State Archives and Records Authority of New South Wales

General Retention and Disposal Authority: GA47

This authority covers records documenting the function of higher and further education

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

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State Archives and Records Authority of New South Wales

General Retention and Disposal Authority

Authority no	**GA47**

SR file no	**16/0386**

Scope	This general retention and disposal authority covers records documenting the function of higher and further education.

Public office	All public offices providing higher and further education, including universities, TAFE and the Department of Education.

Approval date	23/10/2017 Geoff Hinchcliffe Date Executive Director State Archives and Records Authority of New South Wales

About the General Retention and Disposal Authority

Purpose of the authority

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

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

The retention and disposal of State records

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

The authority sets out how long the different classes of records generated by an organisation must be kept to meet its legal, operational and other requirements, and whether the records are to be kept as State archives. The State Archives and Records Authority (' State Archives and Records NSW ') reviews and approves organisations' retention and disposal authorities under the *State Records Act*.

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

Implementing the authority

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

The implementation process entails use of the authority to sentence records. Sentencing is the examination of records in order to identify the disposal class in the authority to which they belong. This process enables the organisation to determine the appropriate retention period and disposal action for the records. Advice on sentencing can be obtained from State Archives and Records NSW. See *Implementing a retention and disposal authority*.

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

Disposal action

Records required as State archives

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

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

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

Records approved for destruction

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

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

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

Contact Information

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General Retention and Disposal Authority
Higher and further education

Authority number: GA47 **Dates of coverage: Open**

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Higher and further education

Authority number: GA47 **Dates of coverage: Open**

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No.	Description of records	Disposal action

1.0.0 STUDENT ADMINISTRATION

The administration and management of students from application for admission to completion or discontinuation.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Accounting** for records relating to administering student fees and charges.

1.1.0 Admission, enrolment and progression

The process of applying for, enrolling and progressing through a course or subject.

See General Retention and Disposal Authority *Administrative records* **COMMITTEES** for records relating to committees responsible for assessing student progression cases.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Accounting** for records relating to the payment of fees

1.1.1	Records relating to the admission, enrolment and subsequent progress of students. Includes show cause for progression purposes, special considerations affecting enrolment and progression, variations of program, advanced standing, withdrawals, etc., and records relating to working with children checks for students undertaking studies involving contact with children. See 1.1.4 for retention periods applying to records confirming a working with children check has been carried out.	Retain minimum of 7 years after completion or discontinuation of course or program of study by student, then destroy
1.1.2	Records relating to applications for admission, regardless of decision and outcome. Includes offers which have or have not been accepted or have lapsed, and unsuccessful, incomplete, withdrawn applications, etc. Records include: • application forms and supporting documents • offers of places • interview records • entry examinations • correspondence.	Retain until appeal period has expired or minimum of 1 year after action completed, whichever is longer, then destroy
1.1.3	Criminal history details provided as part of criminal record checks. **Note:** These records should be retained as per the agreement with the criminal history check service provider.	Retain until check completed, then destroy
1.1.4	Record that a working with children check has been completed for students undertaking studies involving	Retain minimum of 99 years after

No.	Description of records	Disposal action

STUDENT ADMINISTRATION - Admission, enrolment and progression

	contact with children. **Note:** This information is generally recorded on the student record system as a pre-requisite to enrolment in a subject/unit.	action completed, then destroy
1.1.5	Records relating to the provision of student identification and the arrangement and management of student concessions.	Retain minimum of 1 year after action completed, then destroy
1.1.6	Records relating to: • administrative arrangements for the management of enrolment processes • supporting documentation for variation of student details for graduation • notifications for change of address or contact details.	Retain until administrative or reference use ceases, then destroy

1.2.0 Results and graduation

The assessment of students' knowledge and skills and admission to a degree, diploma, certificate or other award.

See **STUDENT ADMINISTRATION - Scholarships/Prizes/ Fellowships/Awards** for records relating to arrangements for honorary awards.

See **TEACHING AND RESEARCH - Assessment** for assessment items completed and submitted by students (e.g. examination papers, assignments, practicum reports, etc.)

