

CONFIDENTIAL



NSW Police Force

**RECORDS DISPOSAL
PROCEDURES MANUAL**

November, 2008

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1. INTRODUCTION

The records of the NSW Police Force belong to the State of New South Wales. They contain the corporate memory of the organisation, explain how and why decisions are made, and provide accountability and evidence.

Effective disposal of NSW Police Force records is the key to successful records management in the NSW Police Force and helps ensure that the NSW Police Force:

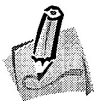
- has the recorded information necessary to meet business needs and community expectations;
- manages records in accordance with business and legislative requirements;
- avoids waste;
- preserves New South Wales documentary history.

1.1 About This Manual

This procedures manual:

- explains how to use a Disposal Authority for the authorised, appropriate, and timely disposal of NSW Police Force records;
- complements other records management documents such as Disposal Authorities and the Keyword Thesaurus which comprise the NSW Police Force's Standard Operating Procedures for Records Management;
- is based on current standards of best practice in records management and conforms to the *State Records Act, 1998* and the standards and guidelines of the NSW State Records Authority.

It is the responsibility of Managers and Commanders to ensure it is made available to all staff and that all policies and procedures are followed.



Note: See also the *TRIM Disposal Procedures* for specific disposal steps performed in TRIM Context.

2. DEFINITIONS

The following table provides a list of terms and their definitions associated with records disposal processes.

TERM	DEFINITION
Active Records	Those records required for the day-to-day functioning of an agency or person. Also referred to as current records. <i>Source: Ellis (ed), Keeping Archives, p. 461</i>
Administrative Records	Administrative records relate to the management of an organisation, and include routine day-to-day activities, long-term administrative objectives and planning for the organisation's future. Examples of administrative records include purchase of equipment and stores, accommodation and premises functions, occupational health and safety (OH&S) minutes, agendas of committee meetings and travel bookings. <i>Source: RIPS Glossary of Terms</i>
Appraisal	The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept, to meet business needs, the requirements of organisational accountability and community expectations. <i>Source: AS 4390 Part 1 Clause 4.3</i>
Business Classification Scheme (BCS)	A conceptual model of what an organisation does and how it does it. It involves the identification and documentation of each business function, activity and transaction and the documentation of the flow of business processes, and the transactions which comprise them. It can be used to support a number of records management processes. <i>Source: Government Recordkeeping Manual – Glossary of Terms</i>
Culling	Culling generally refers to the separation of active records (i.e. records required for current use) from inactive records (i.e. those no longer required for current use).
Disposal	A range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from recordkeeping systems. They may also include the migration or transmission of records between recordkeeping systems, and the transfer of custody or ownership of records. <i>Source: AS 4390 Part1 Clause 4.9</i>

TERM	DEFINITION
Disposal Authorities (aka Retention & Disposal Authorities or Retention Schedules)	<p>Documents authorised by the Board of State Records NSW that set out appropriate retention periods for classes of records. There are two main types:</p> <ul style="list-style-type: none"> • Functional Retention and Disposal Authorities authorise the retention and disposal of records unique to a specific organisation. • General Retention and Disposal Authorities authorise the retention and disposal of records common to more than one organisation. Such records may include: <ul style="list-style-type: none"> ⇒ general administrative records ⇒ common records that relate to unique functions, and ⇒ records relating to the unique functions of like organisations such as local councils, universities, and public health services. <p><i>Source: Government Recordkeeping Manual – Glossary of Terms</i></p>
Disposal Classes	<p>Classes of records performing or recording similar activities and therefore having the same retention period and disposal action.</p> <p><i>Source: AS 4390 Part1 Clause 4.11</i></p>
Disposal Triggers	<p>The event from which the disposal date is calculated, for example 'last action' or 'expiry of contract'.</p> <p><i>Source: Government Recordkeeping Manual – Glossary of Terms</i></p>
Functional Records	<p>Functional records are those relating to the unique functions of the NSW Police Force. The NSW Police Force functional records are comprised of investigation and non-investigation records.</p> <p><i>Source: RIPS Glossary of Terms</i></p>
Inactive Records	<p>Those records no longer required for the conduct of business and which may therefore be transferred to intermediate storage, archival custody or destroyed.</p> <p><i>Source: Ellis (ed), Keeping Archives, p. 472</i></p>
Investigation Records	<p>Investigation records refers to Investigation Case Files that are created or received during the course of a criminal investigation of an initial response, preliminary investigation, or further investigation of any event, information or other matter. Investigation files are created by Police Force Commands such as Strike Forces based at Police Headquarters and specialist commands. Investigation Case Files and related records are disposed of in accordance with <i>Functional Retention and Disposal Authority (DA 221)</i>.</p> <p><i>Source: RIPS Glossary of Terms</i></p>
Records	<p>Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.</p> <p><i>Source: AS ISO 15489 Part 1 Clause 3.15</i></p> <p>Record means any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means.</p> <p><i>Source: State Records Act 1998(NSW)</i></p>

TERM	DEFINITION
Records Management	<p>Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.</p> <p><i>Source: AS ISO 15489 Part 1 Clause 3.16</i></p>
Retention Period	<p>The period of time, usually based on an estimate of the frequency of current and future use, and taking into account statutory and regulatory provisions, that records need to be retained before their final disposal. Sometimes also used to indicate the length of time records are to be retained in offices before being transferred to secondary storage.</p> <p><i>Source: Ellis (ed), Keeping Archives, p. 479</i></p>
Secondary Storage	<p>A low-cost, warehouse-style repository or storage area where inactive or semi-active records are housed and referenced pending their ultimate destruction or transfer to archives.</p> <p><i>Source: Ellis (ed), Keeping Archives, p. 472</i></p>
Semi-Active Records	<p>Those records that are required so infrequently in the conduct of current business that they can be transferred from offices to separate secondary storage areas. Also referred to as non-current records or semi-current records.</p> <p><i>Source: Ellis (ed), Keeping Archives, p. 472</i></p>
Sentencing	<p>The process of identifying and classifying records according to a Retention and Disposal Authority and applying the disposal action specified in it.</p> <p><i>Source: Government Recordkeeping Manual – Glossary of Terms</i></p>
State Archive	<p>A State record that the State Records Authority of New South Wales has control of under the <i>State Records Act, 1998 (NSW)</i>.</p> <p><i>Source: Government Recordkeeping Manual – Glossary of Terms</i></p>
State Record	<p>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.</p> <p><i>Source: State Records Act 1998 (NSW)</i></p>
Thesaurus	<p>A thesaurus is a controlled list of terms linked together by semantic, hierarchical, associative or equivalence relationships. Such tools act as a guide to allocating classification terms to individual records. In a thesaurus the meaning of the term is specified and hierarchical relationships to other terms shown. A thesaurus provides sufficient entry points to allow users to navigate from terms which are not to be used to the preferred terminology adopted by the organisation.</p> <p><i>Source: AS ISO 15489 Part 2 Clause 4.2.3.2</i></p>

3. ROLES & RESPONSIBILITIES

3.1 State Records Authority

The NSW State Records Authority is the NSW Government archives and records management authority. They are responsible for:

- Setting and monitoring records and archives management standards, policies, procedures and guidelines;
- Providing records management advice and guidance;
- Authorising the disposal of records created by NSW public offices;
- Determining which records should be retained as permanent State archives;
- Storing and managing State archives.

The State Records Authority is also responsible for approving Records Retention and Disposal Authorities which can be used by NSW public offices to dispose of records (without requiring further authorisation from State Records). The different Disposal Authorities used by the NSW Police Force are discussed later in this manual.

3.2 RIPS

Records & Information Process Services (RIPS) is responsible for the provision of project management, analysis, consultation, systems evaluation and policy development as it impacts on NSW Police Force records and information. RIPS comprises the following business units:

3.2.1 Policy & Process Development Unit

The Policy & Process Development Unit is responsible for:

- Project management in records management issues;
- Developing records management related policy advisings;
- Addressing the State government legislative requirements for recordkeeping;
- Introducing recordkeeping standards;
- Evaluating current trends in information management; and
- Revising records management manuals and guidelines.

3.2.2 Records Management Centre

The Records Management Centre (RMC) is responsible for:

- The provision of training courses in all aspects of records management;
- Operation of the Records Management & TRIM User Assistance Line;
- The provision of the Police Headquarters Records Centre (RC);
- Systems compliance audits; and
- Systems support.

3.2.3 Corporate Archives

Corporate Archives is responsible for:

- Records disposal and archival policies and procedures;
- Overall management of disposal activity within the NSW Police Force;
- Preparing Disposal Authorities for submission to State Records;
- Providing advice on disposal, storage and retention as needed;
- Management of the High-Risk Records Repository (HRRR);
- Conducting or supervising education programs on disposal and archives management;
- Ensuring the security of records when units change location or become defunct/restructured;
- Participating in the development of new software and systems to ensure that they have the capacity for managing records in compliance with the State Records Act, 1998 and to facilitate disposal;
- Providing disposal reports to State Records and to NSW Police Force management.

3.3 Business Units & Commands

All administrative units, Local Area Commands and specialist units are responsible for the following activities:

- Establishing secure records storage areas;
- Regular sentencing of records;
- Ensuring records are sentenced, boxed and listed in accordance with this procedures manual;
- Overseeing the confidential destruction of records authorised for destruction;
- Maintaining a list of all records destroyed and forwarding copies to the relevant area in RIPS;
- Transfer of records to either the High-Risk Records Repository (HRRR) or Police Headquarters Records Centre (RC);
- Storage of physical evidence and non-record items.

In addition, Business Units / Commands that are not based at Police Headquarters are also responsible for ensuring:

- Arrangement and payment for the costs of transporting records to the Repository;
- Requesting the retrieval of records when required (access to records transferred to the HRRR will be in accordance with the Repository procedures);
- Management of physical evidence and non-record exhibits. **These items are not to be transferred to RIPS.**

3.4 High Risk Records Repository (HRRR)

The High Risk Records Repository (HRRR) is responsible for:

- Storing high risk NSW Police Force records until they can be disposed of in accordance with the relevant Disposal Authority.
- Ensuring the security of stored administrative and functional records;
- Managing access to NSW Police Force records stored in accordance with the NSW Police Force policies and procedures and other legislative requirements;
- Providing recommendations on access and 'special access' applications to store administrative and functional records;

4. RECORDS DISPOSAL PRINCIPLES

4.1 What Is Disposal?

Records disposal is an integral part of the records management program of the NSW Police Force and involves a range of processes associated with determining how long records need to be kept and when they should be disposed of. *Records disposal does not necessarily mean 'records destruction' - it may include any of the following:*

- Retention (*identifying the period of time a record has to be kept*)
- Deletion (*usually refers to the destruction of electronic information*)
- Destruction (*physical destruction of records*)
- Transfer (*transferring custody of records, i.e. to secondary storage or to State Records where records are required as a permanent State archive*)
- Migration (*migration of records between recordkeeping systems*)

Records disposal is a step-by-step process which, if carried out correctly, will set the ground rules for the identification, security and future legal disposal of records created by units and branches based inside and outside of Police Headquarters. A planned approach to disposal will ensure the preservation of records of permanent value, as well as the timely and legal destruction of records of temporary value.

The State Records Act, 1998 prohibits the disposal of records created by public offices except where authorised by the State Records Authority. This authorisation is generally provided in the form of an approved 'Retention and Disposal Authority'. Retention and Disposal Authorities are discussed in more detail later in this manual (see Section 5, *What is a Disposal Authority?*).

4.2 State Archives

4.2.1 What Are State Archives?

State archives are those records that have been selected for permanent preservation because of their legal, evidential or informational value. They are required to be transferred to the control of the NSW State Records Authority when they are no longer required by the NSW Police Force, and can then be made available to the public for historical research purposes. Within the NSW Police Force, the Corporate Archivist is directly responsible for the management of NSW Police Force State archives.

NSW Police Force records that require permanent retention as State archives have been identified and documented in approved Disposal Authorities. The decision to further recommend to State Records that a record is to be retained as a permanent State archive is made

co-operatively between the Corporate Archivist and the unit / command responsible for the relevant record.

Appraisal decisions are based on the following values:

- administrative value:
 - ⇒ where records relate to core policies and procedures; and
 - ⇒ where records contain information regarding core functions of the organisation.
- legal value:
 - ⇒ where records document the rights, either of the organisation or of private citizens, which are enforceable by law or by the courts.
- informational value:
 - ⇒ where records contain information that is unique or unavailable from any other source.
- evidential value:
 - ⇒ where records provide evidence of the origins, structure, functions, policies and operations of an organisation or person that created the records.

State archives may include such records as:

- major investigation records, e.g. murder, abduction/kidnapping for ransom or gain;
- historic records, e.g. Charge Books and Occurrence Pads;
- Service Registers;
- high level strategic planning and policy records;
- master sets of primary publications such as the *Police Force Weekly*.

4.2.2 Why Are State Archives Important?

State archives are of value to NSW Police Force as they:

- provide an important part of the NSW cultural heritage;
- are an important part of the corporate memory of the organisation;
- ensure that NSW Police Force are protected from allegations of misconduct;
- provide accountability to the public as well as to bodies such as the Independent Commission Against Corruption (ICAC), Police Integrity Commission (PIC) and Courts and Royal Commissions.

5. WHAT IS A DISPOSAL AUTHORITY?

Disposal Authorities (also known as Retention & Disposal Authorities) are legal instruments approved by the Board of the NSW State Records Authority. They determine the minimum period of time that records need to be kept (retention period) and outline which records are to be retained as permanent archives of the State, and which records can be destroyed when all uses have ceased and their disposal sentence has expired.

