

State Archives and Records Authority of New South Wales

Functional Retention and Disposal Authority: FA361

This authority covers records of the NSW Civil and
Administrative Tribunal

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

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

Functional Retention and Disposal Authority

Authority no FA361

SR file no 14/0392

Scope

This retention and disposal authority covers records of the NSW Civil and Administrative Tribunal.

Public office

NSW Civil and Administrative Tribunal

Approval date 16/02/2015

Revised date 16/07/2021

About the Functional Retention and Disposal Authority

Purpose of the authority

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

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

The retention and disposal of State records

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

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

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

Implementing the authority

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

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

Where the format of records has changed (for example, from paper-based to electronic) this does not prevent the disposal decisions in the authority from being applied to records which perform the same function. The information contained in non paper-based or technology dependant records must be accessible for the periods prescribed in the classes. Where a record is copied, either onto microform or digitally imaged, the original should not be disposed of without authorisation (see the *General Retention and Disposal Authority – Original or source records that have been copied*). Public offices will need to ensure that any software, hardware or documentation required to gain continuing access to technology dependent records is available for the periods prescribed.

Disposal action

Records required as State archives

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

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

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

Records approved for destruction

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

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

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

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

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

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

Administrative change

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

Amendment and review of this authority

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

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

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

Contact Information

State Archives and Records NSW
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**Functional Retention and Disposal Authority
NSW Civil and Administrative Tribunal**

Authority number: FA361

Dates of coverage: Open

List of Functions and Activities covered

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Functional Retention and Disposal Authority NSW Civil and Administrative Tribunal

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No.	Description of records	Disposal action
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1.0.0 DETERMINATION OF MATTERS

The determination of matters filed within the Tribunal's multi jurisdictions. This encompasses the resolution of disputes and claims through conciliation, the making of original decisions, the review of reviewable decisions, and the hearing and determination of internal and external appeals.

1.1	Details of final orders or determinations made by the Tribunal. Includes published and unpublished decisions. Note: This includes information and records maintained within case management systems documenting the outcome of a matter and any determinations or orders made by the Tribunal in relation to a matter and decisions published via Caselaw. It also encompasses legacy registers of previous tribunals.	Required as State archives
1.2	Files and associated case management records relating to cases nominated by the Division head as warranting retention because they are: • precedent setting for the Tribunal, or • illustrative of the Division's jurisdiction, practice and procedure or of the nature of the cases brought before it and their outcomes, or • seen as having some wider importance by the Division head.	Required as State archives
1.3	Case management records relating to applications for a declaration or an enabling order prohibiting or disqualifying a person from working with children or working with people with disabilities. Includes National Disability Insurance Scheme (NDIS) worker checks.	Required as State archives
1.4	Files and associated case management records relating to the review of or appeals against decisions concerning the administration or management of Crown land or reserves. (e.g. applications made under the Commons Management Act, Crown Lands Management Act or Local Land Services Act about decisions relating to rents, leases, licenses or permits, disputes and claims concerning the fencing of land in the western division or the fencing of boundaries of travelling stock reserves, etc.).	Retain in agency
1.5	Files and associated case management records or appeals against decisions relating to matters concerning the holding of office by and conduct of local	Required as State archives

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	government and Aboriginal Land Council councillors. This includes matters relating to: - the referral or investigation of complaints concerning misconduct, misbehaviour or failure to disclose pecuniary interests - the dismissal, disqualification or removal of person or councillor from holding office - the declaration of a vacancy on a board or council.	
1.6	Case management records relating to professional disciplinary matters. This includes records relating to matters withdrawn prior to hearing.	Retain minimum of 15 years after finalisation of the matter, then destroy
1.7	Case management records relating to guardianship and financial management matters.	Retain minimum of 20 years after matter finalised or, if the matter involves a minor, until the client reaches 25 years of age whichever is longer, or retain for 5 years from date of client's death, then destroy
1.8	Case management records relating to: - guardianship and financial management matters, and applications for relating to applications for a declaration or an enabling order prohibiting or disqualifying a person from working with children and people with disabilities - discrimination matters - occupational regulation (e.g. licensing) matters.	Retain minimum of 7 years after action completed, then destroy
1.9	Case management records relating to home building matters.	Retain minimum of 3 years after action completed, then destroy
1.10	Case management records relating to consumer, commercial, tenancy and other residential property matters. This includes disputes and claims relating to: the supply of goods and services and other consumer matters e.g. claims relating to charging of fees and commissions, motor vehicle repairs/purchases, etc.	Retain minimum of 2 years after action completed, then destroy

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No.	Description of records	Disposal action
	- tenancy matters (agricultural, retail or residential) - other residential property matters (excluding home building matters) e.g. strata, community scheme, social housing, residential parks, retirement villages, boarding houses, etc.	
1.11	Case management records relating to matters withdrawn prior to hearing excepting professional disciplinary, and guardianship / financial management matters.	Retain minimum of 2 years after finalisation or withdrawal of matter, then destroy
1.12	Original documents produced under summons but not tendered at hearing and exhibits tendered at hearing that are not ordered to remain as part of the case file at the conclusion of the matter.	Retain for minimum of 28 days after finalisation of matter, then return to parties. If that cannot be done, retain for minimum of 5 years after finalisation of the matter, then destroy
1.13	Copies of documents produced under summons.	Retain for minimum of 28 days after finalisation of matter, then destroy
1.14	Recordings of proceedings.	For recordings relating to consumer, commercial and tenancy disputes and claims: Retain minimum of 2 years after action completed, then destroy For recordings relating to all other matters: Retain minimum of 7 years after action completed, then destroy

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No.	Description of records	Disposal action
1.15	Records relating to scheduling, management and administration of cases and hearings.	Retain until administrative or reference use ceases, then destroy
1.16	Case management records relating to determining applications for the approval of clinical trials to proceed in accordance with the <i>Guardianship Act 1987</i> .	Retain minimum of 15 years after matter finalised, then destroy

2.0 POLICY AND PROCEDURES

2.1	Records relating to the formulation and establishment of rules and procedural or practice directions for the commencement and conduct of matters and proceedings.	Required as State archives
2.2	Master copy or final version of information resources, such as guidelines and fact sheets, that provide guidance and information to parties about matters dealt with by the Tribunal, general processes and specific matters or issues relating to proceedings.	Required as State archives
2.3	Records relating to the drafting and development of publications and information resources.	Retain until administrative or reference use ceases, then destroy