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Celebrations, ceremonies, functions** for records relating to arranging for venue, speakers, catering, seating, special access, etc., for graduation ceremonies.

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Enquiries** for records relating to requests for academic transcripts and verification of qualifications or graduation status.

1.2.1	Records relating to the grading/marking of individual assessment components of a subject or course and determination of final results/grades. Includes: • examiners/assessor's reports and related records for higher degree students • appeals of grades • local faculty level informal requests for extension of assessment components for a subject • local special consideration arrangements.	Retain minimum of 1 year after end of appeal period or minimum of 1 year after action completed, whichever is longer, then destroy
1.2.2	Records relating to changes to assessment results as a result of moderation, re-marking or appeal by the	Retain minimum of 7 years after action

No.	Description of records	Disposal action
STUDENT ADMINISTRATION - Results and graduation		
	student. Note: action completed includes the end of appeal processes and any subsequent appeal rights. See **STUDENT ADMINISTRATION - Admission, enrolment and progression** for enrolment and progression records for formal special considerations. See **STUDENT ADMINISTRATION - Student grievances, complaints and misconduct** for records relating to changes to assessment as a result of grievance lodged by student or as a result of misconduct.	completed, then destroy
1.2.3	Records confirming the award/receipt of a qualification of diploma or above. Includes honorary doctorates.	Required as State archives
1.2.4	Finalised results obtained by students, where the results are generated as an outcome of some form of assessment. **Note:** does not include courses which only define whether a participant attended or not.	Retain minimum of 75 years after action completed, then destroy
1.2.5	Finalised results obtained by students for externally accredited courses, such as those delivered by a Registered Training Organisation.	Retain minimum of 30 years after action completed, then destroy
1.2.6	Finalised results obtained by students for non-award courses including continuing education programs and community courses.	Retain minimum of 7 years after action completed, then destroy
1.2.7	Records relating to arrangements for graduation and determination and notification of students of their eligibility to graduate. Includes program or order of proceedings and uncollected testamurs. **Note:** where the program or order of proceedings is the only record confirming details of graduates it should be sentenced as per entry 1.2.3.	Retain minimum of 1 year after action completed, then destroy

1.3.0 Scholarships, Prizes, Fellowships & Awards

The bestowal of scholarships, prizes, fellowships and awards.

See **STUDENT ADMINISTRATION - Results and graduation** for records relating to the conferral of honorary awards.

1.3.1	Records relating to the management and delivery of scholarships, prizes, fellowships, awards and honorary awards. Includes applications, nominations, acceptances, unsuccessful candidates, rejected or	Retain minimum of 7 years after action completed, then

No.	Description of records	Disposal action

STUDENT ADMINISTRATION - Scholarships, Prizes, Fellowships & Awards

	lapsed offers.	destroy
1.3.2	Summary records of recipients of scholarships, prizes, fellowships or awards.	Required as State archives
1.3.3	Records relating to the establishment and conditions of scholarships, prizes, fellowships and awards. This can include terms and conditions for both internal and external scholarships, prizes, and fellowships.	Retain minimum of 10 years after action is completed or fellowship is discontinued, then destroy

1.4.0 Student exchange

The exchange of students between institutions, including study abroad.

See **STUDENT ADMINISTRATION - Admission, enrolment and progression** for records relating to the enrolment of students, including any agreement with students where funding for exchange is based on course completion.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to exchange agreements.

See General Retention and Disposal Authority *Administrative records* **FINANCIAL MANAGEMENT - Authorisation** for records relating to travel approvals.

1.4.1	Records relating to the processing of applications received for exchange student placements or study abroad.	Retain minimum of 2 years after action completed, then destroy

1.5.0 Student grievances, complaints and misconduct

The management of student grievances, complaints and misconduct (general and academic).

See **TEACHING AND RESEARCH - Research management** for records relating to research misconduct and complaints.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL** for records relating to staff grievances or where a student grievance results in disciplinary action being taken in relation to a staff member.

