STATE RECORDS
NEW SOUTH WALES

General Retention and Disposal Authority – University records

GDA23

General Disposal Authority

Approved: 9 December 2005

23

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GENERAL RETENTION AND DISPOSAL AUTHORITY – UNIVERSITY RECORDS

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State Records Authority of New South Wales

General Retention and Disposal Authority

GDA no	**GDA23**

Public office	All New South Wales universities which fall within the definition of a public office in the *State Records Act 1998*.

Scope	This authority applies to both the functional records of universities and those administrative records which are not adequately covered by existing general retention and disposal authorities due to the nature of university administration.

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

Authorised	12/12/2005 David Roberts Date Director State Records Authority of New South Wales

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PART 1: GENERAL RETENTION AND DISPOSAL AUTHORITY – UNIVERSITY RECORDS

1.1 List of functions and activities covered

Function	Activity	Reference
GOVERNANCE AND GENERAL ADMINISTRATION		
Collections Management		
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	Acquisitions	1.2.0
	Collection control	1.3.0
	Conservation and preservation	1.4.0
	Disposal	1.5.0
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	Loans – out	1.9.0
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	Public lectures	2.3.0
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	Policy and procedures	3.6.0
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	Fines/penalties	5.2.0
	Loans	5.3.0
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	Visiting/conjoint/adjunct academics	6.3.0
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1.2 Records authorised for disposal

The following table contains the authorised minimum retention periods and disposal actions applying to the classes of records created and maintained by universities.

No	Function/ Activity	Description	Disposal Action
Governance and General Administration			
1.0.0	**COLLECTIONS MANAGEMENT**	This relates to the management of collections of art, private records, museum specimens and other objects which are owned by the university, or on loan to the university. **See** **LIBRARY MANAGEMENT** for records relating to the management of library collections.	
1.1.0	**Access**		
1.1.1		Records relating to access to collections. Examples of records: • Applications for access, • access conditions, and • registers of access.	Retain until no longer required for administrative or references purposes, then destroy.
1.2.0	**Acquisitions**		
1.2.1		Records relating to the purchase or other means of acquisition (not including donation or loan) of items for a collection.	Retain at least until collection item has been disposed of, then destroy.
1.3.0	**Collection control**		
1.3.1		Control records for collections such as: catalogues; inventories; electronic control systems; indexes; and registers.	Retain until no longer required for administrative or references purposes, then destroy.
1.4.0	**Conservation & preservation**		
1.4.1		Records relating to general conservation and preservation activities such as temperature and humidity control and pest treatment for the storage areas.	Retain until no longer required for reference purposes, then destroy.

No	Function/ Activity	Description	Disposal Action
1.4.2		Records relating to conservation and preservation carried out directly to the item such as repairs, deacidification etc.	Retain until the item is disposed of, then destroy.
1.5.0	**Disposal**		
1.5.1		Records relating to the disposal of collection items.	Retain for minimum of 7 years after action completed, then destroy.
1.6.0	**Donations**	The donation of items to the university.	
1.6.1		Records relating to contracts/agreements including intellectual ownership agreements.	Retain for minimum of 7 years after item disposed of, then destroy.
1.7.0	**Exhibition management**		
1.7.1		Records relating to the planning and implementation of an exhibition/ display.	Retain for minimum of 1 year after action completed, then destroy.
1.7.2		Exhibition catalogues	**Required as State archives**
1.8.0	**Loans – in**	The lending of items to the university for use in exhibitions/displays.	
1.8.1		Records relating to the loan agreement/contract.	Retain for minimum of 10 years after action completed, then destroy.
1.8.2		Records relating to the loan of collection items (excluding those relating to the loan agreement/contract).	Retain until no longer required for reference purposes, then destroy.
1.9.0	**Loans – out**	The lending of items, which are owned by the university, to other institutions/organisations.	
1.9.1		Records relating to the loan agreement/contract.	Retain for minimum of 10 years after action completed, then destroy.
1.9.2		Records relating to the loan of collection items (excluding those relating to the loan agreement/contract).	Retain until no longer required for reference purposes, then destroy.

No	Function/ Activity	Description	Disposal Action
2.0.0	**COMMUNITY RELATIONS**	The function of establishing rapport with the community and raising and maintaining the organisation's broad profile. **See also** *General Retention and Disposal Authority: Administrative Records* – COMMUNITY RELATIONS	
2.1.0	**Alumni relations**	Activities associated with the management of Alumni relations	
2.1.1		Records relating to membership details, including • master register of members • personal alumni details • notification of members detail changes, such as address, name	Retain until no longer required for administrative or reference purposes, then destroy.
2.1.2		Records relating to alumni association promotions, events or activities.	Retain until no longer required for administrative or reference purposes, then destroy.
2.2.0	**Fundraising**	Activities associated with fund raising **See also** *General Retention and Disposal Authority: Administrative Records* - COMMUNITY RELATIONS for donations and bequests. *General Retention and Disposal Authority: Administrative Records* – FINANCIAL MANAGEMENT for financial records relating to fundraising. **SCHOLARSHIPS/PRIZES/ BURSARIES/ FELLOWSHIPS** for records of the establishment of scholarships etc	
2.2.1		Records relating to fundraising campaigns, including: • records of events/functions • records of campaigns	Retain until no longer required for administrative or references purposes, then destroy.
2.3.0	**Public Lectures**	The activities associated with presenting lectures, seminars or presentations, which are outside of the teaching curriculum/short courses and may be attended by members of the community.	

No	Function/ Activity	Description	Disposal Action
2.3.1		Records relating to organising the lectures, seminars or presentations. Including arrangements for program, venue, invitations to speak, advertising, bookings and catering.	Retain until no longer required for administrative or reference purposes, then destroy.
2.3.2		Transcripts of lectures, presentations and seminars.	Retain until no longer required for administrative or reference purposes, then destroy.
3.0.0	**GOVERNANCE**		
3.1.0	**Establishment and/or incorporation of university and controlled entities**	The establishment and/or incorporation of the university and controlled entities, including companies, and their antecedents. **See also** *General Retention and Disposal Authority: Administrative Records* – FINANCIAL MANAGEMENT for financial records relating to the university and its controlled entities. **GOVERNANCE - Senates, councils and similar governing bodies** for records of those bodies.	
3.1.1		Records relating to the establishment of the university	**Required as State archives**
3.1.2		Records relating to establishment of university companies and controlled entities, including articles of agreement.	**Required as State archives**
3.1.3		Annual reports by university companies/controlled entities	**Required as State archives**
3.1.4		Statutory, financial and other reporting by university companies/controlled entities to external agencies.	Retain until no longer required for legal, administrative or reference purposes, then destroy.
3.2.0	**Breaches of by-laws and rules**	The activities associated with the disciplinary processes in relation to student breaches of university by-laws and rules and other student disciplinary matters. This includes both academic (such as plagiarism, cheating, etc) and non-academic misconduct (such as damage to property, violence, etc) and covers: • investigations; • charges;	

No	Function/ Activity	Description	Disposal Action
		• formal inquiries; • disciplinary action; and • appeals. **Note** This activity also includes allegations of misconduct and the investigation of those allegations. **See** *General Retention and Disposal Authority: Administrative records* PERSONNEL for records relating to staff disciplinary matters.	
3.2.1		Records of cases involving suspected or proven abuse or neglect of children. Examples of records: • advice of allegation and response; • risk assessments and action to minimise risk; • reports; • investigation documentation and reports; • interview transcripts; • signed statements; • inquiry records; • representations; • referrals to external bodies; • records of remedial and/or disciplinary action; and • submissions in relation to disciplinary action. **Note:** suspected abuse or neglect of children should be reported to the Commission for Children and Young People or other authorities as required.	Retain for minimum of 99 years after action completed, then destroy.
3.2.2		Records relating to disciplinary proceedings where a student is found to have committed a breach and serious disciplinary action is taken, but the offence has not involved a child or young person. This includes records concerning investigations, charges, inquiries and punishments and matters that have been referred to external bodies for investigation (eg. NSW Police Service, ICAC). Examples of records: • advice of allegation and response; • reports;	Retain for minimum of 6 years after action completed, then destroy. **Note:** action completed date may be taken as the date the matter has been finalised or the conclusion of a penalty period.

No	Function/ Activity	Description	Disposal Action
		• investigations; • interview transcripts; • signed statements; • inquiry records; • representations; • referrals to external bodies; • records of remedial and/or disciplinary action (including dismissal); and • submissions in relation to disciplinary action.	
3.2.3		Records relating to disciplinary proceedings where a student is found to have committed a breach but minor or no disciplinary action is taken (eg. caution or reprimand) and the offence has not involved a child or young person. Examples of records: • advice of allegation and response; • reports; • investigations; • interview transcripts; • signed statements; • inquiry records; • representations; • records of remedial and/or disciplinary action; and • submissions in relation to disciplinary action.	Retain for minimum of 2 years after action completed, then destroy.
3.2.4		Records relating to preliminary/fact finding investigations of misconduct that were not proceeded with and disciplinary matters where a student is found not to have committed a breach (i.e. the allegations have been found to be false, vexatious or misconceived or could not be proven) and the accusation has not involved a child or a young person. This includes unsubstantiated allegations. Examples of records: • advice of allegation and response; • reports; • investigations; • interview transcripts; and • signed statements.	Retain for minimum of 1 year after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
3.2.5		Meeting papers, including master set of minutes and agenda of student discipline and conduct committees. **Note:** see classes 3.2.1 – 3.2.4 for records of individual cases.	Retain for a minimum of 10 years after action completed, then destroy.
3.2.6		Records relating to membership, meeting arrangements and other administrative matters.	Retain until no longer required for administrative purposes, then destroy.
3.3.0	**By-laws and rules set by university**	The establishment and management of university by-laws and rules.	
3.3.1		Records relating to the development of by-laws and rules set by the university.	Retain for minimum of 10 years after action completed, then destroy.
3.3.2		Master set of by-laws and rules set by the university.	**Required as State archives**
3.4.0	**Elections**	Note: this may include election for student bodies such as Students' Unions where such elections are managed by the university. **See also** **GOVERNANCE - Senates, councils and similar governing bodies** for records relating to membership of governing bodies, committees and student bodies that are by appointment rather than election.	
3.4.1		Records relating to the conduct of elections. This can include: advertising; balloting; nominations; notices; papers; results; scrutineers; tally sheets.	Retain for minimum of 6 months after action completed, then destroy.
3.4.2		Electoral rolls Records relating to electoral roll creation, maintenance and roll services including the electoral roll itself.	Retain for minimum of 1 year after action completed, then destroy.
3.5.0	**Licencing/ accreditation**	Activities relating to institutional accreditation as an educational provider	
3.5.1		Records relating to accreditation and approvals.	**Required as State archives**
3.6.0	**Policy & procedure**	The development and maintenance of policies and procedures.	

