

# WESTERN AUSTRALIAN UNIVERSITY SECTOR DISPOSAL AUTHORITY

SD 2011011



# Western Australian University Sector Disposal Authority (SD 2011011)

## Context

### 1. Introduction

#### 1. The Western Australia University Sector Disposal Authority (the WAUSDA)

The WAUSDA (SD 2011011), having been approved by the State Records Commission on the recommendation of the State Records Advisory Committee, is the official and continuing authority for the disposal of University records within Western Australia.

This WAUSDA covers records common to Universities in Western Australia, thereby providing consistent disposal decisions throughout the Western Australian University Sector and eliminating the necessity for each University to maintain a separate disposal authority for its records.

#### 1.1 Acknowledgements

The Universities would like to thank members of the Western Australia University Sector Disposal Authority working party for their commitment to the development of this authority. The Working party met throughout 2009 - 2011 and contributed valuable knowledge and expertise to the development of the new WAUSDA.

Those who contributed were:

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## **2. The WAUSDA**

### **2.1 Purpose of the WAUSDA**

This WAUSDA has been developed to facilitate the authorised and lawful disposal of all records, regardless of format, that document the functions of Western Australian public Universities. The WAUSDA is a management tool for identifying and determining the retention and disposal of records created or received and managed by Western Australian Universities. This ensures that records are maintained for as long as they possess administrative, legal, fiscal or research value.

Under the State Records Act 2000 (the Act), every State and local government organisation must have a Recordkeeping plan (RKP) approved by the State Records Commission. For public Universities, this WAUSDA is the retention and disposal component of the RKP, as required under section 16(3) (a - c) of the Act.

The aims of the WAUSDA are to:

- Provide a consistent and standardised approach to retention and disposal of university records.
- Identify University records that are deemed to be of archival, historical and /or continuing value to the State or University
- Prevent the premature destruction of records which need to be retained for a specific period to satisfy legal, financial and other requirements of public administration; and
- Authorize the destruction of those records not required for permanent retention.

The WAUSDA contains valuable information and guidance to the Universities in respect of the functional records they create, and as such it is an important business tool and assists to guide compliance with legal obligations.

### **2.2 Scope of the WAUSDA**

The WAUSDA covers the functional records created and kept by Western Australian Universities (including any regional or offshore offices).

The WAUSDA supersedes all the previous University disposal authorities approved for use by the State Records Commission namely:

- The University of Western Australia RD 2008061;
- Curtin University RD 2004279;
- Curtin University AD 2011028
- Edith Cowan University RD 2008001;
- Murdoch University RD 2006012.

Records sentenced under the previous University Disposal Authorities which are still in the custody of a University need not be resentenced UNLESS the retention period has increased or the disposal action has changed. Please refer to the SRO Guideline Resentencing Records and Appendix A for a list of records that require resentencing.

The WAUSDA applies to records in all formats (see section 4 of the Introduction).

Any categories of records described in the WAUSDA created before 1920 should be referred to the State Records Office for further appraisal before any disposal action. State records should be appraised for their ongoing value in accordance with SRC Standard 3 – *Appraisal of records*.

### **2.3 Revision of the WAUSDA**

The State Records Office, in conjunction with the Western Australian public Universities, will review the structure, content and use of the WAUSDA within five years of its approval date.

If any record categories are found, for example arising from a new function or new record class, and are not referred to in the WAUSDA, they must not be destroyed. No such records are to be destroyed until approval is obtained from the State Records Commission to amend the WAUSDA. Any unauthorized destruction of records is an offence under section 78 of the Act.

## **3. Recordkeeping Environment**

Universities create, receive and maintain a variety of records to fulfil statutory, business and accountability requirements. Ownership of any record received or created by an employee of the University in the course of their work for the University resides with the University and not the individual.

### **3.1 Legislation**

The retention and disposal of University records falls primarily under the provisions of the State Records Act 2000. Universities wholly or partly also administer a range of legislation in the conduct of their business. Each University's RKP contains details about legislation, and other major government / industry policies standards and codes including Local Laws, affecting recordkeeping.

### **3.2 General Disposal Authorities**

The following General Disposal Authorities (GDA's) produced by the State Records Office will be used for the retention and disposal of administrative records, financial and accounting records, human resource management records, and the management of source records.

- General Disposal Authority for Administrative Records (GDAA) RD2003016
- General Disposal Authority for Financial and Accounting Records (GDFA) RD2005010
- General Disposal Authority for Human Resource Management Records (GDAHR) RD99002
- General Disposal Authority for Source Records (GDAS) RD2009027

### **3.3 Freedom of Information (FOI)**

The Freedom of Information Act 1992 (FOI Act) prescribes rights and procedures for access to documents held by government organizations. If a request for access under the FOI Act has been lodged, all records relevant to the request must be identified and preserved until action on the request and on any subsequent reviews by the Information Commissioner or the Supreme Court are completed. This applies regardless of whether the records in question are due for destruction.

FOI requests that are identified as State archives must contain copies of the records that were the subject of the requests.

### **3.4 Investigations and Inquiries**

If an Investigation or Inquiry is in progress (or likely or imminent), all records relevant to the Investigation or Inquiry must be identified and preserved until the action and subsequent actions are completed.

### **3.5 Publications produced by Universities**

Premier's Circular No. 2003/17, Requirements for Western Australian Government Publications and Library Collections requires that:

"Copies of all publications produced by public sector agencies and statutory authorities are to be deposited with the State Library of Western Australia and the National Library of Australia."

Two (2) copies of University publications are to be sent to the State Library of Western Australia and one(1) copy to the National Library of Australia in accordance with Premier's Circular 2003/17 and Legal Deposit instructions issued by the State Library of WA.

### 3.6 Records Relating to Aboriginal People

#### 3.6.1 Premier's Circular 2003/02

The Premier's Circular to Ministers No. 2003/02 requires that:

"records relating to Indigenous individuals, families or communities or to any children, Indigenous or otherwise, removed from their families for any reason, whether held by government or non-government agencies, be brought to the attention of the Family Information Records Bureau (FIRB) and reflected in agency Recordkeeping Plans"

When universities identify that they hold records that fall within the ambit of the Premier's Circular, the records are to be brought to the attention of FIRB for advice on their significance.

#### 3.6.2 State Records Act 2000 – Section 76

Records containing information about Aboriginal cultural material or an Aboriginal site, or any other matters relating to the heritage of Aboriginal Australians, will not be subject to disposition decisions without consultation with the Aboriginal bodies concerned with that information. Similarly, disposition decisions will not be made about records containing information about Aboriginal Australians or their culture where disclosure might contravene Aboriginal tradition without consultation with the Aboriginal bodies concerned with that tradition, as required in section 76 of the State Records Act 2000.

#### 3.6.3 Patient files of Aboriginal and Torres Strait Islander People

WA Universities have determined that some records created and kept in the course of conducting health services and / or research are of significance as they may contain information relating to Aboriginal culture and heritage. These records are considered to be equivalent and / or complementary to those created by the Department of Health (DoH) and as such where WA Universities hold Aboriginal and Torres Strait Islander patient records they will be retained in accordance with the DoH Directive (OD0051/07) as follows:

University health care services and health research offices and centres must retain Aboriginal and Torres Strait islander patient records indefinitely for patients with a date of birth prior to and including 1970, except those patient records created within the Kimberley and Pilbara health districts. All Patient records created within the Kimberley and Pilbara health districts must be retained indefinitely.

The following criteria should be considered when patient files are being identified for indefinite preservation:

- The Indigenous status is recorded on the health record or patient information system
- The record is of an individual with a recognised Indigenous family name (including aliases)

- The record relates to an individual of an identified Indigenous community
- The record relates to a health program that provided care to the Indigenous population ( e.g. oral or eye health)
- The record exists in an area with a high proportion of Indigenous population (e.g. Kimberley region)
- The record contains evidence of adoption, fostering or an informal arrangement of care for a child

For further information and advice about the preservation of indigenous patient records staff are requested to contact the Head of the records management department in their respective University.

## **4. Organization's Records**

### **4.1 Formats**

#### Electronic Records

Electronic records are subject to the provisions of this authority in the same way as hardcopy records. Universities are responsible for ensuring that electronic records are preserved and made accessible for as long as they are required and for managing the migration process to new hardware and software platforms whenever they are upgraded.

Where the electronic record is the unique version of the record it will be managed in electronic form to remain accessible for as long as required in accordance with this authority and SRC Standard 8 – Digital Recordkeeping. Electronic records, which are of continuing value, will be migrated through successive upgrades of hardware and software for the required retention period, in accordance with State Records Policy Number 8 – Policy for the Ongoing Management of Electronic Records Designated as Having Archival Value

Until universities have introduced a compliant electronic document management system, business records created using office desktop applications (such as word processing, spreadsheets and electronic mail) must be printed and placed on file and retained in paper format. In these instances the electronic record will be considered the duplicate and can be destroyed as an ephemeral record in accordance with the GDAA.

#### 4.1.1 Databases

Universities will create and manage databases for functional or administrative purposes. Generally such databases, particularly those employed for administrative purposes (including those used for financial management or accounting purposes), will be maintained with the intention of holding current data, with historical data being amended, overwritten or deleted.

If there is a business or evidential requirement for certain types of data to be retained within databases, then this data must be retained for as long as it is required in accordance with this WAUSDA. The data may either be retained in the database, or (if required for reasons of system or storage efficiency) in an alternative format, such as hard copy, magnetic storage, near line storage or optical storage.

Universities are to ensure that processes are in place (such as organization policies and procedures) to ensure data integrity and to regulate the retention and disposal of data in databases in accordance with the subject or transaction to which the data relates. Consequently, universities will need to ensure the data is successfully migrated to new hardware and software platforms whenever these are upgraded. For further information please refer to State Records Commission Standard 8: Digital Recordkeeping.

#### 4.1.2. Websites (Internet and Intranet)

Universities create and maintain web sites (internet or intranet sites), which can contain informational and/or transactional web pages. Universities are to identify the components of websites and ensure that processes are in place to capture and maintain relevant records and associated metadata for as long as they are required, as well as providing adequate audit trails.

Various methods may be employed in accordance with the type of records, in capturing and preserving web-based resources and records of web-based activity. These include, but are not limited to:

- “snapshot” pictures taken at regular intervals;
- copying the website with each significant change;
- keeping copies of web pages that are new or have been changed; and
- maintaining a log of changes to the website.
- Incremental backup regime

For further information on better practice management of government websites please see the Public Sector Commission’s Website Governance Framework.

#### 4.1.3 Web 2.0 Applications

Universities are now using ‘web 2.0’ applications to communicate with internal and external clients. Such technologies include blogs, instant messaging services, file sharing applications, collaborative tools and wikis, and social networking applications like Twitter, Facebook etc.

Universities must be aware that official records created on these applications need to be managed in accordance with the State Records Act 2000 and the Universities RKP, and as such must be captured, managed and disposed of in accordance with legislative requirements.



The capability to capture and preserve records must be considered when 'web 2.0' applications, or similar, are being used or proposed for use within the universities. Such applications must be integrated with recordkeeping programs to ensure that business records are captured. Refer to SRO Guideline: Management of digital records for additional information.

## **4.2 Photographs and Audiovisual Records**

Audiovisual records (including photographs, videotapes, films, and audio tapes) are to be treated in the same manner as any other record format, and are to be sentenced in accordance with the subject matter to which they relate.

The content of photographs and other audiovisual material must be identifiable. For example, people, places, events and dates depicted in photographs must be identified as far as possible. If the content cannot be identified then the universities will consult with the State Records Office.

The sentencing of audiovisual records must be considered in relation to:

- Their subject matter; and
- Documentary material that relates to their creation and use.

A photograph, cassette tape or other audiovisual record should be viewed as part of a larger set of records, that is, those records that document why it was taken and how it was used. Disposition of audiovisual material must be consistent with these records.

Universities should note that correct handling and care of audiovisual materials is necessary to preserve them for as long as they are required. The State Records Office may be contacted for advice on protecting and handling the various formats.

## **4.3 Reproduction of records**

### **4.3.1 Duplicates or Copies of State Records**

Duplicates or copies of records are defined as exact copies of original records, that is, where no annotations have been made and where the original record forms part of the Universities recordkeeping system. Such records may be destroyed once the originals have been captured into the recordkeeping system and when they are no longer needed for reference purposes.

### **4.3.2 Destruction of source records that have been successfully digitized**

The General Disposal Authority for Source Records (GDAS) authorizes, under certain conditions, the destruction of source records that have been successfully digitized. Source records must be digitized in accordance with the digitization specifications set out within the GDAS. Universities that reproduce records in compliance with the specifications outlined in the GDAS will only do so as per the relevant statement in their RKP. Otherwise original records must be maintained in accordance with this WAUSDA.

#### 4.4 Restricted Access Archives

Records created by public Universities are considered state government records and access to those records must comply with the provisions of the State Records Act 2000. A restricted access archive is “a State Archive that is a government record and to which access is restricted until it is of a certain age”. (State Records Act 2000 s.3). Part 6 of the State Records Act 2000 provides for the restriction of certain categories of State archives.

The WA public Universities embrace the principle of openness, and seeks to provide maximum access to its records commensurate with the efficient operation of the university. Requests for access to restricted archival records will be evaluated on a case by case basis. Reasonable requests for access to information will be met without the need for an application under the Freedom of Information Act 1992

The following categories of State archives will have restricted access for **25 years** after last action:

- Major research data and research outputs that are commercially sensitive or have IP consideration.
- Records relating to the University committee responsible for the strategic financial planning. Includes committee minutes, agendas and tabled papers. Committees include the Finance Committee and the Strategic Resources Committee.

This time period allows for the lessening of sensitivity and confidentiality with the passing of time.

The following categories of State archives will have restricted access for **30 years** after last action

- Major incident management records, which may impact on National or State security

This time period allows for the lessening of sensitivity and confidentiality with the passing of time.

The following categories of State archives will have restricted access for **50 years** after last action:

- Closed Senate or Council records; and
- Student Case files of Alumni who attain prominence in their field or become recognised for distinguished achievement or notoriety and have their student file selected for permanent retention.
- Records relating to Legal or Professional privilege;

This time period allows for the lessening of sensitivity and confidentiality with the passing of time

The following categories of State archives will have restricted access for **75 years** after last action:

- Corruption disclosures made under related legalisation made by or about university personnel and/or university operations found to have substance.
- Records produced by the Academic Promotions committee.
- All records that contain information relating to significant grievances, misconduct or that are of a particularly sensitive nature that are not filed on personnel, student and research records.

This time period allows for the lessening of sensitivity and confidentiality with the passing of time.

The following State archives will have restricted access for **100 years** after last action:

- Medical Case Records (including Employment Medical Examination Forms and disability disclosures);
- Student records that contain medical case records;
- Research records that contain medical case records;
- Personnel files that contain medical case records; and

This time period allows for the lessening of sensitivity and confidentiality with the passing of time.

The following State archives will have restricted access for **100 years after date of birth**:

- Personnel case files of executive or significant staff
- Recruitment of Vice Chancellor
- Election of the Chancellor & Pro Chancellor

This time period allows for the lessening of sensitivity and confidentiality with the passing of time.

**For ease of administrative access, all restricted access periods will begin from the date of last action, rather than the date of creation.**

#### **4.5 Transfer of State Archives**

Section 32(1) of the Act requires that government organizations must transfer their State archives to the state archives collection (the State Records Office) when the archives become 25 years old, unless otherwise specified in their approved Recordkeeping Plan. Universities are to consult with the State Records Office if their intention is to transfer state archives after the prescribed period (25 years) or retain the archives permanently.

Appendix 1 of this WAUSDA identifies, for each University, those state archives which will be transferred to the state archives collection at a time other than that prescribed and which state archives will be retained permanently by the University, and the reasons for not transferring.

The provisions set out in Appendix 1 are indicative of previously approved arrangements which will remain in place while this authority is current. Before the next review of this Authority the Universities will work with the SRO to develop and update formal agreements in regard to the transfer of State Archives.

## **5. Use of The WAUSDA**

### **5.1 Arrangement of the WAUSDA**

The WAUSDA applies to University records in all formats that are created or received by Western Australian public universities. The WAUSDA has a hierarchical structure which reflects its arrangement according to functions and activities. WAUSDA has been divided into two parts; Part A covers Common Activities. Part B covers records under 21 administrative and functional Keywords.

- COMMON ACTIVITIES
- COLLECTION MANAGEMENT
- COMMUNITY RELATIONS
- COMPENSATION
- EQUIPMENT & STORES
- ESTABLISHMENT
- EXTERNAL RELATIONS
- FACILITIES MANAGEMENT
- FINANCIAL MANAGEMENT
- INFORMATION MANAGEMENT
- LEGAL SERVICES
- OCCUPATIONAL HEALTH & SAFETY
- PERSONNEL
- PUBLICATIONS
- RESEARCH

- STRATEGIC MANAGEMENT
- STAFF DEVELOPMENT
- STUDENT ADMINISTRATION
- STUDENT SERVICES
- TEACHING & LEARNING
- TECHNOLOGY & TELECOMMUNICATIONS

## 5.2 Significant Records

In the WAUSDA, each class of records has usually been assigned one Disposal Action (for example 'Archive' or 'Destroy'). However, in several cases it has been considered appropriate to split a class of records into two, such that some of the records are 'Archive' and some are 'Destroy'.

In these cases the term 'Significant' has been used to identify records of archival value and the term 'Non-significant' has been used to identify records that may be destroyed.

The criteria for determining which records are 'Significant' within a class are:

- concern major liabilities, functions or obligations of the University;
- relate to the development of University legislation, regulations, or policy;
- significantly impact or affect the University's functions or structure e.g. changes to University functions;
- were precedent setting; or
- involved substantial academic or public debate or controversy;
- generated wide academic or community interest;
- caused major changes to University policy;
- achieved outstanding, extraordinary or incomparable aptitude in their academic careers at the University;
- have been involved in criminal activity or legal action against the University;
- been expelled and /or banned from admitting or being readmitted to the University;
- achieved notoriety or fame during their university career or once they have left the University;
- involved items, works or property considered award winning, a local or regional landmark, heritage listed, culturally significant or is highly recognised;
- major functions, ceremonies or events that are official or are formal social occasions conducted by the University to enhance its internal and external relationships, or to promote its services or image;
- Substantial contribution to local, national or international cultural or academic landscape;
- Involves long term mutually beneficial academic or cultural and/or financial relationships or partnerships.

The value of records may change over time. In assessing records that have reached their minimum retention period and are due for destruction, officers should consider those that may have potential business or historical value, for possible further retention or archiving. Records that appear to be of interest as archival records should be referred to the State Records Office for review and evaluation.

### **5.3 Disposal of State Records**

Case by case authorization by the State Records Office for the destruction of university records in accordance with this WAUSDA is not necessary.

This WAUSDA sets the minimum periods for the retention of University records. Universities must not destroy or otherwise dispose of official records earlier than indicated in this WAUSDA without prior approval of the State Records Commission.

Disposition of a record may take one of three forms:

Archive (**denoted A**) – is a record category identified as having archival value, that is to be transferred to the SRO for permanent retention as State archives, unless otherwise specified in Appendix 1 of the WAUSDA.

Destroy (**denoted D**) – is a record category identified as having temporary value and which ultimately will be destroyed.

Retain within University (**denoted R**) – is a record category which has been identified as not having archival value, but will be retained permanently within the university.

### **5.4 Retaining State Records for Longer Periods**

Universities may wish to retain records for longer than the stated minimum retention periods set out in this WAUSDA, either for administrative convenience or to provide a particular service to their clientele.

Temporary records may be retained for longer periods without reference to the State Records Office. If such decisions are taken, the universities should document why the longer retention periods were adopted.

### **5.5 Files Containing State Records with Differing Retention Periods or with Mixed Dispositions**

Where files contain records with differing retention periods, the complete file must be retained for the longest retention period stated in this WAUSDA in order to comply with statutory requirements.

In the instance where temporary and archival value records are kept on the same file, the complete file must be archived.

NB: in both cases, individual pages/documents must NOT be culled (removed) from files.

## **5.6 Responsibility for Destruction of State Records**

It is the responsibility of the Vice Chancellor or authorised delegate of the university to ensure that official records are not destroyed except in accordance with this WAUSDA. A record of destroyed records and certificates of destruction must be retained. Records should be reviewed periodically for potential historical interest and referral to the State Records Office.

See also section 5.2 of this Introduction, "Significant Records".

## **5.7 Recommended Methods of Destruction of State Records**

The destruction of State records must be done completely so that no information is retrievable.

### **5.7.1 Hard Copy Records**

Hard copy (paper) records should be destroyed by shredding, pulping or trommelling. Burning, burying or dumping of university records are not acceptable methods of destruction.

### **5.7.2 Electronic Records**

Electronic records should be destroyed either by physical destruction of the storage medium (e.g. cutting, smashing, or pulverising) or by such methods as digital file shredding. Destruction methods must ensure that information is unrecoverable. Rewriting, degaussing and reformatting can be used to scramble data which makes recovery more difficult, but organizations must be aware that data can still be retrieved after applying these methods.

The use of the "delete" function in software packages is not sufficient to destroy electronic records stored on electronic storage devices or removable media such as hard disks, USB drives and rewritable optical disks, as the information may still be recovered. For more information please see the State Records Office Guideline on, Sanitizing Digital Media and Devices.

### **5.7.3 Microform and Tape Records**

Where records are stored on microform, film or tape (audio or video), the storage medium should be physically destroyed, or the information overwritten, so that no information is retrievable. Shredding, cutting or chemical recycling are appropriate methods of destroying such records.

## **5.8 Definition of terms used in the WAUSDA**

Except where otherwise described, terms used in common with the State Records Act 2000 will have the meaning prescribed in that Act.

### **Council / Senate**

The governing body which controls and manages the operation, affairs, concerns and property of the University to ensure its goals are met

### **Disposal Action**

Specifies the disposition of the government record. The final disposition is assigned according to whether or not the record is of archival value.

The disposition will be either Archive (A), Destroy (D), or retain with University (R)

- A (Archive) - A record category identified as having archival value, that is to be transferred to the State Records Office for permanent retention as State archives unless otherwise specified in Appendix 1 of the WAUSDA.
- D (Destroy) - A record category identified as having temporary value and which ultimately will be destroyed.
- R (Retain within University) – A record category which has been identified as not having archival value, but will be retained permanently within the University.

### **Disposition**

The final decision which determines whether records will be archived, destroyed or retained.

### **Government record**

A record created or received by a government organization or a government organization employee in the course of the employee's work for the organization.

### **Last Action**

See Recommended Custody

### **Metadata**

“Data about data” or a description of information or documents which may contain data about their form and content. When used in the context of electronic records it includes the structure that supports the electronic record, e.g. directory tree or index and software information, such as appropriate executable files relating to the software, and data files necessary in order to run the software program.



**Recommended Custody**

Specifies the retention period for which records are to be retained and the action or trigger that begins the retention period.

Disposal triggers include “after last action”, which refers to the last date that a matter was noted on the record. This date is used to establish a date for closing the record and effecting the disposal action. Other disposal triggers include “after successful audit” (see “Successful Audit” in these Definitions), “when superseded”, and “after expiry of contract”.

**Restricted Access Archives**

A restricted access archive is “a State archive that is a government record and to which access is restricted until it is of a certain age”

**Significant Record**

See “Significant Records” in the Introduction, section 5.2

**State Record**

Any record of information however recorded which has been created, received or kept by a State organization or a State organization employee in the course of the employee’s work for the organization.

**State Organization**

A government organization, as described in Schedules 1 and 3 of the State Records Act 2000, or a parliamentary department.

**Successful Audit**

Successful completion of the audit for the financial year to which the records in question apply.

**Superseded**

A superseded record is one that is replaced by the production of a new version or amendment.

## **6. Bibliography**

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## **Appendix 1.1 - State Archives to be retained by Curtin University**

The following is a list of the categories of State Archives Curtin University maintain in the John Curtin Prime Ministerial Library (JCPML) repository.

State Archive records that will not be transferred to the SRO are:

- Amendments to Grades (17.5.21)
- Records pertaining to donations of significance to Curtin (1.5.1)
- Examination Papers – approved master set (17.8.3)
- Exhibitions of significance to Curtin (1.6.1)
- Graduate Register (17.10.1)
- Graduation Program (17.10.4)
- Register of recipients of awards (17.14.7)
- Student Academic Record / Final Results (17.1.1)

The above categories are of historical significance to the University and are integral to the collection of historic records, memorabilia, etc. Requests for information relating to students are routinely received and are more efficiently processed through having the records available on site and housed in the University Archives.

The Archives are located in a subsection of the JCPML repository and accommodates mostly permanent records of historic and legal value. The archives collection is housed in a high quality, environmentally controlled repository equipped with fire suppression system, and fire and smoke alarms. Air conditioning is available 24 hours per day. The facility complies with the Australian standard AS15489 for physical storage.

## **Appendix 1.2 - State Archives to be retained by Edith Cowan University**

The following is a list of the categories of State Archives the University retains in the purpose built ECU Archives facility. State Archive records that will not be transferred to the SRO are:

- Amendments to Grades (17.5.21)
- Records pertaining to donations of significance to ECU (1.5.1)
- Examination Papers – approved master set (17.8.3)
- Exhibitions of significance to ECU (1.6.1)
- Graduate Register (17.10.1)
- Graduation Program (17.10.4)
- Register of recipients of awards (17.14.7)
- Student Academic Record / Final Results (17.1.1)

The above categories are of historical significance to the University and are integral to the collection of historic records, memorabilia, etc. Requests for information relating to students are routinely received and are more efficiently processed through having the records available on site and housed in the University Archives.

The Archives facility located at the Joondalup campus accommodates mostly permanent records of historic and legal value. The archives collection is housed in a high quality, environmentally controlled repository equipped with halon gas, fire suppression system, and fire and smoke alarms. Air conditioning is available 24 hours per day. The facility has storage capacity for 2000 linear metres and complies with the Australian standard AS15489 for physical storage.

### **Appendix 1.3 - State Archives to be retained by Murdoch University**

Murdoch University do not retain any State Archives on site. All State Archives are transferred to the State Records Office under Section 32(1)-(2) of the State Records Act 2000.

### **Appendix 1.4 - State Archives to be retained by The University of Western Australia**

The University of Western Australia retains all categories of State Archives in-house where they are preserved and managed by Archives and Records Management Services under the direction of the University Archivist. The state archives of The University of Western Australia are of historical significance and are integral to the day to day operations of the University and complement the collection of historic records and memorabilia held by the University. Requests for information relating to the University, its past students and staff are routinely received and are more efficiently processed through having the records available on campus.

The Library Board of Western Australia at its meeting of 1st April 1982 authorised The University of Western Australia under Section 26(i) of the Library Board Act, 1951 to maintain its own archives, providing the following conditions were met:

- To continue to employ a qualified archivist to supervise the records;
- To provide adequate housing for the archives; and,
- To transfer the custody of these records to the State Archives should either of these prove impossible.

Under the State Records Act 2000, the responsibility for authorising the retention of State archives by a government agency passed to the State Records Commission. The agreement to retain archives in-house was restated in The University of Western Australia Record Keeping Plan approved by the SRC for use in March 2004 and in the revised RKP in 2007. The commitment to retain State Archives in-house was restated in the UWA Disposal Authority RD2008061 which was approved by the SRC for use in October 2009.