1.5.1	Records relating to the management of proven and unproven cases involving allegations of abuse or neglect of children. Includes inquiries and investigations, outcomes, and matters referred to external bodies for investigation.	Retain minimum of 99 years after action completed, then destroy
1.5.2	Records relating to the management of proven and unproven student grievance, misconduct and disciplinary cases. Includes: • inquiries and investigations, outcomes, and	Retain minimum of 7 years after action completed, then destroy

No.	Description of records	Disposal action
STUDENT ADMINISTRATION - Student grievances, complaints and misconduct		
	matters referred to external bodies for investigation • handling complaints over perceived discrimination, the work/study environment, assessment/assignment organisation or distribution, peers, lecturers, tutors or supervisors, access to equipment, facilities (such as laboratories), tutorials, or other services • disciplinary processes for breaches of by-laws and rules and other student disciplinary matters.	
1.5.3	Records relating to preliminary/fact finding investigations that were not formally proceeded with (i.e. the allegations have been found to be unsubstantiated, false, vexatious or misconceived or could not be proven) and the accusation has not involved a child or a young person.	Retain minimum of 1 year after action completed, then destroy

No.	Description of records	Disposal action

TEACHING - Assessment

2.0.0 TEACHING

The activities involved in conveying knowledge.

See **SUPPORT SERVICES - Services provided to students** for records relating to the provision of special needs during examinations or other assessment activities.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL** for records relating to personnel e.g. exam supervisors.

2.1.0 Assessment

The process of testing knowledge and understanding of candidates for degrees, programs, etc., by examination and other techniques.

See **STUDENT ADMINISTRATION - Results and graduation** for records relating to appeals to final grades.

See **STUDENT ADMINISTRATION - Student misconduct** for records relating to academic misconduct, such as plagiarism.

See **SUPPORT SERVICES - Services provided to students** for records relating to the provision of special needs during examinations or other assessment activities.

See **TEACHING - Course delivery** for master set of examination papers.

See General Retention and Disposal Authority *Administrative records* **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to risk management and exposure to high risk environments, including radiation.

2.1.1	Assessment committee records and records of appeals of individual assessments. Note: action completed may include escalation to internal or external formal grievance/ complaint processes.	Retain minimum of 1 year after action completed, then destroy
2.1.2	Student examination/assessment scripts or items e.g. examination papers completed by students, examination manuscripts and assignments. Includes any work submitted or completed by students for the purposes of assessment or evaluation by: • examinations (written or oral) • assignments • theses, including those submitted by higher degree students • field work reports • presentations • works of art.	If not returned to student, retain at least until the end of the appeal period, then destroy
2.1.3	Records relating to the assessment of courses of study such as practicums and/or professional placements where the number of hours completed and proof of	Retain minimum of 50 years after completion of

No.	Description of records	Disposal action

TEACHING - Assessment

	satisfactory performance may be required for accreditation purposes (e.g. nursing and teaching practicums). **Note:** For certification/accreditation purposes the information required will usually include the number of hours/days completed, dates, locations worked and the result/grade.	course of study, then destroy
2.1.4	Records relating to administrative arrangements for practicums and the conduct of examinations and other assessment activities, including supervision, timetabling, eligibility, provision of materials and objections to taking part in an assessment/examination, liaison with placement providers for practicums.	Retain until administrative or reference use ceases, then destroy

2.2.0 Attendance

The activity of managing student attendance.

2.2.1	Records relating to the management of student attendance for teaching and assessment activities such as examinations, assessment activities, classes, tutorials and laboratory sessions, e.g. attendance lists, sick leave forms and medical certificates. Includes daily practicum attendance timesheets in cases where adequate summary records are held as part of practicum records under 2.1.3.	Retain until at least until end of appeal period, then destroy

2.3.0 Course delivery

The means by which teaching is conducted including online, face to face, and provision of teaching via learning management systems.

See **STUDENT ADMINISTRATION - Admission, enrolment and progression** for records relating to supervision of higher degree students.

See **TEACHING AND RESEARCH - Assessment** for student scripts.