The NSW Police Force has implemented a number of Disposal Authorities to:

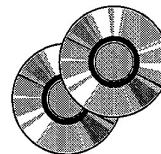
- ensure the organisation meets all its legislative and statutory requirements for recordkeeping;
- ensure prompt and legal destruction of records;
- identify and preserve important records;
- ensure active records are kept at a manageable level;
- facilitate faster and more efficient record retrieval;
- ensure a planned life for records.

As stated above, Disposal Authorities provide *minimum* retention periods for records - **these minimum retention periods must be adhered to as a statutory requirement.**

5.1 What Records Are Covered By Disposal Authorities?

Records Disposal Authorities are applicable to all records, irrespective of format. Records may include:

- Accountable forms
- Diaries and notebooks
- Registers
- Files
- Documents
- Microfilm and microfiche
- Electronic records
- Information held in systems and databases
- Photographs
- Maps and plans
- Videos



Note: Exhibits and other physical evidence are not regarded as records and should be managed separately. For further information concerning the management of exhibits, see the **NSW Police Handbook: Exhibits** (HTML link required)

Disposal Authorities cover records created within defined date ranges:

- General Disposal Authorities cover administrative records created during and after 1940;
- NSW Police Functional Records Disposal Authorities cover operational records created during and after 1960.

If you identify NSW Police Force records that are described in these Disposal Authorities but were created prior to these dates, **the records must not be destroyed**. Contact Corporate Archives for further advice.

5.2 Different Disposal Authorities

NSW Police Force relies on a number of different Disposal Authorities to manage the disposal of its records. These include:

- NSW Police Functional Disposal Authorities, including:
 - ⇒ DA 220 (Police records excluding criminal investigations cases);
 - ⇒ DA 221 (criminal investigation case records)and
- General Disposal Authorities (produced by State Records for all public agencies), for example:
 - ⇒ GA 28 (general administrative records)
 - ⇒ GDA 7 (administrative financial records)
 - ⇒ GDA 12 (administrative personnel records)

Having to work with multiple Disposal Authorities presents a number of problems, e.g.

- it can sometimes be difficult to establish which Disposal Authority should be used in different circumstances;
- it is inconvenient to work with multiple documents as part of a single records disposal project;
- General Disposal Authorities contain references to a wide variety of records used in various public agencies, not all of which may be relevant to NSW Police Force.

To minimise the difficulties caused by the need to refer to multiple documents, a *Consolidated Records Disposal Index* has been compiled by RIPS ([html link](#)). This provides (initially) a single point of reference for users, although multiple Disposal Authorities must still be used. For TRIM users with appropriate privilege levels, all Disposal Authorities are also available on-line in the system.

5.2.1 Functional Records Disposal Authorities

Functional Records Disposal Authorities (FRDAs) cover those records relating to an agency's core/primary duties and responsibilities. All NSW Government agencies are required to prepare a separate functional Disposal Authority to cover such records. Functional Disposal Authorities must be authorised by State Records prior to their implementation.

5.2.1.1 Functional Records Disposal Authority (DA 220)

This Disposal Authority covers operational policing records (excluding investigation case files) pertaining to the unique functions of the NSW Police Force. The following unique functions (top terms) are identified in DA 220 :

ENTRY NO.	ENTRY NAME
1.0.0	Asset Management
2.0.0	Crime Prevention And Detection
3.0.0	Criminal Investigation
4.0.0	Custody
5.0.0	Education, Training And Development
6.0.0	Emergency Response
7.0.0	Forensic Examination
8.0.0	Information Access
9.0.0	Information Technology & Telecommunications
10.0.0	Premises
11.0.0	Professional Standards
12.0.0	Property
13.0.0	Roads And Water Traffic Safety
14.0.0	Weapons Control

A number of these primary categories (functions) are similar or identical to functions described in the NSW Police Force *Records Management Thesaurus* – allowing users to identify the appropriate 'top term' to use in DA 220 from the title of a TRIM-registered record (and thence to locate the appropriate lower level entry in DA 220 relatively easily).

However, due to timing differences in the development of DA 220 and the thesaurus, not all DA 220 functions are consistent with those used to title records. If using DA 220 to sentence records in this situation, it will be necessary to more rigorously review the entries in this Disposal Authority to ensure that the correct disposal class describing the record(s) in question is selected.



Note: The following supporting documents have been written to assist in using DA 220 and can be found on the RIPS intranet site:

- DA 220 Guidelines for Use ([html link](#))
- Consolidated Records Disposal Index ([html link](#))

5.2.1.2 Investigation Case Files Disposal Authority (DA 221)

This Disposal Authority relates to all Investigation Case Files created by units of the NSW Police Force, including Police stations and strike/task forces. DA 221 is based on COPS charge codes (corresponding to the Australian Bureau of Statistics standard offence classification codes). Retention periods have been defined to ensure that there is sufficient scope for dealing with appeals and intelligence gathering on these matters. The following unique functions (top terms) are identified in DA 221:

ENTRY NO.	ENTRY NAME
1.0.0	Serious Indictable Offences
2.0.0	Acts Intended To Cause Injury
3.0.0	Sexual Assault And Related Offences
4.0.0	Dangerous Or Negligent Acts Endangering Persons
5.0.0	Abduction And Related Offences
6.0.0	Robbery, Extortion And Related Offences
7.0.0	Unlawful Entry With Intent/Burglary, Break And Enter
8.0.0	Theft And Related Offences
9.0.0	Deception And Related Offences
10.0.0	Illicit Drug Offences
11.0.0	Weapons And Explosive Offences
12.0.0	Property Damage And Environmental Pollution
13.0.0	Public Order
14.0.0	Road Traffic And Motor Vehicle Regulatory Offences
15.0.0	Offences Against Justice Procedures And Government Security
16.0.0	Miscellaneous Offences



Note: The following supporting documents have been written to assist in using DA 221 and can be found on the RIPS intranet site:

- DA 221 Guidelines for Use ([html link](#))
- DA 221 Index to Investigation Case Files ([html link](#))
- Consolidated Records Disposal Index ([html link](#))

5.2.2 General Disposal Authorities

Administrative records created and used by all NSW Government agencies are sentenced in accordance with 'General Disposal Authorities' (GDAs) which are authorised and issued by the NSW State Records Authority. These authorities form part of State Records' framework of rules and guidance on records management for New South Wales public offices.

General Disposal Authorities used by NSW Police include:

- GA 28 : Administrative Records ¹
- GDA 4 : Records of short term value which have been imaged
- GDA 7 : Finance and Accounting Records
- GDA 8 : Video / Visual Surveillance Records
- GDA 12 : Personnel Records
- GDA 24 : Imaged Records

Appendix 1, *Disposal Authorities & Coverage*, provides a list of Disposal Authorities used by NSW Police, and a summary of their coverage.

5.3 Disposal Authority Structure & Components

Appendix 2, *Sample Disposal Authority Structure & Layout*, provides sample extracts from DA 220 and DA 221 (including explanations of their structures and layouts).

5.3.1 Structure & Format

Most Disposal Authorities are hierarchically structured around the functions and activities of an organisation, where '*functions*' are defined as:

All responsibilities assigned to an agency to accomplish the broad purpose for which it was established. Usually these functions are defined in the law or directives that establish the agency. Each function of an agency may be broken down into a number of activities.

(Schellenberg, Modern Archives – Principles and Techniques, 1959, p.53)

The '*activities*' of the organisation are then the activities that are carried out to support the broad functions.

1 The State Records Authority assigned the prefix "GA" to this Disposal Authority in place of the previously used "GDA".

DA 220 is structured hierarchically according to business function and activity (the same type of structure used in the Records Management Thesaurus configured in TRIM), whilst DA 221 is hierarchically structured according to the types of investigation case files.² Both Disposal Authorities list *types* of records rather than specific individual names of records, as these may change over time.

The general format of Disposal Authorities is as follows:

- A top level heading, usually representing a broad function of the organisation.
 - ⇒ In the case of DA 220, the function *may* correspond to a top level term in the Records Management Thesaurus (representing the high level functions of the NSW Police, e.g. *Crime Prevention & Detection*). In other cases, functions listed in DA 220 may correspond to thesaurus functions of different names due to the development of these documents at different points in time.
 - ⇒ In the case of DA 221, this generally corresponds with the broad category under which offences are grouped, e.g. Homicide and Related Offences.
- A second level heading, representing either an activity carried out to support the broader level function (DA 220), or a subcategory of a broader offence category (DA 221).
 - ⇒ In DA 220 for example, *Crime Risk Assessment* is a more specific activity carried out as part of the *Crime Prevention & Detection* function.
 - ⇒ In DA 221, the subcategory corresponds to a more specific type of crime within each broader crime category, e.g. HOMICIDE AND RELATED OFFENCES – Murder.
- A third level heading (Disposal Class). This is a disposal class which describes a category or group of records and instructions for its disposal (or “sentence”). Under a single function-activity set, there may be a number of disposal classes which require different retention periods.

Example (GA 28).

- EQUIPMENT & STORES (Function)
 - ⇒ Security (Activity)
 - Losses or damage to equipment and stores (*Disposal Class 1*)
 - Combinations & control of keys for items of equipment or plant (*Disposal Class 2*)

² Updates to the thesaurus since the development of DA 220 and DA 221 have resulted in changes to a number of functions ('top terms'), so that not all functions and activities in the thesaurus and DA 220 correlate directly.

Example (DA 220):

- CRIME PREVENTION & DETECTION (Function)
 - ⇒ Community Based Policing (Activity)
 - Joint operations and liaison with other policing agencies ... (*Disposal Class 1*)
 - Planning of major/special events ... (*Disposal Class 2*)

Example (DA 221):

- HOMICIDE AND RELATED OFFENCES (Offence category)
 - ⇒ Manslaughter and Driving Causing Death (Offence subcategory)
 - *Manslaughter (Disposal Class 1)*
 - *Driving Causing Death (Disposal Class 2)*

5.3.2 Components & Layout

Disposal authorities are comprised of the following information:

- **Number (Column 1)**
This column contains a unique reference number for each function, activity and disposal class. The reference number has 3 parts which reflects the hierarchical arrangement of the Disposal Authority.
- **Function/Activity (Column 2)**
This column records the names of the functions and activities under which records are grouped. Functions are identified in capital letters, and activities are identified in lower case.
- **Description (Column 3)**
This column contains a description of the functions and activities under which records of the NSW Police Force are grouped, as well as the record classes that relate to each function-activity set.

On some occasions, record classes documented in this column are divided into 'major', 'significant' versus 'minor' or 'routine' records or events.

If examples of 'major' or 'minor' events are not provided, the following may be used as a guide to the types of events or matters that may be considered to fall within the category of 'significant' or 'major':

- ⇒ Matters affecting the whole-of-government or portfolio function;
- ⇒ Major liabilities or obligations of the organisation or the State;
- ⇒ Development of legislation, regulations or policies;

- ⇒ Controversial matters (i.e. subject to formal or parliamentary inquiry, intense media scrutiny, etc.);
- ⇒ Matters of wide community interest;
- ⇒ Issues that significantly affect the organisation's functions or structure.

Cross references are sometimes also provided to direct the user to related entries in the Disposal Authority (or other Disposal Authorities where applicable).



Note: *In some Disposal Authorities, the description column also includes 'Requirements' and 'Remarks'. This provides additional guidance to the user, or notes recordkeeping requirements which may impact on records retention and disposal.*

- **Disposal Action (Column 4)**

This column identifies those records that are required as permanent State archives, as well as the minimum retention periods and consequent disposal actions required for records that are *not* required as permanent State archives.

Disposal actions provide information relating to:

Minimum retention periods:

- ⇒ Minimum retention periods are specified for all records not required as State archives, e.g. 'retain minimum 2 years...'
- ⇒ A Command **must not destroy or otherwise dispose of records before the minimum retention period** has expired. If required, a Command **may retain records for longer periods of time**, subject to the Command's need, without further reference to Corporate Archives.

Disposal triggers

- ⇒ Disposal triggers identify the event from which the retention period is calculated, e.g. '...after action completed...' or '...after expiry of agreement...'

See Section 5.4, *Interpreting Disposal Triggers* for information relating to the interpretation of different disposal triggers.

Disposal actions

- ⇒ Disposal actions identify what ultimately should happen to the record/s, e.g. '...then destroy.'

Example:

A disposal action of 'Retain minimum of 5 years after last action, then destroy', informs the user that:

- The records are authorised for destruction by Police Force commands;
- The records' disposal trigger is the date of the last action; and
- The record should be retained for at least 5 years after the trigger point before destruction.



Note: DA 221 specifies minimum retention periods for investigation case files not required as State archives. Some categories of offences are broken down into further divisions, such as solved and unsolved. It is at the discretion of Commands to increase retention periods for reasons such as possible appeals or if resolution of previously unsolved cases is considered a possibility.

5.4 Interpreting Disposal Triggers

Disposal triggers may include the following:

- **After date of last action**

This is a common disposal trigger and is typically used in circumstances where processes documented by records do not have defined end-points or completion dates. When implemented in TRIM (unlike all other disposal triggers used by NSW Police Force), this date field is maintained automatically by the system. Any records assigned disposal classes based on this trigger will have their disposal dates automatically calculated and updated without any user action.

- **After action completed**

This is a common disposal trigger and refers to the final transaction of business. Action completed *may* be represented by the date of the last document attached to the file (e.g. if the document indicates finalisation of the matter and the file is closed). An action *does not* include a file movement or audit. In the case of paper-based registers the date of the last entry in the register may be considered 'action completed' (providing all actions associated with the matters recorded in the register have been completed).

- **Until ceases to be of administrative or reference use**

This trigger refers to the date when the record is no longer required for ongoing administrative use within the organisation, and/or when the record is no longer referred to. The trigger is usually applied to records that are likely to be of short term use.