No	Function/ Activity	Description	Disposal Action
3.6.1	**Whole of university: core functions (including teaching, research, admissions)**	Master set of policies relating to core university functions.	**Required as State archives**
3.6.2		Master set of procedures relating to core university functions.	Retain for minimum of 10 years after superseded, then destroy.
3.6.3		Records relating to development and maintenance of policy on core university functions.	Retain for minimum of 10 years after superseded, then destroy.
3.6.4		Records relating to development and maintenance of procedures on core university functions.	Retain for minimum of 10 years after superseded, then destroy
3.6.5	**Whole of university: administrative functions (including student enrolment, service provision, counselling, health and accommodation services)**	Master set of policies relating to administrative functions.	Retain for minimum of 10 years after superseded, then destroy
3.6.6		Master set of procedures relating to administrative functions.	Retain for minimum of 10 years after superseded, then destroy
3.6.7		Records relating to development and maintenance of policy on administrative functions.	Retain for minimum of 5 years after superseded, then destroy
3.6.8		Records relating to development and maintenance of procedures on administrative functions.	Retain for minimum of 5 years after superseded, then destroy.
3.6.9	**Localised procedures**	Internal/facilitative procedures relating to core and administrative functions, including master set and records relating to the development and maintenance of procedures. This includes procedures, manuals, etc developed by business units to facilitate day-to-day operations.	Retain until no longer required for administrative purpose, then destroy.

No	Function/ Activity	Description	Disposal Action
3.7.0	**Quality assurance**	**See also** *General Retention and Disposal Authority: Administrative Records* – FINANCIAL MANAGEMENT – Audit for financial audits.	
3.7.1		Records of internal and external audits of university activities resulting in significant changes to policy or procedures.	Retain for minimum of 10 years after action completed, then destroy.
3.7.2		Records of internal and external audits of university activities not resulting in significant changes to policy or procedures.	Retain for minimum of 6 years after action completed, then destroy.
3.7.3		Documentation of external quality assurance audit by AUQA (Australian Universities Quality Agency), including: • submissions to AUQA by the university; • audit reports; • responses by the university to audit reports.	**Required as State archives**
3.7.4		Records of preparations and planning for AUQA audits.	Retain for minimum of 1 year after action completed, then destroy.
3.8.0	**Senates, councils and similar governing bodies**	Governing body, such as senate, council and convocation, and other high level decision making bodies of the university such as professorial boards and academic boards (including strategic committees). Includes boards of controlled entities. **See also** *General Retention and Disposal Authority: Administrative Records* for records of other committees.	
3.8.1		Master set of meeting papers, including: agenda, minutes, tabled documents, etc.	**Required as State archives**
3.8.2		Records relating to appointments and resignations of members of senate, councils and similar high level bodies. **Note:** This is only where members are directly appointed. Records relating to those who are elected by ballot are covered under **GOVERNANCE - Elections**	**Required as State archives**

No	Function/ Activity	Description	Disposal Action
3.8.3		Records of a general administrative nature relating to the meetings of senate, councils and similar high level bodies, including circulation of minutes, travel arrangements for members to attend and meeting arrangements.	Retain for minimum of 2 years after action completed, then destroy.
3.8.4		Records relating to membership of other committees/student bodies, including: • resignations; • negotiations regarding potential members; • correspondence with potential candidates or nominees	Retain for minimum of 3 years after action completed, then destroy.
3.9.0	**Strategic management**	Accumulation and processing of information that is used to develop strategic plans, internal and external reports. **See also** *General Retention and Disposal Authority: Administrative Records* – STRATEGIC MANAGEMENT.	
3.9.1		Records relating to the development of strategic plans Examples of records: • projections; • statistics; • reports from information systems.	Retain until superseded, then destroy.
3.9.2		Final copy of strategic plans for whole of university and high level organisational units.	**Required as State archives**
3.9.3		Final copy of strategic plans dealing with individual organisational units or specific functions.	Retain until superseded, then destroy.
3.9.4		Records relating to the development of internal reports resulting from evaluation and analysis of core university functions. Examples of records: • projections; • statistics; • reports from information systems.	Retain for minimum of 1 year after action completed, then destroy.
3.9.5		Internal reports resulting from evaluation and analysis of core university functions.	Retain for minimum of 5 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
3.9.6		Records relating to the development of reports to external organisations, such as: • Department of Education, Science & Training (DEST); • Australian Taxation Office (ATO); • Universities Admission Centre (UAC). Examples of records: • projections; • statistics; • reports from information systems.	Retain for minimum of 5 years after action completed, then destroy.
3.9.7		Reports submitted to external organisations, such as: • Department of Education, Science & Training (DEST); • Australian Taxation Office (ATO); • Universities Admission Centre (UAC).	Retain for minimum of 10 years after action completed, then destroy.
3.9.8		Records of internal planning relating to: • allocation of funds; • student load; • quota setting.	Retain for minimum of 7 years after action completed, then destroy.
3.9.9		Statistical analysis Records created for the purpose of carrying out statistical analysis for planning and reporting purposes (including surveys of students).	Retain until no longer required for administrative or reference purposes, then destroy.
3.10.0	**Transfer of courses and/or facilities**	Transfer of courses and/or facilities to another NSW university	
3.10.1		Agreements regarding the transfer of responsibilities and ownership of courses, facilities and property to another NSW university.	**Required as State archives**
3.10.2		Administrative records relating to transfer of responsibilities and ownership of courses, facilities and property to another NSW university.	Retain for minimum of 10 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
3.10.3		Records relating to courses, facilities, properties, assets, services and administration functions, where responsibility and/or liability has been transferred to another NSW University and where records are required to continue teaching, research, provision of services or management of business or activity. Includes but is not limited to: • Property and assets; • Student administration; • Student and other services; • Teaching; • Research; • General administration; and • Commercial activities and consultancy services	Transfer ownership to new organisation.
4.0.0	**GRANT ADMINISTRATION**	The function of administering grants that are funded or otherwise controlled by the university. **See also** *General Retention and Disposal Authority: Administrative Records* – FINANCIAL MANAGEMENT – Accounting for records relating to grants applied for by the university. **See GOVERNANCE – Policy and Procedure** for records relating to policy and procedure.	
4.1.0	**Advertising**		
4.1.1		Records relating to promotion and advertising for grants and associated routine correspondence.	Retain for minimum of 2 years after action completed then, destroy.
4.2.0	**Applications**	Activities associated with the processing of grant applications.	
4.2.1		Summary records of applications for grants assistance. Examples of records: • register of grants; and • register of grant recipients.	Retain for minimum of 7 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
4.2.2		Records relating to successful applications. Examples of records: • application form; • agreement; • acquittals; and • report. **See also** **RESEARCH MANAGEMENT** for records where research is conducted internally.	Retain for minimum of 7 years after action completed, then destroy.
4.2.3		Records relating to unsuccessful applications.	Retain for minimum of 2 years after action completed, then destroy.
4.2.4		Records of intellectual property in products/works created as a result of grants and where the university holds all or part ownership. Examples of records: • agreements; • contracts; and • grant conditions.	**Required as State archives**
4.2.5		Records relating to non-competitive and/or discretionary funds allocation.	Retain for minimum of 7 years after action completed, then destroy.
4.3.0	**Establishment**		
4.3.1		Records relating to the establishment of the grant.	Retain for minimum of 7 years after all conditions in relation to the grant are satisfied, then destroy.
4.3.2		Established conditions under which the grant operates. **Note:** These are the standard conditions of the grant which establish the expectations, boundaries and protocols in relation to the grant.	Retain for minimum of 7 years after grant conditions superseded, then destroy.
4.4.0	**Monitoring**	Activities associated with monitoring projects for which funding has been granted.	
4.4.1		Records relating to the monitoring of progress reports against the approved purpose of the project.	Retain for minimum of 7 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
5.0.0	**LIBRARY MANAGEMENT**	**See also** *General Retention and Disposal Authority: Administrative Records* for Library Service records. **See** **COLLECTIONS MANAGEMENT** for records relating to the management of non-library collections.	
5.1.0	**Copyright**		
5.1.1		Records relating to copyright including copyright declarations. **Note:** retention period based on *Copyright Regulation 1969* No.58 (consolidated to 28 Jan 1999), Part 7, Reg 25A.	Retain for minimum of 4 years after copy made, then destroy.
5.2.0	**Fines/penalties**	The imposing of fines or other penalties for the late return, loss, or damage to library items (ie books, journals, newspapers, etc).	
5.2.1		Records relating to the imposing of fines or other penalties (other penalties may include withholding graduation offers until payment of fines and/or return of library items). **See also** *General Retention and Disposal Authority: Administrative Records* – FINANCIAL MANAGEMENT for debt recovery records.	Retain for minimum of 6 months after action completed, then destroy.
5.3.0	**Loans**		
5.3.1		Records relating to provision of library borrowing and usage rights.	Retain for minimum of 1 year after action completed, then destroy.
5.3.2		Records relating to inter-library loans.	Retain until no longer required for administrative purpose, then destroy.
5.3.3		Records of borrowings and use of library materials.	Retain until no longer required for administrative purpose, then destroy.
6.0.0	**PERSONNEL**	**See also** *General Retention and Disposal Authority: Administrative Records* PERSONNEL	

No	Function/ Activity	Description	Disposal Action
6.1.0	**Academic Promotions**		
6.1.1		Records relating to successful applicant for academic promotion.	Retain for same period as personal file, then destroy.
6.1.2		Records created or received in the course of the decision-making process for promotion of staff. Examples of records • records of promotions and appeals committees; • applications and supporting material; • referee reports.	Retain for minimum of 1 year after action completed, then destroy. **Note:** action may include appeal process.
6.2.0	**Emeritus/ Adjunct professors**	Records relating to activities of emeritus/adjunct professors should be sentenced under relevant function/activity.	
6.2.1		Records relating to the appointment of emeritus/adjunct professors.	**Required as State archives**
6.3.0	**Visiting/conjoint/ adjunct academics**		
6.3.1		Records relating to visiting, conjoint & adjunct academics, including fellows.	Retain for minimum of 7 years after action completed, then destroy.
6.4.0	**Volunteers**		
6.4.1		Personal records relating to the recruitment and management of volunteers. Examples of records • signed code of conduct; • attendance records; • contracts or other agreements. **See** *General Retention and Disposal Authority: Administrative records* PERSONNEL Recruitment for 'working with children' records.	Retain for minimum of 6 years after separation, then destroy.
7.0.0	**PROPERTY & FACILITIES MANAGEMENT**	The function of managing working, storage or living space within premises and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Premises include buildings and grounds owned, rented or leased by the organisation such as office blocks,	

No	Function/ Activity	Description	Disposal Action
		repositories and workshops. **Note:** this also includes the management etc of grounds including landscaping, roads and pathways. **See also** *General Retention and Disposal Authority: Administrative Records* for records relating to property and premises management.	
7.1.0	**Capital works**	The construction of, renovation to or upgrade of buildings, structures, landscapes and environs.	
7.1.1		Construction Significant building/structure Key records relating to the construction of, major renovations to, or major capital works to, buildings, structures or environs that are of significance due to the fact that they are: • award winning; • a local or regional landmark; or • heritage listed. Examples of records: • plans/designs as approved; • plans/designs as executed; • specifications; • photographs.	**Required as State archives**
7.1.2		Construction – principal records Construction records of buildings, structures or environs not considered as 'significant' as defined in 7.1.1. Examples of records: • plans/designs as approved; • plans/designs as executed; • specifications; • photographs.	Retain for minimum of 7 years after building or structure disposed of, then destroy.
7.1.3		Construction – minor records Minor records relating to the construction of, or major capital works to buildings, structures or environs not covered in 7.1.1 and 7.1.2. **See** *General Retention and Disposal Authority: Administrative Records* for contracts.	Retain for minimum of 7 years after construction work completed, then destroy.