2.3.1	Records relating to course delivery, including subject resources, material used in course delivery, and quality assurance. Includes: • subject outlines • study guides • readings • self assessment exercises • audio/visual teaching aides	Retain until no longer required for teaching or other purposes, then destroy

No.	Description of records	Disposal action
TEACHING - Course delivery		
	• reading lists • assignment lists • lecture notes • timetables, rosters, organising venues, teaching allocations • feedback data collection/survey forms • assessment of data/feedback on course delivery.	
2.3.2	Masters of examination papers. **Note**: if no other course material is available these should be retained as State archives (see entry 2.4.1).	Retain minimum of 15 years after superseded, then destroy

2.4.0 Curriculum development & approval

The process of developing and approving curricula for courses. This includes the initiation or discussion of proposals, institutional approval processes and/or external accreditation.

2.4.1	Final approved versions of curricula. Includes: • master/authoritative set of descriptions of course requirements, prerequisites, content and outcomes, calendars, faculty handbooks and course guides. • master set of approved examination papers if no other course material is available.	Required as State archives
2.4.2	Records relating to the development, review and/or approval of the curriculum. Includes correspondence, reference/advisory/industry groups, records of working parties and notes, and committee records. **Note:** Where these records are batched a careful estimation will need to be made on the likelihood all relevant courses have been superseded.	Retain minimum of 10 years after superseded, then destroy
2.4.3	Records relating to successful or unsuccessful external accreditation of courses by professional or registration bodies. Includes letter/notification of outcome of accreditation processes.	Retain minimum of 10 years after expiry of accreditation or until action completed, whichever is longer, then destroy
2.4.4	Records generated to support compliance with agreed accreditation obligations. Includes: • samples of output and results • reports and portfolios created for accreditation	Retain minimum of 5 years after action completed, then destroy

No.	Description of records	Disposal action
TEACHING - Transfer of courses		
	body.	

2.5.0 Transfer of courses

Transfer of courses or units of study to another institutions.

2.5.1	Records relating to the transfer of responsibilities and ownership of courses to another institution. Includes agreements.	Retain minimum of 7 years after expiry or termination of agreement, then destroy
2.5.2	Records relating to courses, assets, services and administration functions, where responsibility and/or liability has been transferred to another organisation within the NSW public sector and where records are required and where records are required to continue teaching, research, provision of services or management of business or activity. Includes but is not limited to: • assets; • student administration; • student and other services; • teaching; • research; • general administration; and • commercial activities and consultancy services	Transfer ownership to new institution

No.	Description of records	Disposal action

RESEARCH - Anatomy management

3.0.0 RESEARCH

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc.

See **COMMERCIAL ACTIVITIES AND SERVICES** for records relating to commercialisation of research products, provision of research services on consultancy basis etc

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** for records relating to licences required for research activities.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to agreements/contractual records of joint ventures such as agreements with external bodies (including other educational institutions).

3.1.0 Anatomy management

The management and use of bodies, body parts or specimens for research or teaching purposes.

3.1.1	Records relating to the acquisition, storage, management, maintenance and disposal of bodies, body parts, specimens, human tissue, etc. Includes agreements for the use and disposal of body parts.	Retain in accordance with legislative or compliance requirements, then destroy

3.2.0 Animal management

Management of animals for use in teaching and research.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT** for records relating to the management of agricultural areas

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Flora and fauna management** 16.10.3 for records relating to the management and care of farm or other animals.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** 19.4.4 for records relating to licences and accreditation to conduct research with animals, and reporting to external bodies.

3.2.1	Records relating to the treatment of animals in the organisation's custody. Includes records relating to the operation and provision of veterinary clinics and services.	Retain minimum of 7 years after action completed, then destroy

No.	Description of records	Disposal action

RESEARCH - Grant administration

3.3.0 Grant administration

The activity of administering grants that are funded or otherwise controlled by the institution.

See **RESEARCH MANAGEMENT** for records relating to internal research and administration of externally funded research grants.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries about grants.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for records relating to promotion and advertising of grants.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Grant funding** for records relating to applying for and receiving grants.