- **After expiry or termination**

This trigger is commonly used for contracts, agreements, licences etc, e.g. in relation to a contract, *7 years after expiry or termination* would refer to the date when the contract expired or was terminated. Most of the time, these trigger dates are relatively straightforward to determine; however, it should be noted that any extension or change in the contract/agreement or licence conditions would subsequently result in a change to the records retention period.

- **After separation**

This trigger relates to the cessation of a person's service or association with the organisation. Knowledge of the person's separation date (i.e. final date of service or date from which termination or resignation became effective) is required before the disposal action can be set.

- **After superseded**

This trigger usually relates to policies, procedures and plans. The retention period for the record is calculated from the date that the record was superseded by a more recent version.

- **Upon expiry of statutory limitation periods**

This trigger is used when the statutory limitation period for commencing a legal action or claim will vary from an adult to a child (e.g. when it is dependent on the person's age). The organisation is responsible for seeking advice regarding the expiry of the statutory limitation period before implementing the disposal action.

- **After Date of Birth / Date of Death**

This trigger is used in relation to personnel and compensation related matters. In these cases, retention periods are dependent on fixed dates rather than on factors such as the completion of action on a matter.



Notes:

In some cases, the retention period for records may be governed by more than one trigger date. In such situations, disposal instructions will typically describe each relevant trigger and disposal action, and further specify 'whichever is the longer' (or similar).

*See the **TRIM Disposal Procedures**, Section 5 for instructions on the application of trigger dates to records in TRIM.*

6. NSW POLICE CORE FUNCTIONAL RECORDS

Functional records are records pertaining to the unique functions of the NSW Police Force i.e. relating to the primary duties and responsibilities of the organisation. The NSW Police Force functional records are generally comprised of investigation records and operational policing (non-investigation) records.

6.1 Investigation records

Investigation records refers to Criminal Investigation Case Files that are created or received during the course of a criminal investigation, including records relating to the initial response, preliminary investigations, further investigations and any other information or matters relating to the case. Investigation files are created by Police Force Commands such as Local Area Commands, Strike Forces and specialist commands.

Investigation Case Files and related criminal records are disposed of in accordance with Functional Retention and Disposal Authority DA 221 : *Investigation Case Files*. Records relating to non-criminal investigations are disposed of in accordance with DA 220 : *Operational Policing*.

6.1.1 What Types Of Investigation Case Files Are Created By Commands?

The following are examples of actions which result in a criminal investigation file being created:

- Investigations (recorded on the Case Management System)
- Prosecutions (Event Case File)
- Defended Summons Matters
- Not before Court Warrants
- Forensic Investigation (Forensic Case Files)

6.1.2 What Records Comprise An Investigation Case File?

The primary component of an investigation case file is a copy of the brief of evidence tendered at Court for use in the prosecution of a defendant. Briefs of evidence can include the following documents:

- Cover sheet form
- Table of contents
- COPS DPP Disclosure Certificate
- Briefs of evidence index of the COPS table of contents
- Charge sheets
- List of witness's antecedents and similar documents

- Statements including:
 - ⇒ Copies of statements/records of interview by the defendant relating to the charge first mentioned in the brief
 - ⇒ Typed copy of the defendant's statement
 - ⇒ Statement of the owner (where property is concerned), or complaint, in relation to the charge first mentioned in the brief
 - ⇒ Statements of other witnesses relating to the charge
- ERISP video and audio tapes, DVD's and transcripts
- Copies of other relevant records which were forwarded to the DPP
- Exhibit photographs, documents and references
- Copies of occurrence and telephone pad entries
- Diaries and running sheets
- Print-outs from the COPS system
- Analyst's reports
- Notebook/duty book entries
- CIDS entries
- Investigators' working papers

6.2 Non-Investigation Functional Records

Non-investigation functional records are generally operational policing records which related to the unique functions of the NSW Police Force, i.e. relating to the primary duties and responsibilities of the organisation. Non-investigation records are generally disposed of in accordance with the Functional Retention and Disposal Authority DA 220 : *Operational Records*.

Typical examples include:

- Infringement notices and other court process records;
- Information reports and intelligence gathering records;
- Prisoner and other custody records;
- Coronial matters, including reports to the Coroner;
- Traffic investigation reports and associated records;
- Firearms control records, including registers of firearms.

7. CULLING, SENTENCING & BOXING RECORDS

7.1 Definitions

Active Records

Records that are regularly being referenced or updated as part of current business operations.

Culling

Culling generally refers to the separation of active records from inactive records.

Inactive Records

Records that are no longer referenced or updated as part of current business operations.

Semi-active Records

Records that are infrequently referenced or updated as part of current business operations.

Sentencing

Sentencing is the process of identifying and classifying records according to a Disposal Authority, recording those disposal decisions and actions, and assigning appropriate disposal actions to records (as identified in an approved Disposal Authority).

7.2 Why Cull & Sentence Records?

Systematic culling and sentencing result in the following efficiency gains:

- Records not required by the organisation can be destroyed or transferred and removed from active records storage areas;
- Makes it easier to retrieve active records (searching can be limited to those in regular use);
- Better utilisation of both onsite and secondary records storage areas;
- Saves money by using active storage space more efficiently, and by storing the largest volume of records (inactive) in the least-cost storage facilities (off-site repositories);
- Identifies the records that are of most importance to the NSW Police Force and the State of NSW (records requiring long-term retention are generally those of most significance to the organisation);
- Ability to demonstrate compliance with recordkeeping legislative requirements.

Poor or non-existent records culling and sentencing may result in:

- Higher records storage costs for both on-site and secondary storage;
- Inefficient use of office space;
- Lengthy search and retrieval times for records;

- Greater potential to lose track of records;
- Overcrowding of records storage areas which can lead to greater risk of damage to records and raises occupational health and safety (OH&S) issues;
- Difficulty in identifying and accurately sentencing records in the future (as this may occur many years after the records are created, and personnel with knowledge of the content of the records are no longer on hand).

7.3 Who Should Cull & Sentence Records?

Culling and sentencing are skilled activities. All staff are responsible for culling and sentencing NSW Police Force records. Staff should familiarise themselves with the functions and activities of the records they are sentencing (or in the case of criminal investigations files, the categories of offences documented by the records).

Staff who have no prior experience in records culling and sentencing should contact Records Information Processing Services (RIPS) for advice and/or appropriate training before undertaking records disposal tasks.

7.4 When Do I Cull & Sentence Records?

Culling of semi-active or inactive records from active storage should take place at frequent and/or regular intervals, the length of which may vary from one Command, area or office to another depending on factors such as:

- the amount of local storage capacity available for active records;
- the availability of staff resources;
- the impact on business operations (e.g. schedule culling to coincide with periods of relatively low business activity where possible).

This practice will ensure the maximum allocation of local storage facilities and equipment for active records, i.e. those in current use, or requiring frequent reference or reference at short notice.

Sentencing is best carried out at the time records are created. This avoids the need for major records sentencing projects to be carried out when culling inactive (unsentenced) records from active storage. By removing the need to sentence records as they are culled, the time required to cull and box semi-active and inactive records is reduced. Effort will still be required to sentence records when they are created – however, the workload will be spread over time rather than concentrated as part of a culling/sentencing/boxing project. In addition, processes in TRIM

available from July 1, 2008 allow the on-line sentencing of records, avoiding the need to refer to various Disposal Authorities.



Note: *Sentencing at the time of creation does not necessarily mean that a firm date for destruction is determined immediately, as events which determine the retention period for a record may not yet have occurred. Sentencing is simply the assignment of a disposal instruction which identifies the type of disposal action to be undertaken, and a minimum period of time after a certain trigger event has occurred when the disposal action is to take place (see Section 5.4, Interpreting Disposal Triggers),*

Other benefits of sentencing at the time of creation include:

- more accurate sentencing – the officer creating the file (or requesting its creation) will be more familiar with the content of the file than others who may review it at a later date;
- reductions in the level of disruption to normal business operations caused by the diversion of staff resources if major sentencing projects are required;
- better advance information regarding the retention timeframes for different types of records in storage, allowing:
 - ⇒ improved planning of culling, boxing and records transfers;
 - ⇒ identification of long-term value records for storage in containers or environmental conditions of higher quality or standards than required for short-term records;
 - ⇒ the prompt identification of records able to be destroyed, enabling storage space to be released for new active records as soon as possible.

If sentencing at the time of creation is not possible for any reason, it is recommended that records are culled and sentenced at regular time intervals according to the needs of individual Commands (e.g. annually, or otherwise according to factors such as availability of resources, active records storage capacity and the profile of business activity levels during the year).

Where backlogs of unsentenced records exist, retrospective sentencing of these will need to be carried out (see Section 7.5.3, *Sentencing Records* for sentencing processes).

7.5 How Do I Cull & Sentence Records?

7.5.1 Establishing a Project

- Determine the goal(s) of the project. Examples of project goals could include:
 - ⇒ remove records from active storage that have not been referenced for 2 years;
 - ⇒ ensure 20% of available active storage is available for new records at the beginning of each year;
 - ⇒ ensure that all inactive and locally held records are sentenced and boxed, etc.
- Select the records to be included in the scope of the project;
- Identify how many records require culling and/or sentencing;
- Estimate the duration of the project;
- Arrange facilities and equipment for the project (working and storage space, furniture, computer equipment, security bins, etc);
- Assemble the required resources (i.e. personnel, Disposal Authorities and indexes, procedures manuals, storage boxes, labels, other stationery, etc.);
- Train personnel assigned to carry out the sentencing project (depending on the scope of the project, training may be delivered through formal records disposal courses, informal "on the job" training by an appropriately qualified or experienced person, advice from Corporate Archives, or a combination of these).

Implementation of a culling/sentencing program will usually be the responsibility of the Manager/Commander of the relevant branch or unit.

7.5.2 Culling Semi-active & Inactive Files

- Determine guidelines for culling in consultation with the respective records "owners", e.g. when a file has remained inactive for two years, when a case has been closed, etc. Locations with limited storage capacity relative to their requirements may find it necessary to cull material which has only been semi-active or inactive for a short period of time, e.g. one or two years, whereas in other cases, it may be possible to retain such material in active storage areas for longer periods.

Note that record "owners" may require some files to be retained on-site for immediate reference, even if they have not been used for a period of time.

- If possible, identify the records to be culled from active storage (in accordance with the guidelines established). This may be performed:
 - ⇒ through local knowledge or advice concerning the content of the files (e.g. closed case files, files relating to previous financial years, etc);
 - ⇒ by enquiry in TRIM in the case of registered files (refer to **TRIM Disposal Procedures**, Section 6, for instructions on searching in TRIM for records which have not been active since a nominated date).

Note that files identified by this method must still be reviewed to check the dates of the most recently added documents (it is possible that documents may have been added to files without having being registered in TRIM). The benefit of using TRIM in this manner is that a "short list" of files can be identified, avoiding the need to review a larger selection of active files.

If records to be culled cannot be readily selected by either of the above methods, all files in the collection will need to be individually reviewed to determine the dates of the most recent documents added to them.

- Remove files from active storage equipment/areas for review, prior to sentencing, boxing (if required) and transfer to inactive/semi-active storage facilities.
- Where necessary, review the records selected to confirm that they meet the culling criteria determined at the commencement of the project. Where the title of a file clearly indicates that it meets the required culling criteria (e.g. reference to a financial year), a review of the file's contents may not be necessary – however, if there is any doubt as to the contents of a file, it should nevertheless be reviewed.
- Where the review of a record indicates that it does not meet the originally determined culling criteria (e.g. if it contains recent documentation), it should be returned to active storage.



Tip: When culling records which are registered in TRIM, the (TRIM) Work Tray can be used as a temporary "holding area" for files being processed. As records are culled from active storage, they may be added to the Work Tray. Searches and other operations can then be carried out selectively on records within the Work Tray.

Note: The Work Tray is neither a TRIM location nor a TRIM container – it is simply a **personal** reference area (similar to Favourites). Adding or removing "records" to/from your Work Tray has no impact on the contents of the TRIM database.

7.5.3 Sentencing Records

This section provides general instructions for the sentencing of records using manual procedures and on-line procedures in TRIM. Specific instructions relating to Personnel Files are provided in Section 7.5.4.2.

7.5.3.1 Determine Which Disposal Authority/Authorities to Use

- A *Consolidated Records Disposal Index* has been compiled by RIPS to assist users to identify which Disposal Authority (and which records disposal class) to use when sentencing a particular type or group of records. This index lists NSW Police Force records in "common use" terminology, and is available on-line ([html link](#)). It may be printed and referenced as a hardcopy document if so required.
- Disposal Authorities applicable to NSW Police Force records are also available on-line ([html link/s](#)). These documents contain introductory information which describes in general terms the types and date ranges of records to which they apply.
- If you are unable to locate appropriate entries in the *Consolidated Records Disposal Index*, are uncertain as to which Disposal Authority to use, or have any related queries, contact Corporate Archives for assistance.
- Disposal Authorities are also configured in TRIM and linked to *Classifications*. If the records being sentenced are registered in TRIM, reference to hardcopy Disposal Authorities may not be necessary.³

7.5.3.2 Considerations When Sentencing Part-Files

Some files are comprised of more than one part. In many instances, you will be able to sentence each part as a separate item; however, part files should always be checked to ensure that by destroying one part file, you are not compromising the integrity of subsequent part files.

For example, if there is a need to refer to earlier parts of a file to determine the sequence of events or previous actions concerning a current matter, the previous parts should be retained for as long as necessary to support the current part file.



Note: *If in doubt, retain and dispose of all file parts together once the retention period for the latest part has expired.*

3 Reference to physical Disposal Authorities may be required in some circumstances, e.g. if sentencing is not being carried out in proximity to a computer.

7.5.3.3 Manual Sentencing Procedures

This method is required principally for records which have not been registered in TRIM. Manual sentencing procedures may also be applied to TRIM records which have not previously been sentenced on-line (most files registered from July 1, 2008 onwards have been automatically sentenced in TRIM at the time of registration).