The University continues to administer State archives more than twenty-five (25) years old in accordance with Section 16 (6) of the State Records Act 2000 and State Records Commission Standard 5, Principle 2: Retention of State Archives by Government Organisations. The University of Western Australia archive repositories are located on the Crawley campus where they are housed in a high quality, environmentally controlled conditions in accordance with SRC Standard 7, Storage of State Archives retained by State Organizations, whilst ensuring the archives remain accessible to the organisation's stakeholders and the wider community.

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## Western Australian University Sector Disposal Authority

Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No    | Function/Activity        | Description   | Disposal Action   | Custody |
|-------|--------------------------|---|---|---------|
| 0.0.0 | <b>COMMON ACTIVITIES</b> | These activities may be used in conjunction with any keyword as appropriate.  |   |         |
| 0.1.0 | <b>Advice</b>            | The receipt or provision of advice to, or from, the organisation.   |   |         |
| 0.1.1 |                          | <b>Significant</b> advice<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant   | Retain minimum of 5 years after action completed, then transfer to Archives     | A       |
| 0.1.2 |                          | <b>Non significant</b> advice, not included in 0.1.1, provided or received relating to routine operational or administrative matters  | Retain minimum of 7 years after action completed, then destroy                  | D       |
| 0.2.0 | <b>Agreements</b>        | Records relating to the establishment, ongoing management and finalisation of contracts, agreements and joint ventures.<br><br><i>See also General Disposal Authority for Administrative Records</i>  |   |         |
| 0.2.1 |                          | Confidentiality agreements signed by University personnel or students whom agree to abide by the provisions outlined in the agreement.  | Retain minimum of 1 year after expiry or termination of agreement, then destroy | D       |
| 0.3.0 | <b>Arrangements</b>      | The preliminary measures and preparations undertaken to ensure that a planned process or action takes place. Includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space. This includes timetabling, venue bookings, teaching loads, preparing travel itineraries, authorisations, entitlements etc.<br><br>See also <b>STUDENT ADMINISTRATION - GRADUATION CEREMONIES</b> for records associated with the planning and |   |         |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No                                      | Function/Activity       | Description  | Disposal Action  | Custody |
|---|-------------------------|--|--|---------|
| <i>COMMON ACTIVITIES - Arrangements</i> |                         |  |  |         |
|   |                         | coordination of graduation ceremonies.<br><br>See also <b>COMMUNITY RELATIONS - EVENT PLANNING</b> for the coordination of University events other than graduation ceremonies  |  |         |
| 0.3.1                                   |                         | Arrangements for travel including the preparation of itineraries, authorisations, entitlements. Includes field trips, excursions and research work conducted in isolated environments.   | Retain minimum of 7 years after action completed, then destroy | D       |
| 0.3.2                                   |                         | Arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space, catering, room bookings.   | Retain minimum of 2 years after action completed, then destroy | D       |
| 0.4.0                                   | <b>Customer Service</b> | The planning, monitoring and evaluation of services provided by the University.<br><br>See also <i>General Disposal Authority for Administrative Records</i><br><b>STRATEGIC MANAGEMENT - CUSTOMER SERVICE</b> for customer service strategies |  |         |
| 0.4.1                                   |                         | The development and administration of an internal service charter.   | Retain a minimum of 3 years after superseded, then destroy     | D       |
| 0.4.2                                   |                         | The planning, monitoring and evaluation of services. Includes market research, feedback mechanisms and performance and response time monitoring.   | Retain minimum of 5 years after action completed, then destroy | D       |
| 0.5.0                                   | <b>Enquiries</b>        | Requests for information about the organisation and its services.  |  |         |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No                                   | Function/Activity     | Description   | Disposal Action  | Custody |
|--------------------------------------|-----------------------|---|--|---------|
| <i>COMMON ACTIVITIES</i> - Enquiries |                       |   |  |         |
|                                      |                       | <p>See also <i>General Disposal Authority for Administrative Records</i><br/> <b>INFORMATION MANAGEMENT - ENQUIRIES</b> for enquiries relating to Information Management</p> <p>See also <i>General Disposal Authority for Administrative Records</i><br/> <b>PUBLICATIONS - ENQUIRIES AND REQUESTS</b> for enquiries relating to publications</p> <p>See also <i>General Disposal Authority for Administrative Records</i><br/> <b>TENDERS</b> for enquiries relating to tenders</p> <p>See also <i>General Disposal Authority for Administrative Records</i><br/> <b>COMMUNITY RELATIONS - ENQUIRIES</b> for enquiries from members of the public</p> <p>See also <i>General Disposal Authority for Administrative Records</i><br/> <b>GOVERNMENT RELATIONS - ENQUIRIES</b> for enquiries from other governments or government agencies</p> |  |         |
| 0.5.1                                |                       | Request for detailed information.   | Retain minimum of 5 years after action completed, then destroy | D       |
| 0.5.2                                |                       | Requests for basic or routine information   | Retain minimum of 2 years after action completed, then destroy | D       |
| 0.5.3                                |                       | Enquiries - Registers   | Retain minimum of 5 years after action completed, then destroy | D       |
| 0.6.0                                | <b>Implementation</b> | Carrying out or putting into action, plans, policies, procedures  |  |         |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No  | Function/Activity          | Description   | Disposal Action   | Custody |
|---|----------------------------|---|---|---------|
| <i>COMMON ACTIVITIES - Implementation</i> |                            |   |   |         |
|   |                            | <p>or instructions, all of which could be internally or externally driven. Includes monitoring to ensure the implementation goes according to schedule and that standards are met</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>TECHNOLOGY &amp; TELECOMMUNICATIONS</b> for the implementation of systems or applications</p> |   |         |
| 0.6.1                                     |                            | The implementation of policies, plans, procedures or instructions to meet benchmarks or standards to enhance quality and efficiency.  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 0.7.0                                     | <b>Incident Management</b> | A comprehensive investigation of an incident that occurs on or off campus that affects the University.  |   |         |
| 0.7.1                                     |                            | <p>Case files for the management of <b>significant</b> incidents. Incidents may affect the University as a whole, staff, students, visitors, property and facilities, vehicles etc</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 0.7.2                                     |                            | Case files for the management of <b>non significant</b> incidents, not included in 0.7.1. Incidents may affect the University as a whole, staff, students, visitors, property and facilities, vehicles etc  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 0.8.0                                     | <b>Liaison</b>             | Regular ongoing contact between the University and external bodies. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.  |   |         |

## Western Australian University Sector Disposal Authority

Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No                                 | Function/Activity         | Description  | Disposal Action   | Custody |
|------------------------------------|---------------------------|--|---|---------|
| <i>COMMON ACTIVITIES - Liaison</i> |                           |  |   |         |
| 0.8.1                              |                           | Regular ongoing contact with other organisations, government agencies, local governments and professional and industry associations and community groups.  | Retain minimum of 5 years after action completed, then destroy              | D       |
| 0.9.0                              | <b>Planning</b>           | Records relating to the process of formulating formal plans to achieve specific objectives. Includes determination of services, needs and solutions to those needs.<br><br>See also <b>STUDENT ADMINISTRATION - PLANNING</b> for student-based planning activities such as student load intakes.   |   |         |
| 0.9.1                              |                           | The planning of significant University functions and processes.<br><br>See also <i>General Disposal Authority for Administrative Records</i> <b>STRATEGIC MANAGEMENT - PLANNING</b> for planning that affects university wide strategic corporate and business plans.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 0.9.2                              |                           | The planning of non significant functional activities and processes i.e. operational level planning.   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 0.9.3                              |                           | Working papers used in developing University plans.  | Retain minimum of 5 years after action completed, then destroy              | D       |
| 0.10.0                             | <b>Project Management</b> | The discipline of planning, organising and managing resources to bring about the successful completion of a project utilizing a combination of techniques, procedures, people and systems. Includes the organising and management of resources (people, finance etc) in such a way that the project is completed within a defined scope, quality, time and cost constraint. Use this activity for documentation created as a result of defining, |   |         |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No  | Function/Activity | Description  | Disposal Action   | Custody |
|---|-------------------|--|---|---------|
| <i>COMMON ACTIVITIES - Project Management</i> |                   |  |   |         |
|   |                   | <p>planning, approval, implementation and evaluation a project. Includes records such as progress reports &amp; project meetings and project execution plans.</p> <p>See also <b>RESEARCH</b> for projects relating to research activities</p>   |   |         |
| 0.10.1  |                   | <p><b>Significant</b> projects that have a defined project management life cycle from their initiation, planning, execution, monitoring to their closure. Includes templates, models, process diagrams and guidelines undertaken by the University.</p> <p>Does NOT include Research Projects.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p> | Retain a minimum of 5 years after project is completed or discontinued, then Archive. | A       |
| 0.10.2  |                   | <p><b>Non significant</b> projects not included in 0.10.1, that have a defined project management life cycle from their initiation, planning, execution, monitoring to their closure. Includes templates, models, process diagrams and guidelines undertaken by the University.</p> <p>Does NOT include Research Projects.</p>   | Retain a minimum of 7 years after project is completed or discontinued, then destroy. | D       |
| 0.11.0  | <b>Reporting</b>  | <p>Formal reporting against the University business and corporate activities.</p> <p>See also <b>RESEARCH - REPORTING</b> for reporting as part of research administration or research project</p>   |   |         |
| 0.11.1  |                   | Annual submissions to the State or the Commonwealth Government on core business activities. Includes statutory   | Retain minimum of 5 years after action completed, then                                | A       |

## Western Australian University Sector Disposal Authority

Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No                                   | Function/Activity      | Description  | Disposal Action   | Custody |
|--------------------------------------|------------------------|--|---|---------|
| <i>COMMON ACTIVITIES - Reporting</i> |                        |  |   |         |
|                                      |                        | reporting in relations to research and teaching activities   | transfer to Archives  |         |
| 0.11.2                               |                        | Reports (Including Statistics) relating to the course and teaching evaluation that are not reproduced elsewhere.   | Retain in agency  | R       |
| 0.11.3                               |                        | Reports (Including Statistics) relating to the course and teaching evaluation that are reproduced elsewhere.   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 0.12.0                               | <b>Representatives</b> | The nomination, appointment, resignation from and/or termination of representatives.<br><br><i>See also General Disposal Authority for Human Resource Management Records <b>ACCIDENTS AND HAZARDS</b> for the appointment of Health and Safety representatives, first aid officers, fire wardens etc</i> |   |         |
| 0.12.1                               |                        | Nomination, appointment and resignation of University personnel in community groups or organisations.  | Destroy 2 years after resignation or term of office expires                 | D       |
| 0.13.0                               | <b>Reviewing</b>       | The re-examining of existing products, processes, procedures, standards and systems with the view to improve or change it. Includes recommendations and advice resulting from these activities.  |   |         |
| 0.13.1                               |                        | A review of <b>significant</b> university strategies, programs and operations. Includes documents establishing the review, final report and action plan.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No                                   | Function/Activity            | Description   | Disposal Action  | Custody |
|--------------------------------------|------------------------------|---|--|---------|
| <i>COMMON ACTIVITIES - Reviewing</i> |                              |   |  |         |
| 0.13.2                               |                              | A review of <b>non significant</b> , general operational matters, services, procedures and systems, not included in 0.13.1.   | Retain minimum of 7 years after action completed, then destroy               | D       |
| 0.13.3                               |                              | Supplementary records, drafts and working papers of <b>significant</b> reviews.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant | Retain minimum of 10 years after action completed, then destroy              | D       |
| 0.13.4                               |                              | Supplementary records, drafts and working papers for <b>non significant</b> or external reviews.  | Retain minimum of 2 years after action completed, then destroy               | D       |
| 0.13.5                               |                              | Contribution to external reviews.   | Retain minimum of 7 years after action completed, then destroy               | D       |
| 0.14.0                               | <b>Standards</b>             | The standards internal or external to the University that guide services or conduct.  |  |         |
| 0.14.1                               |                              | The development, review and amendment of University standards including technical, engineering, quality and operational standards and specifications.                               | Retain minimum of 10 years after action completed, then transfer to Archives | A       |
| 0.14.2                               |                              | University input to standards developed by external organisations.  | Retain minimum of 5 years after action completed, then destroy               | D       |
| 1.0.0                                | <b>COLLECTION MANAGEMENT</b> |   |  |         |



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| No   | Function/Activity  | Description   | Disposal Action   | Custody |
|--|--------------------|---|---|---------|
| <i>COLLECTION MANAGEMENT - Acquisition</i> |                    |   |   |         |
|  |                    | University or on loan to the University. Includes the ongoing care and preservation of items and artefacts in the collection.<br><br>See also <b>INFORMATION MANAGEMENT</b> for the management of business information such as government records, State or University Archives and library materials |   |         |
| 1.1.0                                      | <b>Acquisition</b> | The process of gaining ownership of University art, museum and private archive collection materials.<br><br>See also <b>COLLECTION MANAGEMENT - DONATIONS</b> for items acquired through donation<br><br>See also <b>COLLECTION MANAGEMENT - CONTROL</b> for registers of acquisitions                |   |         |
| 1.1.1                                      |                    | <b>Significant</b> acquisitions of art, museum and private archive collection materials.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 1.1.2                                      |                    | <b>Non significant</b> acquisitions of art, museum and private archive collection materials, not included in 1.1.1  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 1.1.3                                      |                    | Initial assessment of potential acquisitions of art, museum and private archive collection materials.   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 1.1.4                                      |                    | Planning and management of commissioned portraits of the University Vice Chancellor and other University dignitaries.   | Retain minimum of 5 years after action completed, then                      | A       |

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| No  | Function/Activity   | Description  | Disposal Action   | Custody |
|---|---------------------|--|---|---------|
| <i>COLLECTION MANAGEMENT - Conservation</i> |                     |  |   |         |
|   |                     |  | transfer to Archives  |         |
| 1.2.0                                       | <b>Conservation</b> | <p>The conservation, preservation, maintenance and restoration of artefacts or items of the collections. This includes conservator reports, summaries of action, photographs, recommendations and other records that document such activities. Also includes records that document the activities of general conservation and preservation such as temperature and humidity control and pest control in storage areas.</p> <p><i>See also General Disposal Authority for Administrative Records</i></p> <p><b>FACILITIES MANAGEMENT - MAINTENANCE</b></p> <p><i>See also General Disposal Authority for Administrative Records</i></p> <p><b>INFORMATION MANAGEMENT - CONSERVATION</b> for the conservation and preservation of library materials and government records including University and State Archives</p> |   |         |
| 1.2.1                                       |                     | Monitoring and control of conditions of exhibitions and storage spaces. Includes activities such as temperature, pest and humidity control and monitoring.   | Retain minimum of 10 years after action completed, then destroy                           | D       |
| 1.2.2                                       |                     | Conservation and preservation carried out directly to an item or artefact such as repairs, deacidification etc.  | Retain a minimum of 7 years after artefact or item has been de-accessioned, then destroy. | D       |
| 1.3.0                                       | <b>Control</b>      | Creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration to ensure maximum control over items in the collection.   |   |         |
| 1.3.1                                       |                     | The cataloguing or registering of artefacts or items within the  | Retain in agency  | R       |

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| No                                     | Function/Activity | Description  | Disposal Action   | Custody |
|--|-------------------|--|---|---------|
| <i>COLLECTION MANAGEMENT - Control</i> |                   |  |   |         |
|  |                   | collection. These control records may include catalogues, finding aids, card systems, inventories, indexes, registers, electronic control systems or any other mechanism used to list and describe the items of the collection.  |   |         |
| 1.3.2                                  |                   | Registers of collection items acquired for University Museums, registers of artwork acquisitions by the University including purchases and donations.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 1.4.0                                  | <b>Disposal</b>   | The process of disposing of collection items no longer required by the University, by sale, transfer, auction, or destruction.   |   |         |
| 1.4.1                                  |                   | The disposal or de-accessioning of collections, artefacts or items from a collection by sale, transfer, donation or destruction.   | Retain in agency  | R       |
| 1.5.0                                  | <b>Donations</b>  | <p>Managing money, items, artefacts donated to or from the University collections. Includes donations of items by bequest or endowment and includes managing unsolicited donations.</p> <p>See also <b>COMMUNITY RELATIONS - FUNDRAISING</b> for activities carried out to receive money or other benefits through donations</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>COMMUNITY RELATIONS - DONATIONS</b> for other donations such as those for research, prizes and scholarships</p> <p>See also <b>COLLECTION MANAGEMENT - DISPOSAL</b> for donations from the University</p> |   |         |
| 1.5.1                                  |                   | <b>Significant</b> donations to the university collections such as the   | Retain minimum of 5 years   | R       |

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| No                                       | Function/Activity  | Description   | Disposal Action  | Custody |
|--|--------------------|---|--|---------|
| <i>COLLECTION MANAGEMENT - Donations</i> |                    |   |  |         |
|  |                    | <p>art gallery or museums. Includes those donations acquired from private collections deeded to the university that fall within the collection policies.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>  | after action completed, then transfer to Archives              |         |
| 1.5.2                                    |                    | <p><b>Non significant</b> donations to the university's collections of little cultural or research value, not included in 1.5.1. These donations may include duplicated items or artefacts that are already in the collection, or those donations that are accepted but do not meet the collection policies.</p>  | Retain minimum of 7 years after action completed, then destroy | D       |
| 1.6.0                                    | <b>Exhibitions</b> | <p>The planning, implementation and management of exhibitions, festivals and programmes coordinated by the University Archives, galleries and museums. Includes exhibition files, programme files, loan information regarding borrowed items, general advice or correspondence and associated information that informs the exhibition/programme such as artist files and research files.</p> <p>See also <b>COMMUNITY RELATIONS - MEDIA RELATIONS</b> for records relating to reviews or media releases about exhibitions</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>PUBLICATIONS - ORGANISATIONAL PUBLICATIONS</b> for records relating to exhibition publications / catalogues</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>COMMUNITY RELATIONS - EXHIBITIONS</b> for records relating to the administrative arrangements of exhibitions including catering</p> |  |         |

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| No   | Function/Activity  | Description  | Disposal Action   | Custody |
|--|--------------------|--|---|---------|
| <i>COLLECTION MANAGEMENT - Exhibitions</i> |                    |  |   |         |
| 1.6.1                                      |                    | <p><b>Significant</b> exhibitions and programmes including those of art, museum and private archive collections. Includes associated curatorial notes and lending of items.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 1.6.2                                      |                    | <p><b>Non significant</b> exhibitions and programmes including those of art, museum and private archive collections, not included in 1.6.1. Includes associated curatorial notes and lending of items.</p>   | Retain minimum of 10 years after action completed, then destroy             | D       |
| 1.7.0                                      | <b>Lending Out</b> | <p>Granting the use of items from University collections. Includes correspondence (not including formal agreements) that set out conditions, rights and responsibilities of both parties. Also includes courier delivery docket, condition reports and all associate correspondence. Lending may occur within the university or to external organisations for displays and exhibitions.</p> <p>See also <b>INFORMATION MANAGEMENT - LENDING</b> for records relating to loans of information resources and publications</p> <p>See also <b>COLLECTION MANAGEMENT - EXHIBITIONS</b> for records relating to items borrowed by the university for exhibitions.</p> |   |         |
| 1.7.1                                      |                    | <p>Lending of items from University collections to internal clients for use in a display, event or exhibition.</p> <p>See also <b>COLLECTION MANAGEMENT - EXHIBITIONS</b> for</p>  | Retain a minimum of 7 years after item returned, then destroy               | D       |

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| No                                     | Function/Activity | Description   | Disposal Action  | Custody |
|--|-------------------|---|--|---------|
| <i>COLLECTION MANAGEMENT - Privacy</i> |                   |   |  |         |
|  |                   | lending of items from the university collection to external clients   |  |         |
| 1.8.0                                  | <b>Privacy</b>    | <p>The application of the principles of privacy in the collection, handling, use and disclosure of art, museum or private archive collections that are of a private, personal or confidential nature in order to maintain the rights of a living person (or immediate family).</p> <p>See also <b>COLLECTION MANAGEMENT - SECURITY</b> for activities associated with managing access to collections</p> <p>See also <b>INFORMATION MANAGEMENT - SECURITY</b> for breaches of privacy</p>                 |  |         |
| 1.8.1                                  |                   | <p>Application of the Information Privacy Principles (IPP) to the University's museum, private archives and art collections. Includes records relating to the development of access restrictions and the ongoing protection of information to ensure privacy.</p>   | Retain minimum of 5 years after action completed, then destroy | D       |
| 1.9.0                                  | <b>Security</b>   | <p>Measures taken to manage access to protect artefacts and items in art, museum and private archive collections from accidental or intentional damage.</p> <p>See also <b>COLLECTION MANAGEMENT - PRIVACY</b> for the administration and management of privacy provisions for art, museum and private archive collections</p> <p>See also <b>FACILITIES MANAGEMENT - SECURITY</b> for security arrangements for University property</p> <p>See also <b>INFORMATION MANAGEMENT - SECURITY</b> for the</p> |  |         |

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| No                                      | Function/Activity          | Description  | Disposal Action  | Custody |
|---|----------------------------|--|--|---------|
| <i>COLLECTION MANAGEMENT - Security</i> |                            |  |  |         |
|   |                            | administration and management of access to records including state archives  |  |         |
| 1.9.1                                   |                            | <p>The management of restricted items or artefacts such as oral histories in culturally significant art, museum or private archive collections such as Indigenous collections.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>   | Retain in agency   | R       |
| 1.9.2                                   |                            | The provision of access to and use of university art, museum or private archive collections according to a collection access policy. These records include applications for access, access conditions and registers of access.   | Retain minimum of 5 years after action completed, then destroy | D       |
| 1.9.3                                   |                            | The management of security arrangements for handling items and artefacts within the University art, museum or private archive collections.   | Retain minimum of 5 years after action completed, then destroy | D       |
| 2.0.0                                   | <b>COMMUNITY RELATIONS</b> | <p>The function of establishing rapport with the community and raising and maintaining the University's broad public profile. Includes marketing, advertising, fundraising, media liaison, exhibitions, celebrations, ceremonies, public lectures, speeches, official representation at functions and participation in community activities. Also includes relationships with professional bodies and industry, the management of customer services, handling reactions to those services, customer consultation and feedback.</p> <p>See also <i>General Disposal Authority for Administrative Records</i><br/><b>COMMUNITY RELATIONS</b></p> |  |         |

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| No  | Function/Activity           | Description   | Disposal Action   | Custody |
|---|-----------------------------|---|---|---------|
| <i>COMMUNITY RELATIONS - Alumni Relations</i> |                             |   |   |         |
| 2.1.0   | <b>Alumni Relations</b>     | The management of relations with University Alumni and associates.  |   |         |
| 2.1.1   |                             | <b>Significant</b> Alumni association promotions, events or activities.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.1.2   |                             | <b>Non significant</b> alumni association promotions, events or activities, not included in 2.1.1.  | Retain minimum of 5 years after action completed, then destroy              | D       |
| 2.1.3   |                             | Master register of alumni members   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.1.4   |                             | Membership details including personal alumni details, notification of members details and changes to personal details   | Retain minimum of 1 year after action completed, then destroy               | D       |
| 2.2.0   | <b>Animal Care Services</b> | The provision of veterinary care services to the general community.   |   |         |
| 2.2.1   |                             | Groundbreaking / precedent setting surgery or treatment of animals  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.2.2   |                             | The treatment of animals such as client files, consent forms, surgery records, pathology reports and post mortem reports.   | Retain minimum of 5 years after action completed, then destroy              | D       |



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| No  | Function/Activity          | Description   | Disposal Action   | Custody |
|---|----------------------------|---|---|---------|
| <i>COMMUNITY RELATIONS - Animal Care Services</i> |                            |   |   |         |
|   |                            | Includes the prescription of drugs and register of drugs  |   |         |
| 2.2.3   |                            | Appointment registers for veterinary consultations.   | Retain minimum of 1 year after action completed, then destroy               | D       |
| 2.3.0   | <b>Awards</b>              | <p>The establishment, bestowal and administration of awards and honours to members of the community for outstanding achievement or endeavour. Includes Honorary Awards.</p> <p><i>See also General Disposal Authority for Administrative Records</i><br/> <b>CELEBRATIONS, CEREMONIES AND FUNCTIONS</b></p> <p>See also <b>PERSONNEL - RECOGNITION</b> for awards and recognition of university staff</p> <p>See also <b>STUDENT ADMINISTRATION - SCHOLARSHIPS, PRIZES AND AWARDS</b> for student awards and prizes</p> |   |         |
| 2.3.1   |                            | The establishment, administration and bestowal of awards to the community by the University. Includes Honorary awards such as Honorary doctorates.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.4.0   | <b>Child Care Services</b> | The provision of child care services to staff, students and the general community.  |   |         |
| 2.4.1   |                            | <p>Personal case file of each child</p> <p>This includes records relating to the</p> <ul style="list-style-type: none"> <li>· child's personal information</li> </ul>   | Retain a minimum of 25 years after date of birth, then destroy              | D       |

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| No   | Function/Activity       | Description  | Disposal Action  | Custody |
|--|-------------------------|--|--|---------|
| <i>COMMUNITY RELATIONS - Child Care Services</i> |                         |  |  |         |
|  |                         | <ul style="list-style-type: none"> <li>· attendance</li> <li>· parental authorisation</li> <li>· special requirements</li> <li>· particulars of treatment to be given to a child or any medication administered to a child by a member of the service</li> <li>· injuries that require first aid</li> <li>· parent / guardian reports or serious complaints about child care.</li> </ul> <p>Also includes records relating to the death of a child where the child dies while in the care of the child care service.</p> |  |         |
| 2.4.2  |                         | Unsuccessful applications for places for childcare. Includes records of interviews, waiting lists etc.   | Retain minimum of 2 years after action completed, then destroy | D       |
| 2.4.3  |                         | Records of documented observations concerning a child's interactions and developmental progress and learning and developmental plans for individual children etc.  | Retain minimum of 1 year after action completed, then destroy  | D       |
| 2.4.4  |                         | Records relating to the administrative and routine operations of the childcare facility, i.e. catering, daily or weekly routines and programmes of activity.   | Retain minimum of 1 year after action completed, then destroy  | D       |
| 2.5.0  | <b>Community Grants</b> | The application for and receipt of community grants. Includes funding for community based activities such as festivals, the  |  |         |

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| No  | Function/Activity     | Description  | Disposal Action   | Custody |
|---|-----------------------|--|---|---------|
| <i>COMMUNITY RELATIONS - Community Grants</i> |                       |  |   |         |
|   |                       | museums, art galleries and other community related projects.<br><br>See also <b>COMMUNITY RELATIONS - SPONSORSHIP MANAGEMENT</b> for funding received from partners and sponsors of the University activities and events |   |         |
| 2.5.1   |                       | Summaries and reports generated and collated in the course of monitoring community grant related matters. Includes register listing details of applications and projects.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.6.0   | <b>Competitions</b>   | Activities associated with competitions run by the University.   |   |         |
| 2.6.1   |                       | Register and associated records of winners of <b>significant</b> competitions run by the University.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant                 | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.6.2   |                       | Register and associated records of winners of competitions run by the University deemed as <b>non significant</b> , not included in 2.6.1.   | Retain minimum of 2 years after action completed, then destroy              | D       |
| 2.6.3   |                       | The development of, and arrangements for, competitions run by the organisation.  | Retain minimum of 1 year after action completed, then destroy               | D       |
| 2.6.4   |                       | Competition entries received by the organisation.  | Retain minimum of 1 year after action completed, then destroy               | D       |
| 2.7.0   | <b>Event Planning</b> | The planning and organisation of university events that mark an occasion or honour a person. Includes official openings and  |   |         |