3.3.1	Records relating to routine administration of grant programs. Includes unsuccessful applications and routine associated correspondence.	Retain minimum of 2 years after action completed, then destroy
3.3.2	Records relating to successful applications for grants. Includes applications, agreements, project monitoring, acquittals and reports.	Retain minimum of 7 years after all conditions of the grant have been satisfied, then destroy
3.3.3	Records relating to the establishment of the grant, including grant conditions. Includes records relating to the establishment of grants, including standard grant conditions which establish the expectations, boundaries and protocols in relation to the grant.	Retain until discontinuation of the program and acquittal of all grants under the program, then destroy

3.4.0 Research management

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc.

See **COMMERCIAL ACTIVITIES AND SERVICES** for records relating to the commercialisation of research outcomes.

See **STUDENT MISCONDUCT** for records relating to disciplinary action against a student.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL** for records relating to disciplinary action against a staff member.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Maintenance** 16.16.6 for records relating to the management of radioactive materials and devices.

No.	Description of records	Disposal action
	RESEARCH - Research management See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT** for records relating to registration of the university as a premise to manage, possess and sell radioactive materials and devices.	
3.4.1	Records relating to assessment of the appropriateness of research on ethical grounds in relation to human based research. Includes: • applications, assessment and approval of research • grievances and investigations into misconduct • records of ethics committees • progress reports, inspection reports and reports on expenditure.	Retain minimum of 15 years after action completed, then destroy
3.4.2	Records relating to the assessment of the appropriateness of research on ethical grounds in relation to animals. Includes: • applications, assessment and approval of research • progress reports, inspection reports and reports on expenditure • grievances and investigations into misconduct • records of ethics committees • applications for approvals for lethality tests to determine whether and/or how many animals will die • applications for animal research authorities.	Retain minimum of 7 years after action completed, then destroy
3.4.3	Records relating to the assessment of the appropriateness of research on ethical grounds in relation to biosafety, including genetically modified plants and organisms. Includes: • applications, assessment and approval of research • progress reports, inspection reports and reports on expenditure • grievances and investigations into misconduct • records of ethics committees.	Retain minimum of 10 years after action completed, then destroy
3.4.4	Final reports on individual research projects that include outcomes of the research project.	Required as State archives
3.4.5	Records relating to research projects or proposals that are not approved or do not proceed.	Retain minimum of 2 years after action completed, then

No.	Description of records	Disposal action

RESEARCH - Research management

		destroy
3.4.6	Records relating to the handling and investigation of complaints concerning research projects that are not subject to the research ethics or approval committee processes or oversight.	Retain minimum of 7 years after action completed or expiry of appeal period, then destroy

3.5.0 Research data

Records generated in the conduct of the research project where the university is entitled to control or ownership of research data. For research involving human subjects this includes de-identification records, subject consent forms, and participant information letters specifying conditions of research.

See General Retention and Disposal Authority *Administrative records* **COMPENSATION** for records that may be relevant to compensation claims.

3.5.1	Data and datasets created as part of research activities within the institution, which are of **regulatory or community significance**. Includes data created that is: • part of genetic research, including gene therapy • controversial or of high public interest, or has influence in the research domain • costly or impossible to reproduce or substitute (ie with an alternative data set of acceptable quality and useability) if the primary data is not available • relates to the use of an innovative technique for the first time • of significant community or heritage value to the state or nation • required by funding or other agreements to be retained permanently.	Required as State archives
3.5.2	Data and datasets created from clinical trials, or research with potential long term effects on humans, as part of research activities within the institution, which are **not of regulatory or community significance.** Includes animal testing for human products.	Retain minimum of 15 years after completion of research activity or until subject reaches or would have reached the age of 25 years, whichever is longer, then destroy
3.5.3	Data and datasets created as part of research activities within the institution which do not involve clinical trials, research with potential long term effects on	Retain minimum of 5 years after project completed,

No.	Description of records	Disposal action
	RESEARCH - Research data	
	humans, gene therapy or which are **not of regulatory or community significance**.	then destroy

No.	Description of records	Disposal action

GOVERNANCE - By laws, policies and procedures

4.0.0 GOVERNANCE

The establishment and management of the institution and related corporate entities.