Step 1: Determine the Function/Activity or Offence Categories that Apply to the Record

- Most Disposal Authorities are structured according to (business) Functions and Activities. DA 221, covering NSW Police Force criminal investigation records, is an exception – it is structured according to types of offences.

Unfortunately, Functions and Activities described in Disposal Authorities do not always correlate directly to Functions and Activities in the NSW Police Force thesaurus, and hence in record titles.⁴

Consequently, you cannot assume that the Function and Activity in the title of a record will always be listed in Disposal Authorities.

The *Consolidated Records Disposal Index* may be used to direct you to the appropriate Function and Activity within the relevant Disposal Authority.



Note: *Even where record title/thesaurus terms are not exactly the same as those listed in Disposal Authorities, they are often similar, e.g. the function EMERGENCY RESPONSE in Disposal Authority DA 220 correlates generally (though not exactly) to EMERGENCY & DISASTER MANAGEMENT in the NSW Police Force thesaurus (2008 version).*

- Before referring to Disposal Authorities, check the record's contents to ensure that they reflect the current title correctly (e.g. has material relating to other topics been incorrectly attached to the file in question?). If the file's contents do not adequately reflect the title, either:
 - ⇒ transfer the "offending" material to another appropriate file (the preferred solution where small amounts of material are involved);⁵ or
 - ⇒ consider any additional retention requirements of the misfiled documents AND modifying the title of the record to reflect the current nature of the file (this option would be more

4 Differences are due to a number of factors, e.g. changes to "standard" Government terminology used in administrative Disposal Authorities to suit the needs of NSW Police Force, differences in the timing of development of NSW Police Force and General Disposal Authorities and the thesaurus over time.

5 For documents registered in TRIM, it will also be necessary to change the TRIM "container" (file) number for any refiled items.

practical when sentencing large backlogs of inactive records where the refiling workload could be prohibitive).

- Consult the *Consolidated Records Disposal Index* to identify the appropriate Function and Activity within the relevant Disposal Authority for the record(s) being sentenced.
- If you do not have access to the *Consolidated Records Disposal Index* and need to reference Disposal Authorities directly:
 - ⇒ Refer to the Table of Contents of the selected Disposal Authority (where available) to review the list of Functions and Activities (DA 220) or categories of offences (DA 221) covered in the document. Select the Function or major offence category which appears to apply to the records being processed.
 - ⇒ Refer to the Function or major offence category and its description in the body of the Disposal Authority. Satisfy yourself that the description of the function or offence category adequately covers the records you are handling. If not, review other Functions or offence categories until an appropriate entry is found.
 - ⇒ After the relevant Function or offence category has been identified, select the required Activity or offence subcategory, and review its description to again confirm that it covers the records. If not, review other Activities under the Function (DA 220) or subcategories under the major offence category (DA 221) until an appropriate entry is found.

Step 2: Identify the Appropriate Disposal Class

- Under the relevant function/activity (DA 220) or category/subcategory (DA 221) in the Disposal Authority, read the descriptions of disposal classes to determine the most appropriate class that matches the records you are sentencing.
- If the record/file contains material that fits into more than one disposal class, always select the class with the longest retention period.
- If records have previously been sentenced (e.g. at the time of creation), check that the appropriate sentence was applied and is still relevant, e.g. in case a matter which was initially "routine" has become "significant", as this might impact on the disposal class to be selected. (In the case of previously sentenced TRIM files, the Disposal Status box on the NSW Police Force file cover will show the Disposal Class reference number).
- If you cannot find any disposal class that describes the record you are looking at, review the *Consolidated Records Disposal Index* and/or the index at the back of the Disposal Authority (where available). If you are still uncertain as to which records disposal class applies, put the item aside and contact Corporate Archives for advice.



Note: *Never cull/strip documents from files (unless for legitimate refileing of incorrectly attached documents). When culling files from storage, the entire file is either (eventually) destroyed or permanently retained as a State archive. Culling documents from files is labour intensive and may compromise the integrity of the file by destroying the continuity of the history of actions or events documented.*

Step 3: Identify the Disposal Action for the Record

- From the Disposal Class, identify the trigger event (i.e. action completed, after superseded, etc) and determine whether the trigger event has occurred or is able to be determined in advance. For example:
 - ⇒ Has action been completed on the file?
 - ⇒ Has the policy or procedure documented on the file been superseded?
 - ⇒ Is there an expiry date on the contract or agreement documented on the file?
- If the trigger event has occurred, or if the date on which it will occur is known in advance (e.g. expiry date of a contract):
 - ⇒ Determine (from disposal instructions) whether the record can (eventually) be destroyed or must be retained permanently as a State archive;
 - ⇒ Determine the earliest year in which the item may be destroyed or transferred to State archives as appropriate. In most cases, this is determined by adding the required retention period to the date on which the trigger event has occurred (or will occur).⁶
 - ⇒ If the record is not in active use, obtain managerial approval for the disposal action to be taken.⁷
- If the trigger event for disposal has not occurred or cannot be determined, set a review date for the future (e.g. where a procedure remains current and has not yet been superseded, where action on a matter is continuing, where an agreement has no known expiry date, etc).

⁶ Disposal Authorities issued or approved by State Records (e.g. DA 220, GA 28 etc) only specify retention timeframes for records that can be destroyed. To determine dates for transfer of permanent archival records to State archives, contact Corporate Archives for guidance. Normally, only a small proportion of records will be required for permanent archival retention.

⁷ In practice, this is typically carried out by assembling separate lists of records due for immediate (local) destruction and for transfer to offsite storage facilities pending future destruction or transfer to State archives.

- For files which have been registered in TRIM, note the following information in the Disposal Status box on the NSW Police Force file cover:
 - ⇒ Disposal Authority Number (e.g. DA 220)
 - ⇒ Disposal Class Reference (e.g. 12.06.02)
 - ⇒ Disposal Action (e.g. Destroy 2 years after last action, State archive, etc)
 - ⇒ Disposal Year – if known (e.g. 2026)



Note: *Disposal Year is the year in which the disposal action is to be carried out, i.e. the year in which the record may either be destroyed or transferred to State Records as a permanent archive.*

7.5.3.4 On-line Sentencing Procedures using TRIM

Overview

Most records (files) registered in TRIM from mid-2008 onwards have been sentenced on-line at the time of registration in the system (see **TRIM Disposal Procedures**, Section 3). Provided this has been carried out, the only outstanding sentencing tasks to be undertaken will be to set disposal trigger dates and to review records at the time of their intended disposal, to ensure they were sentenced correctly and have not materially changed in content type, scope or significance since creation.

A limited amount of re-sentencing of records may be required for these reasons. Users with TRIM access will be able to perform this task on-line (see **TRIM Disposal Procedures**, Section 4 for review and modification of sentences assigned to records).

TRIM records which have not been sentenced at the time of creation (whether before or after mid-2008), may be:

- ⇒ manually sentenced, by reference to the *Consolidated Records Disposal Index* and Disposal Authorities (see Section 7.5.3.3, *Manual Sentencing Procedures*); or
- ⇒ retrospectively sentenced on-line in TRIM (see **TRIM Disposal Procedures**, Section 4).

On-line Sentencing & Disposal Authorities

A *Classification* property is available in TRIM to provide a more convenient method for sentencing than through the use of multiple physical Disposal Authority documents. A classification must be assigned when a file is registered in TRIM.

Classifications are terms/descriptions arranged in a hierarchically structured framework, similar to the thesaurus. Since July 1, 2008, the two top levels of classification terms correspond exactly to those in the thesaurus. Lower levels of classifications describe records differently to the thesaurus, in terms of categories which correspond with, and link to records disposal classes in Disposal Authorities. When a classification is assigned to a record, TRIM automatically allocates the corresponding disposal class, and if possible, calculates the disposal date.⁸

Benefits of using Classifications in TRIM to sentence records include:

- For any file registered after July 1, 2008, the two top levels of Classification terms may be selected by referring to the first two terms in the file's thesaurus title. It is then only necessary to browse and select from lower level Classifications; and
- Classifications link to records disposal classes in all Disposal Authorities used by NSW Police Force. This avoids having to refer to multiple Disposal Authorities either in physical format, or on-line in TRIM to sentence records.



Note:

All criminal case file records fall under a standard classification of:

CRIME PREVENTION & DETECTION – CRIMINAL INVESTIGATIONS – Investigation Cases
(further specified by the offence category and subcategory).

Configuring Your TRIM Record View Pane

To make the process of on-line disposal more convenient, a number of minor modifications to the TRIM View Pane settings (the lower window on a TRIM screen when viewing records lists) are required. These modifications are unique to each user and workstation, and once made, they will remain configured and this step will not need to be repeated. The changes can also be simply undone if they are not required for ongoing use. The recommended changes include the addition of the TRIM fields:

- *Record Classification; Retention Schedule; Disposition Schedule; and Last Action Date*

to the View Panes for the following record types:

- ATSG File; File; Legacy File; Legal Services File; Personal File (pre 26/08/04); and Personnel File.



Note: *It is only necessary to customise your personal View Pane settings for the record types which you are sentencing. Refer to **TRIM Disposal Procedures, Section 2** for instructions on how to modify the View Pane settings.*

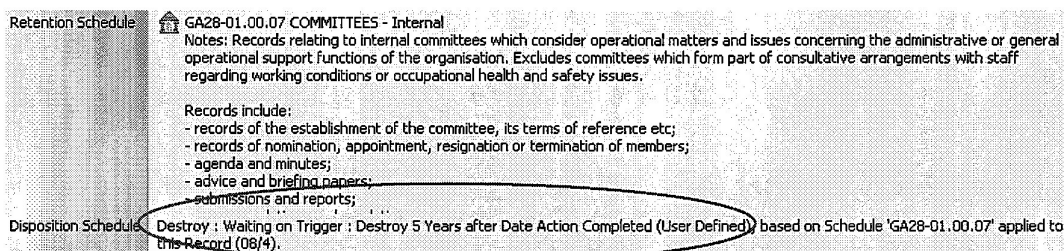
⁸ If the disposal date depends on a trigger event (such as an action being completed, a policy being superseded, etc.), TRIM will not be able to calculate a disposal date until the trigger date has been assigned.

Recognising the Disposal Status of Records in TRIM

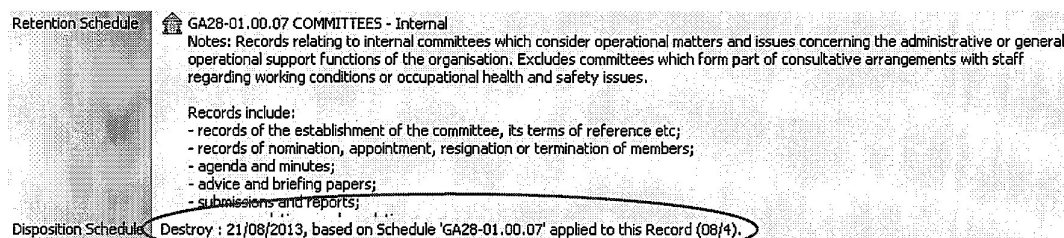
- Records which have not been sentenced in TRIM will be identifiable by an absence of information in the *Retention Schedule* and *Disposition Schedule* fields in the View Pane.



- Records which have been sentenced in TRIM, but which still require trigger dates to calculate destruction or archives transfer dates are characterised by:
 - ⇒ a Disposal Class reference and description in the Retention Schedule field in the View Pane; and
 - ⇒ a message in the Disposition Schedule field indicating that TRIM is waiting for the allocation of a trigger date.



- Records which have been sentenced in TRIM, and have a destruction or archives transfer date calculated (either from a user-defined trigger date or automatically by TRIM) are characterised by:
 - ⇒ a Disposal Class reference and description in the Retention Schedule field in the Record View Pane; and
 - ⇒ a message in the Disposition Schedule field indicating the date on which the record becomes due for destruction or transfer to permanent archives.



Sentencing Records Using Classifications

This procedure applies to TRIM file-based records which have not been previously sentenced, i.e. records showing no details in the *Retention Schedule* field in the (lower) Record View Pane. These records may have been created before or after July 1, 2008 when on-line sentencing and thesaurus changes were implemented by NSW Police Force.

Step 1: Locate the Required Record(s) in TRIM

- If records are being removed from storage cabinets/shelves "one by one" for processing, locate each file in TRIM in turn by performing a *Record Number* search.
- To select all unsentenced files in a collection, carry out a more targeted search including the requirement that:

⇒ *Schedule Number* is {blank}



Notes: *It will be necessary to specify other criteria in a TRIM search of this kind, e.g. **Owner Location, Assigned To, [Records in] Work Tray**, etc. to limit search results to records in your particular unit/section, etc.*

Failure to specify other criteria will result in an extremely large list of results, which may cause TRIM to time out or become unresponsive.

- When the required list is displayed, highlight the record to be sentenced.

(See **TRIM Disposal Procedures** , Sections 6 & 7 for more detailed searching instructions).

Step 2: Determine the Two Top Level Classification Terms that Apply to the Record

For files created after July 1, 2008 using thesaurus titling, the first two classification terms should be identical to the first two thesaurus terms in the record's title. For other files, it is necessary to select terms from the top two classification levels which most closely describe the record (these will not necessarily match the terms in record titles). See Section 7.5.3.3, *Manual Sentencing Procedures* (Step 1) for considerations in selecting Functions and Activities in Disposal Authorities (the same considerations apply when selecting classifications).



Note: *To determine whether a record was created in TRIM before or after July 1, 2008, review its **Date Registered** field. (The **Date Created** field may not provide an accurate indication of when the record was registered in TRIM).*

To view the available classifications:

- highlight the required record;
- right-click and select **Details > Classification**;
- open the Classification KwikSelect folder and review the available classifications (including scope notes describing their intended use).