No	Function/ Activity	Description	Disposal Action
7.1.4		Fit-outs, renovations, installations & maintenance (involving structural changes) Records relating to structural changes to buildings, structures or environs as part of fit-outs, renovations, installations and maintenance. Examples of records: • plans/designs as designed; • plans/designs as executed; • specifications; • construction contracts & tender documents; • photographs.	Retain for minimum of 7 years after building or structure disposed of, then destroy.
7.1.5		Fit-outs, installations & maintenance (non-structural changes) Records relating to non-structural changes to buildings, structures or environs as part of fit-outs, renovations, installations and maintenance. **See** *General Retention and Disposal Authority: Administrative Records* for contracts.	Retain for minimum of 7 years from completion of work, then destroy.
7.1.6		Upgrades or installation of services Key records relating to the upgrade or installation of services to buildings, structures and environs. Examples of records: • plans; and • specifications.	Retain for minimum of 7 years from when superseded, then destroy.
7.1.7		Administrative and supporting documentation relating to upgrades or installation of services.	Retain for minimum of 7 years from completion of work, then destroy.
7.1.8		Records relating to identification and management of asbestos used in construction.	Retain for minimum of 99 years from removal or disposal of asbestos, then destroy.
7.2.0	**Commemorative plaques**		
7.2.1		Records relating to the design of plaques for use in or on structures within the university grounds.	Retain for minimum of 2 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
7.2.2		Records relating to the installation, management and removal or relocation of plaques for use in or on structures within the university grounds.	Retain for minimum of 2 years after action completed, then destroy.
7.3.0	**Flora/fauna management**	Records relating to the management, handling and relocation of protected or endangered flora and fauna in areas under the control of the university.	
7.3.1		Records relating to the handling, relocation or disposal of protected flora and fauna. This can include: • animal species registers; • animal surveys; • plant species registers; and • plant surveys.	Retain for minimum of 2 years after action completed, then destroy.
7.3.2		Records relating to the management of native flora.	Retain for minimum of 2 years after action completed, then destroy.
7.3.3		Records relating to the management of wildlife and native flora reserves.	Retain for minimum of 2 years after action completed, then destroy.
7.3.4		Records relating to the management of endangered species.	Retain for minimum of 10 years after action completed, then destroy.
7.4.0	**Maps**	Maps which are used for informational purposes. **See** **PROPERTY & FACILITIES MANAGEMENT – Capital Works** for architectural plans and survey maps. **See also** *General Retention and Disposal Authority: Administrative Records* for architectural or survey maps and plans.	
7.4.1		Master copies of maps of university.	**Required as State archives**
7.4.2		Maps used for any other purpose which are based on the master map. For example maps produced for induction/orientation week activities.	Retain for minimum of 1 year after action completed, then destroy.
7.4.3		Drafting records for maps and plans.	Retain for minimum of 1 year after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
7.5.0	**Naming**		
7.5.1		Records relating to the naming of university buildings, roads, ovals, reserves and other structures.	Retain for minimum of 10 years after building/structure disposed of, then destroy.
7.6.0	**Traffic management**		
7.6.1		Records of a routine nature relating to parking and other traffic matters.	Retain for minimum of 6 months after action completed, then destroy.
7.6.2		Records relating to management and planning of parking and traffic control.	Retain for minimum of 5 years after action completed, then destroy.
7.6.3		Applications for parking permits. **Note:** If the applications contain payment authorities such as salary deductions or credit card details they should be sentenced under the appropriate entry in *General Retention and Disposal Authority - Financial & Accounting Records.*	Retain for minimum of 1 year after expiry of permit, then destroy.
7.6.4		Records relating to fines/penalties for parking and other traffic offences.	Retain for minimum of 2 years after action completed, then destroy.
7.6.5		Records relating to traffic accidents which involve injury or damage to property. **See also** *General Retention and Disposal Authority - Administrative Records*: • COMPENSATION; • INSURANCE; • LEGAL MATTERS – Litigation; and • OCCUPATIONAL HEALTH & SAFETY (OH&S) for matters which result in compensation claims or litigation.	Retain for minimum of 6 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
7.7.0	**Waste management**	The management of waste and the off-site disposal of waste products. **See also** *General Retention and Disposal Authority: Administrative Records* for contracts. **PROPERTY & FACILITIES MANAGEMENT – Capital Works** for records relating to the management and disposal of asbestos used in construction. **Note:** For definition of hazardous substances and further information refer to legislation and industry codes, eg *Occupational Health and Safety Regulation 2001* and Australian Dangerous Goods Code.	
7.7.1		Records relating to the management and off-site disposal of non-hazardous substances.	Retain for minimum of 1 year after action completed, then destroy.
7.7.2		Records relating to the management and off-site disposal of hazardous substances where the level of danger to humans and the environment is low and the effects are not potentially long-term, such as clinical and related waste.	Retain for minimum of 20 years after action completed, then destroy.
7.7.3		Records relating to the management and off-site disposal of hazardous substances with potential long term effects on humans and the environment, such as radioactive waste, pesticides, etc.	Retain for minimum of 99 years after action completed, then destroy.
Student Administration and Services			
8.0.0	**ACCOMMODATION SERVICES**	The provision of accommodation either through residential colleges or residential placements where the accommodation service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records. **See GOVERNANCE – Policy and Procedure** for records relating to policy and procedure.	
8.1.0	**Halls of residence/ residential colleges**	The service of providing accommodation through halls of residence or residential colleges.	

No	Function/ Activity	Description	Disposal Action
8.1.1		Records relating to students and other residents.	Retain for minimum of 2 years after action completed, then destroy.
8.1.2		Records relating to routine administrative activities of the college/ hall of residence, such as catering. **Note:** this disposal class should only be used for records which are not covered by the existing *General retention and disposal authority: administrative records.*	Retain until no longer required for business or administrative purpose, then destroy.
8.2.0	**Placement services**	The service of providing accommodation through matching students with private accommodation such as boarding houses.	
8.2.1		Records relating to the provision of accommodation placement services.	Retain until no longer required for business or administrative purpose, then destroy.
9.0.0	**ADMISSION**	The process of applying for entry to a course or subject offered by the university. **See** **GOVERNANCE – Policy and Procedure** for records relating to policy and procedure.	
9.1.0	**Applications/ Offers**	Applications/offers for admission to any course of study offered by the university (including: under-graduate and post-graduate courses; short courses; bridging courses/programs; non-award applications). This activity also relates to special applications such as mature age students. **See** **STUDENT EXCHANGE** for student exchange programs.	

No	Function/ Activity	Description	Disposal Action
9.1.1		Records relating to offers and applications which are successful and accepted. Examples of records: • application forms and supporting documents; • offers of places; • copies of Universities Admissions Centre (UAC) applications; • interview records; • entry examinations; and • correspondence. **Note:** Where these records are batched together a cautious approach will need to be taken in estimating appropriate graduation/completion dates for the students.	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.
9.1.2		Records relating to offers that are not accepted.	Retain for minimum of 3 years from date of offer, then destroy.
9.1.3		Records relating to applications which are unsuccessful. Examples of records: • application forms and supporting documents; • copies of Universities Admissions Centre (UAC) applications; • interview records; • entry examinations; and • correspondence.	Retain until appeal period has expired or minimum of 6 months after action completed, whichever is longer, then destroy.
10.0.0	**CHILDCARE SERVICES**	The provision of childcare services or centres where the service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records **See** *General Retention and Disposal Authority: Administrative Records* PERSONNEL for records relating to staff of childcare services. **Note:** Records of child care services should be created and maintained in accordance with the requirements of any National or NSW laws and regulations applying to early childhood education and care providers.	

No	Function/ Activity	Description	Disposal Action
10.1.0	**Agreements**	Processes associated with the establishment, maintenance, review and negotiation of agreements.	
10.1.1		Records relating to the establishment, maintenance, review and negotiation of contracts and agreements for the provision of child care services	Retain for minimum of 7 years after the agreement expires or last action, whichever is the longer, then destroy.
10.2.0	**Compliance**	Activities associated with complying with legal, regulatory or quality etc standards or requirements	
10.2.1		Records relating to the licensing of childcare centres or services operated by or within the university and compliance with licence requirements.	Retain for minimum of 7 years after licence expires, then destroy.
10.3.0	**Policy & procedure**	Activities relating to the development of policies and procedures by the childcare centre/s in relation to childcare services (including health, safety and developmental matters) **Note:** In instances of accidents, injuries or incidents evidence of policies and procedures in place at the time can be of significance in legal action subsequently arising and longer retention periods may be appropriate.	
10.3.1		Policies and procedures relating to the health, safety and protection of children whilst in the care of the service	Retain minimum of 7 years after policy or procedure is superseded, then destroy.
10.3.2		Policies and procedures relating to routine operational or administrative matters	Retain until superseded and no longer required for administrative, accreditation or reference purposes, then destroy.
10.4.0	**Provision of service**	Activities relating to the provision of services for each child including enrolment, programs of development etc. **See also** National and NSW laws and regulations applying to early childhood education and care providers for complete details of records required to be created and maintained by childcare services.	