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| No  | Function/Activity | Description  | Disposal Action   | Custody |
|---|-------------------|--|---|---------|
| <i>COMMUNITY RELATIONS - Event Planning</i> |                   |  |   |         |
|   |                   | <p>ceremonies, public lectures, unveiling's, festivals, farewells and other functions.</p> <p>See also <b>COMMUNITY RELATIONS - EVENT PRODUCTION</b> for records relating to technical management of events and productions.</p> <p>See also <b>COMMUNITY RELATIONS - EVENT PROGRAMMING</b> for research, selection and development of events, performances and programs.</p> <p>See also <b>STUDENT ADMINISTRATION - GRADUATION CEREMONIES</b> for records associated with the planning and coordination of graduation ceremonies</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>COMMUNITY RELATIONS - CEREMONIES - CELEBRATIONS AND FUNCTIONS</b> for significant and unique events and addresses delivered at ceremonies, celebrations and functions</p> |   |         |
| 2.7.1                                       |                   | Register or master listing of functions held by the University.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.7.2                                       |                   | Transcripts of public lectures given by either University personnel or invited guests. These lectures may or may not be funded by bequest or endowment.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.7.3                                       |                   | The coordination of all university events, including logistical arrangements for musical or theatrical productions, open days, sport and leisure activities including the coordination of the Australian University Games, Intersarsity Sports and other   | Retain minimum of 7 years after action completed, then destroy              | D       |

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| No  | Function/Activity        | Description   | Disposal Action   | Custody |
|---|--------------------------|---|---|---------|
| <i>COMMUNITY RELATIONS - Event Production</i> |                          |   |   |         |
|   |                          | annual sporting or leisure trips.   |   |         |
| 2.8.0   | <b>Event Production</b>  | <p>The technical management and delivery of events, functions, ceremonies and festivals held by the University. May include stage development and modification, stage plans created by organisation, sets and prop construction records, lighting and sound arrangements and plans.</p> <p>See also <b>COMMUNITY RELATIONS – EVENT PLANNING</b> for arrangements associated with holding an event.</p> <p>See also <b>COMMUNITY RELATIONS - EVENT PROGRAMMING</b> for research, selection and development of events, performances and programs.</p> <p>See also <b>STUDENT ADMINISTRATION - GRADUATION CEREMONIES</b> for records associated with the production of graduation ceremonies</p> |   |         |
| 2.8.1   |                          | <p>The technical production of <b>significant</b> events, such as festival, theatrical and musical productions.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.8.2   |                          | The technical production of all <b>non significant</b> events or productions that are not included in 2.8.1.  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 2.9.0   | <b>Event Programming</b> | The process of researching, selecting and developing a series of events, performances and programmes to form an integrated whole. Includes the processes involved in determining the  |   |         |

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| No   | Function/Activity | Description   | Disposal Action   | Custody |
|--|-------------------|---|---|---------|
| <i>COMMUNITY RELATIONS - Event Programming</i> |                   |   |   |         |
|  |                   | <p>artistic direction, themes and artistic content of events.</p> <p>See also <b>COMMUNITY RELATIONS – EVENT PLANNING</b> for arrangements associated with holding an event.</p> <p>See also <b>COMMUNITY RELATIONS - EVENT PRODUCTION</b> for the technical production of individual events.</p> <p>See also <b>STUDENT ADMINISTRATION - GRADUATION CEREMONIES</b> for records associated with the programming of graduation ceremonies</p>  |   |         |
| 2.9.1  |                   | <p>Records relating to negotiations with artists, writers, performers, publishers, agents to encourage them to participate or collaborate in <b>significant</b> University events. May include artist and event background information, negotiation of specific agreement conditions, ongoing liaison for the duration of the agreement.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>COMMON ACTIVITIES - AGREEMENTS / CONTACTING OUT / JOINT VENTURES</b> for negotiations of agreements for non-significant events</p> | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.9.2  |                   | Records relating to negotiations and liaison with artists, performers, publishers, agents etc that did not result in a contract, but are to be considered for future participation.   | Retain minimum of 5 years after action completed, then destroy              | D       |
| 2.9.3  |                   | Records pertaining to artists submissions that are not included in programme and are not considered for inclusion in future   | Retain minimum of 1 year after action completed, then                       | D       |

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| No   | Function/Activity  | Description  | Disposal Action   | Custody |
|--|--------------------|--|---|---------|
| <i>COMMUNITY RELATIONS - Event Programming</i> |                    |  |   |         |
|  |                    | programmes. Includes unsolicited material or copies of originals sent by artists and organisations   | destroy   |         |
| 2.9.4  |                    | <p>The concepts, themes and artistic direction as well as the overall planning, selection and structure of each <b>significant</b> event. Includes research into potential themes and strategic programming direction.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.9.5  |                    | <p>The concepts, themes and artistic direction as well as the overall planning, selection and structure of each <b>non significant</b> event, not included in 2.9.4. Includes research into potential themes and strategic programming direction.</p>  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 2.10.0   | <b>Fundraising</b> | <p>Planning and organising fundraising campaigns and other programmes by the University to raise money or a receive benefits through donations.</p> <p>See also <b>COLLECTION MANAGEMENT – DONATIONS</b> for donations of artefacts and items to University cultural collections such as the art gallery or museums.</p> <p>See also <i>General Disposal Authority for Administrative Records - COMMUNITY RELATIONS - DONATIONS</i> for other non monetary donations to the University</p> <p>See also <i>General Disposal Authority for Financial and Accounting Records DONATIONS</i> for monetary donations to the University</p> |   |         |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No                                       | Function/Activity                     | Description   | Disposal Action   | Custody |
|--|---------------------------------------|---|---|---------|
| <i>COMMUNITY RELATIONS - Fundraising</i> |                                       |   |   |         |
| 2.10.1                                   |                                       | <p>The investigation, planning and organisation of high profile or <b>significant</b> fundraising campaigns, donation schemes or programmes to raise funds.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.10.2                                   |                                       | <p>The investigation, planning and organisation of <b>non significant</b> fundraising campaigns, donation schemes or programmes to raise funds not included in 2.10.1</p>   | Retain minimum of 5 years after action completed, then destroy              | D       |
| 2.11.0                                   | <b>Health &amp; Wellness Services</b> | <p>The provision of health and wellness services to staff, students and the general community. Includes services provided by University students in the course of their studies and under the supervision of professionals, clinical and teaching personnel. Also includes provision of pastoral care and religious / spiritual services and support such as chaplaincies.</p> <p>See also <b>STUDENT SERVICES - CAREER ADVICE</b> for career counselling provided to current and potential students.</p> <p>See also <i>General Disposal Authority for Human Resource Management Records</i> <b>COUNSELLING</b> for counselling services provided to employees of the organisation</p> |   |         |
| 2.11.1                                   |                                       | <p>Patient case files, other than Indigenous Australians, where the patient was less than 18 years old at the date of last entry in the record (-18 years). May include medical, counselling, fitness assessment or dental records.</p> <p>Please refer to 2.11.4 for patient files of Indigenous Australians</p>   | Retain a minimum of 25 years after date of birth, then destroy              | D       |



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| No  | Function/Activity | Description   | Disposal Action  | Custody |
|---|-------------------|---|--|---------|
| <i>COMMUNITY RELATIONS - Health &amp; Wellness Services</i> |                   |   |  |         |
| 2.11.2  |                   | <p>Patient case files, other than Indigenous Australians, where the patient was 18 years or older at the date of last entry in the record (+18 years). May include medical, counselling, fitness assessment or dental records.</p> <p>Please refer to 2.11.4 for patient files of Indigenous Australians</p>  | Retain minimum of 7 years after action completed, then destroy | D       |
| 2.11.3  |                   | Psychiatric patient case files.   | Retain a minimum of 7 years after patient death, then destroy  | D       |
| 2.11.4  |                   | <p>Identified Patient Case files of Indigenous Australians.</p> <p>University health care services and health research offices and centres must retain Aboriginal and Torres Strait islander patient records indefinitely for patients with a date of birth prior to and including 1970, except those patient records created within the Kimberley and Pilbara health districts. All Patient records created within in the Kimberley and Pilbara health districts must be retained indefinitely.</p> <p><i>Please refer to <a href="#">section 3.6.3</a> of the Introduction for further information and criteria on selecting patient files for permanent preservation.</i></p> <p>Where patient files do not fall into the criteria outlined in the Introduction of this authority, the file can be sentenced according to the classes for non-indigenous patient case files.</p> | Retain in agency   | R       |
| 2.11.5  |                   | Records relating to the management and provision of drugs/medicines for medical purposes. Includes all drug registers, prescription file copies, orders and requests and  | Retain minimum of 5 years after action completed, then destroy | D       |

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| No  | Function/Activity             | Description  | Disposal Action  | Custody |
|---|-------------------------------|--|--|---------|
| <i>COMMUNITY RELATIONS - Health &amp; Wellness Services</i> |                               |  |  |         |
|   |                               | other documentation used by medical personnel to administer the activity.  |  |         |
| 2.11.6  |                               | Records relating to advice on religious/spiritual matters.   | Retain minimum of 2 years after action completed, then destroy | D       |
| 2.11.7  |                               | Records relating to services and programmes for religious/spiritual support.   | Retain minimum of 1 year after action completed, then destroy  | D       |
| 2.11.8  |                               | Development and planning associated with health, wellness and fitness programs.  | Retain minimum of 7 years after action completed, then destroy | D       |
| 2.12.0  | <b>High School Programmes</b> | The provision of programmes that offer the tertiary education experience to secondary school students. In many instances these programmes arrange for high school students to visit the campus and participate in lab work, lectures, seminars and workshops as well as providing the opportunity to meet current University personnel and students. The objective of such programmes is to encourage and foster students to complete year 12 and pursue tertiary education. |  |         |
| 2.12.1  |                               | The administration and management of high school programmes.   | Retain minimum of 3 years after action completed, then destroy | D       |
| 2.12.2  |                               | Registers of high priority schools, contact details and regular participant details.   | Retain until reference use ceases, then destroy                | D       |
| 2.12.3  |                               | Successful application forms from high school students to  | Retain minimum of 3 years                                      | D       |

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| No  | Function/Activity              | Description  | Disposal Action   | Custody |
|---|--------------------------------|--|---|---------|
| <i>COMMUNITY RELATIONS - High School Programmes</i> |                                |  |   |         |
|   |                                | attend or participate in high school programmes.   | after action completed, then destroy  |         |
| 2.12.4  |                                | Unsuccessful application forms from high school students attend or participate in high school programmes.  | Retain minimum of 1 year after action completed, then destroy               | D       |
| 2.13.0  | <b>Liaison</b>                 | Maintaining regular general contact between University "Friends of..." societies and community groups. Includes sharing of advice and discussions, and collaboration where an agreement is not involved.<br><br><i>See also General Disposal Authority for Administrative Records <b>COMMUNITY RELATIONS - LIAISON</b> for liaison between other community groups and professional associations</i>  |   |         |
| 2.13.1  |                                | Records relating to social groups or "Friends of ..." societies. Includes correspondence, social activities, meeting minutes, agenda, reports, newsletters and other records that document the decision making processes etc.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.14.0  | <b>Marketing / Advertising</b> | The records associated with the process of analysing, promoting and selling the products and services of the University to the wider community. Includes all forms of marketing such as advertising, competitions and other promotion strategies, merchandising, tourism packages and market research.<br><br><i>See also <b>COMMUNITY RELATIONS - EVENT PROGRAMMING</b> for records documenting arrangements, negotiations and discussions of individual events with artists, agents and performers</i> |   |         |

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| No   | Function/Activity      | Description  | Disposal Action   | Custody |
|--|------------------------|--|---|---------|
| <i>COMMUNITY RELATIONS - Marketing / Advertising</i> |                        |  |   |         |
| 2.14.1   |                        | Publicity material provided by artists as per contractual obligations, for promotional purposes by the organisation for example, inclusion in event brochures or promotional videos. Includes: Biographical details; photographs and slides, press cuttings, media releases, audiovisual and audio material provided by artists. | Retain minimum of 2 years after action completed, then destroy              | D       |
| 2.14.2   |                        | The management of marketing specific services and/or products produced by the University. Includes research and assessment of products or services for client needs, agency briefs and layout details for advertisements, promotion activities and product. Include open days.   | Retain minimum of 5 years after action completed, then destroy              | D       |
| 2.14.3   |                        | Records relating to the obtaining and use of external organisation databases for marketing purposes, for example, mailing lists.   | Retain as per agreement requirements  |         |
| 2.14.4   |                        | Individual event marketing plans.  | Retain minimum of 5 years after action completed, then destroy              | D       |
| 2.14.5   |                        | The development and implementation of packages, in co operation with other organisations, to promote the University and Western Australia.   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 2.14.6   |                        | Master copies of packages produced by the University for use by the media or public to promote University events. May include ticket packs for members of the media, schools, VIP. Also includes articles prepared for the media.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.15.0   | <b>Market Research</b> | Research undertaken by the University, or for the University,  |   |         |

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| No   | Function/Activity      | Description   | Disposal Action   | Custody |
|--|------------------------|---|---|---------|
| <i>COMMUNITY RELATIONS - Market Research</i> |                        |   |   |         |
|  |                        | for marketing purposes.<br><br>See also <i>General Disposal Authority for Administrative Records</i><br><b>COMMON ACTIVITIES - REPORTING</b> for final reports created as a result of market research activities.   |   |         |
| 2.15.1                                       |                        | Statistical summaries and raw data of audience reaction and expectations to <b>significant</b> events and productions managed by or for the University.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.15.2                                       |                        | Statistical summaries and raw data of audience reaction and expectations to <b>non significant</b> events and productions, not included in 2.15.1, managed by or for the University.  | Retain minimum of 5 years after action completed, then destroy              | D       |
| 2.16.0                                       | <b>Media Relations</b> | The establishment and development of a relationship between the media and the University. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.     |   |         |
| 2.16.1                                       |                        | Footage provided by the media as a record of <b>significant</b> University events.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.16.2                                       |                        | Footage provided by the media as a record of <b>non significant</b> University events, not included in 2.16.1.  | Retain minimum of 5 years after action completed, then destroy              | D       |

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| No   | Function/Activity                     | Description   | Disposal Action   | Custody |
|--|---------------------------------------|---|---|---------|
| <i>COMMUNITY RELATIONS - Media Relations</i> |                                       |   |   |         |
| 2.16.3                                       |                                       | Event information provided to the media for promotional and information purposes. Includes media schedules and supporting documentation, itinerary, interview arrangements and contact details.                         | Retain minimum of 5 years after action completed, then destroy  | D       |
| 2.17.0                                       | <b>Merchandise</b>                    | The design, development and distribution of University merchandise.<br><br><i>See also Authority General Disposal Authority for Financial Records - <b>ACCOUNTING</b> for financial records relating to merchandise</i> |   |         |
| 2.17.1                                       |                                       | The design, development and distribution of organisational merchandise.   | Retain minimum of 5 years after action completed, then destroy  | D       |
| 2.18.0                                       | <b>Overseas Trained Professionals</b> | Records relating to the provision of training schemes including supports overseas trained professionals, who are seeking employment in Western Australia. Includes the setting of conditions                            |   |         |
| 2.18.1                                       |                                       | Case file management of doctors involved in the overseas trained doctor (OTD) scheme.   | Retain minimum of 15 years after action completed, then destroy | D       |
| 2.18.2                                       |                                       | The planning and management of orientation programmes for overseas trained professionals.   | Retain minimum of 2 years after action completed, then destroy  | D       |
| 2.18.3                                       |                                       | Material produced to promote orientation and supporting activities such as mentoring and training for overseas trained  | Retain minimum of 7 years after action completed, then          | D       |

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| No  | Function/Activity             | Description   | Disposal Action  | Custody |
|---|-------------------------------|---|--|---------|
| <i>COMMUNITY RELATIONS - Overseas Trained Professionals</i> |                               |   |  |         |
|   |                               | professionals.  | destroy  |         |
| 2.18.4  |                               | Videos, programmes and other media productions produced in association with the OTD television show.<br><br>Refer to <i>General Disposal Authority for Administrative Records - <b>ADVERTISING</b></i>  |  |         |
| 2.18.5  |                               | The setting of conditions of accreditation for assessing whether an overseas trained person is qualified for employment in that profession in Australia where the person is a member of staff at the University.<br><br>Refer to <i>General Disposal Authority for Human Resource Management Records - <b>EMPLOYMENT CONDITIONS</b></i>   |  |         |
| 2.18.6  |                               | The setting of conditions of accreditation for assessing whether an overseas trained person is qualified for employment in that profession in Australia where the person is NOT a member of staff of the University.  | Retain minimum of 7 years after action completed, then destroy | D       |
| 2.19.0  | <b>Sponsorship Management</b> | Establishing, negotiating, managing, servicing and maintaining sponsorships of the organisation and its events and activities. Includes relationships with public funding bodies and the provision of University sponsorship to external events and activities.<br><br>See also <i>General Disposal Authority for Administrative Records <b>COMMUNITY RELATIONS - AGREEMENTS</b></i> for final agreements and contracts relating to sponsorship |  |         |
| 2.19.1  |                               | The establishment, development, management, maintenance   | Retain minimum of 5 years                                      | A       |

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| No  | Function/Activity | Description  | Disposal Action   | Custody |
|---|-------------------|--|---|---------|
| <i>COMMUNITY RELATIONS - Sponsorship Management</i> |                   |  |   |         |
|   |                   | and servicing of all <b>significant</b> sponsorship opportunities.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant | after action completed, then transfer to Archives                           |         |
| 2.19.2  |                   | The establishment, development, management, maintenance and servicing of all <b>non significant</b> sponsorship opportunities not included in 2.19.1                   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 2.19.3  |                   | Summaries generated and collated in the course of monitoring sponsorship related matters. Includes register listing details of sponsorship.                            | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 2.19.4  |                   | Records documenting targets for sponsorship income and research of potential sponsorship opportunities.  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 2.19.5  |                   | Control records for managing sponsorship activities including inventories of items provided by sponsors as part of sponsorship agreement obligations.                  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 2.19.6  |                   | Rejections of sponsorship and funding requests. Includes potential sponsorship opportunities not proceeded with.   | Retain minimum of 2 years after action completed, then destroy              | D       |
| 2.20.0  | <b>Ticketing</b>  | The management of tickets for productions, programmes and events organised and conducted by the University.  |   |         |
| 2.20.1  |                   | The establishment and guidelines for ticketing scheme developed in collaboration with sponsors, for example, the Ticketing Support Scheme.                             | Retain minimum of 10 years after action completed, then destroy             | D       |



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| No                                     | Function/Activity   | Description   | Disposal Action   | Custody |
|--|---------------------|---|---|---------|
| <i>COMMUNITY RELATIONS - Ticketing</i> |                     |   |   |         |
| 2.20.2                                 |                     | Records relating to administrative arrangements of the Ticketing Support Scheme. Includes mail out lists, ticket price allocations for individual events and final proofs for tickets.  | Retain minimum of 2 years after action completed, then destroy  | D       |
| 2.20.3                                 |                     | Ticket booking and allocation arrangements. Includes individual and group booking forms, complimentary ticket allocations and requests for free tickets.  | Retain minimum of 1 year after action completed, then destroy   | D       |
| 3.0.0                                  | <b>COMPENSATION</b> | Compensation provided to personnel, students and visitors by the university.<br><br><i>See also General Disposal Authority for Human Resource Management Records <b>COMPENSATION</b></i>  |   |         |
| 3.1.0                                  | <b>Appeals</b>      | The process of appeals against compensation decisions by application to a higher authority.   |   |         |
| 3.1.1                                  |                     | Appeals made against the level of compensation paid by or to the university. May include compensation for injury claims etc.  | Retain minimum of 10 years after action completed, then destroy | D       |
| 3.2.0                                  | <b>Claims</b>       | The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or damage to or destruction of property for students and visitors to the university. Includes recompense sought for stolen or lost property.<br><br><i>See also General Disposal Authority for Human Resource Management Records - <b>COMPENSATION</b> for claims relating to University employees</i><br><br><i>See also General Disposal Authority for Administrative Records</i> |   |         |

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| No                           | Function/Activity             | Description   | Disposal Action  | Custody |
|------------------------------|-------------------------------|---|--|---------|
| <i>COMPENSATION</i> - Claims |                               |   |  |         |
|                              |                               | <p>- <b>LEGAL SERVICES</b> for claims that result in legal action</p> <p>See also <i>General Disposal Authority for Financial Records - INSURANCE</i> for financial records relating to compensation claims</p>   |  |         |
| 3.2.1                        |                               | Listing of compensation claims  | Retain minimum of 15 years after action completed, then destroy    | D       |
| 3.2.2                        |                               | Claims for compensation submitted by members of the public managed by an external insurance provider.   | Retain a minimum of 7 years after claim is finalised, then destroy | D       |
| 3.2.3                        |                               | <p>Records relating to traffic accidents which involve injury or damage to property and result in compensation claims and/or litigation.</p> <p>Use <b>LEGAL SERVICES</b> for legal actions.</p> <p>Refer to <i>General Disposal Authority for Financial and Accounting Records</i> for financial records relating to insurance.</p>  | Retain minimum of 6 years after action completed, then destroy     | D       |
| 4.0.0                        | <b>EQUIPMENT &amp; STORES</b> | <p>The function of acquiring, supplying, maintaining, testing, inspecting, repairing and disposing of equipment and stores stocked and used by the university. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings.</p> <p>See also <b>TECHNOLOGY AND TELECOMMUNICATIONS</b> For the management of telecommunication and technological equipment such as telephones, facsimile machines and</p> |  |         |

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| No  | Function/Activity         | Description   | Disposal Action   | Custody |
|---|---------------------------|---|---|---------|
| <i>EQUIPMENT &amp; STORES - Maintenance</i> |                           |   |   |         |
|   |                           | computer hardware and software<br><br><i>See also General Disposal Authority for Administrative Records</i><br><b>EQUIPMENT AND STORES</b>  |   |         |
| 4.1.0                                       | <b>Maintenance</b>        | The upkeep, repair, services and preservation of scientific, medical and technical equipment.   |   |         |
| 4.1.1                                       |                           | Specifications designs, plans, manuals, maintenance records, operating instructions and log books of equipment, machinery, plant or facilities used in the conduct of research, which are of high scientific, technological or historic significance  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 5.0.0                                       | <b>ESTABLISHMENT</b>      | The function of forming and/or changing the organisational structure through establishing and reviewing positions or the forming of University controlled entities and affiliated or associated agencies and companies.<br><br><i>See also General Disposal Authority for Human Resource Management Records</i> |   |         |
| 5.1.0                                       | <b>Formation</b>          | Formation of University controlled entities and affiliated or associated agencies and the establishment of University companies.  |   |         |
| 5.1.1                                       |                           | Foundation records associated with the establishing of controlled entities and affiliated or associated agencies and university companies. Includes business registration, constitution and other associated documentation.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 6.0.0                                       | <b>EXTERNAL RELATIONS</b> | The function of establishing and administering a formal relationship with a body external to the University. Includes the   |   |         |

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| No                                      | Function/Activity  | Description  | Disposal Action   | Custody |
|---|--------------------|--|---|---------|
| <i>EXTERNAL RELATIONS - Consultancy</i> |                    |  |   |         |
|   |                    | provision of consulting services by university personnel and liaison with bodies carrying out and participating in formal inquiries and investigations such as Royal Commissions, Parliamentary Committees and the Ombudsman.  |   |         |
| 6.1.0                                   | <b>Consultancy</b> | The provision of consulting services by university personnel in a specialised field, provided on a fee for service basis. Includes personnel declarations, products of the consultancy, administrative arrangements and all other related documentation.<br><br>See also <b>PERSONNEL - CONSULTANCY</b> for declarations by university personnel of consultancy work |   |         |
| 6.1.1                                   |                    | Declarations of personal interests and potential commercial conflicts of interest made by members of the University Senate / Council. Includes the Senate / Council Register of Interests.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 6.1.2                                   |                    | <b>Significant</b> or precedent setting expert witness service by staff. Includes the provision of advice, opinions and testimony to courts, tribunals and to other judicial offices.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 6.1.3                                   |                    | <b>Non significant</b> expert witness service by staff not included in 6.1.2. Includes the provision of advice, opinions and testimony to courts, tribunals and to other judicial offices.   | Retain minimum of 15 years after action completed, then destroy             | D       |
| 6.1.4                                   |                    | <b>Significant</b> products produced as a result of the provision of consulting services by university personnel. Includes expressions of interest, reports, draft and final consultancy   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |

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| No                                      | Function/Activity            | Description  | Disposal Action   | Custody |
|---|------------------------------|--|---|---------|
| <i>EXTERNAL RELATIONS - Consultancy</i> |                              |  |   |         |
|   |                              | proposal, inspection reports and progress reports, working papers, calibration certificates, formal advices, testing data and results, correspondence and all other associated documentation.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant  |   |         |
| 6.1.5                                   |                              | <b>Non significant</b> products produced as a result of the provision of consulting services by university personnel not included in 6.1.4. Includes expressions of interest, reports, draft and final consultancy proposal, inspection reports and progress reports, working papers, calibration certificates, formal advices, testing data and results, correspondence and all other associated documentation. | Retain a minimum of 7 years after conditions have been satisfied, then destroy                    | D       |
| 6.1.6                                   |                              | The establishment and management of consultancies. Includes preliminary correspondence concerning negotiations, agreements, costings, conditions of use and confidentiality, letter of offer, acceptance of offer, work plan and objectives.   | Retain a minimum of 7 years after contract has expired, then destroy                              | D       |
| 6.1.7                                   |                              | Declarations of specialised consultancy activities undertaken by staff.  | Retain a minimum of 71 years after date of birth, or 6 years after retirement, whichever is later |         |
| 7.0.0                                   | <b>FACILITIES MANAGEMENT</b> | The function of managing working, storage or living space, and of acquiring, constructing, fitting-out, maintaining, protecting and disposing of property. Includes buildings and land allotments owned, rented or leased by the organisation, such as office blocks, repositories and workshops. Also includes the removal of pollutants and waste, fleet management, landscape                                 |   |         |

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| No   | Function/Activity  | Description   | Disposal Action  | Custody |
|--|--------------------|---|--|---------|
| <i>FACILITIES</i> MANAGEMENT - Acquisition |                    |   |  |         |
|  |                    | <p>and grounds management.</p> <p>NOTE: Any financial records which support the reporting on Greenhouse Gas omissions of the organisation, based on the National Greenhouse Energy Act needs to be maintained for 7 years from the end of the reporting year. (Note: Inconsistency with SRO General Disposal Authorities)</p> <p>See also <b>RESEARCH - FACILITES AND SUPPORT</b> for provision of facilities which assist in carrying out research functions</p> |  |         |
| 7.1.0                                      | <b>Acquisition</b> | <p>The process of gaining ownership of property and other facilities.</p> <p>See also <i>General Disposal Authority for Financial Records - ACQUISITION</i> for other records relating to the acquisition of property and facilities not covered under this function</p>  |  |         |
| 7.1.1                                      |                    | Property acquisition not proceeded with.  | Retain minimum of 7 years after action completed, then destroy                 | D       |
| 7.2.0                                      | <b>Allocation</b>  | <p>The process of assigning permits or licences to employees or organisational units.</p> <p>See also <b>RESEARCH - LICENSING</b> for licences required in the course of conducting research</p>  |  |         |
| 7.2.1                                      |                    | Applications for liquor licenses. Includes approval or rejection notification, proof of compliance and all other associated documentation.  | Retain minimum of 7 years after expiry or termination of licence, then destroy | D       |