Step 3: Identify Lower Level Classifications (3rd Level and below)

- Expand the two top level classification terms and to reveal lower level classifications. If lower level terms exist, continue to navigate downwards through the classification hierarchy until an appropriate entry is found (see the *TRIM Disposal Procedures*, Sections 3 & 4 for more detailed instructions).

Notes:



Classifications represented by yellow folder icons cannot be selected. You must continue to expand classifications represented by yellow folders until a light blue coloured icon is available.

*If the file being sentenced was registered after July 1, 2008 and you have selected the top two classification terms as per the record's thesaurus title, but no appropriate classification entry can be found at lower levels, it is possible that the file has been **incorrectly titled**. See the *TRIM Operator Manual* for instructions on how to modify record titles.*

Following selection of a classification, the corresponding Disposal Class should be displayed in the *Retention Schedule* field in the Record View Pane.



Note: *In rare circumstances, selection of a classification may not result in the linking of a Retention Schedule entry to a record, or alternatively, an entry titled "No DA Coverage" may be displayed. In such cases, contact Corporate Archives for further advice.*

Assigning Trigger Dates To Sentenced Records

Trigger dates may be assigned to records in TRIM:

- when they are initially registered (if known);
- as soon as the date of the trigger event becomes known (if not known at the time of creation);
- when they are being retrospectively sentenced (see previous section, *Sentencing Records Using Classifications*).

Ideally, trigger dates should be routinely assigned to records as part of the normal business processes for which they are used, e.g. on creation (if possible) or whenever an asset is sold, an

updated policy is developed and approved, a case is closed, etc. As well as ensuring that the disposal status of records is fully current in TRIM, this will minimise the need for periodic major reviews of TRIM records to retrospectively determine and assign trigger dates.

Since the range of business processes conducted by the organisation is both extensive and highly variable, individual Business Units will need to integrate the assignment of disposal trigger dates to TRIM records into their local business operations practices and procedures.

Step 1: Locate the Required Record(s) in TRIM

- For the assignment of disposal trigger dates at the time of records creation or during sentencing operations, the relevant records may already have been located in TRIM.

If not, instructions on how to locate sentenced records requiring trigger dates are described in *TRIM Disposal Procedures*, Section 7.3.

Step 2: Identify the Required Trigger Date Field(s)

- With the required record highlighted, review the *Retention Schedule* assigned to it and identify the type of trigger date field (e.g. *Date Action Completed*, etc).

See *TRIM Disposal Procedures*, Section 5 for further instructions on the identification of trigger date fields associated with TRIM records.

Step 3: Determine the Trigger Date

- Either by reference to the file's contents or through consultation with personnel responsible for the matters documented by it, establish whether the trigger event has occurred, e.g.
 - ⇒ Has action been completed on the file?
 - ⇒ Has the policy or procedure documented on the file been superseded ?
 - ⇒ Is there an expiry date on the contract or agreement referenced by the file ?
- If the trigger event has occurred (or can be determined), identify the relevant date.

Step 4: Assign the Trigger Date

- If a trigger date has been identified, select the required trigger date field for the record and assign the trigger date value.

See *TRIM Disposal Procedures*, Section 5 for further instructions on assigning trigger dates to TRIM records.

7.5.3.5 Boxing & Transferring Records

Step 1: Group and Box Records

Group and box records by type and disposal date. **Disposal becomes easier when a box contains only one type/class of record and a single year of disposal, allowing whole boxes to be destroyed or transferred at a time.** Boxing principles are summarised as follows:

- Group and box *'like with like'* records i.e. records relating to the same type function, activity and transaction. Avoid:
 - ⇒ Mixing records relating to more than one function (e.g. financial records with personnel records, or custody records with criminal investigation records)
 - ⇒ Mixing records relating to different activities (i.e. invoices with budget papers, or copies of court notices with duty books in the same box)
 - ⇒ Mixing records relating to different transactions (i.e. petty cash records with purchase orders, or course attendance notices with traffic infringement notices in the same box).
- Remove documents held in lever-arch folders and tie them together with pink or white legal/archival tape. Photocopy the folder cover detailing contents of the file and place the photocopy on top of each bundle before boxing.
- Make sure boxes are not over-filled. There should be at least a hand's width of vacant space in each box.

Note: See the *TRIM Disposal Procedures* for search methods in *TRIM* to identify records due for destruction or transfer as permanent archives at specific times, e.g. in a particular month, year, etc.

(Insert photo of correctly filled box – NSW Police to supply photo)

**Notes:**

- *Type 1 archive boxes can be ordered through the Records Management Centre using the Request for Corporate Stationery Supplies form. This form also details the unit cost for each item.*
- *Take care when boxing personnel files for staff terminated within a given year. Check the reason for which the employee was terminated, as the retention period for personnel files varies widely according to the reason for termination (from 7 years after employment ceases for routine resignations, to 99 years after last action completed for records relating to allegations and disciplinary proceedings where the Ombudsman and Commissioner for Children and Young People are notified).*

*See the **TRIM Disposal Procedures**, Section 9 for box management processes in TRIM.*

Step 2: Label Boxes

Label the front of each box with a black marker or a printed label, and include the following information:

- Name of Command, e.g. Orana LAC, ICS etc.
- Name of the Sub-unit, e.g. Bathurst Police Station
- Records Description, e.g. Exhibit Books
- Contextual information, e.g. May 2007 – July 2007
- Box number, e.g. BOX 1

Insert photo of correctly labelled box. NSW Police to supply photo of a correctly labelled box.

Step 3: Complete the Relevant Records Inventory Form(s)

Records Inventory form templates are supplied by RIPS and are to be completed for all records which are either to be destroyed locally or transferred to NSW Police Force secondary storage centres for future disposal action.

- Obtain the relevant record inventory template(s) from RIPS. The following templates are available:
 - ⇒ *Records Inventory – Non-Investigation Records* (incl. administrative records)
 - ⇒ *Records Inventory – Investigation Case Files*
 - ⇒ *Records Inventory – ERISP Master (yellow) Tapes* (for audio and videotapes)
- Complete all required details on the record inventory forms.



Note: See Section 8, *HOW DO I COMPLETE THE RECORDS INVENTORY FORMS?* for further guidance on how to complete the different record inventory forms.

- Print the completed record inventory form(s) and obtain written authorisation for disposal action as required for your Command or business unit (provision for signed authorisation is provided on the record inventory forms).
- Register the physical record inventory forms as *Documents* in TRIM (regardless of whether the records are to be transferred or destroyed locally), ensuring that they are enclosed in the appropriate TRIM file (“container”).
- Attach the originals of authorised record inventory forms to the relevant physical file (which should also be registered in TRIM).



Note: *Maintaining records inventory forms will ensure that NSW Police:*

- *are accountable for all record disposal decisions;*
 - *can easily reference records proposed for destruction and/or transfer; and*
 - *can dispose of records promptly when the relevant retention periods have expired.*
- *Police Headquarters Commands : If the records are being destroyed locally, forward copies of completed and authorised records inventory forms to the Records Centre (via fax or e-mail). This ensures that a central index to all destroyed records can be maintained in the event of external inquiries, future FOI requests, subpoenas, etc.*
 - *Non-Police Headquarters Commands : If the records are being destroyed locally, forward copies of completed and authorised records inventory forms to the HRRR (via fax or email).*
 - *For records being transferred to secondary storage for future disposal action, send copies of completed and authorised record inventory forms to the records transfer destination for your Command or business unit via e-mail (i.e. either the HRRR or Records Centre). (This notification will enable Records personnel to reconcile boxes and contents received with box list details, should the need arise). Original record inventory forms should then be either mailed or faxed to the relevant destination (i.e. HRRR or Records Centre).*

Step 4: Apply Security Seals to Boxes (Highly Sensitive Records Only)

- Seal boxes containing particularly sensitive records with NSW Police Force numbered security seals (in line with *Information and Records Security Policies and Guidelines*).
- Apply three (3) seals to each box (one on each edge of the closed lid), and note the seal numbers on the *Records Inventory form(s)* (see Step 3).

**Notes:**

- Before transferring sensitive records to secondary storage centres, notify the Records Centre or HRRR in advance (see Step 5 following, and Section 9, *RECORDS STORAGE & TRANSFER*)
- Seals can be obtained from RIPS.

Step 5: Move Records To Appropriate Storage Area

For records requiring ongoing retention, general guidelines for storage and transfer include:

- Commands Based At Police Headquarters:
 - ⇒ For records requiring short-term storage (e.g. less than 2 years), retain in local storage.
 - ⇒ For records requiring medium to long term storage (usually more than 2 years), or for archival records no longer required by Commands or business units, transfer to the Records Centre.
- Commands Not Based At Police Headquarters:
 - ⇒ For records requiring short to medium term storage (e.g. up to 10 years), retain in local storage.
 - ⇒ Investigation files may be transferred to the HRRR after 3 years.
 - ⇒ For records requiring storage for more than 10 years, or for permanent archival records no longer in use, transfer to the HRRR.



Note: *The retention of records within local storage areas may be dependent on the availability of on-site storage capacity.*

For more detailed information relating to the storage and transfer of NSW Police records, see Section 9, *RECORDS STORAGE & TRANSFER*.

For the destruction of records whose retention timeframe has expired, see Section 10, *RECORDS DESTRUCTION*.

7.5.4 Additional Considerations For Records Culling & Sentencing

7.5.4.1 Sentencing Records Not Titled Using The TRIM Thesaurus

Disposal Authorities are applicable to all records regardless of conventions that may have been used to title records. In addition to the *Consolidated Records Disposal Index*, each Disposal Authority includes an index to facilitate identification of the relevant disposal class for records.

7.5.4.2 Sentencing Personnel Files

Background Information

The NSW Police Force maintains personnel files for each employee that document a range of matters relating to the ongoing management of that employee. These files include personal or 'P' files, performance management, discipline and OH&S records.

The *General Retention and Disposal Authority - Personnel Records (GDA 12)* authorises the disposal of records about individual employees according to the activities documented by the records rather than the way the records may be physically managed in files. **This means that there is no single entry in the Disposal 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.

GDA 12 covers most, but not all records relating to personnel. Additional coverage of personnel information can be found in the following Disposal Authorities:

- *GA 28 – Administrative Records* : Includes retention periods for some personnel information relating to compensation, establishment, industrial relations and occupational health and safety.
- *GDA 7 – Finance and Accounting Records* : Includes retention periods for some personnel information relating to staff allowances and salaries.

General Rules For Sentencing Personnel Records

- The NSW Police Force maintains a summary record in the form of a summary card and/or SAP computer system record for all NSW Police Force employees which has a retention period of '75 years after the birth of the employee'.
- The organisation also maintains a personnel file ('P file') for both Public Servant and Police Force Officer employees. Personnel records not attached to the 'P file' can generally be destroyed 7 years after employment ceases (GDA 12 - 2.12.3).

- Records should never be stripped or culled from 'P files'.
- When Public Servants and Police Force Officers leave the organisation, their respective 'P file' should be sent for sentencing and retention to the *Employee Records Section of Internal Customer Services (ICS)*, Police Headquarters Parramatta.

Exceptions To The General Rule For Sentencing Personnel Records

- Some personnel records that are not attached to the 'P files' may be required to be retained for different periods to those indicated above (in the 'General Rule For Sentencing Personnel Records').

Appendix 3, *Personnel Records To Be Retained For More Than 7 Years*, provides a summary of these.

7.5.4.3 Sentencing Forensics Records

Background Information

The NSW Police Force *Disposal Authority DA 220* authorises the disposal of records relating to forensics matters. Where such records support criminal investigations, they must be retained for the same period of time as the corresponding investigations records. Hence, DA 220 includes a broad instruction to sentence forensics records of this type according to offence category using entries in DA 221 (criminal investigations case files). These DA 221 entries are linked to TRIM classification levels under the broad heading *CRIME PREVENTION & DETECTION – CRIMINAL INVESTIGATIONS*.

This raises a number of practical problems:

- If the offence category is not known by the officer registering a forensics file, it is not possible to assign an appropriate classification in TRIM at the time of registration. It may also be the case that the category of offence involved is not determined until the outcomes of forensic investigations are available.
- In the event that a forensic record relates to multiple offence categories, it will be necessary to determine which offence category requires the most conservative retention, and to sentence the record accordingly.

General Rules For Sentencing Forensic Records

- Records not relating to a specific criminal investigation should be manually sentenced using DA 220, or assigned a classification under *FORENSIC & SCIENTIFIC SERVICES* in TRIM.

- Records relating to a specific criminal investigation where the offence category is known should be manually sentenced using DA221, or assigned a classification under *CRIME PREVENTION & DETECTION – CRIMINAL INVESTIGATIONS* in TRIM.
- If a forensics record relates to multiple offence categories, review DA 221 to identify the category requiring the most conservative retention, and sentence the record according to this offence category. N.B. Some serious offence case files require retention as State archives and must not be destroyed.
- Records relating to specific criminal investigations where offence categories are not known cannot be sentenced.

However, if registering records of this type in TRIM (where selection of a classification is mandatory), classification entries are available under FORENSIC & SCIENTIFIC SERVICES for records *Leading / Possibly Leading to Criminal Investigations, Required For Investigative Purposes*, etc. Classifications of this type should be selected as an interim measure until relevant offence categories are known and the forensics records can be re-sentenced.

Selection of classifications of this type will prevent disposal dates for the records being calculated by TRIM. Disposal dates will only be calculated after the records have been re-sentenced using an appropriate offence category under the classification *CRIME PREVENTION & DETECTION – CRIMINAL INVESTIGATIONS*.