No	Function/ Activity	Description	Disposal Action
10.4.1		Personal records of each child. This includes records relating to the child's personal information, attendance, parental authorisations, approvals and permissions, contact details, special requirements, particulars of treatment to be given child or any medication administered to a child by a member of staff of the service, the nature and circumstances of any injury to or illness of a child whilst in the care of the service, complaints etc. **See** National and NSW laws and regulations applying to early childhood education and care providers for details of records required to be created and maintained for each child.	Retain until the child reaches the age of 25 or 7 years after last action, whichever is the longer, then destroy.
10.4.2		Learning and developmental plans for individual children. This includes records of documented observations concerning a child's interactions and developmental progress and learning and developmental plans for individual children. **Note:** Records created and maintained by childcare providers subject to the National Quality Framework for Early Childhood Education and Care must be kept in accordance with the requirements of the *Education and Care Services National Law* and *Education and Care Services National Regulations*.	Retain for minimum of 1 year after child ceases to attend the service, then destroy.
10.4.3		Records of daily or weekly routines and programs of activity. **Note:** Records created and maintained by childcare providers subject to the National Quality Framework for Early Childhood Education and Care must be kept in accordance with the requirements of the *Education and Care Services National Law* and *Education and Care Services National Regulations*.	Retain for minimum of 1 year after superseded, then destroy.
10.4.4		Records relating to the provision of places for childcare. Includes applications, records of interviews, acceptances of places, waiting lists etc.	Retain for minimum of 1 year after placement is made or application withdrawn, then destroy.

No	Function/ Activity	Description	Disposal Action
10.4.5		Records of routine administrative and support matters.	Retain until no longer required for administrative use, then destroy.
11.0.0	**COUNSELLING SERVICES**	The provision of counselling services (does not include careers counselling) where the service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records. **See** **STUDENT SERVICES – Careers Advice** for records relating to careers advice/ counselling. **GOVERNANCE – Policy and Procedure** for records relating to policy and procedure. **See also** *General Retention and Disposal Authority: Administrative records* PERSONNEL for records relating to counselling staff as part of a disciplinary matter.	
11.1.0	**Counselling**		
11.1.1		Records relating to the provision of counselling services to individuals – where the person was 18 years or older at the date of last entry in the record. Examples of records: • registration records; • Case files.	Retain for minimum of 7 years after last entry in the record, then destroy. **Note:** Case files may be destroyed prior to expiry of 7 year retention where agreed to by both counsellor & client.
11.1.2		Records relating to the provision of counselling services to individuals – where the person was less than 18 years old at the date of last entry in the record. Examples of records: • registration records; • case files.	Retain at least until the person attains or would have attained the age of 25 years, then destroy. **Note:** Case files, for clients aged 18 years and over, may be destroyed prior to expiry of 7 year retention period where agreed to by both counsellor and client.

No	Function/ Activity	Description	Disposal Action
12.0.0	**ENROLMENT**	The process of registering/enrolling in a course or subject. **Note:** due to the wide variety of practices relating to what documents are placed on a student file it is not possible to cover these in one disposal class. To sentence student files it will be necessary to check what records are placed on the file, match those to the relevant disposal classes then apply the longest retention period to the whole file. **See GOVERNANCE – Policy and Procedure** for records relating to policy and procedure.	
12.1.0	**Administrative arrangements**	Administrative arrangements for enrolments. This includes the preparations for and management of the enrolment process.	
12.1.1		Records relating to administrative arrangements for enrolments.	Retain until no longer required for administrative purpose, then destroy.
12.2.0	**Concessions**	The arrangements for and the issuing of concession cards to students.	
12.2.1		Records relating to the arrangement and management of concessions for students (eg travel and movie theatre concessions). This includes consultation with the agency providing student concessions (eg travel).	Retain a minimum of 1 year after action completed, then destroy.
12.2.2		Records relating to the issuing of concession cards to students.	Retain for minimum of 6 months after action completed, then destroy.
12.3.0	**Enrolling**	The enrolment of students into a course or subject.	

No	Function/ Activity	Description	Disposal Action
12.3.1		Records relating to the enrolment of students into a course or subject. Examples of records: • enrolment forms; • declarations signed by students (for example in which they agree to abide by university Acts, Regulations, by-laws, rules, policies, etc). • related correspondence about eligibility **Note:** Where these records are batched an estimation will need to be made on the likely graduation/completion date for the majority of students.	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.
12.3.2		Information received as a result of a criminal records check carried out by the university in relation to a student. **Note:** this does not include the record kept by the university that a criminal record check was carried out. **See** following entries for records concerning *working with children checks*.	Retain in accordance with retention requirements as specified under agreements with information suppliers, or until no longer required for administrative use, then destroy.
12.3.3		Records that a criminal record check has been carried out where a student consequently undertakes courses, subjects or units (including practicums). **Note:** This information is generally recorded on the student record system as a pre-requisite to enrolment in a subject/unit. **Note also:** Where these records are batched together a cautious approach will need to be taken in estimating appropriate graduation/completion dates for the students.	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

No	Function/ Activity	Description	Disposal Action
12.3.4		Information received as a result of working with children checks where a student undertakes courses, subjects or units (including practicums) involving contact with children. Examples of records: • prohibited person declaration form; • consent for working with children check; • request to screening agency for working with children check; and • notification of result of working with children check. **See** above for criminal record checks. **Note:** Where these records are batched together a cautious approach will need to be taken in estimating appropriate graduation/completion dates for the students.	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.
12.3.5		Record that a working with children check has been completed where a student consequently undertakes courses, subjects, units or research (including practicums) involving contact with children. **Note:** This information is generally recorded on the student record system as a pre-requisite to enrolment in a subject/unit.	Retain for minimum of 99 years after action completed, then destroy,
12.3.6		Records relating to working with children checks as a result of which a student is refused enrolment in a course, subject or unit (including practicums). Examples of records: • prohibited person declaration form; • consent for working with children check; • request to screening agency for working with children check; and • notification of result of working with children check.	Retain for minimum of 1 year after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
12.4.0	**Government fees**	**See also** *General Retention and Disposal Authority: Financial & Accounting Records*- FINANCIAL MANAGEMENT – Accounting – Revenue for other records relating to fees.	
12.4.1		Records relating to government fees such as: • HECS; • HELP; • eCAN. Examples of records: • HECS payment option declaration forms; • HELP records (includes: HECS-HELP, FEE-HELP; and OS-HELP).	Retain for minimum of 7 years after student has completed or discontinued course of study, then destroy.
12.5.0	**Student Identification (ID)**	The provision of student identification usually in the form of student ID cards, including university library cards.	
12.5.1		Records relating to the provision of student identification.	Retain for minimum of 6 months after action completed, then destroy.
12.5.2		Supporting documentation received as part of process of provision of student identification.	Retain until no longer required for reference or administrative purposes, then destroy.
12.6.0	**Variation of program**	Variation of the courses or subjects a student is enrolled in. This includes deferment, discontinuation and exemptions.	
12.6.1		Records relating to: • advanced standing; • course transfers; • deferment; • discontinuation; • exemptions or credit transfer • related correspondence about eligibility. **Note:** Where these records are batched an estimation will need to be made on the likely graduation/completion date for the majority of students.	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.

No	Function/ Activity	Description	Disposal Action
12.6.2		Records relating to additions or deletions of subjects/courses from a student program.	Retain for minimum of 1 year after action completed, then destroy.
12.7.0	**Variation of student details**		
12.7.1		Records of notification of change of name. **Note:** Where these records are batched an estimation will need to be made on the likely graduation/completion date for the majority of students.	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.
12.7.2		Supporting documentation received as part of process of change of student name requests.	Retain until no longer required for reference or administrative purposes, then destroy.
12.7.3		Records of notification of change of address.	Retain until no longer required for reference or administrative purposes, then destroy.
12.8.0	**Withdrawal**	The formal withdrawal of a student from a course of study.	
12.8.1		Records relating to remission of debt/ re-credit of SLE (student learning entitlement).	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.
12.8.2		Records related to a withdrawal before census date.	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.
12.8.3		Records provided to support a withdrawal from a course.	Retain until no longer required for reference or administrative purposes, then destroy.

No	Function/ Activity	Description	Disposal Action
13.0.0	**GRADUATION**	Being admitted to a degree or diploma. **See GOVERNANCE – Policy and Procedure** for records relating to policy and procedure.	
13.1.0	**Approval to graduate**		
13.1.1		Records relating to the determination and notification of students of their eligibility to graduate. Examples of records: • applications to graduate; • offers to graduate; • lists of students eligible to graduate; and • decisions relating to students eligibility to graduate.	Retain for minimum of 1 year after action completed, then destroy.
13.1.2		Records relating to student acceptance of an offer to graduate.	Retain for minimum of 6 months after action completed, then destroy.
13.2.0	**Graduation ceremonies**		
13.2.1		Program/order of proceedings. **Note:** where the program or order of proceedings is maintained as the register of graduates it should be sentenced under **GRADUATION – Register of graduates**.	Retain for minimum of 1 year after action completed, then destroy.
13.2.2		Record of receipt/delivery of testamurs.	Retain until no longer required for reference purpose, then destroy.
13.2.3		Uncollected testamurs.	Retain for minimum of 1 year after action completed, then destroy.
13.2.4		Records relating to administrative arrangements for the graduation ceremony. This can include arranging for venue, speakers, catering, seating, special access, etc.	Retain for minimum of 1 year after action completed, then destroy.
13.2.5		Transcripts, audio and video recordings of occasional addresses and student's address in reply.	Retain until no longer required for reference purpose, then destroy.
13.3.0	**Register of graduates**		

No	Function/ Activity	Description	Disposal Action
13.3.1		Register of graduates. This is the master list of graduands (including those who graduate in absentia). **See also** **GRADUATION – Graduation ceremonies** – Program/order of proceedings	**Required as State archives**
14.0.0	**HEALTH SERVICES**	The provision of health services where the service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records. Health services can include medical services, dental services, speech pathology, physiotherapy, podiatry, etc. Health Services can include services (as outlined above) which are provided by university students in the course of their studies and under the supervision of professions and teaching staff. **See** **GOVERNANCE – Policy and Procedure** for records relating to policy and procedure.	
14.1.0	**Drugs**	The provision of prescriptions for drugs and the use/storage of drugs.	
14.1.1		Drugs registers and prescriptions. **See also** *Poisons and Therapeutic Goods Regulation 1994* Sections 40, 59, 60, 84, 113, 114 and 119 for further details on drugs registers and prescriptions.	Retain for minimum of 7 years after date of last entry, then destroy
14.2.0	**Patients**	**See also** *Medical Practice Regulation 2003* for further information on recordkeeping requirements relating to patient records.	
14.2.1		*Patient records* – where the patient was 18 years or older at the date of last entry in the record.	Retain for minimum of 7 years after patient's last attendance or last action, then destroy. **Note:** last action could include medical/legal action or access by or on behalf of the patient