See General Retention and Disposal Authority *Administrative records* **GOVERNING & CORPORATE BODIES - Compliance** 9.8.3 for records relating to the establishment of the institution and its companies and controlled entities.

See General Retention and Disposal Authority *Administrative records* **GOVERNING BODIES** for records relating to membership of governing bodies, committees and student bodies that are by appointment rather than election.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Reporting** 10.1.1 for annual reports of companies or controlled entities.

See General Retention and Disposal Authority *Administrative records* **GOVERNMENT RELATIONS - Reporting** for records relating to periodic reports required to be submitted to external government organisations

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Audit** for records relating to quality assurance and other audits.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** for records relating to compliance with mandatory or optional standards or requirements by companies or entities.

4.1.0 By laws, policies and procedures

The establishment and management of the institutions' by laws and rules.

See **STUDENT ADMINISTRATION - Student misconduct** for records relating to student disciplinary matters.

4.1.1	Final, approved versions of by-laws and rules governing the institution. **Note**: includes final approved versions of strategic policies governing core functions such as teaching, research and admissions where these are not captured in by-laws, rules or minutes of governing bodies.	Required as State archives
4.1.2	Records relating to the development and review of by-laws, rules and whole of institution policies and procedures. Includes final approved versions of whole of institution procedures and policies that are duplicated in by-laws and rules. **Note:** the need to refer to superseded policies and procedures for ongoing business needs should be assessed before destroying records under this class.	Retain minimum of 15 years after superseded or action completed, then destroy
4.1.3	Records relating to the development and review of internal/facilitative procedures and policies relating to core and administrative functions. Includes procedures, manuals, etc developed by business units to facilitate day-to-day operations.	Retain until administrative or reference use ceases, then destroy

Authority number: GA47 **Dates of coverage: Open**

No.	Description of records	Disposal action

GOVERNANCE - Elections

4.2.0 Elections

The management of elections. Includes elections for student bodies where such elections are managed by the institution.

4.2.1	Records relating to the conduct of elections for membership of governing or student bodies, committees, etc. Includes management of electoral rolls, advertising, balloting, nominations, notices, papers, results, scrutineers, tally sheets, etc. **Note**: Institutions should consider their own requirements to refer back to election results in the event of a vacancy arising during office.	Retain minimum of 1 year after action completed, then destroy

4.3.0 Licencing/accreditation

Activities relating to institutional accreditation as an educational provider.

4.3.1	Records relating to the accreditation of the institution as an education provider.	Required as State archives
4.3.2	Records of accreditation to deliver externally accredited short or non-award courses.	Retain minimum of 30 years after discontinuation of course, then destroy

No.	Description of records	Disposal action

SUPPORT SERVICES - Alumni relations

5.0.0 SUPPORT SERVICES

The function of managing non-teaching related services to students, ex-students, staff etc. Includes the management of alumni associations, accommodation, health and other services.

See **STUDENT ADMINISTRATION - Scholarships/Prizes/Fellowships** for records relating to the establishment of scholarships etc

See *FA404, Provision and regulation of childcare services* for records relating to the provision of childcare services or centres provided directly by the institution.

See *General Disposal Authority Public health services: patient client records* (GDA17) for records relating to the provision of health services by the University, including services provided by students in the course of their studies.

5.1.0 Alumni relations

Activities associated with the management of alumni relations.

See **STUDENT ADMINISTRATION - Scholarships/Prizes/Fellowships/Awards** for records of awards provided to alumni.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS** for records relating to donations, fundraising campaigns, and public lectures which are outside of the teaching curriculum.

5.1.1	Records relating to the management of alumni associations. Includes the management of membership details, events, activities etc.	Retain until administrative or reference use ceases, then destroy

5.2.0 Student support services

The provision of support services to students (e.g. accommodation, financial assistance, careers advice, etc.) by the university.