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| No  | Function/Activity   | Description   | Disposal Action  | Custody |
|---|---------------------|---|--|---------|
| <i>FACILITIES</i> MANAGEMENT - Allocation |                     |   |  |         |
| 7.2.2                                     |                     | Applications for licences and permits for radioactive substances, poisons, chemicals, pesticides, carcinogens, and industrial waste. Includes approval or rejection notification, proof of compliance and all other associated documentation. | Retain a minimum of 7 years after licence/permit expires, then destroy | D       |
| 7.2.3                                     |                     | The allocation of University parking permits.   | Retain minimum of 1 year after action completed, then destroy          | D       |
| 7.3.0                                     | <b>Appeal</b>       | The process of managing appeals against parking infringements and property acquisition.   |  |         |
| 7.3.1                                     |                     | Successful appeals against parking infringements.   | Retain minimum of 7 years after action completed, then destroy         | D       |
| 7.3.2                                     |                     | Unsuccessful appeals against a parking infringement.  | Retain minimum of 2 years after action completed, then destroy         | D       |
| 7.3.3                                     |                     | Statutory declaration forms completed by vehicle owners stating they were not drivers of a particular vehicle at the time of a parking infringement notice.   | Retain minimum of 3 years after action completed, then destroy         | D       |
| 7.3.4                                     |                     | Appeals against compensation paid in relation to the compulsory acquisition of property   | Retain minimum of 10 years after action completed, then destroy        | D       |
| 7.4.0                                     | <b>Arrangements</b> | Measures taken in the selection, preparation and bookings of venues.<br><br>See also <b>COMMUNITY RELATIONS - EVENT PLANNING</b> for  |  |         |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No  | Function/Activity | Description   | Disposal Action  | Custody |
|---|-------------------|---|--|---------|
| <i>FACILITIES MANAGEMENT - Arrangements</i> |                   |   |  |         |
|   |                   | the arrangements made for events and functions<br><br>See also <b>STUDENT ADMINISTRATION - GRADUATION CEREMONIES</b> for the arrangements made for graduation ceremonies  |  |         |
| 7.4.1                                       |                   | The selection and arrangements of venues for University festivals and events.<br><br>Includes: <ul style="list-style-type: none"> <li>· Venue layouts, capacities and seating plans</li> <li>· Venue information summaries created by organisation</li> <li>· Correspondence regarding venue arrangements.</li> </ul> | Retain minimum of 4 years after action completed, then destroy | D       |
| 7.4.2                                       |                   | The booking of University venues for weddings, functions, events or any other purpose.<br><br>Includes: <ul style="list-style-type: none"> <li>· Guest list print outs</li> <li>· Venue seating arrangements</li> <li>· Mail out arrangements.</li> </ul>   | Retain minimum of 2 years after action completed, then destroy | D       |
| 7.5.0                                       | <b>Compliance</b> | Complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the University is subject in relation to Facilities Management.<br>Includes compliance with legislation and with national and  |  |         |



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| No  | Function/Activity   | Description   | Disposal Action   | Custody |
|---|---------------------|---|---|---------|
| <i>FACILITIES</i> MANAGEMENT - Compliance |                     |   |   |         |
|   |                     | international standards, such as the ISO 9000 series.   |   |         |
| 7.5.1                                     |                     | Records relating to the compliance with licence or / registration requirements by centres or services operated by or within the University<br><br>See also <b>RESEARCH - LICENSING</b> for the acquisition of a licence or permit for the purpose of undertaking research.  | Retain minimum of 7 years after expiry or termination of licence, then destroy            | D       |
| 7.6.0                                     | <b>Construction</b> | The process of building facilities and / or structures, making alternations and completing renovations.   |   |         |
| 7.6.1                                     |                     | New construction, alteration and renovation activities carried out on properties that have <b>significant</b> value including, architectural and technical plans, drawings and specifications (can include drafts).<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant | Retain minimum of 5 years after action completed, then transfer to Archive                | A       |
| 7.6.2                                     |                     | Records relating to new construction, alteration and renovation activities carried out on <b>non significant</b> properties not included in 7.6.1. Includes architectural and technical plans, drawings and specifications.   | Retain an minimum of 7 years after property is disposed of or transferred to new owners   | D       |
| 7.6.3                                     |                     | Construction activities on properties that are not proceeded with, including architectural and technical plans, drawings and specifications   | Retain a minimum of 7 years after decision not to proceed with construction, then destroy | D       |
| 7.6.4                                     |                     | Working papers documenting the construction activities on properties. Includes working drawings for non significant   | Retain minimum of 2 years after action completed, then                                    | D       |

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| No   | Function/Activity                 | Description  | Disposal Action   | Custody |
|--|-----------------------------------|--|---|---------|
| <i>FACILITIES</i> MANAGEMENT - Energy Management |                                   |  |   |         |
|  |                                   | construction.  | destroy   |         |
| 7.7.0  | <b>Energy Management</b>          | The management of energy resources at the University, including water, gas, electricity and fuel.<br><br>See also <b>FACILITIES MANAGEMENT - INSTALLATION</b> for the installation of infrastructure to support distribution of energy |   |         |
| 7.7.1  |                                   | Planning, management and administration of energy resources to and on the University campus (including all offsite facilities). Includes the mandatory reporting requirements under the National Greenhouse Energy Reporting Act 2007  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 7.8.0  | <b>Flora and Fauna Management</b> | Management, handling and relocation of protected and endangered flora and fauna in areas under the control of the University. Includes environmental restorative projects.   |   |         |
| 7.8.1  |                                   | The management of declared rare or endangered flora and fauna.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 7.8.2  |                                   | The handling, relocation or disposal of flora and fauna.   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 7.8.3  |                                   | The management of native flora reserves and wildlife and native fauna reserves.  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 7.8.4  |                                   | The care and management of animal and agricultural facilities including farms, paddocks and glass houses.  | Retain minimum of 7 years after action completed, then                      | D       |

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| No  | Function/Activity           | Description   | Disposal Action  | Custody |
|---|-----------------------------|---|--|---------|
| <i>FACILITIES</i> MANAGEMENT - Honouring and Naming |                             |   |  |         |
|   |                             |   | destroy  |         |
| 7.9.0   | <b>Honouring and Naming</b> | The naming (usually, in honour) of University property, buildings and facilities.   |  |         |
| 7.9.1   |                             | The records relating to naming of University buildings, roads, ovals, reserves and other structures.  | Retain minimum of 5 years after action completed, then transfer to Archives  | A       |
| 7.9.2   |                             | The records relating to the establishment, design, erection, management and removal of memorial or commemorative plaques, monuments, fountains, art works such as sculptures etc.   | Retain minimum of 5 years after action completed, then transfer to Archives  | A       |
| 7.10.0  | <b>Infringements</b>        | The handling of breaches of traffic rules and regulations which involves issuing of parking fines   |  |         |
| 7.10.1  |                             | The issuing of parking fines, penalties or other traffic offences   | Retain minimum of 2 years after action completed, then destroy               | D       |
| 7.11.0  | <b>Installation</b>         | The placing of equipment in position and connecting and adjusting it for use.<br><br><i>See also General Disposal Authority for Administrative Records</i><br><b>TECHNOLOGY &amp; TELECOMMUNICATIONS - INSTALLATION</b> for the installation of technological items, equipment and services |  |         |
| 7.11.1  |                             | The installation of major equipment including lifts, heating, plumbing, air-conditioning, security equipment and cabling for communications networks from a network hub or PABX etc in  | Retain a minimum of 5 years after replacement of equipment or 20 years after | D       |

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| No   | Function/Activity  | Description  | Disposal Action   | Custody |
|--|--------------------|--|---|---------|
| <i>FACILITIES</i> MANAGEMENT - Inspections |                    |  |   |         |
|  |                    | buildings, properties or facilities.   | installation if the date of replacement is not known, then destroy. |         |
| 7.12.0                                     | <b>Inspections</b> | <p>The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.</p> <p>See also <b>RESEARCH - COMPLIANCE</b> for complying with standards and requirements</p> <p>See also <b>RESEARCH - SPECIMEN MANAGEMENT</b> for monitoring and review of animal management</p>   |   |         |
| 7.12.1                                     |                    | <p>The inspection of research facilities and/or equipment. Includes inspections by external agencies or representatives from legislative bodies. Includes official bio-Safety inspections by external inspectors and records of inspections of facilities certified with the Office of the Gene Technology Regulator (OGTR)</p>  | Retain minimum of 8 years after action completed, then destroy      | D       |
| 7.13.0                                     | <b>Leasing Out</b> | <p>Leasing-out items, equipment, accommodation, premises or real estate to another organisation or person for a specified period and agreed price. Also includes subleasing.</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>COMMON ACTIVITIES - AGREEMENTS</b> for contracts relating to leasing out</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>PROPERTY MANAGEMENT - LEASING</b> for leasing property from another organisation</p> |   |         |

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| No   | Function/Activity  | Description  | Disposal Action  | Custody |
|--|--------------------|--|--|---------|
| <i>FACILITIES</i> MANAGEMENT - Leasing Out |                    |  |  |         |
| 7.13.1                                     |                    | Unsuccessful lease applications  | Retain minimum of 2 years after action completed, then destroy               | D       |
| 7.13.2                                     |                    | Records relating to the management and administration of fee waivers for the hire of University venues, facilities and accommodation areas.  | Retain minimum of 5 years after action completed, then destroy               | D       |
| 7.13.3                                     |                    | The request, approval and ongoing management of leases for the hiring out of university properties, facilities or accommodation to another organisation or person for a specified period and agreed price.   | Retain minimum of 7 years after expiry or termination of lease, then destroy | D       |
| 7.14.0                                     | <b>Maintenance</b> | <p>The upkeep, repair, servicing, modification and preservation of conditions of buildings, facilities and grounds owned by the University.</p> <p>See also <i>General Disposal Authority for Administrative Records</i><br/><b>PROPERTY MANAGEMENT - FIT OUTS</b> for activities associated with fit outs</p> <p>See also <i>General Disposal Authority for Administrative Records</i><br/><b>PROPERTY MANAGEMENT - MAINTENANCE</b></p> |  |         |
| 7.14.1                                     |                    | The implementation of fire breaks.   | Retain minimum of 1 year after action completed, then destroy                | D       |
| 7.14.2                                     |                    | Maintenance work orders, including orders that have been registered on a maintenance system.   | Retain minimum of 2 years after action completed, then destroy               | D       |

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| No  | Function/Activity     | Description  | Disposal Action   | Custody |
|---|-----------------------|--|---|---------|
| <i>FACILITIES MANAGEMENT - Maps and Signs</i> |                       |  |   |         |
| 7.15.0  | <b>Maps and Signs</b> | <p>The preparation and management of University maps and signs, which are used for informational and navigational purposes, such as the orientation maps, the campus map, directional maps and campus navigation signs. Also includes traffic (including bicycle and pedestrian) signs.</p> <p>See also <b>FACILITIES MANAGEMENT - CONSTRUCTION</b> for architectural plans and drawings</p>   |   |         |
| 7.15.1  |                       | Master copies of maps and signs of the University.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 7.15.2  |                       | <p>Records relating to sign development, arrangements, production and placements. Includes:</p> <ul style="list-style-type: none"> <li>· Venue, directional, event specific and sponsor signage</li> <li>· Arrangements with suppliers and co-ordination of signage</li> <li>· Signage schedules</li> <li>· Signage design and proofs</li> <li>· Sign inventories, registers or master lists documenting signage developed by, or on behalf of, the University.</li> </ul> | Retain minimum of 4 years after action completed, then destroy              | D       |
| 7.16.0  | <b>Security</b>       | Measures taken to protect premises from accidental or intentional damage or from unauthorised access. Includes the investigations of security breaches or incidents.   |   |         |

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| No                                      | Function/Activity                       | Description  | Disposal Action  | Custody |
|---|---|--|--|---------|
| <i>FACILITIES MANAGEMENT - Security</i> |   |  |  |         |
|   |   | See also <b>COMMON ACTIVITIES - INCIDENT MANAGEMENT</b> for security breaches or incidents   |  |         |
| 7.16.1                                  |   | Recordings / tapes from mobile or car based cameras or fixed cameras around buildings or assets where not required for investigations<br><br><i>See also General Disposal Authority for Administrative Records</i><br><b>PROPERTY MANAGEMENT - SECURITY</b> where recordings are showing evidence of security breaches or other incidents required as evidence for investigations and / or litigation cases. | Retain a minimum of 7 days after recording, then erase         | D       |
| 7.16.2                                  |   | Recordings from fixed cameras around public open spaces and public access areas, where not required for investigation<br><br><i>See also General Disposal Authority for Administrative Records</i><br><b>PROPERTY MANAGEMENT - SECURITY</b> where recordings are showing evidence of security breaches or other incidents required as evidence for investigations and / or litigation cases.                 | Retain a minimum of 30 days after recording, then erase        | D       |
| 7.16.3                                  |   | The administration and distribution of security notifications and information to University staff and the wider community. Usually involves the distribution of Security Bulletins and ad hoc notice of advice to clients.   | Retain minimum of 7 years after action completed, then destroy | D       |
| 7.16.4                                  |   | Requests to the Police Service for vehicle licence plate checks.   | Retain minimum of 2 years after action completed, then destroy | D       |
| 7.17.0                                  | <b>Space Management / Accommodation</b> | The planning, reviewing and allocation of work space within the University. Includes the managing and allocating   |  |         |

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| No  | Function/Activity           | Description  | Disposal Action   | Custody |
|---|-----------------------------|--|---|---------|
| <i>FACILITIES MANAGEMENT - Space Management / Accommodation</i> |                             |  |   |         |
|   |                             | accommodation for organisational units.  |   |         |
| 7.17.1  |                             | Accommodation surveys and review of space management.  | Retain minimum of 5 years after action completed, then destroy  | D       |
| 7.17.2  |                             | The processing and approval of requests for different or additional accommodation at the University.   | Retain minimum of 10 years after action completed, then destroy | D       |
| 8.0.0   | <b>FINANCIAL MANAGEMENT</b> | <p>The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.</p> <p>NOTE: Any financial records which support the reporting on Greenhouse Gas omissions of the organisation, based on the National Greenhouse Energy Act needs to be maintained for 7 years from the end of the reporting year. (Note: Inconsistency with SRO General Disposal Authorities)</p> |   |         |
| 8.1.0   | <b>Accounting</b>           | <p>The process of collecting, recording, classifying, summarising and analysing information on financial transactions which reflect the financial position of the university.</p> <p>See also <i>General Disposal Authority for Financial Records - ACCOUNTING</i></p>   |   |         |



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| No                                       | Function/Activity                             | Description   | Disposal Action   | Custody |
|--|---|---|---|---------|
| <i>FINANCIAL MANAGEMENT - Accounting</i> |   |   |   |         |
| 8.1.1                                    |   | Bank guarantees   | Transfer to contractor on receipt of certificate of completion. | R       |
| 8.1.2                                    |   | Rate exemptions including applications for exemption from paying rates.   | Retain minimum of 30 years after action completed, then destroy | D       |
| 8.1.3                                    |   | Tax submissions to jurisdictions outside of Australia.  | Retain minimum of 7 years after action completed, then destroy  | D       |
| 8.2.0                                    | <b>Corruption Disclosure &amp; Prevention</b> | <p>The processes which allow the disclosure of corruption, and strategies for the prevention of corruption. Includes involvement in corruption prevention projects undertaken by the Corruption &amp; Crime Commission (CCC), the education of staff about corruption prevention disclosures and information relating to the disclosure of improper conduct within universities in compliance with Public Interest Disclosure legislation, also known as 'whistleblower' legislation</p> <p>See also <b>LEGAL SERVICES - CORRUPTION DISCLOSURE</b> for records relating to corruption disclosures made under related legislation made by or about university personnel and/or university operations</p> |   |         |
| 8.2.1                                    |   | Records documenting financial management arrangements supporting the agency's fraud control plan.   | Retain minimum of 7 years after action completed, then destroy  | D       |
| 8.3.0                                    | <b>Fees and Charges</b>                       | Determining and administering the collection of tuition fees and administrative charges. Includes fees collected by the   |   |         |

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| No   | Function/Activity | Description   | Disposal Action  | Custody |
|--|-------------------|---|--|---------|
| <i>FINANCIAL MANAGEMENT - Fees and Charges</i> |                   |   |  |         |
|  |                   | University on behalf of various organisations such as the Student Guild, Unions, Amenities and Services fees and fines imposed for breaches of rules or regulations.  |  |         |
| 8.3.1  |                   | Conscientious objector form which is submitted so that payments by students are made to a charitable fund in lieu of Guild membership.  | Retain minimum of 7 years after action completed, then destroy             | D       |
| 8.3.2  |                   | Tuition fees payable by students to the University to study. Includes Commonwealth supported and full fee paying, undergraduate, postgraduate and non-award students.   | Retain minimum of 7 years after action completed, then destroy             | D       |
| 8.3.3  |                   | The application, assessment, administration and approval of the waiver (or non-payment) of student tuition fees and other payments for services provided to students by the University  | Retain minimum of 10 years after action completed, then destroy            | D       |
| 8.3.4  |                   | The schedule of tuition fees set each year.   | Retain minimum of 10 years after action completed, then destroy            | D       |
| 8.3.5  |                   | Administrative fees and charges including late payment fee, late enrolment fee, late application for admission/readmission fee, academic transcript fee, reprint of testamur fee, amenities and services fee, replacement student identity card charge and library fines. | Retain minimum of 7 years after action completed, then destroy             | D       |
| 8.3.6  |                   | Advice of Tax File Number (TFN)   | after submission of taxation information to the Australian Taxation Office | D       |
| 8.3.7  |                   | Fee Reports - Computer printout of fees, liabilities and payments.  | Retain minimum of 2 years after action completed, then                     | D       |

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| No                                     | Function/Activity             | Description   | Disposal Action  | Custody |
|--|-------------------------------|---|--|---------|
| <i>FINANCIAL MANAGEMENT - Payments</i> |                               |   |  |         |
|  |                               |   | destroy  |         |
| 8.4.0                                  | <b>Payments</b>               | The preparation and payment of money. Does not include salary & wages   |  |         |
| 8.4.1                                  |                               | Royalty payments to authors whose work is published by the University   | Retain a minimum of 6 years after successful audit, then destroy | D       |
| 9.0.0                                  | <b>INFORMATION MANAGEMENT</b> | The function of managing the organisation's information resources such as records management, archives management, mail management, library management, Freedom of Information, Copyright and intellectual property.  |  |         |
| 9.1.0                                  | <b>Authorisation</b>          | <p>Delegation of power to authorise an action or permit an activity. For example, copyright declarations or other administrative matters.</p> <p><i>See also General Disposal Authority for Financial Records - <b>AUTHORISATION</b> for records relating to financial delegations</i></p> <p><i>See also General Disposal Authority for Human Resource Management Records - <b>PERSONNEL</b> for records relating to human resources delegations</i></p> |  |         |
| 9.1.1                                  |                               | Copyright declaration forms where the University owns the copyright. These forms contain information about the source to be copied, the copies required, details about the person making the request and a signed declaration.  | Retain minimum of 7 years after action completed, then destroy   | D       |
| 9.1.2                                  |                               | Applications to the organisation to reproduce material when copyright is held by another party. Eg Reproduction or  | Retain minimum of 7 years after action completed, then           | D       |

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| No                                      | Function/Activity    | Description   | Disposal Action   | Custody |
|---|----------------------|---|---|---------|
| <i>INFORMATION MANAGEMENT - Control</i> |                      |   |   |         |
|   |                      | publication of a Thesis.  | destroy   |         |
| 9.2.0                                   | <b>Control</b>       | The creation, maintenance, development and customisation of control mechanisms such as classifications schemes at the University to ensure maximum control over records and recordkeeping systems.  |   |         |
| 9.2.1                                   |                      | Master control records for University records that are registers, lists or indexes that give details of control numbers, titles, date, disposal details etc, that are not captured in the official University records management system or recorded elsewhere.  | Retain in agency  | R       |
| 9.2.2                                   |                      | Quality control sign off forms for scanning source documentation. Includes scanner test target forms and quality control sign offs.   | Retain in agency  | R       |
| 9.2.3                                   |                      | The development, maintenance and customisation of university classification schemes and the thesauri, including controlled vocabulary schemes.<br><br><i>See also General Disposal Authority for Administrative Records</i><br><b>INFORMATION MANAGEMENT - CONTROL</b> for master copies of classification schemes and thesauri | Retain minimum of 5 years after superseded, then destroy        | D       |
| 9.3.0                                   | <b>Infringements</b> | The management of Library infringements and fines.  |   |         |
| 9.3.1                                   |                      | The suspension of Library access and/or payment of fines for University students which affects their ability to Graduate.   | Retain minimum of 10 years after action completed, then destroy | D       |
| 9.3.2                                   |                      | The suspension of Library access and/or payment of fines for library members, including students which does not affect their  | Retain minimum of 5 years after action completed, then          | D       |

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| No  | Function/Activity | Description  | Disposal Action   | Custody |
|---|-------------------|--|---|---------|
| <i>INFORMATION MANAGEMENT - Infringements</i> |                   |  |   |         |
|   |                   | ability to Graduate.   | destroy   |         |
| 9.3.3   |                   | The administration processing relating to the issuing and delivery of library fines and other penalties.   | Retain minimum of 1 year after action completed, then destroy |         |
| 9.4.0   | <b>Lending</b>    | <p>Records relating to the University granting the use of items in the collection, borrowing items from the collection as well as borrowing items from external organisations. Records include those that set out the conditions, rights and responsibilities of both parties (not including formal agreements).</p> <p>See also <b>COLLECTION MANAGEMENT - LENDING OUT</b> for correspondence relating to loan of art work and museum artefacts</p> |   |         |
| 9.4.1   |                   | The provision of Library borrowing and usage rights.   | Retain minimum of 1 year after action completed, then destroy | D       |
| 9.4.2   |                   | Records relating to borrowing and use of Library material. Includes request forms, delivery docketts and courier arrangements.   | Retain minimum of 1 year after action completed, then destroy | D       |
| 9.5.0   | <b>Privacy</b>    | Records relating to the activities associated with applying the principles of privacy. Includes the process of collection, handling, use and disclosure of records of a private, personal, or confidential nature to maintain that the rights of a living person (or immediate family) so that they are secure from unauthorised disclosure or access to such information.   |   |         |

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| No                                      | Function/Activity | Description  | Disposal Action   | Custody |
|---|-------------------|--|---|---------|
| <i>INFORMATION MANAGEMENT - Privacy</i> |                   |  |   |         |
|   |                   | <p>See also <i>General Disposal Authority for Administrative Records</i></p> <p><b>INFORMATION MANAGEMENT - CASES</b> for negotiations between an individual and the University relating to the amendment or alteration of records under the Commonwealth Privacy Act and WA FOI Act</p> <p>See also <b>INFORMATION MANAGEMENT - SECURITY</b> for breaches of security (privacy)</p>   |   |         |
| 9.5.1                                   |                   | <p>The application of the Information Privacy Principles (IPP) to the University's information resources. Includes records relating to the development of access restrictions and the ongoing protection of data to ensure privacy. Includes special procedures for management of personal information.</p>  | <p>Retain minimum of 5 years after action completed, then destroy</p> | D       |
| 9.6.0                                   | <b>Security</b>   | <p>Records relating to the activities associated with all mechanisms used to manage access to records and information at the University. Includes the security access classification of personnel, requests to alter or amend access, detection of breaches and unauthorised access and all other related documentation.</p> <p>See also <b>INFORMATION MANAGEMENT - PRIVACY</b> for the administration of privacy provisions</p> <p>See also <b>STRATEGIC MANAGEMENT - INCIDENT MANAGEMENT</b> for critical or major security breaches which may impact on the University as a whole.</p> |   |         |
| 9.6.1                                   |                   | <p>Investigations into breaches of privacy including unauthorized access, use, misuse, modification or disclosure of personal information to third parties.</p>  | <p>Retain minimum of 7 years after action completed, then destroy</p> | D       |

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| No                    | Function/Activity                       | Description   | Disposal Action   | Custody |
|-----------------------|---|---|---|---------|
| <i>LEGAL SERVICES</i> |   |   |   |         |
| 10.0.0                | <b>LEGAL SERVICES</b>                   | <p>The function of providing legal services to the organisation. Includes the interpretation and provision of advice to the organisation regarding legal matters, the drawing up and/or review of legal agreements and the handling of legal action and disputes. Also includes legal advice received from in-house consultants and external sources.</p> <p><i>See also General Disposal Authority for Human Resource Management Records</i> <b>INDUSTRIAL RELATIONS</b> for all industrial awards</p> |   |         |
| 10.1.0                | <b>Corruption Disclosure</b>            | <p>The processes which allow the disclosure of corruption, and strategies for the prevention of corruption. Includes involvement in corruption prevention projects undertaken by the Corruption &amp; Crime Commission (CCC).</p> <p><i>See also</i> <b>FINANCIAL MANAGEMENT - CORRUPTION DISCLOSURE &amp; PREVENTION</b> for records documenting financial management arrangements supporting the agency's fraud control plan.</p>   |   |         |
| 10.1.1                |   | Corruption disclosures made under related legalisation made by or about university personnel and/or university operations found to have substance.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 10.1.2                |   | Corruption disclosures made under related legalisation made by or about university personnel and/or university operations that are found to have no substance, referred to another authority or discontinued.   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 11.0.0                | <b>OCCUPATIONAL HEALTH &amp; SAFETY</b> | The function of implementing and co-ordinating occupational safety and health and associated legislation throughout the   |   |         |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No  | Function/Activity | Description   | Disposal Action  | Custody |
|---|-------------------|---|--|---------|
| <i>OCCUPATIONAL HEALTH &amp; SAFETY - Accidents</i> |                   |   |  |         |
|   |                   | <p>organisation. Includes safety policy and the monitoring of safe work practices, procedures and preventative measures. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.</p> <p><i>See also General Disposal Authority for Human Resource Management Records - <b>OCCUPATIONAL HEALTH AND SAFETY</b></i></p>   |  |         |
| 11.1.0  | <b>Accidents</b>  | <p>The process involved in dealing with mishaps causing injury or damage. Includes damage or injury to the University's property or member of staff incurred while coming to, at, or leaving work, or to the general public or visitors whilst on the University's premises. Also includes measures to prevent accidents occurring.</p> <p><i>See also General Disposal Authority for Human Resource Management Records - <b>COMPENSATION</b> for records of claims relating to the damage or destruction of property caused by accidents</i></p> |  |         |
| 11.1.1  |                   | <p>The management of personal injuries to university staff, student or visitors, NOT resulting in claims for compensation. Includes official accident and incident reports.</p> <p><i>See General Disposal Authority for Human Resource Management Records <b>ACCIDENTS AND HAZARDS</b></i></p>   |  |         |
| 11.1.2  |                   | Records reporting damage to property NOT resulting in claims for compensation   | Retain minimum of 7 years after action completed, then destroy | D       |