No	Function/ Activity	Description	Disposal Action
14.2.2		*Patient records* – where the patient was less than 18 years old at the date of last entry in the record.	Retain for minimum of 7 years after patient's last attendance or last action[1], or at least until the patient attains or would have attained the age of 25 years, whichever is longer, then destroy. **Note:** last action could include medical/legal action or access by or on behalf of the patient
14.2.3		Appointment registers.	Retain for minimum of 1 year after last entry, then destroy.
15.0.0	**SCHOLARSHIPS/ PRIZES/ BURSARIES/ FELLOWSHIPS**	To bestow on students scholarships, bursaries, prizes or fellowships. These can take the form of money, medals, certificates or the waving of fees. Some will have conditions placed on the student and/or the institution. This includes both internal and external scholarships, bursaries, prizes or fellowships. *Scholarships*: Benefits, usually in the form of money, which are tenable by students for specified periods of time under certain conditions, eg proceeding to the next year in a course. They are generally gained on the basis of performance at examinations. *Prizes*: Rewards for results in annual examinations, essay, compositions and other forms of assessment. *Fellowships*: Benefits, usually in the form of money, travel or accommodation costs, tenable for specified periods and usually offered by, or in conjunction with another university or other institution. *Bursaries*: Financial support available to students, usually on the home campus, who meet specified criteria. **See GOVERNANCE – Policy and Procedure** for records relating to policy and procedure. **See also**	

No	Function/ Activity	Description	Disposal Action
		General Retention and Disposal Authority: Administrative Records – FINANCIAL MANAGEMENT for financial records.	
15.1.0	**Administrative arrangements**		
15.1.1		Records relating to administrative arrangements for the delivery of scholarships, bursaries, prizes or fellowships.	Retain for minimum of 6 years after action completed, then destroy.
15.2.0	**Applications and nominations**		
15.2.1		Records relating to applications and nominations to receive scholarships, bursaries, prizes or fellowships including records relating to the decision making process.	Retain for minimum of 1 year after action completed, then destroy.
15.2.2		Registers of recipients of scholarships, bursaries, prizes or fellowships.	**Required as State archives**
15.3.0	**Establishment**	The establishment of scholarships, prizes, bursaries and fellowships.	
15.3.1		Records relating to the establishment and conditions of scholarships, prizes, bursaries and fellowships. This can include terms and conditions for both internal and external scholarships, prizes, bursaries and fellowships.	Retain for minimum of 10 years after scholarship, prize, bursary or fellowship is discontinued, then destroy.
15.3.2		Records relating to the management of scholarships, prizes, bursaries and fellowships. Includes funds management.	Retain for minimum of 6 years after action completed, then destroy.
16.0.0	**STUDENT EXCHANGE**	**See also** **ENROLMENT** for records relating to the enrolment of students.	

No	Function/ Activity	Description	Disposal Action
16.1.0	**Cotutelle schemes**	This scheme was originally developed by the French Government and was designed to establish and develop partnerships between French and other research units which include the facilitation of movement of French and other doctoral candidates under joint supervision arrangements. Cotutelle arrangements exist between French universities and universities in a number of other countries. The prime intent of such agreements is that they form part of an ongoing or developing cooperative research collaboration between a department or research group in the university and one elsewhere.	
16.1.1		Records relating to cotutelle arrangements for particular students.	Retain for minimum of 2 years after action completed, then destroy.
16.1.2		Records relating to the development of cotutelle schemes between the university and other institution.	Retain for minimum of 7 years after action completed, then destroy.
16.2.0	**Student exchange programs**	The exchange of students between institutions, including study abroad.	
16.2.1		Records relating to applications received for placement as an exchange student. Examples of records: • application forms: • correspondence; • notification of acceptance/refusal	Retain for minimum of 1 year after action completed, then destroy.
16.2.2		Records relating to exchange arrangements for particular students.	Retain for minimum of 2 years after action completed, then destroy.
16.2.3		Records relating to arrangements, contracts or agreements with other universities for student exchange programs.	Retain for minimum of 7 years after the agreement expires or last action, whichever is the longer, then destroy.

No	Function/ Activity	Description	Disposal Action
17.0.0	**STUDENT GRIEVANCES**	Managing the activities associated with the handling and resolution of grievances from students. Includes handling complaints over perceived discrimination; or complaints arising over work/study environment, assessment/assignment organisation or distribution, peers, lecturers, tutors or supervisors. Also includes complaints regarding the provision of access to opportunities such as equipment, facilities (such as laboratories), tutorials, or other services. **Note:** Complaints over perceived discrimination could be on the grounds of sex, race, disability, pregnancy, carer responsibilities, homosexuality or transgender status and could also cover bullying or harassment. **See GOVERNANCE – Breaches of by-laws and rules** for student disciplinary matters and for complaints involving children or young people. **GOVERNANCE – Policy and Procedure** for records relating to policy and procedure. **See also** *General Retention and Disposal Authority: Personnel Records* for records relating to staff grievances or where a student grievance results in disciplinary action being taken in relation to a staff member.	
17.1.0	**Grievances**	The activities associated with the handling and resolution of grievances from students	
17.1.1		Records relating to formal grievances raised by a student, which are precedent setting cases and have resulted in significant change to University procedure.	Retain for minimum of 15 years after action completed, then destroy.
17.1.2		Records relating to all other grievances and complaints raised by a student (proven and not proven).	Retain for minimum of 6 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
18.0.0	**STUDENT RECRUITMENT**	This function relates to the recruitment of students to courses of study in the university and to student exchange programs. ***See ENROLMENT*** for records relating to the enrolment of students. **GOVERNANCE – Policy and Procedure** for records relating to policy and procedure.	
18.1.0	**Marketing**	Activities to encourage prospective students and researchers to apply to the university.	
18.1.1		Marketing of services and courses offered by the university in order to encourage prospective students and researchers to apply. This can include: • open days; • careers markets; and • promotional material.	Retain for minimum of 1 year after action completed, then destroy.
18.2.0	**Overseas recruitment**	Includes the recruitment of full fee paying students from overseas through the use of advertising and recruitment agents.	
18.2.1		Records relating to arrangements with recruitment/advertising agencies. **See** *General Retention and Disposal Authority: Administrative Records* - CONTRACTING-OUT for agreements and contracts.	Retain for minimum of 2 years after action completed, then destroy.
19.0.0	**STUDENT SERVICES**	The provision of services to students by the university or other body which has an agreement or contract with the university such as counselling, financial assistance, child care and careers advice. **Note:** The disposal classes within this function only apply to records created or received by the university in the conduct of business. This does not extend to records created by external bodies, such as student bodies (eg students' union) or residential colleges (where the college is not run by the university), providing services to students. The records which are covered would include records created by the university as a result of its	

No	Function/ Activity	Description	Disposal Action
		relationships with those external bodies. **See GOVERNANCE – Policy and Procedure** for records relating to policy and procedure.	
19.1.0	**Careers advice**		
19.1.1		Advice to students on careers.	Retain for minimum of 2 years after action completed, then destroy.
19.2.0	**Financial assistance**	The provision of financial assistance to students often in the form of low or zero interest short term loans.	
19.2.1		Records relating to applications to receive assistance where the application is successful. This includes records of interviews and other assessment methods.	Retain for minimum of 6 years after action completed, then destroy.
19.2.2		Records relating to applications to receive assistance where the application is not successful. This includes records of interviews and other assessment methods.	Retain for minimum of 1 year after action completed, then destroy.
19.2.3		Records relating to the management of loans.	Retain for minimum of 6 years after expiry of loan period, then destroy.
19.3.0	**Interaction with student associations**	The relationship between the university and student associations such as the students' union, sporting clubs, special interest groups etc.	
19.3.1		Records relating to the interaction between the university and student associations.	Retain for minimum of 6 years after action completed, then destroy.
19.4.0	**Liaison with service providers**	Liaison between the university and service providers where the service is not provided directly by the university. For example, child care services, student accommodation, medical and dental services. For records of services provided directly by the university or where the university has a right to control of records of the service provider see: • CHILDCARE SERVICES • ACCOMMODATION SERVICES	

No	Function/ Activity	Description	Disposal Action
		• COUNSELLING SERVICES • HEALTH SERVICES.	
19.4.1		Records of agreements to provide services.	Retain for minimum of 7 years after action completed, then destroy.
19.4.2		Records relating to interactions between the university and the service provider.	Retain for minimum of 5 years after action completed, then destroy.
19.5.0	**Religious services**	The provision of religious services such as chaplaincies.	
19.5.1		Records relating to the appointment of chaplains or similar roles. This includes accepting a recommendation or nomination by a religious body or where the appointment of the chaplain is recognised by the university.	Retain for minimum of 5 years after end of appointment period, then destroy.
19.6.0	**Special needs support**	Provision of services such as assistance to disabled students, foreign students, etc. This may include the provision of special needs services during examinations such as interpreters, reading assistance for sight impaired students, disabled access, etc.	
19.6.1		Special needs support for students with permanent/ long term disabilities. Records relating to administrative arrangements for the provision of special needs support services.	Retain for minimum of 6 years after action completed, then destroy.
19.6.2		Special needs support for students with temporary/short term disabilities. For example a student with a broken arm. Records relating to administrative arrangements for the provision of special needs support services.	Retain for minimum of 1 year after action completed, then destroy.
19.7.0	**Student orientation**		
19.7.1		Records relating to the planning and management of student orientation (such as orientation week activities and programs).	Retain for minimum of 1 year after action completed, then destroy.
19.7.2		Records relating to mentoring services for students. Includes student applications to become mentors, student applications/forms to be mentored, and reports by mentors/mentees.	Retain for minimum of 2 years after action completed then destroy.