Note: This section applies to records of services where the service is provided directly by the institution, or where, for other reasons (such as contractual agreements), the institution has a right to control of the records. This does not extend to records created by external bodies, such as student bodies (e.g. students' union) or residential colleges where the college is not managed or operated by the institution.

See **STUDENT ADMINISTRATION - Admission, enrolment and progression** 1.1.1 for records relating to advice provided to students in relation to teaching, enrolment, progression, assessments etc

See **STUDENT ADMINISTRATION - Student grievances, complaints and misconduct** for records relating to misconduct of students in university provided accommodation.

See General Retention and Disposal Authority *Administrative records* **CONTRACTING-OUT** for records relating to agreements to provide services.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Leasing-out** for records relating to lease agreements with students.

No.	Description of records	Disposal action
SUPPORT SERVICES - Student support services		
5.2.1	Records relating to the establishment, negotiation, maintenance and review of agreements to provide and operate services to students, etc. Records include: • correspondence and records of negotiations • final, approved versions and significant drafts of agreements • reviews of agreements.	Retain minimum of 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy
5.2.2	Records relating to the provision of financial assistance services (loans, bursaries, etc.), special needs and accessibility services (e.g. interpreters, reading assistance for sight impaired students, disabled access, etc.,) and other tailored advisory or study support services and assistance to individual students. Note: for loan services, action completed is when the loan is repaid.	Retain minimum of 7 years after action completed, then destroy
5.2.3	Records relating to unsuccessful applications for student support services.	Retain minimum of 1 year after action completed, then destroy
5.2.4	Records relating to the provision and administration of residential accommodation and placement services for students; careers, employment and general services; mentoring, peer networking services, etc.	Retain minimum of 2 years after action completed, then destroy
5.2.5	Records relating to the interaction between the institution and student associations such as the students' union, sporting clubs, special interest groups etc.	Retain minimum of 7 years after action completed, then destroy
5.2.6	Records relating to liaison between the university and service providers where the service is not provided directly by the university. For example, child care services, religious services, student accommodation, medical and dental services.	Retain minimum of 5 years after action completed, then destroy
5.2.7	Records relating to the provision of counselling by a professional counsellor. Includes case files. **Note:** Case files may be destroyed prior to the expiry of the minimum retention period in certain circumstances e.g. agreement between counsellor and client.	Retain minimum of 7 years after action completed or until until the person reaches the age of 25, whichever is longer, then destroy

5.3.0 Library services

The provision of library services to the public, staff and students etc.

Authority number: GA47 **Dates of coverage: Open**

No.	Description of records	Disposal action

SUPPORT SERVICES - Library services

See General Retention and Disposal Authority *Administrative records* **INFORMATION MANAGEMENT - Control** for records relating to library loans.

5.3.1	Records relating to the provision of library borrowing and usage rights (including the imposition of fines or other penalties).	Retain minimum of 1 year after action completed, then destroy

No.	Description of records	Disposal action

COMMERCIAL ACTIVITIES AND SERVICES

6.0.0 COMMERCIAL ACTIVITIES AND SERVICES

The commercialisation of services and products and the provision of services on a commercial basis.

Note: records relating to the provision of training or other educational services 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 General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for records relating to market research into commercial opportunities.

See General Retention and Disposal Authority *Administrative records* **GOVERNING & CORPORATE BODIES** for records relating to the establishment and incorporation of entities for commercial purposes.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Intellectual property** for records relating to intellectual property matters.

6.0.1	Records relating to the management of commercial ventures and services. Includes the provision of consultancies and other professional services. Includes: • expressions of interest and tenders • negotiations, contracts, agreements and other formal arrangements regarding provision of services, commercial ventures, use of intellectual property, etc. • records relating to provision of products and services.	Retain minimum of 7 years after provision of services ceased or minimum of 7 years after all terms and conditions of contract are satisfied, whichever is longer, then destroy
6.0.2	Records relating to commercial ventures and services that did not proceed or where the tender/expression of interest, etc., was unsuccessful.	Retain minimum of 2 years after action completed, then destroy
6.0.3	Register of commercial activities.	Retain minimum of 7 years after superseded, then destroy