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| No   | Function/Activity     | Description   | Disposal Action  | Custody |
|--|-----------------------|---|--|---------|
| <i>OCCUPATIONAL HEALTH &amp; SAFETY - Rehabilitation</i> |                       |   |  |         |
| 11.2.0   | <b>Rehabilitation</b> | <p>The process of managing programs designed to restore the injured worker to the fullest physical, psychological, social, vocational and economic usefulness of which they are capable - consistent with pre-injury status. Includes early intervention with appropriate, adequate and timely services through the use of a Rehabilitation Co-ordinator.</p> <p><i>See also General Disposal Authority for Human Resource Management Records - <b>COMPENSATION</b> for records of rehabilitation as part of a compensation claim</i></p>   |  |         |
| 11.2.1   |                       | <p>Records documenting the rehabilitation of workers to full employment which are <b>not</b> related to a compensation case. Includes return to work plans.</p>   | <p>Retain a minimum of 71 years after employee's date of birth or 6 years after retirement, whichever is later, or 6 years after death, then destroy</p> | D       |
| 11.3.0   | <b>Reporting</b>      | <p>Initiating or providing a formal response to a situation or request (either internal, external or as a requirement of University policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.</p> <p><i>See also <b>COMMON ACTIVITIES - REPORTING</b> for other formal responses not related to Occupational Health &amp; Safety</i></p> <p><i>See also General Disposal Authority for Human Resource Management Records <b>ACCIDENTS &amp; HAZARDS - HAZARDOUS SUBSTANCES</b> for reports relating to other hazardous substances not relating to bio-safety</i></p> |  |         |

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| No  | Function/Activity | Description   | Disposal Action  | Custody |
|---|-------------------|---|--|---------|
| <i>OCCUPATIONAL HEALTH &amp; SAFETY - Reporting</i> |                   |   |  |         |
| 11.3.1  |                   | Incident reports relating to bio-safety held on the personal file.  | Retain a minimum of 71 years after employee's date of birth or 6 years after retirement whichever is later or 6 years after death, then destroy. | D       |
| 11.3.2  |                   | Incident reports relating to bio-safety not held on the personnel file.   | Retain a minimum of 30 years after action complete, then destroy.  | D       |
| 11.4.0  | <b>Audit</b>      | The process of officially checking OH&S standards and legislation have been met through the quality assurance of the records held to ensure they accurately reflect the events, processes and business of the University over a specified period.                                     |  |         |
| 11.4.1  |                   | Official audit reports on compliance of agency programs and operations with accepted OH&S standards   | Retain minimum of 30 years after action completed, then destroy  | D       |
| 11.5.0  | <b>Compliance</b> | The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements which pertain to occupational health & safety. Includes compliance with legislation and with National and International standards. |  |         |
| 11.5.1  |                   | Records relating to activities associated with the administration and management of safety inductions for contractor and consultants employed at the University.  | Retain minimum of 7 years after action completed, then destroy   | D       |

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| No               | Function/Activity          | Description  | Disposal Action   | Custody |
|------------------|----------------------------|--|---|---------|
| <i>PERSONNEL</i> |                            |  |   |         |
| 12.0.0           | <b>PERSONNEL</b>           | <p>The function of managing all human resources that make up the organisation. This includes academic, general and research funded permanent, part time, casual and temporary employees as well as volunteers and people working under scholarships, traineeships, apprenticeships and similar relationships. Includes appeals, overtime, salaries, superannuation and working hours when related to persons rather than Industrial Relations. Also includes arrangements for staff travel and the provision of childcare by the University.</p> <p><i>See also General Disposal Authority for Human Resource Management Records</i></p> |   |         |
| 12.1.0           | <b>Academic Promotions</b> | <p>Administration of the process of offering academic or research personnel opportunities for promotion based on personal merit rather than a position vacancy. Includes applications, referee reports, recommendations, advice of decision, and records of promotions.</p> <p><i>See also General Disposal Authority for Administrative Records - <b>COMMITTEES</b> for the management of records produced by the academic promotions and appeals committees</i></p>  |   |         |
| 12.1.1           |                            | <p>The awarding of an academic promotion. Includes applications, recommendations, approvals and advice of decision.</p> <p><i>See also General Disposal Authority for Human Resource Management Records - <b>PERSONNEL</b></i></p>   | Retain a minimum of 71 years after date of birth, or 6 years after retirement, whichever is later |         |
| 12.1.2           |                            | The unsuccessful applications for academic promotion. Includes appeals against unsuccessful applications for promotion.  | Retain minimum of 5 years after action completed, then destroy                                    | D       |

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| No                                     | Function/Activity            | Description   | Disposal Action   | Custody |
|--|------------------------------|---|---|---------|
| <i>PERSONNEL - Academic Promotions</i> |                              |   |   |         |
| 12.1.3                                 |                              | The facilitation of the annual academic promotions process, where documentation is not held on a case file. May include applications, referee reports, line manager & assessor reports, review of applications, scorecards etc.   | Retain minimum of 5 years after action completed, then destroy              | D       |
| 12.2.0                                 | <b>Appointments</b>          | Appointments of chaplains within the university   |   |         |
| 12.2.1                                 |                              | The appointment of chaplains which are not held on personal files (this includes accepting a recommendation or nomination by a religious body.)   | Retain a minimum of 5 years after end of appointment, then destroy          | D       |
| 12.3.0                                 | <b>Clubs &amp; Societies</b> | The facilitation of University clubs and societies which enable staff and students with common interests to interact and actively participate in campus life. Includes sports and social clubs and associations.<br><br>See also <b>PERSONNEL - REPRESENTATIVES</b> for the nomination, appointment or resignation of individuals as official representatives to staff clubs, social clubs and associations |   |         |
| 12.3.1                                 |                              | The proposal and establishment of University staff clubs and associations.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 12.3.2                                 |                              | Membership arrangements with University staff clubs and associations.   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 12.3.3                                 |                              | Activities of University staff social clubs including support given by the University.  | Retain minimum of 2 years after action completed, then destroy              | D       |

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| No                                      | Function/Activity                  | Description   | Disposal Action   | Custody |
|---|------------------------------------|---|---|---------|
| <i>PERSONNEL - Counselling Services</i> |                                    |   |   |         |
| 12.4.0                                  | <b>Counselling Services</b>        | <p>Counselling services provided to employees of the organisation, not held on personal file.</p> <p><i>See General Disposal Authority for Human Resource Management Records - PERSONNEL</i></p> <p>See also <b>COMMUNITY RELATIONS - HEALTH &amp; WELLNESS SERVICES</b> for the provision of counselling services to anyone other than University personnel where the service is provided by the University.</p> <p>See also <b>STUDENT SERVICES - CAREER ADVICE</b> for the provision of information, assistance and advice regarding career directions, suitability and pre-requisite qualifications</p> |   |         |
| 12.5.0                                  | <b>Fellowships</b>                 | Successful fellowship applicants who are employed either through internal or external funding to undertake research and / or teaching at the University   |   |         |
| 12.5.1                                  |                                    | <p>Successful fellowship applications by students/personnel</p> <p>See also <b>STUDENT ADMINISTRATION - SCHOLARSHIPS, PRIZES &amp; AWARDS</b> for unsuccessful fellowship applications</p>  | Retain a minimum of 71 years after date of birth, or 6 years after retirement, whichever is later |         |
| 12.6.0                                  | <b>Grievances &amp; Complaints</b> | The handling and resolution of complaints and grievances. Includes handling complaints and grievances over perceived discrimination, or those arising over the work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints and grievances regarding the provision of services, as well as the management and resolution of unlawful or unjust behaviour involving University staff such as bullying, harassment, and misconduct.  |   |         |

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| No   | Function/Activity            | Description  | Disposal Action   | Custody |
|--|------------------------------|--|---|---------|
| <i>PERSONNEL - Grievances &amp; Complaints</i> |                              |  |   |         |
|  |                              | <p>Includes the lodgement of the complaint or grievance, resolution, appeals and all other associated correspondence.</p> <p>See also <b>STUDENT ADMINISTRATION - GRIEVANCES</b> for complaints and grievances regarding University students</p> <p>See also <b>STUDENT ADMINISTRATION - DISCIPLINE</b> for matters relating to the handling and resolution of disciplinary matters such as alleged academic and research misconduct and offences</p> <p>See also <i>General Disposal Authority for Human Resource Management Records - INDUSTRIAL RELATIONS</i> if the grievance results in a formal industrial relations dispute</p> <p>See also <i>General Disposal Authority for Human Resource Management Records PERSONNEL - GRIEVANCES</i> for grievances and complaints that are not precedent setting</p> |   |         |
| 12.6.1   |                              | <p>Formal complaints or grievances raised by an employee, which are precedent setting and have resulted in significant change to University policy or procedure.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 12.7.0   | <b>Honorary Appointments</b> | <p>The selection, approval and administration for members of the community or staff members bestowed with an honorary appointment by the University.</p> <p>Includes Senior Honorary Research Fellows, Emeritus Professors and Adjunct and Clinical titles, visiting professor, visiting fellow, visiting research associate, senior scholar-in-</p>   |   |         |

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| No                                       | Function/Activity                | Description   | Disposal Action  | Custody |
|--|----------------------------------|---|--|---------|
| <i>PERSONNEL - Honorary Appointments</i> |                                  |   |  |         |
|  |                                  | residence, artist-in-residence, writer-in-residence, adjunct appointments, affiliate teaching staff. Also includes visiting appointments and academic visitors.   |  |         |
| 12.7.1                                   |                                  | Records relating to all honorary appointments made by the University.   | Retain minimum of 5 years after action completed, then transfer to Archives      | A       |
| 12.7.2                                   |                                  | Records relating to the selection, approval and administration of academic visitors and visiting appointments at the University.  | Retain a minimum of 5 years after appointment ceases or visit made, then destroy | D       |
| 12.8.0                                   | <b>Misconduct Investigations</b> | The investigations of alleged general, academic and/or research misconduct and offences.<br><br>See also <b>PERSONNEL - GREIVANCES &amp; COMPLAINTS</b> for records relating to the activities associated with the handling and resolution of grievances and complaints for staff   |  |         |
| 12.8.1                                   |                                  | Investigations by a Committee of Inquiry into serious allegations of professional misconduct including academic fraud, misconduct in research matters and serious breaches of ethical practice.<br><br>See also <b>STRATEGIC MANAGEMENT - INCIDENT MANAGEMENT</b> for management of serious allegations of misconduct that are proven to be valid | Retain minimum of 12 years after action completed, then destroy                  | D       |
| 12.8.2                                   |                                  | Allegations of professional misconduct against a staff member of a minor nature.  | Retain minimum of 3 years after action completed, then destroy                   | D       |

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| No   | Function/Activity  | Description   | Disposal Action   | Custody |
|--|--------------------|---|---|---------|
| <i>PERSONNEL - Misconduct Investigations</i> |                    |   |   |         |
| 12.8.3                                       |                    | Infringements or breaches of mandatory standards, rules or statutory requirements that do not proceed to litigation. Includes notifications of breaches and investigations and negotiations.  | Retain minimum of 3 years after action completed, then destroy              | D       |
| 12.8.4                                       |                    | Allegations and notifications of misconduct by individuals to the Corruption and Crime Commission of WA.  | Retain minimum of 15 years after action completed, then destroy             | D       |
| 12.9.0                                       | <b>Recognition</b> | <p>The records associated with being recognized or acknowledged. Includes invitations by external organisations to nominate individuals, workgroups or the University as a whole for recognition of excellence in a given field or profession.</p> <p><i>See also General Disposal Authority for Human Resource Management Records - PERSONNEL</i></p> <p>See also <b>STUDENT ADMINISTRATION - SCHOLARSHIPS, PRIZES &amp; AWARDS</b> for awards bestowed on students by the University</p> <p>See also <b>PERSONNEL - HONORARY APPOINTMENTS</b> for the process of appointing an individual to an honorary appointment at the University</p> <p>See also <b>COMMUNITY RELATIONS - AWARDS</b> for the bestowing of an honorary award to a member of the public by the University</p> |   |         |
| 12.9.1                                       |                    | Successful submissions or applications for awards in relation to Teaching or Research.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |



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| No                             | Function/Activity              | Description  | Disposal Action  | Custody |
|--------------------------------|--------------------------------|--|--|---------|
| <i>PERSONNEL</i> - Recognition |                                |  |  |         |
|                                |                                | See also <i>General Disposal Authority for Human Resource Management Records</i> for business or industry awards and honours   |  |         |
| 12.9.2                         |                                | Unsuccessful or applications for awards in relation to Teaching or Research.   | Retain minimum of 4 years after action completed, then destroy | D       |
| 12.9.3                         |                                | Recognition of service, including prizes or awards (where the records are not part of the official personnel file). Includes awards such as VC Staff awards.   | Retain minimum of 2 years after action completed, then destroy | D       |
| 12.10.0                        | <b>Security</b>                | The measures taken to identify and protect people, premises, equipment or information from accidental or intentional unauthorised access.  |  |         |
| 12.10.1                        |                                | Photographic images for personnel identity cards. Includes negatives and the management of the digital image.  | Destroy once superseded or when employee leaves the University | D       |
| 12.11.0                        | <b>Staff Benefits</b>          | The management of incidental benefits received by agency personnel in the course of their employment.  |  |         |
| 12.11.1                        |                                | Arranging and management of staff benefits through corporate membership programs, such as Frequent Flyer programs.   | Retain minimum of 7 years after action completed, then destroy | D       |
| 12.12.0                        | <b>Transfer &amp; Exchange</b> | Administration and management of personnel loaned or temporarily transferred to another organisation or section, including those staff on exchange.<br><br>See also <i>General Disposal Authority for Human Resource</i> |  |         |

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| No                                     | Function/Activity     | Description   | Disposal Action  | Custody |
|--|-----------------------|---|--|---------|
| <i>PERSONNEL</i> - Transfer & Exchange |                       |   |  |         |
|  |                       | <i>Management Records - PERSONNEL</i> for records relating to the secondment of employees to and from the university  |  |         |
| 12.12.1                                |                       | Correspondence and arrangements with other institutions regarding the management and administration of personnel exchange programmes.   | Retain minimum of 5 years after action completed, then destroy | D       |
| 13.0.0                                 | <b>PUBLICATIONS</b>   | <p>The function of preparing and publishing works, including original literature, irrespective of format, either for sale or general distribution internally or to the public. Includes receiving, reviewing and accepting or rejecting manuscripts, editing and drafting publications and printing works or publications either by manual or electronic production (design, layout, typesetting, printing, web publishing etc). Also includes the marketing and supply of internal and external publications and other promotional materials by the University. Publications include multi-media publications, literature, CD ROM, websites and online information services.</p> <p>Copies of all publications produced by public sector agencies and statutory authorities are to be deposited with the State Library of Western Australia and the National Library of Australia. <a href="#">See section 3.5 of the Introduction for instructions.</a></p> <p>See <i>General Disposal Authority for Administrative Records - PUBLICATION</i></p> <p>See also <b>RESEARCH - DISSEMINATION</b> for the publishing of research findings</p> |  |         |
| 13.1.0                                 | <b>Organisational</b> | Includes publications for an external audience (e.g. articles in professional journals, conference proceedings), internal   |  |         |

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| No  | Function/Activity   | Description   | Disposal Action   | Custody |
|---|---------------------|---|---|---------|
| <i>PUBLICATIONS</i> - Organisational Publications |                     |   |   |         |
|   | <b>Publications</b> | publications (e.g. induction manuals, staff newsletters), and material intended for promotional purposes (e.g. leaflets).<br><br>See also <b>STUDENT ADMINISTRATION - ASSESSMENTS</b> for Theses  |   |         |
| 13.1.1  |                     | Master copies of publications containing course content such as University handbooks  | Retain in agency  | R       |
| 13.1.2  |                     | Working and used copies of calendars and handbooks  | Retain minimum of 1 year after action completed, then destroy               | D       |
| 13.2.0  | <b>Control</b>      | Creating, maintaining and evaluating control mechanisms such as registers for publications.   |   |         |
| 13.2.1  |                     | The allocation and administration of ISBN (International Standard Book Number) for all books and book-like products produced by the University.   | Retain minimum of 1 year after reference use ceases, then destroy           | D       |
| 13.2.2  |                     | Register of each publication that has been published by the University or its predecessor agencies. May include records containing bibliographical and publishing information about each title.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 13.3.0  | <b>Evaluation</b>   | Activities involved in determining the suitability of potential publications to meet the needs of a given situation<br><br>See also <b>PUBLICATION - PRODUCTION</b> for records relating to a manuscript pr proposal deemed suitable for publishing |   |         |
| 13.3.1  |                     | Manuscripts or proposals rejected or deemed unsuitable for  | Return to the author or   | D       |

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| No                               | Function/Activity            | Description  | Disposal Action   | Custody |
|----------------------------------|------------------------------|--|---|---------|
| <i>PUBLICATIONS</i> - Evaluation |                              |  |   |         |
|                                  |                              | publishing.  | retain a minimum of 6 months after last action completed, then destroy.             |         |
| 13.3.2                           |                              | Advice to an author that a manuscript or proposal has been rejected or deemed unsuitable.  | Retain minimum of 5 years after action completed, then destroy                      | D       |
| 13.4.0                           | <b>Intellectual Property</b> | Intellectual property held or maintained by the organisation, including copyright, patents and trademarks.   |   |         |
| 13.4.1                           |                              | Successful or unsuccessful applications for protection of intellectual property, (includes trademarks, patents, copyright, seal) and subsequent work produced resulting in licensing documentation and agreements.   | Retain a minimum of 15 years after action complete or license expires, then destroy | D       |
| 13.5.0                           | <b>Marketing</b>             | The process of marketing and promoting publications. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.  |   |         |
| 13.5.1                           |                              | The marketing of publications published by the University. Includes research and assessment of products against market trends, sale forecasting, pricing and liaison with retailers.   | Retain minimum of 5 years after action completed, then destroy                      | D       |
| 13.6.0                           | <b>Production</b>            | The processes involved in producing materials into an end result or output, e.g. a product or publication. Includes design, layout, typesetting, desktop publishing, printing, binding etc.<br><br><i>See also General Disposal Authority for Administrative Records - PUBLICATION for the master copy of the publications</i> |   |         |
| 13.6.1                           |                              | The development of publications irrespective of the medium   | Retain minimum of 5 years   | A       |

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| No                               | Function/Activity | Description  | Disposal Action   | Custody |
|----------------------------------|-------------------|--|---|---------|
| <i>PUBLICATIONS - Production</i> |                   |  |   |         |
|                                  |                   | <p>which utilise materials created by the University or that are provided by artists or sources which may be external to the University. These publications are used for promotional or publicity purposes, including the:</p> <ul style="list-style-type: none"> <li>· Highlights video</li> <li>· Compilation films, videos and audio material</li> <li>· Corporate profile videos</li> <li>· Launch video</li> <li>· Photographs and videos of University events.</li> </ul> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>PRODUCTION</b> for the master copy of the publications</p> | after action completed, then transfer to Archives                           |         |
| 13.6.2                           |                   | <p>Master copies of records created by, or on behalf of the University as a record of <b>significant</b> festivals or events run by the university, for example, videos, posters and photographs taken of festival events. Includes published and unpublished material and liaison, negotiations and agreements with the artist or photographer.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 13.6.3                           |                   | <p>Master copies of records created by, or on behalf of the University as a record of <b>non significant</b> festivals run by the university, for example, videos, posters and photographs taken of festival events. Includes published and unpublished material and liaison, negotiations and agreements with the artist or</p>   | Retain minimum of 7 years after action completed, then destroy              | D       |

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| No                               | Function/Activity | Description  | Disposal Action   | Custody |
|----------------------------------|-------------------|--|---|---------|
| <i>PUBLICATIONS</i> - Production |                   |  |   |         |
| 13.6.4                           |                   | <p>photographer.</p> <p>Records relating to the production of a manuscript or proposal that is published by or on behalf of the University, regardless of format. Includes files that document all the production information per publication. This includes the:</p> <ul style="list-style-type: none"> <li>· graphic design</li> <li>· indexing</li> <li>· editing</li> <li>· final drafts of publications (electronic/paper version)</li> <li>· proof-reading</li> <li>· printing/binding</li> <li>· preparation of source files</li> <li>· marking-up of document, including applying metadata</li> <li>· quality assurance and testing of final HTML files</li> <li>· creation of master version</li> <li>· production of electronic media products (e.g. CD-ROMs, diskettes)</li> <li>· updating and maintaining information and websites</li> </ul> | Retain minimum of 5 years after action completed, then transfer to Archives | A       |

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| No                               | Function/Activity | Description  | Disposal Action   | Custody |
|----------------------------------|-------------------|--|---|---------|
| <i>PUBLICATIONS</i> - Production |                   |  |   |         |
|                                  |                   | <ul style="list-style-type: none"> <li>· production script</li> </ul>  |   |         |
| 13.6.5                           |                   | The digital copy of the print ready version of every book published by University publishers.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 14.0.0                           | <b>RESEARCH</b>   | <p>The function of managing the investigation or inquiry into a subject of interest in order to discover or apply facts, principles, etc. Research may be funded by a grant, consultancy or scholarship, or may be an unfunded act of academic scholarship undertaken within the University.</p> <p><b>MAJOR RESEARCH DEFINITION</b></p> <p>Records relating to University research projects with outcomes that are or become</p> <ul style="list-style-type: none"> <li>· of high interest,</li> <li>· the subject of widespread debate or contention in the public arena</li> <li>· have a major national or international significance,</li> <li>· change the commonly held view or approach (paradigm shifting),</li> <li>· alter or vary the typical example,</li> <li>· where the principle investigator has a widely</li> </ul> |   |         |

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| No                              | Function/Activity    | Description   | Disposal Action | Custody |
|---------------------------------|----------------------|---|-----------------|---------|
| <i>RESEARCH - Accreditation</i> |                      |   |                 |         |
|                                 |                      | <p>acknowledged influence in the area of scholarship</p> <ul style="list-style-type: none"> <li>· representative case for or epitome of a subject</li> <li>· projects that involve the use of major or new innovative techniques,</li> <li>· have potential major or long term impact on the environment, heritage, society or human health.</li> <li>· have a legislative requirement to retain the records permanently, such as research involving gene therapy &amp; biotechnology</li> </ul> <p><b>MINOR RESEARCH DEFINITION</b></p> <p>Records relating to research that is not deemed a major, as outlined above</p> <p><b>DEFINITION OF A CLINICAL TRIAL</b></p> <p>A clinical trial is a form of human research designed to find out the effects of an intervention, including a treatment or diagnostic procedure. A clinical trial can involve testing a drug, a surgical procedure, other therapeutic procedures and devices, a preventive procedure, or a diagnostic device or procedure.</p> <p>(definition from : National Health &amp; Medical Research Council (2009) <a href="#">National Statement on the Ethical Conduct of Human Research</a>, pg 33)</p> |                 |         |
| 14.1.0                          | <b>Accreditation</b> | Achieving formal approval from relevant accrediting organisations, general external professional bodies or local  |                 |         |



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| No                              | Function/Activity | Description   | Disposal Action   | Custody |
|---------------------------------|-------------------|---|---|---------|
| <i>RESEARCH - Accreditation</i> |                   |   |   |         |
|                                 |                   | <p>government authorities, for offering particular research activities at the University. Includes the registration of facilities by professional bodies, review and re-accreditation as required.</p> <p>See also <b>TEACHING &amp; LEARNING - COURSE ACCREDITATION</b> for the accreditation of courses offered by the university</p> |   |         |
| 14.1.1                          |                   | The registration of the University as a research and scientific accredited institution. Includes application for registration, the supporting documentation, registration certificate and replacements, and variations/amendments.  | Retain minimum of 5 years after action completed, then transfer to Archives         | A       |
| 14.1.2                          |                   | The accreditation of an institution to conduct biotechnology research, in accordance with statutory requirements.   | Retain minimum of 5 years after action completed, then transfer to Archives         | A       |
| 14.1.3                          |                   | The accreditation or registration of the Universities research and testing facilities. Includes obtaining scientific user licences. Excludes biotechnology.   | Retain a minimum of 7 years after accreditation expires or is revoked, then destroy | D       |
| 14.1.4                          |                   | Unsuccessful applications for accreditation or registration of University research and testing facilities.  | Retain minimum of 2 years after action completed, then destroy                      | D       |
| 14.1.5                          |                   | Register of Office of Gene Technology Regulator (OGTR) Certified Facilities at the University. Includes certification of biotechnology practices, procedures and facilities at the University.  | Retain a minimum of 7 years after certification lapses, then destroy                | D       |

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| No                             | Function/Activity   | Description   | Disposal Action  | Custody |
|--------------------------------|---------------------|---|--|---------|
| <i>RESEARCH - Arrangements</i> |                     |   |  |         |
| 14.2.0                         | <b>Arrangements</b> | The arrangements made in relation to the delivery of research material.   |  |         |
| 14.2.1                         |                     | The delivery of hazardous research materials and / or equipment.  | Retain minimum of 5 years after action completed, then destroy | D       |
| 14.2.2                         |                     | The delivery of non – hazardous research materials and / or equipment.  | Retain minimum of 2 years after action completed, then destroy | D       |
| 14.3.0                         | <b>Audit</b>        | Records relating to official examinations and verifications of research activities. Includes checking of financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the University in a specified period.<br><br><i>See also General Disposal Authority for Financial Records</i> |  |         |
| 14.3.1                         |                     | The planning and conducting of internal and external audits relating to the research functions of the university.   | Retain minimum of 8 years after action completed, then destroy | D       |
| 14.4.0                         | <b>Bio-safety</b>   | The administration and management of all bio-safety research activities that are subject to the Gene Technology Act and Regulations.<br><br>This includes all research projects and research facilities that utilise bio-safety agents and other Genetic Modification (GM) dealings.  |  |         |

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|------------------------------|-------------------|---|---|---------|
| <i>RESEARCH - Bio-safety</i> |                   |   |   |         |
|                              |                   | Documentation includes administrative correspondence between researcher, the Research Services office, the University Bio-safety Committee and the Office of the Gene Technology Regulator (OGTR).  |   |         |
| 14.4.1                       |                   | Breaches of bio-safety ethics and practice relating to major research   | Retain minimum of 5 years after action completed, then transfer to Archive  | A       |
| 14.4.2                       |                   | Breaches of bio-safety ethics and practice relating to minor research for human or animal research that utilises high risk material such a teratogens and carcinogens, ionising radiation or dangerous drugs.   | Retain minimum of 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then destroy | D       |
| 14.4.3                       |                   | Breaches of bio-safety ethics and practice for minor research projects not covered by other minor research classes. Includes research where non-approved bio-safety activities have occurred.   | Retain minimum of 20 years after action completed, then destroy   | D       |
| 14.4.4                       |                   | Bio-safety research activities including applications associated with Exempt Dealing and Notifiable Low Risk Dealings projects (i.e. contained research involving very well understood organisms and processes for creating and studying GMOs). Includes licence, annual and final reports, storage records and associated documentation. | Retain a minimum of 7 years after expiry or termination of licence or disposal of GMO, whichever is later, then destroy.            | D       |
| 14.4.5                       |                   | The handling, storage, disposal and transport of security-sensitive biological agents.  | Retain minimum of 7 years after action completed, then destroy  | D       |