7.6 Checklist For Culling & Sentencing Records

- A records culling/sentencing program has been established in your area.
- The appropriate Disposal Authority has been identified to sentence the records.
- The appropriate function, activity and disposal class for records has been identified.
- The appropriate disposal action/s for records has been identified.
- Has the full sentence (retention period) for the record elapsed? If so, obtain approval and implement the disposal action.
- Checks have been made to ensure that records are not required to be retained further for:
 - Freedom of Information (FOI) applications;
 - Current, pending or imminent litigation;
 - Satisfaction of and justification of audit requirements;
 - Ongoing business.
- Records are boxed and grouped in accordance with guidelines in Step 6 above.
- Boxes are labelled (and sealed if required).
- The relevant records inventory form template has been completed.
- Records inventory form templates have been forwarded to the records transfer destination (either the Records Centre or the HRRR).
- All culled/sentenced records have been listed and registered in TRIM (for non-investigation records).
- Manager's approval has been obtained prior to implementation of disposal actions.
- Copies of destruction notification forms and record inventory forms have been forwarded to the HRRR.
- Records have been moved to the relevant storage area.

8. HOW DO I COMPLETE THE RECORDS INVENTORY FORMS?

8.1 Command Details

All record inventory forms include an initial section which provides details relating to the Command, the disposal status for records proposed for transfer.

The 'Command Details' section should be completed as follows:

Column	Information Required
Command Name	Enter the name of the unit or branch that created or maintained the records
Address	Enter the address the of unit or branch that created or now maintains the records
Contact name/position	Enter the name and position title of the person completing the form
Telephone Number	Enter the telephone number of the person completing the form
E-mail address	Enter the E-mail address of the person completing the form
Authorising officer	Enter the name and position of the name of the senior officer authorising the disposal / transfer of the records
Disposal/Transfer Status	Using the drop down box, note the purpose of the listing i.e. either 'Destroy', 'Repository Storage', or 'Archives Transfer'
Records Destruction Authorisation	This section is to be completed for records that are to be destroyed. Print the form and obtain the following details: Signature of the officer authorising the records destruction Date the relevant officer authorised the records destruction

For a completed example, see Appendix 4, Records Transfer Forms.

8.2 Records Inventory Columns

The second section of all record inventory forms includes a series of columns which are used to list the records proposed for transfer as well as other information dependent on the types of records proposed for transfer. The following sections provide guidance on how to complete the record inventory columns for the different record inventory forms.

8.2.1 Non Investigative Records Inventory Form

This template should be used to list details concerning all administrative records. The records inventory columns should be completed as follows:

Column	Information Required
Box No.	Enter box numbers sequentially, i.e. 1,2,3,4....etc.
Record No.	Enter the records reference number of the records contained within the box e.g. NSWPF/2000/1467
Description	Type a clear description of the type of records contained within the box. This will assist in locating a record if it needs to be accessed at a later date e.g.: TRIM file or record title
Date Range	Type the first date of the record e.g.: Jun 1999, and the last date of the record in the box, e.g. Aug 2005
FDA/GDA No	Enter the Disposal Authority being used (i.e. GA 28, DA 220)
FDA/GDA Entry No	Enter the disposal class number under which the record is being sentenced.
Proposed Disposal Date	Enter the month and year the records contained within the box are to be disposed of i.e. destroyed or archived, e.g.: Dec 2010 (i.e. the end of 2010). This is calculated in accordance with the disposal trigger and minimum retention period.

For a completed example, see Appendix 4, Records Transfer Forms.

8.2.2 Investigation Case Files Records Inventory Form

This form should be used to list details concerning investigation case files (refer DA 221). The records inventory columns should be completed as follows:

Column	Information Required
Box No.	Enter box numbers sequentially, i.e. 1,2,3,4...etc.
Case File Record No.	Enter the record reference number e.g. 99/1234.
Victim(s)	Enter the victim(s) surname in UPPER CASE, and the given name/s in lower case.
POI / Offender(s)	Enter the surname(s) of the persons(s) of interest in UPPER CASE, and the given name/s in lower case.
Offence(s)	Enter the name(s) of the offence(s) with which the POI / offender(s) was charged. If the Investigation Case file is contained in more than one archive box, the contents of each box can be listed under the Offence column, e.g.: running sheets, photographs etc. This will assist with the location of items within the case file.
Date Range	Enter the first date of the record e.g.: Jun 1999 and the last date of the record e.g.: Aug 2005
DA 221 Entry No	Enter the DA 221 disposal class number under which the record is sentenced e.g.: 2.1.3
Proposed Disposal date	Enter the year the records within the box are to be disposed of (i.e. destroyed or archived), e.g.: 2010 (i.e. the end of 2010). This is calculated in accordance with the disposal trigger and minimum retention period.

For a completed example see Appendix 4, Records Transfer Forms.

CONFIDENTIAL**8.2.3 ERISP Master (Yellow) Tapes (DA221) Inventory**

This form should be used to list details concerning ERISP Master (yellow) audio and videotapes required to be sent to the HRRR. The form should be completed as follows:

Column	Information Required
Box No.	Enter box numbers sequentially, i.e. 1,2,3,4....etc.
Tape No.	Enter the number of the first and last tape number e.g. 96/156 - 96/168
Interviewee	Enter the full name(s) of the interviewee in UPPER CASE.
Offence(s)	Enter the name(s) of the offence(s) with which the interviewee was questioned.
Case Officer(s)	Enter the full name of the case officer (s) in UPPER CASE.
Date Recorded	Enter the date of the recording e.g. Jun 1999
FDA Entry No	Enter the DA 221 disposal class number under which the records are sentenced e.g. 10.1.1
Proposed Disposal date	Enter the year the records within the box are to be disposed of (i.e. destroyed or archived), e.g.: 2010 (i.e. the end of 2010). This is calculated in accordance with the disposal trigger and minimum retention period.

**Notes:**

- If you can locate the original ERISP logs they should be transferred in Type 1 boxes to the HRRR with the relevant ERISP tapes.
- ERISP tapes must be boxed in proper audio or video ERISP boxes (or type 1 boxes) and labelled accordingly.
- A copy should be made of the logs and kept locally for reference purposes.

For a completed example, see Appendix 4, Records Transfer Forms.

9. RECORDS STORAGE & TRANSFER

9.1 Storage & Transfer Of Records By Commands Based At Police Headquarters

9.1.1 Local Storage

Active records (i.e. those in current use) must be stored locally by Commands and business units. Local storage areas should comply with NSW Police Force standards for the storage of records (as outlined in *Guidelines for the Storage of Organisational Records* – [include html link](#)).

9.1.2 Records Centre

The Records Centre is the first point of contact regarding the disposal of records at Police Headquarters. The Records Centre is responsible for in-house storage of semi-active records on behalf of the commands and business units situated at the NSW Police Headquarters.

9.1.2.1 What Records Need To Be Transferred To The Records Centre?

The following records may be transferred to the Records Centre:

- State archives;
- Semi-active records that are no longer required to be retained locally by Commands;
- Records requiring secure storage (where the individual Command does not have adequate local secure storage facilities).



Note: *Physical evidence and non-record items should not be transferred to the Records Centre. These items should be stored within your unit / Command.*

9.1.2.2 How Long Are Records Stored At The Records Centre?

Due to on-site storage capacity constraints, the Records Centre does not offer permanent storage of records. Records that are not being regularly used or referenced are transferred to a secondary storage facility which has been especially established for the purpose of storing semi-active and/or inactive records. The following rules apply to the storage of records at the Records Centre:

- Records will be stored in the Records Centre for a maximum of 18 months.
- The Records Centre will not store any records that have not been appropriately sentenced by the transferring unit (See *Section 9.1.2.3, How Do I Transfer Records To The Records Centre?* for further information on records transfer).

- Prior to the expiry of an 18-month storage period, units will be contacted by the Records Centre to arrange for a representative from the unit, to make a decision on the future of the stored records. Available options for time-expired records held at the Records Centre are:
- Destruction of the records in consultation with the business unit manager;
- Return of the records to the relevant business unit.
- Transfer of records for longer-term storage at the Government Records Repository (GRR).

9.1.2.3 How Do I Transfer Records To The Records Centre?

Prior to considering the transfer of records to the Records Centre, business units and Commands should undertake to meet the Record Centre's records storage requirements. You must ensure that:

- Records have been sentenced, boxed and labelled in accordance with Section 7.5.3, *Sentencing Records* of this manual.
- Lists of records proposed for transfer are documented and prepared in accordance with procedures outlined in Section 7.5.3.5, *Boxing & Transferring Records* of this manual.
- The Command/Unit Authorisation List detailing all persons authorised to access these records is completed and provided (via e-mail) to the Records Centre.
- If a list has been provided for your unit previously, please only provide updates.
- Records staff will contact you once your list has been received and approved
- You have liaised with the Records Centre and arranged a suitable time to transfer records to the Records Centre (*Note: Records that are received unannounced will be returned to the transferring unit*).
- You have arranged for the movement / transport of records to the Records Centre.
- Records are transferred between 9am and 4pm, Monday to Friday (Records will not be received outside of these hours).



Note: *If records are not prepared in accordance with Section 7.5.3.5, Boxing & Transferring Records (i.e. if they are received in an unsatisfactory condition, not boxed appropriately, not labelled, listed or are overfull), they may be returned to the transferring unit until they are properly prepared.*

9.1.2.4 How Do I Retrieve Records From The Records Centre?

To request records from the Records Centre, complete the Request for Retrieval of Semi-Active Records form – [html link required](#) (available online). Records are available for collection within one hour of the request from Monday to Friday, 8:30am to 4:30pm.

9.2 Storage & Transfer Of Records By Commands Not Based At Police Headquarters**9.2.1 Local Storage**

Local storage areas need to be established for all active records (i.e. those in current use), as well as semi-active records which do not need to be retained for more than 10 years (i.e. leave records, purchase orders, copies of court notices etc.). Local storage areas should comply with NSW Police Force standards for the storage of records as outlined in *Guidelines for the Storage of Organisational Records* – [include html link](#).

9.2.2 High Risk Records Repository Storage (HRRR)**9.2.2.1 What Records Need To Be Transferred To The HRRR?**

Records required to be retained for a period of more than 10 years or which are required to be retained permanently as State Archives should be transferred to the HRRR for long term storage when no longer required for active use. These may include records such as:

- A4 Police Force notebooks
- Asset registers
- Coronial inquest records
- Disaster Victim Identification (DVI)
- Duty books
- Duty rosters
- Exhibit books
- Leave schedules
- Miscellaneous property books
- Notebooks
- Policies and procedures
- SITREPS, briefings and advisings
- Strike Force records
- Tasking sheets

Other records requiring secure storage may also be transferred to the HRRR where a Command does not have the necessary storage facilities



Note: Sentenced investigation files and ERISP tapes may be transferred to HRRR after 3 years (if not required on-site for active use).

9.2.2.2 How Are Records Managed at the HRRR?

HRRR staff are responsible for carrying out the following tasks:

- Transferring record lists supplied by commands into TRIM.
- Auditing records and control lists to ensure that records are properly boxed and listed.
- Accessing and supplying copies of records on behalf of NSW Police Force commands in response to the following types of enquiries:
 - ⇒ Re-charging of offenders and reinvestigation of unsolved matters;
 - ⇒ Freedom of Information (FOI);
 - ⇒ Subpoenas;
 - ⇒ Victims Compensation cases.
- Destruction of time expired records that are not required as State archives.
- Transfer of time expired State archives such as Charge Books and Occurrence Pads to the State Records Authority of NSW for permanent retention.

9.2.2.3 How Do I Transfer Records to the HRRR?

- Sentence, box, label and seal records in accordance with *Section 7.5.3.5, Boxing & Transferring Records* of this manual.
- List records proposed for transfer in accordance with procedures outlined in *Section 7.5.3.5, Boxing & Transferring Records* of this manual. **Note:** Only electronic record lists will be accepted.
- Send completed lists (via e-mail) to the Repository Team Leader at the HRRR.
- Repository staff will contact you once your electronic list has been received and approved.
- Liaise with HRRR staff to arrange for the transfer of boxes.
- Arrange for the movement / transport of records to the HRRR.
- Fax or e-mail the Records Transfer Notification form to the HRRR. This form must be received by the Repository prior to the boxes being accepted.
- Notify HRRR staff of the date and time that records will arrive. The Repository receives deliveries between 8am and 2.30 pm Monday to Friday.

**Notes:**

- If records are not prepared in accordance with Section 7.5.3.5, *Boxing & Transferring Records* of this manual (i.e. they are received in an unsatisfactory condition, not boxed appropriately, not labelled, listed or are overfull) they may be returned to the transferring unit (at the unit's expense) until they are properly prepared.
- When completing the *Command/Unit Records Authority List*, consider whether certain staff members should only have access to certain records from your area. The appropriate notations should be made on the *Command/unit Records Authorisation List* form to reflect this. The sign-off and approval of the Commander/Manager, or their nominated representative, is required before the form is submitted.

9.2.2.4 How Do I Retrieve Records From The HRRR?

Authorised staff can request records from the HRRR by faxing or e-mailing a completed 'Application to Retrieve Archived Records' ([html link to be included](#)) form to the HRRR. The form must include the following information:

- Requesting officer's name
- Unit/Command
- Date
- Contact telephone number (external)
- Record title
- Record No. / Box no

Once a request has been submitted, the relevant records will be made available as soon as possible. If the request is urgent (i.e. subpoena, court case etc.), please note this on the form. Once the requested records have been located, the requesting officer will be contacted.

9.2.3 Other Centralised Storage**9.2.3.1 What Records Need To Be Transferred To Centralised Storage?**

The following inactive administrative records should be forwarded to the relevant units for central storage:

- Personnel files of terminated Public Servants and Police Force Officers : Forward to *Internal Customer Services – Personnel Services*
- Compensation/Rehabilitation files : Forward to *Human Resource Services – Health Services – Medical Section*.