No	Function/ Activity	Description	Disposal Action
19.8.0	**Employment services**	Service of registering students seeking work and employers seeking casual workers. **See also** **STUDENT SERVICES - Careers advice** for records relating to advice on careers post graduation.	
19.8.1		Records relating to linking students with employment opportunities.	Retain for minimum of 2 years after action completed, then destroy.
19.8.2		Records of enquiries and liaison with prospective employers.	Retain for minimum of 2 years after action completed, then destroy.
19.9.0	**Study assistance services**	Provision of advice and support to students in the course of their study and programs directed to specific needs (eg English and mathematics).	
19.9.1		Records relating to administration of specific programs.	Retain for minimum of 2 years after action completed, then destroy.
19.9.2		Client records.	Retain for minimum of 2 years after action completed, then destroy.
19.10.0	**Other services**	Other general services provided by the university which have not been dealt with specifically under other activities in this disposal authority.	
19.10.1		Client records.	Retain for minimum of 2 years after action completed, then destroy.
19.10.2		Records relating to the delivery, management and operations of the service.	Retain until all business, legal and other requirements for retention have been met, then destroy.
Teaching and Research			
20.0.0	**ANATOMY MANAGEMENT**	The management and use of bodies, body parts or specimens for research or teaching purposes.	
20.1.0	**Anatomy licences**		

No	Function/ Activity	Description	Disposal Action
20.1.1		Records relating to licenses for conducting the study and practice of anatomy. Examples of records: • licenses; and • applications. **See also** *Anatomy Act 1977* s.6.	Retain for minimum of 1 year after licence expires, then destroy.
20.2.0	**Body registers**		
20.2.1		Registers of bodies or specimens held by licensed schools of anatomy. **See also** *Anatomy Act 1977* s.10.	Retain for minimum of 5 years after date of transfer or disposal of body or specimen, then destroy.
20.3.0	**Maintenance and management**	The acquisition, storage, maintenance and management of bodies or body parts used for research or teaching purposes. This may also include transfer and disposal.	
20.3.1		Records relating to the acquisition, storage, maintenance and management of bodies, specimens or body parts. **Note:** Details regarding the transfer or disposal of bodies or body parts should be recorded in the body registers as required under s.11(3) and s.12(4) of the *Anatomy Act 1977* (updated 1999). This disposal class should only be used for disposing of any additional documentation relating to the transfer or disposal of bodies or body parts.	Retain for minimum of 1 year after action completed, then destroy.
21.0.0	**ANIMAL MANAGEMENT**	Management of animals for use in teaching and research.	
21.1.0	**Accreditation of research organisations**	Organisations must be accredited for conducting research with animals. **See also** *Animal Research Act 1985* s.18.	
21.1.1		Records related to accreditation where successful. Example of records: • Inspections of animal holdings; • Records providing evidence of training of researchers; • records of animal care and ethics committee membership details.	Retain for minimum of 7 years after action completed, then destroy. **Note:** action completed may be defined as the expiry of the certificate

No	Function/ Activity	Description	Disposal Action
21.1.2		Records related to unsuccessful applications for accreditation. Example of records: • Inspections of animal holdings; • Records providing evidence of training of researchers; • records of animal care and ethics committee membership details.	Retain for minimum of 2 years after action completed, then destroy.
21.2.0	**Animal husbandry/farm management**	The management of farm animals and agricultural areas.	
21.2.1		Records relating to the management of farm animals and agricultural areas.	Retain until no longer required for reference or administrative purpose, then destroy.
21.3.0	**Animal suppliers' licences**	Organisations must hold a licence to supply animals for research.	
21.3.1		Records related to applying for and/or holding an animal suppliers licence under Division 5 of the *Animal Research Act 1985*.	Retain for minimum of 2 years after application made or licence issued, whichever is longer, then destroy.
21.4.0	**Annual reports**		
21.4.1		Records relating to annual reporting, including annual reports to external bodies. **See also** *Animal Research Regulation 2005* s.27.	Retain for minimum of 7 years after action completed, then destroy.
21.5.0	**Breeding and management**		
21.5.1		Records relating to the care, management and/or breeding of animals for research or teaching purposes. **See also** *Australian Code of Practice for Care and Use of Animals for Scientific Purposes*. (NHMRC 2004).	Retain at least until no longer required for administrative or reference purpose, then destroy.
21.6.0	**Lethality tests**	"… lethality test means an animal research procedure in which any material or substance is administered to animals for the purpose of determining whether any animals will die or how many animals will die." *Animal Research Act 1985* s.56A.	

No	Function/ Activity	Description	Disposal Action
21.6.1		Records relating to approvals for lethality tests. **See also** *Animal Research Regulation 2005* s.28, and *Animal Research Act 1985* (NSW) s.56A	Retain for minimum of 7 years after application made, then destroy.
21.7.0	**Use of animals**		
21.7.1		Records relating to applications for animal research authorities under *Animal Research Act 1985* s.25A, B and C.	Retain for minimum of 7 years after application made, then destroy.
21.7.2		Records relating to applications for animal research authorities by independent researchers (ie non-university researchers) under s.25C Animal Research Act 1985. **See also** *Animal Research Regulation 2005* s.17.	Retain for minimum of 7 years after application made, then destroy.
21.8.0	**Veterinary clinic**	Veterinary clinics for the treatment of research animals or external clients.	
21.8.1		Records relating to the treatment of animals such as client files, consent forms, surgery records, pathology reports and post mortem reports.	Retain for minimum of 2 years after treatment, then destroy.
21.8.2		Records relating to the provision of prescriptions for drugs and the use/storage of drugs such as drugs registers and prescriptions. **See also** *Poisons and Therapeutic Goods Regulation 2002* for further details on drugs registers and prescriptions.	Retain for minimum of 2 years after date of last entry or the date it was acted upon, then destroy.
21.8.3		Appointment registers.	Retain for minimum of 1 year after last entry, then destroy.
22.0.0	**COMMERCIAL ACTIVITIES**	Activities relating to the commercialisation of services and products. **Note:** records relating to training or other educational services offered as part of a consultancy, such as student records, curricula etc, should be dealt with in the same way as standard teaching and student administration records in this disposal authority. **See GOVERNANCE – Policy and Procedure** for records relating to policy and procedure.	

No	Function/ Activity	Description	Disposal Action
		GOVERNANCE – Establishment and/or incorporation of university and controlled entities for records relating to controlled entities established for commercial purposes.	
22.1.0	**Commercialisation**	Activities relating to commercialisation, including: • products; • services; • curricula and supporting documentation; • intellectual property. **See also** **RESEARCH MANAGEMENT – Product management** and **GOVERNANCE – Establishment and/or incorporation of university and controlled entities** for records relating to the governance of university companies and controlled entities.	
22.1.1		Contracts, agreements and other formal arrangements. **See also 22.1.5** for records relating to Intellectual Property	Retain for minimum of 7 years after all terms and conditions of contract are satisfied, then destroy.
22.1.2		Records relating to the identification of and investigation into commercial ventures, including: • identification of commercial opportunities; • negotiations; • expressions of interest.	Retain for minimum of 2 years after action completed, then destroy.
22.1.3		Records relating to the provision of services, products, etc.	Retain for minimum of 7 years after action completed, then destroy.
22.1.4		Marketing of commercial products and services.	Retain for minimum of 2 years after action completed, then destroy.
22.1.5		Records relating to the registration of patents, copyright and ownership of intellectual property where owned in part or completely by the university.	**Required as State archives**

No	Function/ Activity	Description	Disposal Action
22.2.0	**Consultancy services**	The provision of professional services, sometimes in a competitive environment. **Note:** records relating to training or other educational services offered as part of a consultancy, such as student records, curricula, etc, should be dealt with in the same way as standard teaching and student administration records.	
22.2.1		Records relating to consultancy activities, including the provision of services, where the tender/expression of interest etc was successful and the required service was provided. Examples of records: • registration; • expressions of interest; • tender documentation; • contracts; • agreements; • administrative; and • financial; • raw data; • progress reports; • working papers; and • inspection reports.	Retain for minimum of 7 years after all terms and conditions of the contract completed, then destroy.
22.2.2		Records relating to consultancy activities where the tender/expression of interest etc was unsuccessful or where the required service was not provided. Examples of records: • registration; • expressions of interest; • tender documentation; • contracts; • agreements; • administrative; and • financial.	Retain for minimum of 1 year after action completed, then destroy.
22.2.3		Records relating to the provision of expert witness services by academic or other staff. Includes the provision of advice, opinions and testimony to courts, tribunals or to other judicial offices.	Retain for minimum of 15 years after provision of the services, then destroy.

No	Function/ Activity	Description	Disposal Action
22.2.4		Records relating to advertising or promoting consultancy services and routine administration.	Retain for minimum of 1 year after action completed, then destroy.
22.3.0	**Register of commercial activities**	**See also** **GOVERNANCE – Strategic Management** for government reporting records.	
22.3.1		Register of commercial activities	Retain for minimum of 7 years after superseded, then destroy.
23.0.0	**RESEARCH MANAGEMENT**	The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. **See** **GOVERNANCE – Policy and Procedure** for records relating to policy and procedure. **See also** *General Retention and Disposal Authority: Administrative Records* for agreements/ contractual records of joint ventures such as agreements with external bodies (including other educational institutions).	
23.1.0	**Ethics & safety**	The assessment of the appropriateness of research on ethical grounds in relation to such areas as human and animal ethics, bio-safety and radiation safety. Includes records of Ethics Committees. **See also** *Animal Research Regulation 2005*, Schedule 2 clause 9(3). **ENROLMENT – Enrolling** for working with children checks. *General Retention and Disposal Authority: Personnel Records* for records relating to disciplinary action against a staff member as result of a breach of ethical practice.	
23.1.1		Human Ethics records of assessment and approval of research.	Retain for minimum of 20 years after action completed, then destroy.
23.1.2		Radiation Ethics records of assessment and approval of research.	Retain for minimum of 20 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
23.1.3		Animal Ethics records of assessment and approval of research.	Retain for minimum of 7 years after action completed, then destroy.
23.1.4		Bio-safety Ethics records of assessment and approval of research, includes GM (genetically modified plants and organisms) research.	Retain for minimum of 20 years after action completed, then destroy.
23.1.5		Records relating to breaches of ethical practice as approved by the ethics committee(s).	Retain as per relevant ethics approval disposal class.
23.1.6		Records of complaints and resulting investigations in relation to research.	Retain as per relevant ethics approval disposal class.
23.2.0	**Product management**	Matters arising at the end of a research project; including: • patents; • licensing; and • intellectual property. **See also** **COMMERCIAL ACTIVITIES – Commercialisation** for product commercialisation.	
23.2.1		Records relating to use of intellectual property of the university. Examples of records: • contracts; • licensing • agreements; and • other formal arrangements.	Retain for minimum of 7 years after conditions of the contract or agreement have been met, then destroy.
23.2.2		Records relating to the registration of patents, copyright and ownership of intellectual property where owned in part or completely by the university.	**Required as State archives**
23.3.0	**Proposal development**	**See also** **Research administration** for other records relating to the applications for research.	
23.3.1		Formulation or deliberations leading to application for funding/approval or commencement of research. Examples of records: • correspondence; and • working papers.	Retain until no longer required for reference or administrative purpose, then destroy.