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| No                           | Function/Activity        | Description   | Disposal Action  | Custody |
|------------------------------|--------------------------|---|--|---------|
| <i>RESEARCH - Bio-safety</i> |                          |   |  |         |
| 14.4.6                       |                          | Copy of the institutional Genetically Modified Organism (GMO) Register. Note: Master register retained by the Office of Gene Technology Regulator.  | Retain minimum of 2 years after superseded, then destroy   | D       |
| 14.5.0                       | <b>Commercialisation</b> | <p>The development and management of products and services emerging from the Universities research activities which have commercial potential. Includes exploring markets for the University's expertise and research output, conducting product and services analysis, market research and forecasting, and promoting and selling of products and services.</p> <p>See also <i>General Disposal Authority for Administrative Records - LEGAL SERVICES</i> for the registration of patents and other intellectual property belonging to the university.</p> <p>See also <b>ESTABLISHMENT - FORMATION</b> for establishment of companies where the university holds shared equity.</p> |  |         |
| 14.5.1                       |                          | The commercialisation of products and services carried out by the University, where the intellectual property is owned by the University.   | Retain a minimum of 20 years after last action or 3 years after expiry of patent, whichever is the later, then destroy | D       |
| 14.5.2                       |                          | Unsuccessful commercialisation activities.  | Retain minimum of 7 years after action completed, then destroy   | D       |
| 14.5.3                       |                          | The development of opportunities for commercial ventures. Includes market research and sales forecasting.   | Retain minimum of 5 years after action completed, then destroy   | D       |

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| No                                    | Function/Activity          | Description  | Disposal Action | Custody |
|---------------------------------------|----------------------------|--|-----------------|---------|
| <i>RESEARCH</i> - Conducting Research |                            |  |                 |         |
| 14.6.0                                | <b>Conducting Research</b> | <p>The conducting of research by the University. Includes experimentation, observation, modelling, field trials, data collection, surveys, fabrication and production.</p> <p>Includes records such as:</p> <ul style="list-style-type: none"> <li>· Field books</li> <li>· Laboratory notebooks</li> <li>· Data matrices</li> <li>· Collated data</li> <li>· Modelling drafts and final models</li> <li>· Experiment plans</li> </ul> <p>See also <b>RESEARCH - DISSEMINATION</b> for the distribution of findings and reports through publications and/or presentation.</p> <p>See also <b>RESEARCH - DATA ANALYSIS &amp; RESULTS</b> for the generation of information resulting from research and the assessment of research data to form conclusions.</p> <p>See also <b>RESEARCH - ETHICS CLEARANCE</b> for gaining ethical clearance in relation to research</p> <p>See also <b>RESEARCH - GRANT ADMINISTRATION</b> for administrative management of research grants and funding.</p> |                 |         |

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| No                                    | Function/Activity | Description  | Disposal Action   | Custody |
|---------------------------------------|-------------------|--|---|---------|
| <i>RESEARCH - Conducting Research</i> |                   |  |   |         |
|                                       |                   | See also <b>RESEARCH - METHODOLOGY</b> the planning and selection of research methodologies and processes.   |   |         |
| 14.6.1                                |                   | Conducting research with outcomes that are classed as major.<br><br><i>Refer to the scope for RESEARCH for the definition of major research.</i>                 | Retain a minimum of 5 years after date of publication, or 5 years after completion of the project, whichever is later, then transfer to Archives      | A       |
| 14.6.2                                |                   | Conducting minor research involving humans or animals that utilise high risk material such as teratogens and carcinogens, ionising radiation or dangerous drugs. | Retain minimum of 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then destroy                   | D       |
| 14.6.3                                |                   | Conducting research with outcomes that are classed as minor, but involving clinical trials.  | Retain minimum of 25 years after date of publication, or 25 years after conclusion of the project, whichever is later, then destroy                   | D       |
| 14.6.4                                |                   | Conducting research with outcomes that are deemed as minor, where the projects involving children (-18 years).   | Retain a minimum of 7 years after publication or project completion, or the subject/s have reached 25 years of age, whichever is later, then destroy. | D       |
| 14.6.5                                |                   | Conducting research with outcomes that are classed as minor, not covered by other minor research classes.  | Retain minimum of 7 years after date of publication, or 7 years after conclusion of   | D       |

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| No                              | Function/Activity                  | Description  | Disposal Action  | Custody |
|---------------------------------|------------------------------------|--|--|---------|
| <i>RESEARCH</i> - Dissemination |                                    |  |  |         |
|                                 |                                    |  | the project, whichever is later, then destroy                  |         |
| 14.7.0                          | <b>Dissemination</b>               | <p>The distribution of findings and reports through publications and/or presentation.</p> <p>See also <b>RESEARCH - CONDUCTING RESEARCH</b> for the activities involved in undertaking research.</p> <p>See also <b>RESEARCH - DATA ANALYSIS &amp; RESULTS</b> for the generation of information resulting from research and the assessment of research data to form conclusions.</p> <p>See also <b>RESEARCH - ETHICS CLEARANCE</b> for gaining ethical clearance in relation to research</p> <p>See also <b>RESEARCH - GRANT ADMINISTRATION</b> for administrative management of research grants and funding.</p> <p>See also <b>RESEARCH - METHODOLOGY</b> the planning and selection of research methodologies and processes</p> |  |         |
| 14.7.1                          |                                    | Dissemination of research findings to the broader community. Includes dissemination through publication of findings, presentations and general promotions of outcomes.   | Retain minimum of 3 years after action completed, then destroy | D       |
| 14.8.0                          | <b>Data Analysis &amp; Results</b> | <p>The generation of information resulting from research and the assessment of research data to form conclusions. Includes all formatting and manipulation of data, aggregation, calculations, conclusions and the writing up of results.</p> <p>See also <b>RESEARCH - CONDUCTING RESEARCH</b> for the</p>  |  |         |

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| No  | Function/Activity | Description  | Disposal Action  | Custody |
|---|-------------------|--|--|---------|
| <i>RESEARCH - Data Analysis &amp; Results</i> |                   |  |  |         |
|   |                   | <p>activities involved in undertaking research.</p> <p>See also <b>RESEARCH - DISSEMINATION</b> for the distribution of findings and reports through publications and/or presentation.</p> <p>See also <b>RESEARCH - ETHICS CLEARANCE</b> for gaining ethical clearance in relation to research</p> <p>See also <b>RESEARCH - GRANT ADMINISTRATION</b> for administrative management of research grants and funding.</p> <p>See also <b>RESEARCH - METHODOLOGY</b> the planning and selection of research methodologies and processes.</p> |  |         |
| 14.8.1  |                   | <p>Research data, analysis and results with outcomes that are classed as major.</p> <p>Refer to RESEARCH function scope for definition of major research</p>   | Retain a minimum of 5 years after date of publication, or 5 years after completion of the project, whichever is later, then transfer to Archives | A       |
| 14.8.2  |                   | Research data, analysis and results that are classed minor involving humans or animals that utilise high risk material such as teratogens and carcinogens, ionising radiation or dangerous drugs.  | Retain minimum of 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then destroy              | D       |
| 14.8.3  |                   | Minor research data, analysis and results with outcomes that are classed as minor, but involving clinical trials.  | Retain minimum of 25 years after date of publication, or 25 years after conclusion of the project, whichever is                                  | D       |



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| No  | Function/Activity       | Description   | Disposal Action   | Custody |
|---|-------------------------|---|---|---------|
| <i>RESEARCH - Data Analysis &amp; Results</i> |                         |   |   |         |
|   |                         |   | later, then destroy   |         |
| 14.8.4  |                         | Research data, analysis and results with outcomes that are classed as minor, where the projects involving children (-18 years).                         | Retain a minimum of 7 years after publication or project completion, or the subject/s have reached 25 years of age, whichever is later, then destroy. | D       |
| 14.8.5  |                         | Research data, analysis and results with outcomes that are classed as minor, not covered by other minor research classes.                               | Retain minimum of 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then destroy                     | D       |
| 14.8.6  |                         | Research data, analysis and results relating to short-term research projects undertaken by students for assessment purposes.                            | Retain a minimum of 12 months after the completion of the project, then destroy   | D       |
| 14.9.0  | <b>Ethics Clearance</b> | Gaining ethical clearance in relation to research and research training activities.   |   |         |
| 14.9.1  |                         | Ethics Clearances for research with outcomes that are classed as major.<br><br>Refer to RESEARCH function scope for definition of major research        | Retain a minimum of 5 years after date of publication, or 5 years after completion of the project, whichever is later, then transfer to Archives      | A       |
| 14.9.2  |                         | Ethics clearances relating to minor research that utilises high risk material such a teratogens and carcinogens, ionising radiation or dangerous drugs. | Retain minimum of 50 years after date of publication, or 50 years after conclusion of   | D       |

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| No                                 | Function/Activity           | Description  | Disposal Action   | Custody |
|------------------------------------|-----------------------------|--|---|---------|
| <i>RESEARCH - Ethics Clearance</i> |                             |  |   |         |
|                                    |                             |  | the project, whichever is later, then destroy   |         |
| 14.9.3                             |                             | Ethics Clearances for research with outcomes that are classed as minor which involve clinical trials.  | Retain minimum of 25 years after date of publication, or 25 years after conclusion of the project, whichever is later, then destroy                   | D       |
| 14.9.4                             |                             | Ethics Clearances for research with outcomes that are classed as minor which involve children (-18 years).   | Retain a minimum of 7 years after publication or project completion, or the subject/s have reached 25 years of age, whichever is later, then destroy. | D       |
| 14.9.5                             |                             | Ethics Clearances for research with outcomes that are classed as minor, not covered by other minor research classes.   | Retain minimum of 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then destroy                     | D       |
| 14.9.6                             |                             | Unsuccessful applications for ethical clearance, including those applications submitted to the Institutional Biosafety Committee.  | Retain minimum of 2 years after action completed, then destroy  | D       |
| 14.10.0                            | <b>Grant Administration</b> | The administration of research funding for the inquiry or investigation into a specific subject to discover and/or apply knowledge facts or principles. Includes grants provided by internal or external funding bodies, to individuals, a research team or to a specific area of the University. May also include consultancies undertaken by staff using the Universities name |   |         |

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| No                                     | Function/Activity | Description  | Disposal Action   | Custody |
|--|-------------------|--|---|---------|
| <i>RESEARCH - Grant Administration</i> |                   |  |   |         |
|  |                   | <p>which is also considered to be research income.</p> <p>Includes the submission and approval of research project proposals; the funding of research projects and reporting on activities associated with progress and completion.</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>COMMON ACTIVITIES - AGREEMENTS</b> for contracts or agreements relating to research grants</p> |   |         |
| 14.10.1                                |                   | <p>Major research projects that are successful in obtaining funding. Includes project and funding proposals, application forms or tenders, resource allocation, supporting information, referees, agreements with research and grant partners, and internal and external compliance reports.</p> <p><i>Refer to RESEARCH function scope for definition of major research</i></p>                                   | Retain a minimum 5 years after date of publication, or 5 years after completion of the project, whichever is later, then transfer to Archives | A       |
| 14.10.2                                |                   | <p>Successful applications for funding minor research that utilize high risk material such as teratogens and carcinogens, ionising, radiation or dangerous drugs.</p> <p>Includes project and funding proposals, application forms or tenders, resource allocation, supporting information, referees, agreements with research and grant partners, and internal and external compliance reports.</p>               | Retain a minimum of 50 years after date of publication or after conclusion of the project, whichever is the later, then destroy               | D       |
| 14.10.3                                |                   | <p>Successful applications for funding for minor research involving clinical trials.</p> <p>Includes project and funding proposals, application forms or tenders, resource allocation, supporting information, referees,</p>   | Retain a minimum of 25 years after date of publication or after conclusion of the project, whichever is the later, then                       | D       |

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| No                                     | Function/Activity            | Description   | Disposal Action   | Custody |
|--|------------------------------|---|---|---------|
| <i>RESEARCH - Grant Administration</i> |                              |   |   |         |
|  |                              | agreements with research and grant partners, and internal and external compliance reports.  | destroy   |         |
| 14.10.4                                |                              | Minor research projects that are successful in obtaining funding. Includes project and funding proposals, application forms or tenders, resource allocation, supporting information, referees, agreements with research and grant partners, and internal and external compliance reports. | Retain minimum of 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then destroy | D       |
| 14.10.5                                |                              | Unsuccessful research grants applications and proposals.  | Retain minimum of 3 years after action completed, then destroy  | D       |
| 14.10.6                                |                              | Records relating to the formulation and/or development of research which do not proceed to a formal research grant application.   | Retain minimum of 2 years after action completed, then destroy  | D       |
| 14.10.7                                |                              | Guidelines and conditions that external organisations provide to the University for applicants seeking research grant funding.  | Retain until reference use ceases, then destroy   | D       |
| 14.10.8                                |                              | Master register of successful applications for research grants received from funding bodies.  | Retain minimum of 5 years after action completed, then transfer to Archives   | A       |
| 14.10.9                                |                              | Non competitive and/or discretionary fund allocation for research. Includes funding allocated through incentives and ad hoc funding.  | Retain minimum of 7 years after action completed, then destroy  | D       |
| 14.11.0                                | <b>Intellectual Property</b> | Intellectual property held or maintained by the organisation, including patents and trademarks.   |   |         |
| 14.11.1                                |                              | Successful application for protection of intellectual property,   | Retain minimum of 5 years,  | A       |

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| No                                      | Function/Activity | Description  | Disposal Action   | Custody |
|---|-------------------|--|---|---------|
| <i>RESEARCH</i> - Intellectual Property |                   |  |   |         |
|   |                   | (includes trademarks and patents) and subsequent licensing agreements and documentation.   | then transfer to State Archives   |         |
| 14.11.2                                 |                   | Unsuccessful applications for protection of intellectual property, (includes trademarks and patents).  | Retain minimum of 7 years after action completed, then destroy                        | D       |
| 14.12.0                                 | <b>Licensing</b>  | The acquisition of a licence or permit for the purpose of undertaking research.  |   |         |
| 14.12.1                                 |                   | Successful application for licences relating to the use of flora and fauna for scientific or other prescribed purposes.  | Retain a minimum of 7 years after date of license expires or is revoked, then destroy | D       |
| 14.12.2                                 |                   | Unsuccessful application for licences relating to the use of flora and fauna for scientific or other prescribed purposes.  | Retain minimum of 2 years after action completed, then destroy                        | D       |
| 14.12.3                                 |                   | Successful application for anatomy licences (called practice licences) for conducting the research of anatomy.   | Retain minimum of 1 year after expiry or termination of licence, then destroy         | D       |
| 14.12.4                                 |                   | Unsuccessful application for anatomy licences (called practice licences) for conducting the research of anatomy.   | Retain minimum of 2 years after action completed, then destroy                        | D       |
| 14.12.5                                 |                   | Records relating to the acquisition of a licence to use animals for research teaching or breeding purposes under an organisational scientific licence<br><br>See also <b>RESEARCH - ACCREDITATION</b> for records relating | Retain a minimum of 7 years after licence or permit lapses, then destroy              | D       |

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| No                          | Function/Activity  | Description   | Disposal Action  | Custody |
|-----------------------------|--------------------|---|--|---------|
| <i>RESEARCH - Licensing</i> |                    |   |  |         |
|                             |                    | to the organisational scientific licence for the University   |  |         |
| 14.12.6                     |                    | The acquisition of a copy of licence to use animals for research teaching or breeding purposes from other organizations.  | Retain until reference use ceases, then destroy  | D       |
| 14.12.7                     |                    | Genetically modified organism (GMO) licences authorised under the Gene Technology Act 2000  | Retain minimum of 7 years after expiry or termination of licence, then destroy                 | D       |
| 14.12.8                     |                    | The application and use of Australian Quarantine Inspection Service (AQIS) import permits to import materials that require clearance under Australian quarantine specifications and associated legislation.<br><br><i>See also General Disposal Authority for Financial Records for the financial records associated with importing materials</i>   | Retain a minimum of 7 years after the permit has expired or has been surrendered, then destroy | D       |
| 14.13.0                     | <b>Methodology</b> | The planning and selection of research methodologies and processes to be carried out in order to achieve the objectives of the research project. Includes investigation into existing research and the gaining of required approval for the methodology.<br><br>See also <b>RESEARCH - CONDUCTING RESEARCH</b> for the activities involved in undertaking research.<br><br>See also <b>RESEARCH - DATA ANALYSIS &amp; RESULTS</b> for the generation of information resulting from research and the assessment of research data to form conclusions.<br><br>See also <b>RESEARCH - DISSEMINATION</b> for the distribution of findings and reports through publications and/or |  |         |

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| No                            | Function/Activity | Description   | Disposal Action  | Custody |
|-------------------------------|-------------------|---|--|---------|
| <i>RESEARCH - Methodology</i> |                   |   |  |         |
|                               |                   | <p>presentation.</p> <p>See also <b>RESEARCH - ETHICAL CLEARANCE</b> for gaining ethical clearance in relation to research</p> <p>See also <b>RESEARCH - GRANT ADMINISTRATION</b> for administrative management of research grants and funding.</p> |  |         |
| 14.13.1                       |                   | <p>Methodology for research projects with outcomes that are classed as major.</p> <p><i>Refer to RESEARCH function scope for definition of major research.</i></p>  | Retain a minimum of 5 years after date of publication, or 5 years after conclusion of the project, whichever is later, then transfer to Archives | A       |
| 14.13.2                       |                   | Methodology for minor research projects involving humans or animals that utilise high risk material such as teratogens and carcinogens, ionising radiation or dangerous drugs.  | Retain minimum of 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then destroy              | D       |
| 14.13.3                       |                   | Methodology for research projects with outcomes that are classed as minor, but involving clinical trials.   | Retain minimum of 25 years after date of publication, or 25 years after conclusion of the project, whichever is later, then destroy              | D       |
| 14.13.4                       |                   | Methodology for research projects with outcomes that are classed as minor, where the projects involving children (-18 years).   | Retain a minimum of 7 years after publication or project completion, or the subject/s have reached 25 years of age, whichever is                 | D       |

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| No                            | Function/Activity | Description   | Disposal Action   | Custody |
|-------------------------------|-------------------|---|---|---------|
| <i>RESEARCH - Methodology</i> |                   |   |   |         |
|                               |                   |   | later, then destroy.  |         |
| 14.13.5                       |                   | Methodology for minor research projects not covered by other minor research classes.  | Retain minimum of 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then destroy   | D       |
| 14.14.0                       | <b>Reporting</b>  | Mandatory statements or findings of the results of research projects or investigations, not including publications.<br><br>See also <b>RESEARCH - DISSEMINATION</b> for the publishing of research findings   |   |         |
| 14.14.1                       |                   | Reporting on research projects with outcomes that are classed as major. Includes progress reports, inspection reports and reports on expenditure.<br><br>Refer to RESEARCH function scope for definition of major research.                           | Retain minimum of 5 years, then transfer to State Archives  | A       |
| 14.14.2                       |                   | Reporting on minor research projects involving humans or animals that utilise high risk material such as teratogens and carcinogens, ionising radiation or dangerous drugs. Includes progress reports, inspection reports and reports on expenditure. | Retain minimum of 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then destroy | D       |
| 14.14.3                       |                   | Reporting on research projects with outcomes that are classed as minor, but involving clinical trials. Includes progress reports, inspection reports and reports on expenditure.  | Retain minimum of 25 years after date of publication, or 25 years after conclusion of the project, whichever is later, then destroy | D       |



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| No                          | Function/Activity                        | Description   | Disposal Action   | Custody |
|-----------------------------|--|---|---|---------|
| <i>RESEARCH - Reporting</i> |  |   |   |         |
| 14.14.4                     |  | Reporting on research projects with outcomes that are classed as minor, where the projects involving children (-18 years). Includes progress reports, inspection reports and reports on expenditure.  | Retain a minimum of 7 years after publication or project completion, or the subject/s have reached 25 years of age, whichever is later, then destroy. | D       |
| 14.14.5                     |  | Reporting for minor research projects not covered by other minor research classes. Includes progress reports, inspection reports and reports on expenditure.  | Retain minimum of 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then destroy                     | D       |
| 14.14.6                     |  | Annual Research activity reported to the Higher Education Research Data (HERDC)   | Retain minimum of 7 years after action completed, then destroy  | D       |
| 14.15.0                     | <b>Research Facilities &amp; Support</b> | The provision of facilities which assist in carrying out research functions such as the setting up and maintenance of Research Centres, Institutes and other facilities. Includes submissions for funding to acquire research equipment and facilities. |   |         |
| 14.15.1                     |  | Applications by University researchers to conduct research activities at external organisations. Includes applications and approvals to use specimens (i.e. animals) at external facilities.  | Retain minimum of 7 years after action completed, then destroy  | D       |
| 14.15.2                     |  | The acquisition and management of funding for equipment and facilities such as laboratory equipment to support the research activities of the University.   | Retain minimum of 7 years after action completed, then destroy  | D       |
| 14.15.3                     |  | Unsuccessful applications that are submitted to funding bodies for research infrastructure funding. May include supporting  | Retain until reference use  | D       |

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| No  | Function/Activity          | Description   | Disposal Action  | Custody |
|---|----------------------------|---|--|---------|
| <i>RESEARCH</i> - Research Facilities & Support |                            |   |  |         |
|   |                            | documentation.  | ceases, then destroy   |         |
| 14.15.4   |                            | Guidelines and conditions that external organisations provide to the University for applicants seeking funding for research equipment and facilities.   | Retain until reference use ceases, then destroy  | D       |
| 14.15.5   |                            | The application, approval and maintenance of quarantine approved premises on campus.  | Retain a minimum of 7 years after the permit has expired or has been surrendered, then destroy | D       |
| 14.15.6   |                            | Video surveillance records for facilities handling security-sensitive biological agents.  | Retain minimum of 2 years after action completed, then destroy                                 | D       |
| 14.16.0   | <b>Specimen Management</b> | The care, use, protection and disposal of specimens for teaching and research purposes in accordance with statutory requirements. Specimens may include human cadaver material, animals, drugs, medicines, soil samples, organisms and biological agents such as bacteria.  |  |         |
| 14.16.1   |                            | The acquisition or donation, storage, maintenance, management and disposal of human cadaver material. Includes registers of human cadaver material held by licensed schools of anatomy.   | Retain minimum of 5 years after action completed, then transfer to Archives                    | A       |
| 14.16.2   |                            | The acquisition, management, maintenance, breeding and care of animals, including farm animals for research and/or teaching purposes. Includes animal register, transport, quarantine, care, handling, housing/storage documentation, disposal of animal remains or specimens and all other related correspondence. | Retain minimum of 7 years after action completed, then destroy                                 | D       |

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| No                                    | Function/Activity        | Description  | Disposal Action   | Custody |
|---------------------------------------|--------------------------|--|---|---------|
| <i>RESEARCH - Specimen Management</i> |                          |  |   |         |
| 14.16.3                               |                          | The monitoring and review of animal management including official inspections, offences, orders, appeals, reviews, and reports.  | Retain minimum of 7 years after action completed, then destroy                      | D       |
| 14.16.4                               |                          | The management and maintenance of inorganic or organic specimens used for research or other teaching purposes.   | Retain minimum of 7 years after action completed, then destroy                      | D       |
| 14.16.5                               |                          | The acquisition, storage and disposal of radioactive substances and radiation equipment.   | Retain a minimum of 50 years after disposal of substance or equipment, then destroy | D       |
| 14.16.6                               |                          | Records relating to registration under the Animal Welfare Act 2002 authorising the University to use animals for scientific purposes   | Retain minimum of 7 years after expiry or termination of licence, then destroy      | D       |
| 14.16.7                               |                          | The management of animals or specimens on campus that require clearance under Australian quarantine specifications and associated legislation. Includes notifications that the quarantine period has concluded.  | Retain minimum of 7 years after action completed, then destroy                      | D       |
| 14.16.8                               |                          | Approvals for lethality tests  | Retain minimum of 7 years after action completed, then destroy                      | D       |
| 15.0.0                                | <b>STAFF DEVELOPMENT</b> | The function of encouraging staff to develop their skills and abilities (through participation in activities, programmes and events) to maximise their potential and increase their productivity. Includes identifying and implementing all aspects of training needs and programmes (internal and external) |   |         |

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| No   | Function/Activity                     | Description   | Disposal Action  | Custody |
|--|---------------------------------------|---|--|---------|
| STAFF DEVELOPMENT - Professional Development Leave |                                       |   |  |         |
|  |                                       | available to staff.<br><br><i>See also General Disposal Authority for Human Resource Management Records</i>   |  |         |
| 15.1.0   | <b>Professional Development Leave</b> | The process of offering personnel the opportunities to use study leave or development to enhance their professional experience. Also referred to as sabbatical (academic personnel) or professional development leave (professional personnel). Includes study leave application forms, authorisations, study leave reports and all associated correspondence where the records are not part of the official University personnel file. |  |         |
| 15.1.1   |                                       | Successful applications for study or professional development leave including acceptances and reports that are not retained on the official personnel file.   | Retain minimum of 7 years after action completed, then destroy | D       |
| 15.1.2   |                                       | Unsuccessful applications for study or professional development leave that are not retained on the official personnel file.   | Retain minimum of 2 years after action completed, then destroy | D       |
| 15.1.3   |                                       | Study leave reports by staff that are not retained on the official personnel file.  | Retain until reference use ceases, then destroy                | D       |
| 15.2.0   | <b>Subsidies</b>                      | Arranging and managing money paid to employees in addition to salary to cover expenses incurred in the course of employment, e.g. travelling allowances. The type of allowances and the maximum amounts payable are defined by the Policies and Guidelines of the University.   |  |         |
| 15.2.1   |                                       | Applications and approvals for payments or waivers of study fees for staff. Includes documentation where the University   | Retain minimum of 6 years after action completed, then         | D       |

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| No                          | Function/Activity           | Description   | Disposal Action   | Custody |
|-----------------------------|-----------------------------|---|---|---------|
| <i>STRATEGIC MANAGEMENT</i> |                             |   |   |         |
|                             |                             | contributes towards the fees associated with a recognised course of study   | destroy   |         |
| 16.0.0                      | <b>STRATEGIC MANAGEMENT</b> | <p>The function of applying broad systematic management planning and monitoring for the long term strategy and direction of the University. Includes the development of the</p> <ul style="list-style-type: none"> <li>· corporate mission,</li> <li>· strategic objectives,</li> <li>· continuous improvement processes,</li> <li>· quality assurance,</li> <li>· risk frameworks,</li> <li>· audit and certification,</li> <li>· and the formulation and amendment of legislation which provides the legislative basis for the organisation.</li> </ul> |   |         |
| 16.1.0                      | <b>Appeals</b>              | <p>A comprehensive investigation of <b>significant</b> incidents that occur on or off campus that may affect staff, students, contractors, visitors or the property of the University.</p> <p>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant</p>  |   |         |
| 16.1.1                      |                             | Grievances or other sensitive or contentious matters that are referred to an external tribunal or other authority to resolve. Includes those matters that are referred to the University  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |

