables the sentencing officer to determine the appropriate disposal action for the records. Advice on sentencing can be obtained from State Records.

Where the format of records has been changed this does not prevent the disposal classes or series from being used to sentence records which perform the same function. Where the method of recording the information changes (for example, from a paper-based system to an electronic one), this authority can still be used to sentence records as long as the records document the same function/s. The information must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see also the General Disposal Authority – Records of short term value that have been imaged). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technologically dependent records is available for the periods prescribed.
A minimum retention period in the functional retention and disposal authority of more than 25
years does not imply that a still in use determination has been approved by State Records (see
Part 4, Section 28 of the State Records Act, 1998).

**Disposal**

Records that have been identified as being required as State archives should be stored in
controlled environmental conditions. Control of these records should be transferred to State
Records at the end of the nominated retention period.

Records that have been identified as being authorised for destruction may only be destroyed
once a public office has ensured that all requirements for retaining the records are met.
Retention periods set down in this authority are minimum periods only and a public office
may keep records for a longer period if necessary. Reasons for longer retention can include
legal requirements, administrative need, and government directives. A public office must not
dispose of any records where the public office is aware of possible legal action where the
records may be required as evidence. Once all requirements for retention have been met,
destruction of records should be carried out in a secure and environmentally sound way.
Relevant details of the destruction should be recorded.

In some cases State Records may withhold authorisation for the disposal of a particular
disposal class or series or possibly a whole function or activity. This would be used where
records have been identified as having some immediate short term requirements for retention
such as pending legal action. These records will need to be re-appraised at the end of a
designated period. This re-appraisal process is necessary as the circumstances which instigate
the need for the records to be retained for a longer period may also affect the ‘value’ of the
records.

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

**Custody**

The custody column in the functional retention and disposal authority is designed to assist
public offices in identifying storage requirements for records prior to destruction or transfer.
The directions in this column are recommendations only and are not mandatory. The type of
information includes directions on how long records should be retained in the office and how
long they should be kept in off-site/ secondary storage. Specific requirements for retention
such as legislative requirements or legal directives may also be noted for reference.

**Administrative change**

This functional retention and disposal authority has been designed to link records to the
functions they document rather than to organisational structure. This provides for a stable
functional retention and disposal authority that is less affected by administrative change. The
movement of specified functions between branches or units within the public office does not
require the authority to be resubmitted to State Records for approval. However, when
functions move from one public office to another State Records should be notified. The public
office that inherits the new function will need the approval of State Records to use any
existing functional retention and disposal authority to sentence the records that document the
function/s.
Amendment and review of this authority

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

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

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

Contact Information

State Records
Level 3, 66 Harrington Street
Sydney NSW 2000
Telephone: (02) 8276 5627
Facsimile: (02) 8276 5626
E-mail: govrec@records.nsw.gov.au
### Functional Retention and Disposal Authority

**State Electoral Office of NSW**

**DA No:** DA102  
**Dates of coverage:** 1891 - 1976

<table>
<thead>
<tr>
<th>No</th>
<th>Function/Activity</th>
<th>Description</th>
<th>Disposal Action</th>
<th>Custody*</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td><strong>Conduct of Elections</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>Results of elections conducted by state of NSW 1894-1913, including results of 1898 and 1899 referendums on federation and results of first federal election of 1901 (1 volume).</td>
<td>Required as State archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2</td>
<td>Bundle of papers (1894-1899) relating to the running of an election in Dapto, Electoral District of Illawarra.</td>
<td>Required as State archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.3</td>
<td>Return showing number of electors enrolled in each State Electoral District (1880-1956).</td>
<td>Required as State archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.4</td>
<td>Returns from Daylight Saving Referendum, 1976.</td>
<td>Required as State archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.5</td>
<td>Copies of Government Gazettes and Gazette notices retained for reference purposes only.</td>
<td>Retain until ceases to be of administrative use, then destroy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.6</td>
<td>Listing of Declared Institutions, 1987.</td>
<td>Retain until ceases to be of administrative use, then destroy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.0</td>
<td><strong>Distribution of Electorates</strong></td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

* see How to use the disposal authority

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STATE RECORDS AUTHORITY OF NEW SOUTH WALES  
5 OF 6
<table>
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<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>2.1</td>
<td>Working papers and Government Gazette notices relating to subdivision boundaries, 1940.</td>
<td>Required as State archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3</td>
<td>Maps of State Electoral Districts, 1893 – 1957. Including related documentation.</td>
<td>Required as State archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.0</td>
<td><strong>Drafting and Review of Legislation</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1</td>
<td>Annotated copies of the Parliamentary, Electorates and Elections Act, 1912-1969 (volumes).</td>
<td>Required as State archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2</td>
<td>Annotated copies of regulations made under the Parliamentary, Electorates and Elections Act (single volume).</td>
<td>Required as State archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>Drafting notes Seats Redistribution Bill 1891, including annotated copy of bill.</td>
<td>Required as State archives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.0</td>
<td><strong>Publications</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.1</td>
<td>Publications retained for reference purposes only. Does not include copies of published State Electoral District maps.</td>
<td>Dispose of as State Electoral Office NSW sees fit</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* see How to use the disposal authority