9.2.3.2 How Do I Transfer Records To Centralised Storage?

- Obtain the relevant manager's approval before transferring records.
- E-mail the completed list of records for transfer to Records Centre staff prior to physical transfer of the records.

9.3 How Do I Retrieve State Archives?

All requests for the retrieval of State archives such as *Charge Books* and *Occurrence Pads* are to be referred to the Corporate Archives. Units are not permitted to either directly recall State archives from State Records, or transfer records to State Records. Staff needing to recall State archives should use the '*Application to Retrieve Records*' form – [include html link](#).

10. RECORDS DESTRUCTION

The disposal of records is subject to the terms of the *State Records Act 1998* (NSW). Under the Act, records can only be disposed of if:

- The NSW State Records Authority authorises the disposal of records (generally through the issue of an authorised Disposal Authority);
- Provisions under relevant items of legislation authorise the destruction of records;
- Records are covered under guidelines for Normal Administrative Practice (NAP);
- An order is issued by order of a court or tribunal for the disposal of records.

Penalties are imposed by the NSW State Records Authority in the event that State records are illegally disposed of, therefore, NSW Police Force must be able to:

- account for their records;
- explain how and why records were disposed of.

If you are not sure whether you have approval for the disposal of records, contact Corporate Archives.

10.1 Records Destruction Policy

- Records created or received by the NSW Police Force may only be destroyed in accordance with a State Records approved Records Retention and Disposal Authority.
- Records that are not required as State archives must be sentenced and confidentially destroyed in accordance with procedures outlined in *Section 10.2, Principles of Destruction* of this manual once:
 - ⇒ the record's minimum retention period has expired; and
 - ⇒ authorisation has been granted by the relevant Commander or Business Unit Manager.
- If records are not identified in an approved records Retention and Disposal Authority, seek advice from Corporate Archives (State Records' Approval will need to be sought prior to their disposal).

10.2 Principles of Destruction

There are several main principles that should be followed when destroying records. Records destruction should be:

- authorised
- irreversible

- environmentally friendly
- secure/confidential
- timely
- documented

These principles are dealt with in more detail below.

Authorised

There are two levels of authorisation required for the destruction of records.

- Authorisation from State Records
 - ⇒ A record which is authorised for destruction in an approved and current Disposal Authority may be destroyed at the end of the appropriate retention period and when it is no longer required by the NSW Police Force.
- Authorisation from the NSW Police Force
 - ⇒ It is also important to ensure that the records are actually ready for destruction by checking that there are no further retention requirements for the records (i.e. there is no impending legal action, no pending FOI application, the records are no longer required for ongoing business etc.). The relevant Commander or Business Unit Manager must internally authorise the destruction of records.

Irreversible

- Destruction of records should be irreversible. This means that there is no reasonable risk of the information being recovered again (i.e. burial is not an appropriate method of destruction as the records may be dug up!).
- To protect the interests of the NSW Police Force it is important to ensure that records are destroyed in an appropriate and secure manner. Failure to ensure the total destruction of records may lead to the unauthorised release of sensitive information.

Destroyed in an environmentally friendly manner

- It is important to destroy records in an environmentally friendly manner, and to recycle paper wherever possible.

Secure/Confidential

- Records should always be disposed of with the same level of security that was maintained during the life of the records.
- Wherever possible, destruction of records should be supervised by an officer of the NSW Police Force or by another authorised agent if the destruction has been contracted out.

- While all records should be destroyed in a confidential and appropriate manner, extra care should be given to those containing sensitive information.
 - ⇒ For particularly sensitive records lockable 'wheelie' bins may be used.
 - ⇒ Sensitive records transported for destruction, must be transported in enclosed vehicles (to prevent records falling off the back of trucks!).
 - ⇒ Sensitive records may also be shredded 'in-house' before being sent for pulping. Any 'in-house' shredding should still be approved through the normal internal and external approval processes.

Timely

- Records should be destroyed when they have reached the end of their retention period.
- Prior to their destruction, you must satisfy yourself that the record is no longer required for administrative or business use, and that there is no reasonable risk involved in destroying the record.
- To avoid excessive storage costs, it is also important not to keep records longer than is necessary. If a decision is made to retain records longer than the minimum retention period, the reasons for the decision should be documented and attached to a TRIM file to assist disposal decisions at a later date.

Documented

- It is vitally important that you document the destruction of all records and update TRIM accordingly (see TRIM Disposal Manual, *Changing the Disposition of a Record*). This is necessary in order for the NSW Police Force to determine if a record has been destroyed and provide proof of destruction if required.
- A records destruction register must be maintained. This register, together with a certificate of destruction (where a contractor is used to destroy records), should serve as proof that records have actually been destroyed.
- Certificates of destruction should be placed on the relevant TRIM file together with any other documentation (for example, the internal disposal approval records).
- A record documenting the method of destruction should also be placed on the file (if not already noted on the certificate of destruction).
- A copy of all completed authorisations and lists of records destroyed should be forwarded to either the HRRR (in the case of Commands not based at Police Headquarters), or the Records Centre (for Commands based at Police Headquarters).

10.3 Methods of Destruction

There are a number of different methods of destruction appropriate to the various media on which the records are stored. These methods have been outlined below.

10.3.1 Paper Records

Shredding	<ul style="list-style-type: none"> • The security provided by the shredding of records depends on how finely the paper is shredded. • For particularly sensitive documents cross shredding may be needed. • Shredded paper may be pulped and recycled, or may be used for insulation or other purposes.
Pulping	<ul style="list-style-type: none"> • Pulped paper is reduced to its constituent fibres. If carried out correctly, it can be a most secure method of destruction. • Pulped paper is usually recycled.
Burning	<ul style="list-style-type: none"> • Burning of records should only be done if there is no environmentally friendly method of destruction available. • Records should be burned in accordance with any environmental guidelines and local burning restrictions. • Densely packed paper does not burn well, so burning should be undertaken in an industrial facility (not in the 'backyard' incinerator).

10.3.2 Electronic, Magnetic And Other Media

Magnetic Media	<ul style="list-style-type: none"> • Records stored on magnetic media can be "bulk erased" by subjecting them to a strong magnetic field. • For secure destruction, magnetic media can be reformatted. • Backup copies of the records also need to be destroyed. The media can then be reused. • Important: Just deleting does not remove data from magnetic media and is therefore not sufficient for the destruction of records.
Optical Media	<ul style="list-style-type: none"> • Records held on optical media can be destroyed by cutting, crushing, or other physical means of destruction. • Rewritable optical disks should also be reformatted before being disposed of or re-used.
Hard Drives	<ul style="list-style-type: none"> • Hard drives of personal computers and servers should be reformatted before computers are disposed of. • Important: Do not just delete files from electronic media such as floppy disks, rewritable optical disks and hard disks, as the information can be recovered.
Videos, Film & Microforms	<ul style="list-style-type: none"> • Videos, cinematographic film and microforms (microfilm/ fiche/ aperture cards/ x-rays) can be destroyed by shredding, cutting, crushing or chemical recycling.

10.4 Sensitive Records

The NSW Police Force creates and receives a wide range of sensitive records. Special care should be taken to ensure that sensitive records authorised for destruction must be comprehensively destroyed in accordance with standards outlined in Section 10.3. Policies and procedures for the management of sensitive records are contained in the *Information and Records Security Policies and Guidelines* ([include html link](#)). Records which contain sensitive information are classified as follows:

10.4.1 Highly Protected

Highly protected records relate to sensitive information which requires the highest degree of protection. This may be information which, if upon unauthorised disclosure, loss, misuse or damage could reasonably be expected to cause serious harm, or seriously inhibit the effectiveness of the NSW Police Force. This may include information relating to:

- major criminal investigations
- witness protection
- VIP protection
- information source protection (registered informants, community sources etc.)
- intelligence gathering, capabilities, methods and organisations
- policy, plans, and operational orders for major Police Force operations and significant events
- international, inter & intra-state investigations / inquiries
- highly specialised techniques or tactics developed for use in future operations
- deployment of operational resources
- counter intelligence practices and procedures
- cabinet minutes and parliamentary matters
- executive minutes.

10.4.2 Protected

Protected records relate to sensitive information which requires a substantial degree of protection. This may be information which, if upon unauthorised disclosure, loss, misuse or damage might possible cause harm or inhibit the effectiveness of the NSW Police Force. This may include:

- information relating to criminal investigations
- policy, plans and orders for Police Force operations and events
- intelligence reports
- routine reports and correspondence relating to operations and events
- region meeting minutes
- details/results of equipment trials.

10.4.3 In Confidence

In Confidence records relate to sensitive information which requires a limited degree of protection. This may be information which, if upon unauthorised disclosure, loss, misuse or damage could reasonably be expected to cause harm or seriously inhibit the effectiveness of the NSW Police Force. This may include information relating to:

- individuals, i.e. personnel records, medical records, criminal history records, accident report records etc.
- information provided to the NSW Police Force under the assurance or expectation of confidentiality, i.e. complaints and allegations.
- personnel security vetting records
- information relating to criminal investigations
- reports and correspondence relating to operations requiring some short term protection
- contractual and tender documentation
- audit reports
- sensitive industrial relations matters
- Local/Command area minutes

10.5 Using A Contractor

If a contractor is employed to destroy records:

- Ensure that they destroy records in accordance with the NSW Police Force approved methods of destruction.
- Only use contractors authorised under NSW Department of Commerce, State Procurement: Contract 6083 – Secure Destruction Service should be used for the secure destruction of records.
- The following minimum requirements should be employed by the contractor:
 - ⇒ A closed truck is used to collect the records;
 - ⇒ A certificate of destruction is provided that shows how, when and where the records were destroyed.
- Extra protections can be put in place for sensitive records (such as ensuring they are destroyed on the day they are collected and in the presence of a staff member).

See Section 10.2, *Principles of Destruction* for further information on the destruction of sensitive records.

10.6 Steps To Take When Destroying Records

The procedures used to destroy records are as follows:

Step 1. Document the records to be destroyed.

- Business units must maintain a record of all records physically destroyed.
- Business units must complete a copy of the relevant records inventory forms for each series/set of records destroyed.
- The Commander/Business Manager is to authorise the relevant completed Records inventory form.

For guidance on completing records inventory forms, see Section 8, How do I complete the records inventory forms?

Step 2. Send Records Inventory Forms to the HRRR.

- Forward a hard copy of the completed Records Inventory form/s to the HRRR for accountability purposes.
- Commands should retain a copy of the completed Records Inventory form/s for administrative purposes.

Step 3. Destroy records securely.

- Records destruction should be supervised by NSW Police Force personnel.
- Refer to *Destruction of Records: A Practical Guide* for general procedures for the destruction of paper and electronic records.

Step 4. Update TRIM.

- Update TRIM to note that a record has been destroyed within the *Notes* field (see also the *TRIM Disposal Procedures*, Section 10 for changes to the dispositions of records).

10.7 Records Destruction Checklist

- The records have been authorised for destruction in accordance with an approved Disposal Authority.
- The full retention period for the record/s has elapsed.
- Records have been checked to ensure that they are not required for:
 - Freedom of Information (FOI) applications
 - Current, pending or imminent litigation
 - Satisfaction of and justification of audit requirements
 - Ongoing business requirements
- Internal authorisation has been sought prior to the destruction of records.
- Any special security requirements for the records have been satisfied.
- If contractors are being used for destruction of records:
 - The service is provided under NSW Contract 6083 – Secure Destruction Service.
 - A certificate of destruction has been received
- The relevant records inventory forms have been completed and forwarded to the Records Centre.
- Records destruction has been documented and recorded in TRIM.

11. NORMAL ADMINISTRATIVE PRACTICE

State Records *Guideline 8: Normal Administrative Practice (NAP)* allows public offices to carry out a number of everyday, commonsense disposal procedures and practices for ephemeral, facilitative or duplicate records that do not have continuing value to the organisation, and which are not required to be captured in TRIM. The day-to-day application of *NAP* does not require formal approval.

Examples of records that are authorised for destruction under *NAP* include:

- Draft documents and working papers of a routine nature
 - ⇒ This includes draft documents and working papers that are not draft legal documents, and do not contain significant information that is not contained in another form);
- Duplicate records
 - ⇒ This includes informational copies or duplicates where the original has been captured elsewhere in the NSW Police Force, and that are generally kept only for informational and/or reference purposes.
- Ephemeral material
 - ⇒ This may include brochures, flyers, catalogs, routine instructional material etc. that is only required for a few hours, or a few days to further some other activity.

If in doubt as to whether the records are covered in accordance with Normal Administrative Practice, check with Corporate Archives who will be able to advise you on the appropriate legal disposal recommendation for the record/s.

For further guidelines on Normal Administrative Practice, see {external /intranet reference}

12. RIPS CONTACTS

Further information and assistance concerning the disposal of NSW Police Force records can be obtained via the following contacts:

- **General enquiries**

Corporate Archives

[REDACTED] NSW Police Headquarters

1 Charles Street

Parramatta NSW 2150

Tel: [REDACTED]

Fax: [REDACTED]

Mail to: [REDACTED]

- **Offsite disposal and storage of high-risk records**

[REDACTED]

Tel: [REDACTED]

Fax: [REDACTED]

mailto: [REDACTED]

- **Disposal and storage of records at Police Headquarters**

Records Centre (RC)

[REDACTED]

Police Headquarters

Parramatta NSW 2124

Tel: [REDACTED]

Fax: [REDACTED]

mailto: [REDACTED]

APPENDIX 1

DISPOSAL AUTHORITIES & COVERAGE

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The following table provides a list of Disposal Authorities used by the NSW Police Force, and a summary of records covered in each Disposal Authority.