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| No  | Function/Activity    | Description  | Disposal Action   | Custody |
|---|----------------------|--|---|---------|
| <i>STRATEGIC MANAGEMENT - Authorisation</i> |                      |  |   |         |
|   |                      | Visitor  |   |         |
| 16.2.0                                      | <b>Authorisation</b> | <p>Delegations that authorise actions or permit a high level University activity. Includes nomination or request for delegation or authority, non-approval or endorsement of authority, conditions of delegated authority and all other related correspondence.</p> <p><i>See also General Disposal Authority for Financial Records <b>AUTHORISATION</b> for records relating to financial delegations</i></p> <p><i>See also General Disposal Authority for Human Resource Management Records - <b>PERSONNEL - AUTHORISATIONS</b> for records relating to human resources delegations</i></p> |   |         |
| 16.2.1                                      |                      | Delegations of authority to Vice-Chancellor and officers occupying statutory positions (high level delegations) regarding the functional responsibilities of the University for life of the institution.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 16.3.0                                      | <b>Compliance</b>    | Complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the University is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series  |   |         |
| 16.3.1                                      |                      | Records relating to institutional accreditation as an educational provider, such as those that determine that the University is licensed to be a teaching and educational institution. Includes registration and application forms, reports, submissions, supporting documents, notification of approval or non-approval and all other related correspondence.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |

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| No   | Function/Activity          | Description   | Disposal Action   | Custody |
|--|----------------------------|---|---|---------|
| <i>STRATEGIC MANAGEMENT - Corporate Identity</i> |                            |   |   |         |
|  |                            | See also <b>TEACHING &amp; LEARNING - ACCREDITATION</b> for the accreditation of courses  |   |         |
| 16.4.0   | <b>Corporate Identity</b>  | Development and protection of University identity objects such as the name, coat of arms, crest, motto, logo, trademarks or the University seal. Includes item development documentation, letters, patent applications, negatives, photographs and all other related correspondence. Also includes the administration of requests to use university identity objects, notification of approval or non-approval, conditions of use and all other related correspondence. Also includes breaches of use and the resolution.<br><br><i>See also General Disposal Authority for Administrative Records - PUBLICATION</i> for corporate style guides |   |         |
| 16.4.1   |                            | Development of corporate identity objects including their design and format e.g. coat of arms, common seal, logo and the crest.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 16.4.2   |                            | The application and approval to use the University's identity objects such as the crest, motto or logo.   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 16.4.3   |                            | Falsification or misuse of corporate identity, including fraudulent use of web content, falsified Statement of Academic Record (Academic Transcript)  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 16.5.0   | <b>Corporate Protocols</b> | The development and implementation of formal etiquette and procedure for a particular occasion or ceremony, in order to be diplomatic and to represent the University ethos and code of conduct. These protocols may be formally or informally stated   |   |         |

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| No  | Function/Activity            | Description  | Disposal Action  | Custody |
|---|------------------------------|--|--|---------|
| <i>STRATEGIC MANAGEMENT - Corporate Protocols</i> |                              |  |  |         |
|   |                              | <p>but support such activities as the use of University titles, the use of flags on campus, the use of the University name, coat of arms and crest and the manner in how University visiting delegations are treated.</p> <p>See also <b>STUDENT ADMINISTRATION - GRADUATION CEREMONIES</b> for records about graduation ceremony protocols, including academic dress protocols</p>  |  |         |
| 16.5.1  |                              | Records relating to the interpretation and implementation of protocol policy and procedures for ceremonies, use of titles and addresses and protocol for visitors to the University.   | Retain in agency   | R       |
| 16.6.0  | <b>Corruption Prevention</b> | <p>Strategies for the prevention of corruption. Includes involvement in corruption prevention projects undertaken by the Corruption &amp; Crime Commission (CCC), the education of staff about corruption prevention disclosures and information relating to the disclosure of improper conduct within universities in compliance with Public Interest Disclosure legislation, also known as ' whistleblower ' legislation</p> <p>See also <b>LEGAL SERVICES - CORRUPTION DISCLOSURE</b> for records relating to corruption disclosure</p> |  |         |
| 16.6.1  |                              | Development and implementation of strategies for the prevention of corruption within the University  | Retain minimum of 7 years after action completed, then destroy | D       |
| 16.7.0  | <b>Elections</b>             | <p>Election of office bearers, representatives and other senior positions within the University.</p> <p>Includes electoral roll creation, maintenance and roll services, call for nominations, advertising the ballot, ballot papers,</p>  |  |         |



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| No                                      | Function/Activity | Description   | Disposal Action   | Custody |
|---|-------------------|---|---|---------|
| <i>STRATEGIC MANAGEMENT - Elections</i> |                   |   |   |         |
|   |                   | nominations and tally sheets.   |   |         |
| 16.7.1                                  |                   | The election of the Chancellor and Pro Chancellor.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 16.7.2                                  |                   | Electoral roll creation, maintenance and roll services including the electoral roll itself.   | Retain minimum of 1 year after action completed, then destroy               | D       |
| 16.7.3                                  |                   | The conduct of elections. This can include advertising, balloting, nominations, notices, papers, scrutineers and tally sheets.  | Retain minimum of 6 months after action completed, then destroy             | D       |
| 16.7.4                                  |                   | Elections for membership of committees and boards of the University including Guild of Student elections where the University manages the election process. Records include electoral rolls, ballot papers, tally sheets, nominees' statements, and official notification of results. | Retain a minimum of 3 years after declaration of results, then destroy      | D       |
| 16.8.0                                  | <b>Standards</b>  | Implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the University. Also includes quality assurance activities.  |   |         |
| 16.8.1                                  |                   | Supplementary records relating to quality assurance activities i.e. working papers, drafts and administrative arrangements.   | Retain minimum of 1 year after action completed, then destroy               | D       |
| 16.8.2                                  |                   | The instigation and conduct of quality assurance activities by the University.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |

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| No                            | Function/Activity             | Description  | Disposal Action   | Custody |
|-------------------------------|-------------------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION</i> |                               |  |   |         |
| 17.0.0                        | <b>STUDENT ADMINISTRATION</b> | <p>The function of managing students through process of recruitment, applications, admission, enrolment, progression through courses and final accreditation by the university, including qualification for and awarding of degrees. Also includes planning, administering and setting procedures for, exchange programs, misconduct and graduation of undergraduate and postgraduate students.</p> <p>Note: Where records are created and maintained by international campuses, there may be instances where the records may need to be retained over and above the minimum retention outlined in this document due to local legislation.</p> |   |         |
| 17.1.0                        | <b>Academic Record</b>        | The complete record of a student studies including final grades, details of the courses completed, the awards conferred and the majors, minors, program, and streams completed as part of each course, awards conferred and prizes awarded.  |   |         |
| 17.1.1                        |                               | Academic Record - The official record of the marks or grades achieved by a student during the course of the degree, diploma or other award.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.1.2                        |                               | Letters of completion which is notification that a course of study has been completed.   | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.1.3                        |                               | Records relating to the authority to release results.  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 17.1.4                        |                               | Board of Examiners Results - Computer printout lists run from the student records system to assist Faculties in making   | Retain minimum of 3 years after action completed, then                      | D       |

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| No  | Function/Activity       | Description  | Disposal Action   | Custody |
|---|-------------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Academic Record</i> |                         |  |   |         |
|   |                         | decisions regarding the progression of students each semester. Lists are also used to confirm graduation status of students. Includes course assessment lists - print outs of grades awarded to students in courses and examination collation sheets.  | destroy   |         |
| 17.1.5  |                         | Printouts from the student record system of Academic Records that support decision-making other than Board of Examiner Results.  | Retain minimum of 1 year after reference use ceases, then destroy | D       |
| 17.1.6  |                         | Written requests for a formal Statement of Academic Record (Academic Transcript) and / or Confirmation of Completion of studies.   | Retain minimum of 6 months after action completed, then destroy   | D       |
| 17.1.7  |                         | The management of testamurs awarded by the university. Includes uncollected or unclaimed testamurs, the acknowledgement or receipt of delivery, testamur replacements, surrendering testamurs when awarded a corresponding degree.   | Retain minimum of 3 years after action completed, then destroy    | D       |
| 17.1.8  |                         | Documentation from the Faculty or School recommending the student for the award of degree or diploma.  | Retain minimum of 6 years after action completed, then destroy    | D       |
| 17.2.0  | <b>Academic Appeals</b> | <p>The process of appeal against a decision by application to a higher authority.</p> <p>See also <b>STUDENT ADMINISTRATION - GRIEVANCES</b> for appeals against decisions relating to grievances and complaints</p> <p>See also <b>STUDENT ADMINISTRATION - DISCIPLINE</b> for appeals against disciplinary actions</p> |   |         |

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| No   | Function/Activity | Description  | Disposal Action   | Custody |
|--|-------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Academic Appeals</i> |                   |  |   |         |
| 17.2.1   |                   | Appeals against an assessment result. Includes appeals and applications for special consideration against the final grade awarded in a unit, and against the result of examination of a doctoral, masters or honours thesis.   | Retain minimum of 10 years after action completed, then destroy | D       |
| 17.2.2   |                   | Appeals against the denial of requests for deferred assessment, retrospective withdrawal from a unit, advanced standing, and the non-award of a scholarship  | Retain minimum of 10 years after action completed, then destroy | D       |
| 17.2.3   |                   | Appeals against any finding of, or imposition of penalty for academic misconduct or general misconduct including penalisation of an assessment mark and temporary suspension of enrolment  | Retain minimum of 7 years after action completed, then destroy  | D       |
| 17.3.0   | <b>Admission</b>  | <p>The process of applying for entry into a course of study offered by the University. Includes liaison with the Tertiary Institutions Service Centre (TISC), the admission of international students and those who have gained entry under special admission schemes such as mature age entry. Also includes the management of transfer of students between programmes, deferment of offer as well as reviews and appeals against non-admission.</p> <p>See also <b>STUDENT ADMINISTRATION - ENROLMENT</b> for matters dealing with enrolment to the University</p> |   |         |
| 17.3.1   |                   | <p>Successful applications for admission to a course of study offered by the university. Includes:</p> <ul style="list-style-type: none"> <li>· Undergraduate &amp; honours courses</li> <li>· Masters by coursework</li> </ul>  | Retain minimum of 10 years after action completed, then destroy | D       |

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| No  | Function/Activity | Description  | Disposal Action   | Custody |
|---|-------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Admission</i> |                   |  |   |         |
|   |                   | <ul style="list-style-type: none"> <li>· Postgraduate certificate</li> <li>· Postgraduate diploma</li> <li>· Equity entry programs and offers</li> </ul>   |   |         |
| 17.3.2                                    |                   | Successful applications for Masters by research and PhD places.<br><br>See 17.3.1 for Masters by course work   | Retain minimum of 75 years after action completed, then destroy | D       |
| 17.3.3                                    |                   | Unsuccessful applications for admission to a course of study offered by the university,<br><br>Including: <ul style="list-style-type: none"> <li>· Undergraduate &amp; honours courses</li> <li>· Masters by coursework</li> <li>· Postgraduate certificate</li> <li>· Postgraduate diploma</li> <li>· Equity entry programs and offers</li> </ul> | Retain minimum of 1 year after action completed, then destroy   | D       |
| 17.3.4                                    |                   | Unsuccessful applications for higher degree research places.   | Retain minimum of 3 years after action completed, then destroy  | D       |
| 17.3.5                                    |                   | Prospective students withdrawing their application to be admitted to the University  | Retain minimum of 1 year after action completed, then destroy   | D       |

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| No  | Function/Activity                                  | Description   | Disposal Action   | Custody |
|---|--|---|---|---------|
| <i>STUDENT ADMINISTRATION - Admission</i> |  |   |   |         |
| 17.3.6                                    |  | Cut-off scores and tertiary entrance ranks.   | Retain minimum of 7 years after action completed, then destroy  | D       |
| 17.3.7                                    |  | Tertiary Institution Service Centre (TISC) list of applicants by course preference or course statistics and list of applicants for University place aggregate totals.   | Retain minimum of 3 years after action completed, then destroy  | D       |
| 17.3.8                                    |  | Ranking of students by which the Faculties indicate their preference of students for admission to study at the University.<br><br>Including ranking of entrance interviews  | Retain minimum of 3 years after action completed, then destroy  | D       |
| 17.3.9                                    |  | Summer School admissions including applications, medical forms and any associated documentation.  | Retain minimum of 1 year after action completed, then destroy   | D       |
| 17.4.0                                    | <b>Advanced Standing (Credit &amp; Exemptions)</b> | The assessment of applications for advanced standing by eligible prospective students who have undertaken post-secondary or tertiary studies at a recognised institution. Also used for assessment for recognition or specific units or courses of an institution for a particular purpose. Includes recognition of relevant work experience. |   |         |
| 17.4.1                                    |  | The assessment of applications for credit toward a course of study. Includes the assessment of previous study and/or professional experience usually for advanced standing once enrolled in a course.   | Retain minimum of 10 years after action completed, then destroy | D       |
| 17.5.0                                    | <b>Assessment</b>                                  | The evaluation of student performance in terms of knowledge acquired, understanding developed and skills gained in order to   |   |         |

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| No   | Function/Activity | Description   | Disposal Action   | Custody |
|--|-------------------|---|---|---------|
| <i>STUDENT ADMINISTRATION - Assessment</i> |                   |   |   |         |
|  |                   | progress towards a degree or other academic achievement.  |   |         |
| 17.5.1                                     |                   | Practicum reports produced through student work placements, for courses of study where the number of hours completed and proof of satisfactory performance may be required for professional accreditation purposes. | Retain minimum of 10 years after action completed, then destroy                     | D       |
| 17.5.2                                     |                   | Student generated reports based upon professional experience in an educational environment.   | Retain minimum of 3 years after action completed, then destroy                      | D       |
| 17.5.3                                     |                   | Supervision records of successful higher degree research students   | Retain minimum of 75 years after action completed, then destroy                     | D       |
| 17.5.4                                     |                   | Supervision records of unsuccessful higher degree students  | Retain minimum 2 years after appeal period, then destroy                            | D       |
| 17.5.5                                     |                   | Work submitted or completed by students for the purposes of assessment or evaluation, including assignments and presentations but excluding examination scripts, practicum, and theses.                             | Return to the student, or retain minimum 6 months after appeal period, then destroy | D       |
| 17.5.6                                     |                   | Log Books recording the receipt, dispatch or grade / mark of students assignments   | Retain minimum of 2 years after action completed, then destroy                      | D       |
| 17.5.7                                     |                   | Higher degree by research theses and selected notable honours thesis where the student successfully completed the course.   | Retain in agency  | R       |
| 17.5.8                                     |                   | Honours theses or other notable work where the student  | Retain minimum 5 years  | D       |

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| No   | Function/Activity | Description   | Disposal Action  | Custody |
|--|-------------------|---|--|---------|
| <i>STUDENT ADMINISTRATION - Assessment</i> |                   |   |  |         |
|  |                   | successfully completed the course but the work is not selected for permanent retention by the University.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant | after date of marking or examination, then destroy                               |         |
| 17.5.9                                     |                   | Theses where the student did not successfully complete the course.  | Retain minimum of 1 year after appeal period, then return to student or destroy. | D       |
| 17.5.10                                    |                   | Thesis submission register.   | Retain until reference use ceases, then destroy                                  | D       |
| 17.5.11                                    |                   | Examiners' Reports of Theses for Master's by research, PhD or equivalent level.   | Retain minimum of 75 years after action completed, then destroy                  | D       |
| 17.5.12                                    |                   | Examiners' Reports of Honours & Graduate Diploma degree students.   | Retain minimum of 10 years after action completed, then destroy                  | D       |
| 17.5.13                                    |                   | Examiners / Assessors reports on non Theses examinations  | Retain minimum of 3 years after action completed, then destroy                   | D       |
| 17.5.14                                    |                   | Written reports on the academic progress of candidates enrolled in postgraduate research degree and professional doctorate courses  | Retain minimum of 75 years after action completed, then destroy                  | D       |
| 17.5.15                                    |                   | Register of Examinations held.  | Retain minimum of 5 years after action completed, then transfer to Archives      | A       |



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|--|-------------------|---|---|---------|
| <i>STUDENT ADMINISTRATION - Assessment</i> |                   |   |   |         |
| 17.5.16                                    |                   | Marking key used to assess examination script.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.5.17                                    |                   | Examination results working sheets including working papers, distribution of class results, score sheets, oral or performance examination sheets and "raw score" used by examiners to calculate grades and marks.   | Retain minimum of 1 year after action completed, then destroy               | D       |
| 17.5.18                                    |                   | The grading or marking of student work for assessment including essays, assignments etc which contribute to the student final grade   | Retain minimum of 5 years after action completed, then destroy              | D       |
| 17.5.19                                    |                   | Results achieved by students enrolled in short course or non-award courses to students such as intensive English language programmes or bridging programmes prior to admission or in association with their studies | Retain minimum of 7 years after action completed, then destroy              | D       |
| 17.5.20                                    |                   | The grading or marking of student work for assessment including essays, assignments etc which do not contribute to the student final grade.   | Retain minimum of 1 year after action completed, then destroy               | D       |
| 17.5.21                                    |                   | Amendments to final grade to the academic record subsequent to an appeal.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.5.22                                    |                   | Assessment Reports - Reports relating to the compilation of assessments.  | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.5.23                                    |                   | Unsatisfactory progress including warning letters, replies from   | Retain minimum of 10 years after action completed, then                     | D       |

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| No   | Function/Activity | Description  | Disposal Action   | Custody |
|--|-------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Assessment</i> |                   |  |   |         |
|  |                   | students, and approvals to repeat units.   | destroy   |         |
| 17.5.24                                    |                   | Conscientious objection where students have a conscientious belief that is in conflict with teaching and/or assessment practices. Includes interview notes, forms, correspondence, decisions taken, and appeals.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.6.0                                     | <b>Discipline</b> | <p>Disciplinary processes where a student is charged with alleged misconduct for breach of the Student Discipline Statute or the University's Regulations, By-laws, or Rules.</p> <p>Examples include;</p> <ul style="list-style-type: none"> <li>· dishonesty in assessment such as plagiarism and unauthorised collusion;</li> <li>· falsification of an academic record or research results;</li> <li>· misconduct in an examination;</li> <li>· misconduct in or in relation to the Library;</li> <li>· non-payment of a fine or debt to the University;</li> <li>· misconduct in or in relation to the University's computing and networking facilities;</li> <li>· wilful damage to university property; and</li> <li>· abusive or violent behaviour etc.</li> </ul> |   |         |
| 17.6.1                                     |                   | Handling and resolution of disciplinary matters where the alleged offence is dismissed or no disciplinary act is taken. Also   | Retain minimum of 2 years after action completed, then                      | D       |

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| No   | Function/Activity | Description   | Disposal Action   | Custody |
|--|-------------------|---|---|---------|
| <i>STUDENT ADMINISTRATION - Discipline</i> |                   |   |   |         |
|  |                   | includes unsubstantiated allegations that have been found to be false.  | destroy   |         |
| 17.6.2                                     |                   | The handling and resolution of disciplinary matters where a penalty is imposed for academic misconduct or general misconduct. Examples of penalties include issuance of a caution, requirement to resubmit an assessment component, penalisation of an assessment mark such as awarding a fail grade, temporary suspension of rights and privileges, and temporary suspension of enrolment                                | Retain minimum of 7 years after action completed, then destroy  | D       |
| 17.6.3                                     |                   | The handling and resolution of disciplinary matters such as alleged misconduct where disciplinary action is taken which results in the student being permanently barred from admission to a degree or course or a student being permanently barred from University facilities including the library. Includes any subsequent appeals against the decision. Records relating to the permanent suspension of Library access | Retain minimum of 75 years after action completed, then destroy | D       |
| 17.7.0                                     | <b>Enrolment</b>  | The process of enrolling students in a course or unit of study.   |   |         |
| 17.7.1                                     |                   | The enrolment of students into a course or subject (or unit of study)   | Retain minimum of 10 years after action completed, then destroy | D       |
| 17.7.2                                     |                   | Enrolment offer.  | Retain minimum of 10 years after action completed, then destroy | D       |
| 17.7.3                                     |                   | Records where the student is declining the offer of admission to the University   | Retain minimum of 2 years after action completed, then destroy  | D       |

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| No  | Function/Activity | Description   | Disposal Action   | Custody |
|---|-------------------|---|---|---------|
| <i>STUDENT ADMINISTRATION - Enrolment</i> |                   |   |   |         |
| 17.7.4                                    |                   | <p>The enrolment approvals from Faculties that endorse a period of study undertaken by either by an inbound or outbound student on exchange.</p> <p>Note: these records are not filed on the official student file.</p> | Retain minimum of 2 years after action completed, then destroy              | D       |
| 17.7.5                                    |                   | Registers of Student Enrolments.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.7.6                                    |                   | Administrative arrangements for enrolments, including the preparations for and management of the enrolment process.   | Retain minimum of 2 years after action completed, then destroy              | D       |
| 17.7.7                                    |                   | Students concurrently enrolled in units at other universities for credit towards their degree (cross-institutional enrolment).  | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.7.8                                    |                   | Police clearances records where the clearance is required as a prerequisite to enrolment.   | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.7.9                                    |                   | Applications, agreements and associated correspondence for students undertaking supervised course work study of a subject that is not available as a formal unit of study (independent study contracts).                | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.7.10                                   |                   | Overload forms.   | Retain minimum of 10 years after action completed, then destroy             | D       |

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| No  | Function/Activity   | Description  | Disposal Action   | Custody |
|---|---------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Enrolment</i> |                     |  |   |         |
| 17.7.11                                   |                     | Pre-requisite forms.   | Retain minimum of 10 years after action completed, then destroy | D       |
| 17.7.12                                   |                     | Enrolment in a program of study or course not leading to an award (non-award courses). Includes enrolment in University Extension and English Language Teaching courses  | Retain minimum of 7 years after action completed, then destroy  | D       |
| 17.7.13                                   |                     | Notices to students advising of enrolment details.   | Retain minimum of 1 year after action completed, then destroy   | D       |
| 17.7.14                                   |                     | Variation of student details i.e. changes of name or address.  | Retain minimum of 2 years after action completed, then destroy  | D       |
| 17.7.15                                   |                     | Successful applications for placement in a student exchange programme, including letters of offer, acceptance forms, confirmation of enrolment letter, interview notes, correspondence, and documentation.           | Retain minimum of 5 years after action completed, then destroy  | D       |
| 17.7.16                                   |                     | Unsuccessful applications for placement in a student exchange programme.   | Retain minimum of 1 year after action completed, then destroy   | D       |
| 17.7.17                                   |                     | Deferment of an offer of an undergraduate place, suspension (intermission) of enrolment, retrospective withdrawal, leave of absence, or withdrawal of enrolment from a course of study (discontinuation of studies). | Retain minimum of 10 years after action completed, then destroy | D       |
| 17.8.0                                    | <b>Examinations</b> | The processes associated with the development of   |   |         |

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| No   | Function/Activity | Description  | Disposal Action   | Custody |
|--|-------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Examinations</i> |                   |  |   |         |
|  |                   | examinations and the arrangements in place to conduct them.  |   |         |
| 17.8.1                                       |                   | Records relating to the appointment of examiners, assessors or supervisors.  | Retain minimum of 2 years after action completed, then destroy              | D       |
| 17.8.2                                       |                   | The process for the preparation and approval of examination papers.  | Retain minimum of 5 years after action completed, then destroy              | D       |
| 17.8.3                                       |                   | Master Copy (or 'set') of Examination Question Papers, including supplementary / deferred exams  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.8.4                                       |                   | Records relating to examination/assessment attendance. Examples of records: Attendance Lists, attendance cards   | Retain minimum of 1 year after action completed, then destroy               | D       |
| 17.8.5                                       |                   | Special arrangements for individual students during examinations or assessment (for example to assist with a disability or language need), and/or special arrangements for distance education, and remote sites. Excludes timetables.                          | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.8.6                                       |                   | Examination scripts (blank/unmarked exam papers) – duplicates of exam papers.  | Retain until reference use ceases, then destroy                             | D       |
| 17.8.7                                       |                   | Examination Scripts / answer booklets (papers completed by students). This includes written, performance or oral examination, presentation or any other attempt completed by students as part of their examination component for a particular subject or unit. | Retain minimum of 1 year after action completed, then destroy               | D       |

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| No   | Function/Activity        | Description  | Disposal Action  | Custody |
|--|--------------------------|--|--|---------|
| <i>STUDENT ADMINISTRATION - Examinations</i> |                          |  |  |         |
| 17.8.8                                       |                          | Applications for deferred assessment and associated correspondence for students unable to sit examinations or submit work for assessment because of serious illness or other exceptional personal circumstances. | Retain minimum of 5 years after action completed, then destroy                   | D       |
| 17.8.9                                       |                          | List of examinations being provided  | Retain minimum of 1 year after date of list, then destroy                        | D       |
| 17.8.10                                      |                          | Granting of supplementary assessment and associated correspondence   | Retain minimum of 10 years after action completed, then destroy                  | D       |
| 17.8.11                                      |                          | Administrative arrangements for examinations. Includes supervision/invigilation arrangements, eligibility lists, examination timetables and venues.  | Retain minimum of 2 years after action completed, then destroy                   | D       |
| 17.8.12                                      |                          | Application to sit examination elsewhere   | Retain minimum of 10 years after action completed, then destroy                  | D       |
| 17.9.0                                       | <b>Exchange Programs</b> | Programs organising the exchange and placement of students between educational institutions.   |  |         |
| 17.9.1                                       |                          | The development of schemes between the University and other institutions.  | Retain minimum of 2 years after action completed, then destroy                   | D       |
| 17.9.2                                       |                          | The establishment of student exchange programmes with other universities.  | Retain minimum of 7 years after expiry or termination of agreement, then destroy | D       |

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|---|------------------------------|---|---|---------|
| <i>STUDENT ADMINISTRATION - Exchange Programs</i> |                              |   |   |         |
| 17.9.3  |                              | Registers or lists of students who are on incoming or outgoing exchange programmes. May include name and contact details, next of kin, home University, payment arrangements, payment details, list of course/units taken, period of exchange and academic results.   | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.9.4  |                              | Exchange program universities evaluation forms completed by exchange students.  | Retain minimum of 5 years after action completed, then destroy              | D       |
| 17.10.0   | <b>Graduation Ceremonies</b> | <p>The arranging and managing the University graduation ceremonies. Includes all correspondence and associated documentation produced to organise and manage an occasion.</p> <p>See also <b>COMMUNITY RELATIONS - ADDRESSES</b> for master copies, "as read" versions or transcripts of addresses presented by Executive and senior officers of the University at University events, functions, ceremonies and celebrations.</p> <p>See also <i>General Disposal Authority for Administrative Records</i> <b>COMMUNITY RELATIONS - CELEBRATIONS, CEREMONIES AND SOCIAL FUNCTIONS</b>, the arranging and managing a special occasion such as an Honours ceremony.</p> |   |         |
| 17.10.1   |                              | Register of graduates. This is the master list of students who graduate (including those who graduate in absentia).   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.10.2   |                              | Records relating to academic dress protocol, including policy relating to and descriptions of official regalia.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |



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| No  | Function/Activity | Description  | Disposal Action   | Custody |
|---|-------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Graduation Ceremonies</i> |                   |  |   |         |
| 17.10.3   |                   | Regalia orders for graduations, including regalia return cheques form  | Retain minimum of 7 years after action completed, then destroy              | D       |
| 17.10.4   |                   | Master copies of Graduation Ceremony Programme. Includes order of proceedings, list of student names and awards received.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.10.5   |                   | Audio visual recordings of graduation ceremonies; photographs; and transcripts of speeches including occasional addresses, valedictory addresses, and citations for honorary degrees.  | Retain in Agency  | R       |
| 17.10.6   |                   | The notification of and attendance at graduation ceremonies  | Retain minimum of 1 year after action completed, then destroy               | D       |
| 17.10.7   |                   | Application to graduate, including official records of conferral of award and eligibility to graduate  | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.10.8   |                   | Administrative arrangements for the graduation ceremony, including arranging venues, speakers, catering, seating, special access etc. Also includes the arrangements associated with attendance of University personnel at ceremonies.         | Retain minimum of 2 years after action completed, then destroy              | D       |
| 17.11.0   | <b>Grievances</b> | The handling and resolution of individual cases relating to complaints about the study environment, study organisation or distribution, peers, supervisors or subordinates.<br><br>See also <b>PERSONNEL - GRIEVANCES &amp; COMPLAINTS</b> for |   |         |

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| No   | Function/Activity | Description  | Disposal Action   | Custody |
|--|-------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Grievances</i> |                   |  |   |         |
|  |                   | complaints about personnel   |   |         |
| 17.11.1                                    |                   | Formal complaints or grievances raised by a student, which are precedent setting cases and have resulted in <b>significant</b> change to University policy or procedure.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.11.2                                    |                   | Formal complaints or grievances and where the matter has been referred to an outside agency such as the Human Rights & Equal Opportunity Commission or the State Ombudsman.  | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.11.3                                    |                   | <b>Non significant</b> formal grievances not included in 17.11.1, raised by a student which are not precedent setting and do not result in a change to policy or procedure. Does not include formal complaints or grievances referred to outside agencies                    | Retain minimum of 7 years after action completed, then destroy              | D       |
| 17.11.4                                    |                   | Grievances that were raised informally and were not proceeded with.  | Retain minimum of 2 years after action completed, then destroy              | D       |
| 17.12.0                                    | <b>Planning</b>   | Planning about student administration<br><br>See also <b>STRATEGIC MANAGEMENT - PLANNING</b> for high level planning to achieve corporate objectives   |   |         |
| 17.12.1                                    |                   | Routine records relating to the development and administration of student load intake (quotas) into programmes and/or courses.   | Retain minimum of 5 years after action completed, then destroy              | D       |
| 17.12.2                                    |                   | Records relating to the calculations relating to Effective Full  | Retain minimum of 5 years   | D       |

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| No  | Function/Activity                        | Description   | Disposal Action   | Custody |
|---|--|---|---|---------|
| <i>STUDENT ADMINISTRATION - Reporting</i> |  |   |   |         |
|   |  | Time Student Units (EFTSU).   | after action completed, then destroy  |         |
| 17.13.0                                   | <b>Reporting</b>                         | Records relating to the processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of University policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns. |   |         |
| 17.13.1                                   |  | Records relating to student enrolment error reports generated by the student records system.  | Retain minimum of 1 year after action completed, then destroy               | D       |
| 17.14.0                                   | <b>Scholarships, Prizes &amp; Awards</b> | The establishment, promotion, selection, awarding and administering of scholarships, bursaries, prizes or fellowships, which are funded either internally or externally. These can take the form of money, medals, certificates or the waiving of fees.<br><br>See also <b>PERSONNEL - PERSONNEL CASE FILES</b> for successful fellowship applications  |   |         |
| 17.14.1                                   |  | Successful applications/nominations for university sponsored scholarships, prizes, awards and bursaries.  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.14.2                                   |  | Successful applications/nominations for externally sponsored scholarships, prizes, awards and bursaries. Does not include Rhodes scholarships.  | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.14.3                                   |  | Unsuccessful applications / nominations, regardless of how the  | Retain minimum of 3 years   | D       |

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| No  | Function/Activity | Description  | Disposal Action   | Custody |
|---|-------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Scholarships, Prizes &amp; Awards</i> |                   |  |   |         |
|   |                   | award is funded, for scholarships, prizes, award and bursaries.  | after action completed, then destroy  |         |
| 17.14.4   |                   | Unsuccessful fellowship applications.<br><br>See also <b>PERSONNEL - FELLOWSHIPS</b> for successful Fellowship applications                                | Retain minimum of 3 years after action completed, then destroy              | D       |
| 17.14.5   |                   | Records relating to the establishment and management of rules and conditions of internally funded scholarships, prizes, awards, bursaries and fellowships. | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.14.6   |                   | Records relating to the establishment and management of externally funded fellowships. This can include terms and conditions for the fellowship.           | Retain minimum of 5 years after action completed, then destroy              | D       |
| 17.14.7   |                   | Registers of recipients of awards, bursaries, prizes, fellowships, and scholarships  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.14.8   |                   | Records relating to the decision making process to receive scholarships, prizes, awards, bursaries and fellowships   | Retain minimum of 2 years after action completed, then destroy              | D       |
| 17.14.9   |                   | Administrative arrangements for the delivery or presentation of awards.  | Retain minimum of 2 years after action completed, then destroy              | D       |
| 17.14.10  |                   | Successful applications and associated correspondence for Rhodes Scholarships.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |

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| No  | Function/Activity    | Description  | Disposal Action   | Custody |
|---|----------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Scholarships, Prizes &amp; Awards</i> |                      |  |   |         |
| 17.14.1<br>1  |                      | Unsuccessful applications and associated correspondence for Rhodes Scholarships  | Retain minimum of 3 years after action completed, then destroy              | D       |
| 17.14.1<br>2  |                      | Records relating to the administration and management of the Rhodes Scholarship application process.   | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 17.15.0   | <b>Student Files</b> | The activities associated with maintaining a range of student related documentation on a file. Files are sentenced in accord with the longest retention period specified for any record contained on a file.   |   |         |
| 17.15.1   |                      | Student files maintained for students enrolled in, and who complete, a Higher Degree by Research (Doctor of Philosophy, Master's by Research), Higher Doctorate, or Professional Doctorate<br><br>Alumni who attain prominence in their field or become recognised for distinguished achievement or notoriety may have their student file selected for permanent retention | Retain minimum of 75 years after action completed, then destroy             | D       |
| 17.15.2   |                      | Student files maintained for students enrolled in, and who complete, an undergraduate course of study, honours course, or Postgraduate Coursework qualification (includes Masters by Coursework and Postgraduate Diplomas and Certificates).   | Retain minimum of 10 years after action completed, then destroy             | D       |
| 17.15.3   |                      | Students who discontinue or withdraw from their course of study  | Retain minimum of 10 years after action completed, then destroy             | D       |

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| No  | Function/Activity          | Description   | Disposal Action  | Custody |
|---|----------------------------|---|--|---------|
| <i>STUDENT ADMINISTRATION - Student Recruitment</i> |                            |   |  |         |
| 17.16.0   | <b>Student Recruitment</b> | Records associated with the recruitment of students to courses of study in the University.  |  |         |
| 17.16.1   |                            | The marketing of courses offered by the University to encourage prospective students to apply for admission to the University. Activities include exhibitions, advertising, and promotional material including booklets and pamphlets.  | Retain minimum of 2 years after action completed, then destroy | D       |
| 17.16.2   |                            | The appointment of and arrangements with recruitment / advertising agencies who undertake the marketing of courses offered by the University  | Retain minimum of 2 years after action completed, then destroy | D       |
| 17.17.0   | <b>Study Abroad</b>        | The activities involved in arranging opportunities for enrolled students to undertake study with an overseas higher education institution, or for students enrolled at an overseas higher education institution who wish to study for one or two semesters at a WA university.    |  |         |
| 17.17.1   |                            | Successful applications for enrolment in a Study Abroad program. Includes application forms, letters of offer, enrolment forms, confirmation of enrolment letters, and any associated correspondence and documentation such as academic transcripts and photocopies of passports. | Retain minimum of 5 years after action completed, then destroy | D       |
| 17.17.2   |                            | Unsuccessful applications for enrolment in a Study Abroad program   | Retain minimum of 1 year after action completed, then destroy  | D       |
| 17.17.3   |                            | Records relating to successful applications for Study Abroad travel bursaries.  | Retain minimum of 5 years after action completed, then destroy | D       |

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|--|-------------------------|--|---|---------|
| <i>STUDENT ADMINISTRATION - Study Abroad</i> |                         |  |   |         |
| 17.17.4                                      |                         | Records relating to unsuccessful applications for Study Abroad travel bursaries.   | Retain minimum of 1 year after action completed, then destroy       | D       |
| 18.0.0                                       | <b>STUDENT SERVICES</b> | The function of providing support and services to students by either the University or another entity for the personal and academic development of students<br><br>See also <b>COMMUNITY RELATIONS</b> for non academic services offered by the University to students, staff and the general public |   |         |
| 18.1.0                                       | <b>Accommodation</b>    | Providing places of residence for students, where the residence is managed by or is affiliated with the University. This excludes privately controlled or owned accommodation.   |   |         |
| 18.1.1                                       |                         | Students in residential college accommodation. Includes successful applications, acceptances, personal details of each student, any student contracts, breaches of code of conduct relating to in-house codes of conduct and subsequent disciplinary action.   | Retain minimum of 7 years after action completed, then destroy      | D       |
| 18.1.2                                       |                         | Unsuccessful applications for student accommodation.   | Retain a minimum of 6 months after semester commenced, then destroy | D       |
| 18.1.3                                       |                         | Schedule of fees for accommodation services.   | Retain a minimum of 5 years after superseded, then destroy          | D       |
| 18.1.4                                       |                         | The provision of accommodation through matching students   | Retain minimum of 2 years after action completed, then              | D       |

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| No                                     | Function/Activity    | Description   | Disposal Action   | Custody |
|--|----------------------|---|---|---------|
| <i>STUDENT SERVICES - Arrangements</i> |                      |   |   |         |
|  |                      | with private accommodation options such as boarding houses.   | destroy   |         |
| 18.2.0                                 | <b>Arrangements</b>  | Preparations undertaken to ensure students have identification and evidence of their eligibility to receive student concessions.<br><br>See also <b>COMMON ACTIVITIES - ARRANGEMENTS</b> for the activities involved in arranging a journey or trip, catering, room bookings, usage of vehicles, equipment or space |   |         |
| 18.2.1                                 |                      | The issuing of student identification cards, e.g. student cards and library cards. Includes application forms and the re-issuing of lost or replacement cards.  | Retain minimum of 1 year after action completed, then destroy           | D       |
| 18.2.2                                 |                      | The arrangement and management of concessions for students, including the issuing of concession cards (E.g. travel and movie theatre concessions). This includes consultation with the organisation providing the concession.   | Retain minimum of 1 year after action completed, then destroy           | D       |
| 18.2.3                                 |                      | Photographic images for student identity cards. Includes negatives.   | Retain until superseded or when student leaves University, then destroy | D       |
| 18.3.0                                 | <b>Career Advice</b> | Provision of information and assistance to students relating to student and graduate employment, career management and job search. Includes the interaction with providers and employers, employment opportunities, seminars and mentoring, careers directions, suitability and pre-requisite qualifications.       |   |         |
| 18.3.1                                 |                      | The provision of information, assistance and advice regarding career directions, suitability and pre-requisite qualifications. May include case files.  | Retain minimum of 2 years after action completed, then destroy          | D       |



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| No                                      | Function/Activity            | Description  | Disposal Action   | Custody |
|---|------------------------------|--|---|---------|
| <i>STUDENT SERVICES - Career Advice</i> |                              |  |   |         |
| 18.3.2                                  |                              | The collection and dissemination of careers information. Includes interaction with providers and employers, employment opportunities, information relating employment seminars and mentoring opportunities.  | Retain until reference use ceases, then destroy                             | D       |
| 18.4.0                                  | <b>Clubs &amp; Societies</b> | The facilitation of University clubs and societies which enable staff and students with common interests to interact and actively participate in campus life. Includes sports and social clubs and associations.   |   |         |
| 18.4.1                                  |                              | Records relating to the relationship between the University and student associations such as the sporting clubs, special interest groups and student guild etc. Includes minor complaints or grievances in relation to their activities.   | Retain minimum of 7 years after action completed, then destroy              | D       |
| 18.4.2                                  |                              | <b>Significant</b> matters, disputes or similar relating to the relationship and interaction between the university and the student associations.<br><br>Refer to the <a href="#">introduction</a> of this authority for the criteria for significant  | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 18.5.0                                  | <b>Orientation</b>           | The planning and management of activities intended to introduce new students to the University and its amenities, services, facilities and activities.   |   |         |
| 18.5.1                                  |                              | The planning and management of student orientation activities. Includes activities and events organised for Orientation Week, pre-departure briefings and orientation for international students, programmes conducted by Faculties, Schools and Central Administrative Offices, and the training of student | Retain minimum of 5 years after action completed, then destroy              | D       |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No  | Function/Activity      | Description   | Disposal Action   | Custody |
|---|------------------------|---|---|---------|
| <i>STUDENT SERVICES - Student Support</i> |                        |   |   |         |
|   |                        | volunteers.   |   |         |
| 18.6.0                                    | <b>Student Support</b> | <p>The provision of advice and study skills support and employment services to students whilst studying at the University. Also includes confidential documentation about the students during the period of study such as summaries of advice, case notes and other supporting documentation.</p> <p>See also <b>STUDENT SERVICES - FINANCIAL ASSISTANCE</b> for records associated with financial support for students</p> |   |         |
| 18.6.1                                    |                        | Confidential data about students and their support requirements. This includes notes of confidential interviews, summaries of advice given to the student, case notes and supporting medical documentation as evidence to support claims.   | Retain minimum of 10 years after action completed, then destroy | D       |
| 18.6.2                                    |                        | Provision of specific study skills and support programmes. These programmes teach skills such as language skills, time and project management, reading, researching, writing and presentation skills.   | Retain minimum of 5 years after action completed, then destroy  | D       |
| 18.6.3                                    |                        | Client records which includes the identification and assessment of current skill levels.  | Retain minimum of 5 years after action completed, then destroy  | D       |
| 18.6.4                                    |                        | Facilitating employment opportunities for students. Includes students registering for employment and employers seeking workers.   | Retain until reference use ceases, then destroy                 | D       |
| 18.6.5                                    |                        | The provision or coordination of services for students with disabilities or medical conditions, permanent or temporary, that  | Retain minimum of 2 years after action completed, then          | D       |

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Dates of coverage: c.1902-c.2017

| No   | Function/Activity              | Description   | Disposal Action   | Custody |
|--|--------------------------------|---|---|---------|
| <i>STUDENT SERVICES - Financial Assistance</i> |                                |   |   |         |
|  |                                | may affect various aspects of a student's life while at university. Services may include advice and information, liaison with staff, library services, alternate examination conditions, access to some aids and equipment, note taking and transcription services and interpreting services.                     | destroy   |         |
| 18.7.0   | <b>Financial Assistance</b>    | The provision of financial support to students by the University including emergency cash loans and zero or low-interest short-term loans.  |   |         |
| 18.7.1   |                                | The establishment and development of University student loans schemes.  | Retain minimum of 5 years after superseded, then destroy            | D       |
| 18.7.2   |                                | The management of loans provided to students.   | Retain a minimum of 7 years after expiry of the loan, then destroy. | D       |
| 18.7.3   |                                | Successful applications for financial assistance.   | Retain minimum of 7 years after action completed, then destroy      | D       |
| 18.7.4   |                                | Unsuccessful applications for financial assistance.   | Retain minimum of 1 year after action completed, then destroy       | D       |
| 19.0.0   | <b>TEACHING &amp; LEARNING</b> | The function of formulating and delivering the teaching curricula and facilitating the learning process. Includes course planning and development, course accreditation and delivery, assessment, teaching materials, evaluation and reviewing.<br><br>See also <b>RESEARCH - SPECIMEN MANAGEMENT</b> for records |   |         |

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Authority number: SD2011011

Dates of coverage: c.1902-c.2017

| No  | Function/Activity           | Description   | Disposal Action  | Custody |
|---|-----------------------------|---|--|---------|
| <i>TEACHING &amp; LEARNING - Arrangements</i> |                             |   |  |         |
|   |                             | associated with the care, use, protection and disposal of specimens for teaching and research purposes in accordance with statutory requirements  |  |         |
| 19.1.0  | <b>Arrangements</b>         | <p>The preliminary measures and preparations undertaken to ensure that the University teaching calendar and timetable is scheduled and managed appropriately.</p> <p>See also <b>COMMON ACTIVITIES - ARRANGEMENTS</b> for the activities involved in arrangement a journey or trip, catering, room bookings, usage of vehicles, equipment or space.</p>   |  |         |
| 19.1.1  |                             | Structure of the University academic year. Including semester and other teaching period dates, key administrative and committee dates.  | Retain minimum of 1 year after calendar expires, then destroy. | D       |
| 19.1.2  |                             | The development and amendment of the University teaching timetable. Includes staff unavailability forms and all other documentation used to develop the University timetable.   | Retain minimum of 2 years after action completed, then destroy | D       |
| 19.1.3  |                             | Records relating to the allocation of teaching workloads for teaching personnel.  | Retain minimum of 2 years after action completed, then destroy | D       |
| 19.2.0  | <b>Course Accreditation</b> | Achieving formal approval from relevant accrediting organisations, general external professional bodies or local government authorities, for offering particular courses of study or research activities at the University. Includes the registration of courses or facilities by professional bodies, review and re-accreditation as required. Also includes the process of gaining and retaining accreditation of facilities and laboratories for teaching and research activities. |  |         |

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Dates of coverage: c.1902-c.2017

| No  | Function/Activity      | Description  | Disposal Action   | Custody |
|---|------------------------|--|---|---------|
| <i>TEACHING &amp; LEARNING - Course Accreditation</i> |                        |  |   |         |
|   |                        | <p>See also <b>RESEARCH - ACCREDITATION</b> for accreditation of the University as a research institution</p> <p>See also <b>TEACHING &amp; LEARNING - COURSE APPROVAL</b> for the internal approval of courses and units delivered by the University</p>                    |   |         |
| 19.2.1  |                        | Successful applications for gaining accreditation of courses of study from external professional bodies or accreditation authorities.  | Retain in organisation  | R       |
| 19.2.2  |                        | Unsuccessful applications for gaining accreditation of courses of study from external professional bodies or accreditation authorities.  | Retain minimum of 5 years after action completed, then destroy                    | D       |
| 19.2.3  |                        | Working papers associated with the accreditation of courses of study from external professional bodies or government accreditation authorities. Includes evidence of assessments and examination grades used for determining student competencies.                           | Retain minimum of 2 years after accreditation expires or superseded, then destroy | D       |
| 19.3.0  | <b>Course Approval</b> | <p>The approval of courses and units delivered by the University. Includes records associated with the approval of amendments and the consultation processes.</p> <p>See also <b>COURSE ACCREDITATION</b> for the accreditation of university courses by external bodies</p> |   |         |
| 19.3.1  |                        | Records of the consultation process carried out during the approval of courses. Includes review documentation prepared for review panels, submissions, recommendations, responses, final reports and resolutions passed by the relevant                                      | Retain a minimum of 10 years after curricula superseded, then destroy             | D       |

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| No   | Function/Activity      | Description  | Disposal Action   | Custody |
|--|------------------------|--|---|---------|
| <i>TEACHING &amp; LEARNING - Course Approval</i> |                        |  |   |         |
|  |                        | committees.  |   |         |
| 19.3.2   |                        | Courses and units developed, submitted and approved for curriculum within the University, including master copies of course and unit outlines.               | Retain minimum of 5 years after action completed, then transfer to Archives | A       |
| 19.3.3   |                        | Proposals for courses and units that have not been approved for curriculum within the University   | Retain minimum of 5 years after action completed, then destroy              | D       |
| 19.3.4   |                        | The administration and allocation of course codes.<br><br>Note: This information will be published in the Faculty Handbooks or in Course Management Systems. | Retain until reference use ceases, then destroy                             | D       |
| 19.4.0   | <b>Course Delivery</b> | Delivery of a course of study for students enrolled in academic or non-award courses. Includes resources and materials used in course and subject delivery.  |   |         |
| 19.4.1   |                        | The planning, development and formulation of teaching methods, practices, pedagogy and strategies to enable course delivery at the University.               | Retain minimum of 10 years after action completed, then destroy             | D       |
| 19.4.2   |                        | Supplementary material used for teaching purposes to enable course delivery such as academic working papers.   | Retain until reference use ceases, then destroy                             | D       |
| 19.4.3   |                        | Attendance records including class lists.  | Retain minimum of 1 year after action completed, then destroy               | D       |
| 19.4.4   |                        | Resources and materials including copies of course outlines, study guides, reading lists, self assessment exercises, audio-                                  | Retain a minimum of 2 years after reference                                 | D       |

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| No  | Function/Activity         | Description  | Disposal Action   | Custody |
|---|---------------------------|--|---|---------|
| <i>TEACHING &amp; LEARNING - Course Development</i> |                           |  |   |         |
|   |                           | visual teaching aides, assignment lists, lecture notes, distance education materials.  | ceases, then destroy.   |         |
| 19.5.0  | <b>Course Development</b> | The development and planning of the structure, assessment requirements and content of University courses.  |   |         |
| 19.5.1  |                           | The development of new courses of study, including those developed in conjunction with other institutions.   | Retain minimum of 5 years after action completed, then transfer to Archives       | A       |
| 19.5.2  |                           | Working papers related to the development of University courses and units.   | Retain until reference use ceases, then destroy                                   | D       |
| 19.5.3  |                           | Approved amendments to existing courses and units  | Retain a minimum of 5 years after course superseded or discontinued, then Archive | A       |
| 19.6.0  | <b>Evaluation</b>         | The evaluation and ongoing monitoring of University courses and / or units. Includes information collected for quality assurance purposes such as questionnaires, surveys, and other feedback mechanisms<br><br>See also <b>STRATEGIC MANAGEMENT - STANDARDS</b> for high level quality assurance activities |   |         |
| 19.6.1  |                           | Assessments/evaluations outcomes and final reports relating to university courses and their delivery.  | Retain minimum of 5 years after action completed, then transfer to Archive        | A       |
| 19.6.2  |                           | Raw data collected and used in the evaluation of University courses and their delivery. May include student feedback   | Retain minimum of 2 years after action completed, then                            | D       |

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| No  | Function/Activity                          | Description   | Disposal Action  | Custody |
|---|--|---|--|---------|
| <i>TEACHING &amp; LEARNING - Evaluation</i> |  |   |  |         |
|   |  | forms, surveys, questionnaires, interviews and other data and background material   | destroy  |         |
| 19.6.3                                      |  | Confidential feedback received from postgraduate students about their supervisors   | Retain minimum of 7 years after action completed, then destroy | D       |
| 20.0.0                                      | <b>TECHNOLOGY &amp; TELECOMMUNICATIONS</b> | <p>The function of developing or acquiring, testing and implementing applications and databases to support the business needs of the University or to capture, store, retrieve, transfer, communicate and disseminate information through automated systems.</p> <p>Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice communications and electronic mail and the technical aspects of the Internet, Intranet and Websites.</p> <p>See also <b>INFORMATION MANAGEMENT</b> for records relating to the management of information resources</p> <p>See also <i>General Disposal Authority for Administrative Records</i><br/><b>TECHNOLOGY &amp; TELECOMMUNICATIONS</b></p> |  |         |
| 20.1.0                                      | <b>Allocation</b>                          | The process of assigning permits, equipment, or items of technology or telecommunications to employees or organisational units.   |  |         |
| 20.1.1                                      |  | The allocation of University internet domain names and URL addresses.   | Retain minimum of 7 years after action completed, then         | D       |



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| No  | Function/Activity              | Description  | Disposal Action  | Custody |
|---|--------------------------------|--|--|---------|
| <i>TECHNOLOGY &amp; TELECOMMUNICATIONS - Allocation</i> |                                |  |  |         |
|   |                                |  | destroy  |         |
| 20.1.2  |                                | The allocation of hardware, software and other information technology items of equipment.  | Retain minimum of 2 years after action completed, then destroy                                       | D       |
| 20.1.3  |                                | The arrangements for the transfer or integration of technology and telecommunications systems and assets following administrative change.  | Retain minimum of 7 years after action completed, then destroy                                       | D       |
| 20.2.0  | <b>Application Development</b> | Developing or modifying and maintaining software and programming codes to run business applications. Includes specifications, testing, pilots, prototyping and metadata requirements.  |  |         |
| 20.2.1  |                                | Records documenting results of application testing activities.   | Retain minimum of 7 years after action completed, then destroy                                       | D       |
| 20.3.0  | <b>Data Migration</b>          | The process of transferring data between storage types, formats or computer systems.<br><br><i>See also General Disposal Authority for Administrative Records</i><br><b>INFORMATION MANAGEMENT - DATA ADMINISTRATION</b> for the planning and mapping of metadata from one system to another |  |         |
| 20.3.1  |                                | The migration of records between electronic systems and from one electronic medium to another.   | Retain a minimum of 7 years after system closed or superseded, or successful migration, then destroy | D       |

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| No  | Function/Activity         | Description  | Disposal Action  | Custody |
|---|---------------------------|--|--|---------|
| <i>TECHNOLOGY &amp; TELECOMMUNICATIONS - Network Management</i> |                           |  |  |         |
| 20.4.0  | <b>Network Management</b> | The building, prototyping, testing and maintaining of databases, networks, servers and voice communications. Includes the development, management and administration of system specifications, configurations and network diagrams, schemas and plans.   |  |         |
| 20.4.1  |                           | The development, management and administration of system specifications, configurations and network diagrams, schemas and plans.   | Retain minimum of 7 years after action completed, then destroy                 | D       |
| 20.4.2  |                           | Requests for amendments and changes to system specifications configurations and network diagrams, schemas and plans.   | Retain minimum of 7 years after action completed, then destroy                 | D       |
| 20.5.0  | <b>Leasing Out</b>        | The activities involved in leasing-out items and equipment to another person or organisation for a specified period and agreed price. Includes formal documentation setting out conditions, rights, responsibilities of both parties.<br><br><i>See also General Disposal Authority for Financial Records - <b>ACQUISITION</b> for financial records relating to leasing</i> |  |         |
| 20.5.1  |                           | The activities associated with the administration and management of the leasing of IT equipment to external organisations.   | Retain a minimum of 7 years after lease expires or is terminated, then destroy | D       |
| 20.6.0  | <b>Modelling</b>          | The processes involved in designing, testing and evaluating sample model profiles of systems under analysis.   |  |         |
| 20.6.1  |                           | The development of business or technical models or prototypes used to support the technology and telecommunication function. This includes the development of IT products to meet  | Retain minimum of 7 years after action completed, then                         | D       |

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| No   | Function/Activity      | Description   | Disposal Action  | Custody |
|--|------------------------|---|--|---------|
| <i>TECHNOLOGY &amp; TELECOMMUNICATIONS - Risk Management</i> |                        |   |  |         |
|  |                        | the business, teaching and research needs of the University.  | destroy  |         |
| 20.7.0   | <b>Risk Management</b> | The identification of technology and telecommunication risks, the likelihood and consequences of those risks, and the implementation of appropriate practice and procedures to treat the risks. |  |         |
| 20.7.1   |                        | The technology and telecommunications risk registers, if not included in the university Risk Management documents.  | Retain a minimum of 7 years after next risk assessment, then destroy | D       |
| 20.8.0   | <b>Security</b>        | The measures taken to protect systems or information from accidental or intentional damage or from unauthorised access.   |  |         |
| 20.8.1   |                        | Arrangements for the sanitisation of technology equipment prior to disposal.  | Retain minimum of 1 year after action completed, then destroy        | D       |