No	Function/ Activity	Description	Disposal Action
23.4.0	**Reporting**	Reporting as required by legislation, grant conditions, or research protocols. **See** **GOVERNANCE – Strategic Management** for statutory reporting to other bodies.	
23.4.1		Final reports on individual research projects that include outcomes of the research project. **See** below for other research reports.	**Required as State archives**
23.4.2		All other reports on individual research projects – for example progress reports, inspection reports and reports on expenditure.	Retain for minimum of 7 years after conditions relating to the proposal have been satisfied, then destroy.
23.5.0	**Research administration**		
23.5.1		Records relating to the administration of research projects that are approved, including: • applications/proposals; • approvals; • resource allocation. **See also** **RESEARCH - Reporting**.	Retain minimum of 7 years after action completed, then destroy.
23.5.2		Records relating to the administration of research projects that are not approved.	Retain minimum of 2 years after action completed, then destroy.
23.5.3		Records of accreditation from external bodies to conduct research and testing, such as accreditation for laboratories. For example, accreditation from the National Association of Testing Authorities (NATA). **Note:** where accreditation is successful the 'action completed' trigger should be taken as the date of expiry of the accreditation. **Note:** there may be some areas of research accreditation that will require a longer retention period, such as those dealing with radioactive materials, gene manipulation, etc. Retention periods should reflect regulatory requirements.	Retain for minimum of 7 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
23.5.4		Records of inspections of research facilities. Includes inspection reports and correspondence.	Retain for minimum of 7 years after action completed, then destroy.
23.5.5		Registration of the university as a premise to manage, possess and sell radioactive materials and devices. **See also** **PROPERTY & FACILITIES MANAGEMENT – Waste management**	Retain for minimum of 99 years after action completed, then destroy.
23.6.0	**Research data**	Records generated in the conduct of the research project where the university is entitled to control or ownership of research data. **Note:** For research involving human subjects this includes de-identification records, subject consent forms, and participant information letters specifying conditions of research.	
23.6.1		Research data Projects of major national or international significance, interest or controversy or where the principal investigator has a widely acknowledged influence on the area of scholarship and where the data is crucial to the substantiation of the research findings and cannot be readily or practically duplicated.	**Required as State archives**

No	Function/ Activity	Description	Disposal Action
23.6.2		Research data Projects which are not of major significance – where the project has human subjects and potential long term effects including animal testing for human products. Includes clinical or psychological research. *For example*: intervention or invasive testing, drug and complementary medicine trials, scanning and radioactivity, clinical studies, genetic manipulation, human tissue studies, trails of devices, some psychological research. **Note:** this retention period has factored in the recommendations of the joint statement of the National Health and Medical Research Council (NHMRC) and Australian Vice-Chancellors' Committee (AVCC). However, other considerations affecting retention may need to be taken into account. For example, workers compensation regulations allow for a claimant to re-open a case at any time during the lifetime of the claimant, which may necessitate records to be retained for up to approximately 70 years after the research project is completed.	Retain for minimum of 20 years after project completed, or after research subjects have reached the age of 25 years, whichever is longer, then destroy.
23.6.3		Research data Projects which are not of major significance – where the research has potential long term environmental effect. For example: genetic trials, disease and pest management, changes to ecosystems; use of environmentally hazardous materials. **Note:** Retention periods for these records may need to also take into account other legislative or regulatory requirements such as the *Environmentally Hazardous Chemicals Act* (1985) and the *Contaminated Land Management Act* (1997)	Retain for minimum of 20 years after project completed, then destroy.

No	Function/ Activity	Description	Disposal Action
23.6.4		Research data Projects which are not of major significance – where the research does not have potential long term affects, including research on animals. **Note:** this retention period is based on the recommendations of the joint statement of the National Health and Medical Research Council (NHMRC) and Australian Vice-Chancellors' Committee (AVCC)	Retain for minimum of 5 years after project completed, then destroy.
23.6.5		Research data Paper records which have been converted to electronic format (eg through data entry or imaging).	Retain until no longer required for reference or administrative purpose, then destroy.
23.6.6		Research infrastructure (equipment, buildings etc). **See** *General Retention and Disposal Authority: Administrative Records*.	
24.0.0	**SHORT/NON-AWARD COURSES**		
24.1.0	**Continuing education programs & community courses**		
24.1.1		Registration, enrolment and results	Retain for minimum of 7 years after action completed, then destroy.
24.1.2		Administrative records relating to course management and delivery. **Note:** this disposal class should not be used for records covered elsewhere in this, or other, relevant disposal authorities. For example, financial and personnel records should generally use *General Retention and Disposal Authority: Administrative Records* and *General Retention and Disposal Authority: Personnel Records* respectively.	Retain for minimum of 2 years after action completed, then destroy.
24.2.0	**Externally accredited courses (eg VETAB)**		

No	Function/ Activity	Description	Disposal Action
24.2.1		Records of accreditation to deliver externally accredited courses.	Retain for minimum of 30 years after course discontinued, then destroy.
24.2.2		Results	Retain for minimum of 30 years after action completed, then destroy.
24.2.3		Registration and enrolment.	Retain for minimum of 7 years after action completed, then destroy.
24.2.4		Course development.	Retain for minimum of 2 years after action completed, then destroy.
24.2.5		Administrative records relating to course management and delivery. **Note:** this disposal class should not be used for records covered elsewhere in this, or other, relevant disposal authorities. For example, financial and personnel records should generally use *General Retention and Disposal Authority: Administrative Records* and *General Retention and Disposal Authority: Personnel Records* respectively.	Retain for minimum of 2 years after action completed, then destroy.
24.3.0	**Non-award courses**	Non-award courses are where students complete individual units/subjects from a degree/diploma course. **Note:** records that are normally accumulated as part of the delivery of a course should be sentenced using other relevant parts of this disposal authority.	
24.3.1		Final grades.	Retain for minimum of 75 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
24.3.2		Administrative records relating to the management and running of non-award courses. **Note:** this disposal class should not be used for records covered elsewhere in this, or other, relevant disposal authorities. For example, financial and personnel records should generally use *General Retention and Disposal Authority: Administrative Records* and *General Retention and Disposal Authority: Personnel Records* respectively.	Retain for minimum of 2 years after action completed, then destroy.
24.4.0	**Tertiary preparation & support programs**		
24.4.1		Registration, enrolment and results	Retain for minimum of 7 years after action completed, then destroy.
24.4.2		Administrative records relating to course management and delivery. **Note:** this disposal class should not be used for records covered elsewhere in this, or other, relevant disposal authorities. For example, financial and personnel records should generally use *General Retention and Disposal Authority: Administrative Records* and *General Retention and Disposal Authority: Personnel Records* respectively.	Retain for minimum of 2 years after action completed, then destroy.
25.0.0	**TEACHING**	The process of conveying knowledge. **See** **GOVERNANCE – Policy and Procedure** for records relating to policy and procedure. **See also** *General Retention and Disposal Authority - Administrative records* for agreements/contractual records of joint ventures such as agreements with external bodies (including other educational institutions).	
25.1.0	**Advice to students**	Advice provided to students in relation to teaching, enrolment, progression, assessments, disputes, course delivery, complaints, etc. **See also** **STUDENT SERVICES – Careers advice**	

No	Function/ Activity	Description	Disposal Action
25.1.1		Records relating to the provision of advice to students as defined above. **Note:** Where these records are batched an estimation will need to be made on the likely graduation/ completion date for the majority of students.	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.
25.2.0	**Assessment**	The process of testing knowledge and understanding of candidates for degrees, programs etc by examination and other techniques. **See also** **GOVERNANCE – Breaches of by-laws and rules** for records dealing with academic misconduct, such as plagiarism.	
25.2.1		Assessment committee records.	Retain for minimum of 1 year after action completed, then destroy. **Note:** action completed includes appeals.
25.2.2		Student examination/ assessment scripts (eg examination papers completed by students). Includes any work, with the exception of theses, submitted or completed by students for the purposes of assessment or evaluation by: • examinations (written or oral); • assignments; • practicum reports (see also below); • field work reports; • presentations; • works of art. Examples of records: • examination manuscripts; and • assignments. **See** **25.2.5** for undergraduate, honours and postgraduate coursework theses and **TEACHING – Course delivery** for master set of examination papers.	Retain at least until the end of the appeal period, then destroy OR Return to student in compliance with university policy.

No	Function/ Activity	Description	Disposal Action
25.2.3		*Practicums – summary records* for courses of study where the number of hours completed and proof of satisfactory performance may be required for accreditation purposes (for example nursing and teaching practicums). **Note:** For certification/accreditation purposes the information required will usually include the number of hour/days completed and the result/grade. These can usually be gained through a combination of the student's transcript and relevant handbooks. This disposal class should be used for practicum reports where these are not available. **See also** above for other practicum records such as practicum reports.	Retain for minimum of 50 years after completion of course of study, then destroy.
25.2.4		*Practicums – administrative records* for arrangements and liaison with placement providers. **See** *General Retention and Disposal Authority - Administrative Records* for agreements/ contracts.	Retain for minimum of 1 year after action completed, then destroy.
25.2.5		Undergraduate and honours theses submitted or completed by students for the purposes of assessment or evaluation. Includes postgraduate coursework theses (where student is not working towards a higher degree). **See also** **TEACHING – Supervision of higher degree students** for higher degree theses.	Retain for minimum of 3 years after date of submission, then destroy OR Return to student in compliance with university policy.
25.2.6		Records of appeals of individual assessments. **See also** **TEACHING – Results** for appeals to final grades. **Note:** action completed may include escalation to internal or external formal grievance/ complaint processes.	Retain for minimum of 1 year after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
25.2.7		Administrative arrangements for the conduct of examinations and other assessment activities. This includes: • assessment/examination supervision; • timetabling; • eligibility lists; • provision of examination/ assessment materials; and • objections to taking part in an assessment/examination due to religious requirements. Examples of records: • timetables; • eligibility lists. **See** **STUDENT SERVICES – Special needs support** for records relating to the provision of special needs during examinations or other assessment activities.	Retain until no longer required for reference purpose, then destroy.
25.3.0	**Attendance**	Attendance of students for teaching and assessment activities such as: • examinations; • assessment activities; • classes; • tutorials; and • laboratory sessions.	
25.3.1		Records relating to attendance. Examples of records: • attendance lists; • sick leave forms; and • medical certificates.	Retain at least until end of appeal period, then destroy.
25.3.2		Records relating to attendance for practicums where students are working with children (eg nursing and education).	Retain for minimum of 10 years after action completed, then destroy.
25.4.0	**Course delivery**	The means by which teaching is conducted. **See also** **TEACHING – Supervision of higher degree students** for student supervision records.	