Disposal Authority	Coverage
NSW Police Functional Retention & Disposal Authorities	
DA 220 : Operational Records	Covers general operational policing records created by the NSW Police Force on or after 1960. http://www.records.nsw.gov.au/recordkeeping/docs/da0220.pdf
DA 221 : Criminal Investigation Records	Covers criminal investigation records created by the NSW Police Force on or after 1960. http://www.records.nsw.gov.au/recordkeeping/docs/da0221.pdf
General Retention & Disposal Authorities	
GA 28 : Administrative Records	Covers all general administrative records created by public offices, on or after 1940.
GDA 12: Personnel Records	Covers personnel records, and some occupational health and safety records created by public offices on or after 1940. <i>Note: Some personnel records are also covered under GA 28 : Administrative Records.</i>
GDA 7 : Financial & Accounting Records	Covers all general financial and accounting records created by public offices on or after 1940. <i>Note: Some financial records are also covered under GA 28 : Administrative Records.</i>
GDA 24 : Imaged Records	Covers certain records which have been copied to a microfilm or digital form.
GDA11: Audio Visual Programs & Recordings	Covers audio visual programs and recordings produced by NSW public offices from c.1966 onwards.
GDA 8 : Video / Visual Surveillance Records	Covers video/surveillance records created by public offices on or after 1990. <i>Note: Specific NSW Police crime prevention and police operational surveillance records are covered under DA 220 : Operational Records.</i>
To view the General Administrative Disposal Authorities listed below, visit: http://www.records.nsw.gov.au/recordkeeping/general_retention_and_disposal_996.asp	
To view the NSW Police Force Consolidated Records Disposal Index, refer to the following link: Include link to Consolidated Records Disposal Index.	

APPENDIX 2

SAMPLE DISPOSAL AUTHORITY STRUCTURE & LAYOUT

DA 221 Sample Layout

No	Function/Activity	Description	Disposal Action
1.0.0	HOMICIDE AND RELATED OFFENCES	The unlawful killing, attempted unlawful killing or conspiracy to kill another person.... For records relating to the activities associated with carrying out investigations and review of critical incidents, see <i>NSW Police Functional Retention and Disposal Authority 11.4.0 – Professional Standards – Critical Incidents.</i>	
1.1.0	Murder	The unlawful killing of another person where there is either the intent to kill or the intent to cause grievous bodily harm, with the knowledge that it was probable that death or grievous bodily harm would occur	
1.1.1	Murder is one of the types of homicide and related offences.	The unlawful killing of another person where there is either the intent to kill, the intent to cause grievous bodily harm, with the knowledge that it was probable that death or grievous bodily harm would occur (reckless indifference to life) or without intent to kill in the course of committing a crime (felony murder).	Required as State archives

Disposal Authority Reference Number

HOMICIDE AND RELATED OFFENCES is one of the broad level categories under which offences are grouped.

Description of the 'HOMICIDE AND RELATED OFFENCES' function.

Cross reference included to an alternative disposal entry that may need to be considered.

Description of the 'Murder' activity.

Murder is one of the types of homicide and related offences.

Retention period and disposal actions required for murder case records.

Record Class providing a description of the records relating to crime prevention and detection advice that require the same retention period and disposal action.

DA 220 Sample Layout

No	Function/Activity	Description	Disposal Action
2.0.0	CRIME PREVENTION AND DETECTION	The function of prevention, detection and investigation of offences on both minor and major/organised levels. This Disposal Authority does not affect the operation of <i>Functional Retention and Disposal Authority (DA) 29</i> concerning the records of the former Special Branch.	
2.1.0	Advice	The activities associated with offering expert opinions by or to the NSW Police as to an action or judgement. Includes the process of providing advice to NSW Police management	
2.1.1	Advice is one of the activities carried out in relation to managing crime prevention and detection.	Records relating to significant advice on policy development, issues and incidents relating to reducing and preventing crime. Includes...	Required as State archives
2.1.2		Records relating to advice received and sent from commands and region offices relating to reducing and preventing crime that are summarised at the whole of agency level not covered by Disposal Class 2.1.1.	Retain for minimum 30 years after last action, then destroy.

Disposal Authority Reference Number

CRIME PREVENTION AND DETECTION is the broad level function.

Description of the 'CRIME PREVENTION AND DETECTION' function.

Description of the 'Advice' activity.

Retention period and disposal actions required for these classes of records.

Record Classes that provide a description of the records relating to crime prevention and detection advice that require the same retention period and disposal action.

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APPENDIX 3**PERSONNEL RECORDS TO BE RETAINED FOR MORE THAN
7 YEARS**

The following table provides details of personnel records that are required to be retained for longer than 7 years (in accordance with GDA 12 : Personnel Records) :

If A Personnel Records Contains:	Minimum Retention Period:
Police Force Officer died on duty (GDA 12, 2.12.2)	Indefinitely
Commissioners, Deputy Commissioners and Assistant Commissioners, & SES (GDA 12, 2.12.2)	Indefinitely
Recipient of Commonwealth bravery, valour service or similar award (GDA 12, 2.19.5)	Indefinitely
Recipient of Department's Medal of Valour (GDA 12, 2.19.5)	Indefinitely
Other persons of note identified by Protocol, or Commissioner (GDA 12, 2.12.2)	Indefinitely
Records relating to allegations and disciplinary proceedings where the Ombudsman and the Commission for Children and Young People are notified (e.g. cases involving suspected abuse or neglect of children) (GDA 12, 2.10.1)	99 years after dismissal or action completed, then destroy
If no service register or card held, and first employed before 1990 (GDA 12, 2.12.4)	75 years after date of birth or 7 years after last action, whichever is longer, then destroy
Records relating to the health surveillance and/or monitoring of individual employees exposed to hazardous substances or conditions, including asbestos and cytotoxins (GDA 12, 1.1.3)	30 years after action completed, then destroy
Records relating to disciplinary proceedings or under section 181B of the <i>Police Force Act</i> 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 (GDA 12, 2.10.2)	25 years after action completed, then destroy
Records relating to the appointment and service of volunteers (GDA 12, 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 (GDA 12, 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 internal appeals (where an organisation may have their own internal appeal mechanisms) (GDA 12, 2.2.1)	10 years after action completed, then destroy
Records relating to the documentation of attendance of employees who work with children (e.g. PCYC) (GDA 12, 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 (GDA 12, 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 (GDA 12, 2.24.1)	10 years after action completed, then destroy
Records relating to the medical discharge of staff.	X years after action completed, then destroy (NSWP to advise)

APPENDIX 4

RECORDS TRANSFER FORMS



Records Inventory Form : Command Details

Records Centre Tower B Level 1, 1 Charles St Parramatta 2150				
Command Details Required		Command Details		
Command Name:	Internal Customer Services - Accounts			
Address:	Police Headquarters Level 5 Tower A			
Contact name/position:	Jack Lennyson			
Telephone number:	29888			
E-mail address:	#ACCOUNTS			
Authorising Officer name/position:	John Doe			
Disposal/Transfer Status				
Note:				
* Records to be destroyed or transferred must no longer be required for operational purposes.				
* All actions including destruction or transfer to the HRR must be in accordance with NSW Police Force Corporate Archives Procedures				
* When you have completed the listing, save your file with a name specific to your command				
* E-mail the completed form as an attachment to #RECORDS@police.nsw.gov.au				
(If your file attachment is larger than 2Mb in size it may need to be split and sent as two attachments)				
* Retain one copy of this and the attached Records inventory form(s) for your records and audit purposes				
* Use separate Lists for ERISP Audio and Video Tapes				
RECORDS DESTRUCTION AUTHORISATION (Only to be completed for all records to be destroyed)				
I hereby certify that:				
* the records to be destroyed are correctly represented below;				
* are authorised for destruction under a General Disposal Authority or Functional Records Disposal Authority				
* have been retained for a minimum retention period under a General Disposal Authority or Functional Records Disposal Authority				
* further retention is not required for any Freedom of Information Application or litigation current, pending or imminent;				
* any audit requirements for the records have been fully justified;				
* have been securely, confidentially and wholly destroyed in a manner approved by the NSW Police Force Corporate Archives.				
Authorising Officer signature:		Date:		

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Investigation Case Files Records Inventory Form : Record Inventory Columns

Records Centre Tower B Level 1, 1 Charles St Parramatta 2150					
Command Details Required		Command Details			
Command Name:	Internal Customer Services - Accounts				
Address:	Police Headquarters Level 5 Tower A				
Contact name/position:	Jack Lennyson				
Telephone number:	29888				
E-mail address:	#ACCOUNTS				
Authorising Officer name/position:	John Doe				
Disposal/Transfer Status					
Note:					
* Records to be destroyed or transferred must no longer be required for operational purposes.					
* All actions including destruction or transfer to the HRR must be in accordance with NSW Police Force Corporate Archives Procedures					
* When you have completed the listing, save your file with a name specific to your command					
* E-mail the completed form as an attachment to #RECORDS@police.nsw.gov.au					
(If your file attachment is larger than 2Mb in size it may need to be split and sent as two attachments)					
* Retain one copy of this and the attached Records inventory form(s) for your records and audit purposes					
* Use separate Lists for ERISP Audio and Video Tapes					
RECORDS DESTRUCTION AUTHORISATION (Only to be completed for all records to be destroyed)					
I hereby certify that:					
* the records to be destroyed are correctly represented below;					
* are authorised for destruction under a General Disposal Authority or Functional Records Disposal Authority					
* have been retained for a minimum retention period under a General Disposal Authority or Functional Records Disposal Authority					
* further retention is not required for any Freedom of Information Application or litigation current, pending or imminent;					
* any audit requirements for the records have been fully justified;					
* have been securely, confidentially and wholly destroyed in a manner approved by the NSW Police Force Corporate Archives.					
Authorising Officer signature:				Date:	

Investigation Case Files Records Inventory Form : Record Inventory Columns

Box No.	Case File No.	Victim(s)	POI / Offender(s)	Offence(s)	Date Range		DA 221 Entry No.	Proposed Disposal Date
					From	Finalised		
1	63/99	[REDACTED]	[REDACTED]	Abduction & kidnap for ransom	2/6/1999	5/8/2000	5.1.1	2004
	15/00			Blackmail & extortion	9/1/2000	15/6/2000	6.2.1	2004
2	28/00			Subver the course of justice	14/3/2000	8/9/2000	15.2.1	2004
	34/00			Sedition	5/4/2000	3/11/2000	15.3.2	2004
3	44/02			Manslaughter	4/3/2002	7/8/2003	1.3.1	2007
	57/03			Inciting mutiny	6/4/2003	5/9/2003	15.3.2	2007
4	97/03			Murder	1/5/2003	8/9/2005	1.1.1	2009

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Non Investigation Records Inventory Form : Record Inventory Columns

Box No.	Record No.	Description	Date Range		DA220/GDA No.	DA220/GDA Entry No.	Proposed Disposal Date
			From	To			
1	NSWP/F/2001/28888	Asset Management - Capital Works and Construction - Ashfield Police Station	1/12/1998	1/2/2000	GDA 28	1.0.1	2006
	NSWP/F/2001/28888	Committees - Extradition of Persons of Interest	2/6/1999	5/8/2000	GDA 28	2.1.1	2006
	NSWP/F/2001/28888	Community Relations - Addresses - Corporate Plan - Commissioner of Police	9/1/2000	15/6/2000	GDA 28	3.1.1	2006
2	NSWP/F/2001/28888	Conferences - NSW Women and Policing	14/3/2000	8/9/2000	GDA 28	6.1.2	2006
	NSWP/F/2001/28888	Contracting-Out - Tenders - Construction of Police Headquarters Parramatta	5/4/2000	3/11/2000	GDA 28	7.7.1	2006
3	NSWP/F/2001/28888	Establishment - Restructure of Greater Metropolitan Region - 2001	4/3/2002	7/8/2003	GDA 28	11.1.1	2009
4	NSWP/F/2001/28888	Government Relations - Legislation - Impact on review of Police Act	6/4/2003	5/9/2004	GDA 28	14.8.1	2010
	NSWP/F/2001/28888	Industrial Relations - Industrial Action - Use of stun guns by Police Officers	1/5/2003	8/9/2004	GDA 28	15.10.1	2010
5	NSWP/F/2001/28888	Marketing - Policy - NSW Police Force logo	21/8/2004	3/10/2004	GDA 28	20.4.1	2010
	NSWP/F/2001/28888	Premises - Disposal - Paddington Police Station	4/2/2004	31/4/2005	GDA 28	23.7.1	2011
6	NSWP/F/2001/28888	Strategic Management - Planning - NSW Police Force Business Plan 2004 - 2005	7/7/2004	9/12/2005	GDA 28	31.10.1	2011

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NSW Police Force

Records Disposal Procedures Manual
November, 2008

ERISP Master (Yellow) Tapes (DA 221) Records Inventory Form : Record Inventory Columns

Box No.	Tape No.	Interviewee	Offence(s)	Case Officers(s)	Date Range		DA221 Entry No.	Proposed Disposal Date
					Recorded	Finalised		
1	1999/1		Abduction for ransom/gain	McDONALD Kate	1/3/1999	1/6/2002	15.1.1	2012
	1999/5		Abduction & kidnap for ransom	JONES John	2/6/1999	5/8/2000	5.1.1	2004
	2000/6		Blackmail & extortion	SMITH Dave	9/1/2000	15/6/2000	6.2.1	2004
	2000/18		Subver the course of justice	SHIELS Mark	14/3/2000	8/9/2000	15.2.1	2004
	2000/40		Sedition	VALENTE Eric	5/4/2000	3/11/2000	15.3.2	2004
	2002/32		Manslaughter	CLARKE Craig	4/3/2002	7/8/2003	1.3.1	2007
	2003/50		Inciting mutiny	DOHERTY Kevin	6/4/2003	5/9/2003	15.3.2	2007
	2003/63		Murder	AINSLEY David	1/5/2003	8/9/2005	1.1.1	2009

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