No	Function/ Activity	Description	Disposal Action
25.4.1		Subject resources and material used in course delivery. Examples of records: • subject outlines; • study guides; • readings; • self assessment exercises; • audio/visual teaching aides; • reading lists; • assignment lists; and • lecture notes.	Retain at least until no longer required for teaching or other purposes, then destroy.
25.4.2		Examination papers – master set of questions. **See also** **TEACHING - Assessment** for student scripts.	**Required as State archives**
25.4.3		Calendars, handbooks and guides – master set. These contain such information as descriptions of course requirements, prerequisites, content and outcomes. Examples of records: • calendars; • faculty handbooks; and • course guides	**Required as State archives**
25.4.4		Working papers These are the academic's papers for course/subject preparation and/or delivery. Examples of records: • research notes; • drafts of documents.	Retain at least until no longer required for teaching or other purposes, then destroy.
25.4.5		Quality assurance Records relating to the assessment of data/feedback on course delivery. For example assessment/evaluation; findings of surveys; reporting and recommendations; action taken. **See also** *General Retention and Disposal Authority - Administrative Records* – STAFF DEVELOPMENT.	Retain until no longer required for reference or administrative purpose, then destroy.

No	Function/ Activity	Description	Disposal Action
25.4.6		Quality assurance – survey/data collection forms Records relating to the collection of assessment data on course delivery. Examples of records: • data collection forms; and • survey forms.	Retain until no longer required for reference or administrative purpose, then destroy.
25.4.7		Records relating to administrative arrangements for course delivery, such as timetables, rosters, organising venues, teaching allocations.	Retain until no longer required for administrative purposes, then destroy.
25.5.0	**Curriculum approval**	Institutional approval process, from school/department/discipline to governing body and/or external accreditation.	
25.5.1		Working papers. **Note:** This does not include committee records or the master set of approved curricula. Examples of records: • correspondence; and • notes.	Retain for minimum of 3 years after curricula superseded, then destroy.
25.5.2		Records of the approval process, including committee records.	Retain for minimum of 10 years after curricula superseded, then destroy.
25.5.3		Approved curricula – master set. **Note:** Copies of curricula which are not approved can be disposed of under *Working papers* above.	**Required as State archives**
25.5.4		Records relating to successful external accreditation of courses by professional or registration bodies. Examples of records: • letter/notification of successful accreditation.	Retain for minimum of 10 years after accreditation expires, then destroy.
25.5.5		Records relating to the process of gaining accreditation.	Retain for minimum of 5 years after action completed, then destroy.

No	Function/ Activity	Description	Disposal Action
25.5.6		Records relating to unsuccessful external accreditation. Examples of records: • reports; • criteria; • correspondence.	Retain for minimum of 3 years after action completed, then destroy.
25.6.0	**Curriculum development**	The process of developing curricula for university courses. This includes the initiation or discussion of proposals.	
25.6.1		Working papers. **Note:** This does not include the master set of approved curricula. Examples of records: • correspondence; • reference/advisory/industry groups • records of committees and working parties; and • notes.	Retain for minimum of 3 years after curricula superseded, then destroy.
25.7.0	**Curriculum review**	Internal institutional and/or external review.	
25.7.1		Records relating to the review of curricula, includes working papers. **Note:** This does not include the master set of approved curricula. Examples of records: • committee records; • reference/advisory/industry groups • correspondence; and • notes.	Retain for minimum of 3 years after action completed, then destroy.
25.8.0	**Progression**	Once a student enrols in a course of study, their progression through to graduation is dependent upon meeting minimum success rates and correctly re-enrolling. The University may place students who have performed poorly on conditional enrolment, or exclude them from studies or take some other form of action (such as warnings).	

No	Function/ Activity	Description	Disposal Action
25.8.1		Records relating to the assessment of students in order to identify those whose progression may require intervention. Examples of records: • decisions; • requests for students to 'show cause'; • documentation from students in support of their case; • notification of exclusion; • notification of conditional enrolment; • monitoring and/or reports on student progress • appeals. **Note:** Where these records are batched a careful estimation will need to be made on the likely graduation/ completion date for the majority of students.	Retain for minimum of 6 years after student has completed or discontinued course of study, then destroy.
25.8.2		Records of committees (including ad-hoc committees) responsible for assessing student progression cases.	Retain for minimum of 6 years after action completed, then destroy.
25.9.0	**Results**	Grading/marking of individual assessment components such as assignments, essays, theses, etc. **Note:** this does not include the final grade for a subject or course or the actual assessment items.	
25.9.1		Records relating to the grading/marking of individual assessment components of a subject or course. **Note:** These records need to be retained to allow students the opportunity to appeal.	Retain for minimum of 1 year after end of appeal period, then destroy.
25.9.2		Records of determination of final results/grades. **See also** above for marking/grading of individual assessment components.	Retain for minimum of 1 year after appeal period, then destroy.

No	Function/ Activity	Description	Disposal Action
25.9.3		Records relating to appeals of grades. **See also** **TEACHING - Assessment** for appeals of individual assessments. **Note:** action completed may include escalation to internal or external formal grievance/ complaint processes.	Retain for minimum of 1 year after action completed, then destroy.
25.9.4		Records relating to changes to assessment results. **Note:** Where these records are batched an estimation will need to be made on the likely graduation/completion date for the majority of students.	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.
25.10.0	**Special consideration requests**	Requests from students that special consideration be given due to circumstances which affected their performance in an examination or other assessment activity.	
25.10.1		Records relating to special consideration requests. **Note:** retention period based on recommendation of NSW Ombudsman made in the *Final Report under Section 26 of the Ombudsman Act – Sydney University – The conduct of the University in handling applications for special consideration, complaints against staff and incidental conflicts of interest* (February 2001) [unpublished]	Retain for minimum of 3 years after action completed, then destroy.
25.11.0	**Supervision of higher degree students**	Supervision of higher degree students (eg masters and Ph.D. level students) where assessment is not by coursework but by thesis or other significant work. **See also** **TEACHING – Assessment** for postgraduate coursework theses.	
25.11.1		Records relating to the supervision of higher degree students. Includes advice and liaison between a supervisor and student.	Retain for minimum of 6 years after action completed, then destroy.
25.11.2		Records relating to the appointment of examiners, assessors or supervisors.	Retain for minimum of 1 year after action completed or end of appeal period, whichever is longer, then destroy.

No	Function/ Activity	Description	Disposal Action
25.11.3		Examiners/assessors' reports and related records.	Retain at least until end of appeal period, then destroy.
25.11.4		Theses submitted by higher degree students where the student is awarded the higher degree.	Retain until no longer required for reference use, then destroy OR Return to student in compliance with university policy.
25.11.5		Theses submitted by higher degree students where the student is not awarded the higher degree.	Retain for minimum of 1 year after end of appeal period, then destroy OR Return to student in compliance with university policy.
25.12.0	**Transcripts/ final results**	The official record of the marks/grades achieved by a student in the course of the degree or program undertaken.	
25.12.1		Student academic transcript/final results.	**Required as State archives**
25.12.2		Paper records of student academic transcript/final results which have been converted to electronic format (eg through data entry or imaging).	Retain until no longer required for reference purposes, then destroy.
25.12.3		Records relating to requests for academic transcripts.	Retain until no longer required for reference purposes, then destroy.
25.12.4		Records relating to requests for verification of qualifications or graduation status.	Retain for minimum of 1 year after action completed, then destroy.

PART 2: UNDERSTANDING AND USING THE AUTHORITY

2.1 Overview

Purpose

The purpose of issuing the *General Retention and Disposal Authority - University records* is to identify which records relating to the management, administration and provision of services by universities are required as State archives and to permit the destruction of certain other records after minimum retention periods have been met and they are no longer required.

Previous disposal authorisations superseded

This disposal authority supersedes previous disposal authorisation in the following authority:

General Disposal Authority	Parts superseded
University records (GDA9) 2000	Whole

What records does this authority cover?

This Authority authorises the disposal of records relating to:

- governance and general administration (specific to the university sector)
- student administration and services
- teaching and research

Date range of records covered

This disposal authority applies to all records listed in it currently created and maintained by universities irrespective of their date of creation.

What records are not covered

This Authority does not cover all records relating to the management and administration of universities and should be used in conjunction with other General Retention and Disposal Authorities issued by State Records. Universities should also consult the following for disposal authorisation.

For records relating to:	Use the following General Retention and Disposal Authority
General administration (ie not university sector specific)	General Retention and Disposal Authority – Administrative records
Personnel	General Retention and Disposal Authority – Personnel records
Financial management	General Retention and Disposal Authority – Finance and Accounting records

How long is this authority in force?

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

2.2 Guidelines for implementation

Introduction

Comprehensive information about implementation of disposal authorities is found in State Records' guideline on implementing a disposal authority, guideline on destruction of records and procedures for transferring records as State archives.

Minimum retention periods

The authority specifies minimum retention periods for all records not required as State archives. Universities must not destroy or otherwise dispose of records before the minimum

retention period has expired. Universities may retain records for longer periods of time, subject to organisational need, without further reference to State Records. Reasons for longer retention can include legal requirements, administrative need, on-going research use or government directives.

Retention of electronic records

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

Destroying records

When the authorised minimum retention period has been reached, appropriate arrangements for the destruction of records may be undertaken without further reference to State Records, unless otherwise advised. Persons using the Authority should apply it with caution, bearing in mind that the authorisations for disposal are given in terms of the State Records Act only. It is the responsibility of the public office to ensure that all legal and other organisational requirements for retention of records have been met before disposing of any of its records. A public office must not destroy any records where the public office is aware of possible legal action, investigation or inquiry where the records may be required as evidence.

Managing records required as State archives

Records which are to be retained as State archives are identified with the disposal action *Required as State archives*. Records identified as being required as State archives can be transferred to State Records' custody and control when they are no longer required for ongoing business use or they can be managed by the organisation under a distributed management agreement. Organisations are encouraged to make arrangements with State Records for the management of State archives.

For information and advice concerning entering into a distributed management agreement with State Records contact the Senior Project Officer, Distributed Management via email distributed@records.nsw.gov.au or phone (02) 8805 5377. To obtain assistance about preparing and arranging for the transfer of records as State archives contact us via email transfer@records.nsw.gov.au or phone (02) 9673 1788

Transfer of ownership must be authorised

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

This authority provides some specific and limited authority for the transfer of ownership of records, see Section 1.2 Records authorised for disposal, entry 3.10.0.

Providing feedback

To suggest amendments or alterations to this authority please contact us via email disposal@records.nsw.gov.au or phone (02) 8247 8627.

Further assistance

To obtain assistance in the interpretation or implementation of this authority, or any of our general retention and disposal authorities, contact us via email disposal@records.nsw.gov.au or phone (02) 8247 8627.

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