



DA 2022-005

**Western Australia University Sector Disposal
Authority**

DA Type: Sector

Western Australia University Sector Disposal Authority

Disposal Authority No	2022-005
Disposal Authority Type	Sector
Organisation/s	[Universities]
Disposal Authority Scope	Fully revised Sector Disposal Authority for functional records of Universities in Western Australia to supersede SD 2011011
Disposal Authority Status	Approved by SRC
Status Date	15/08/2022

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INTRODUCTION

1. ABOUT THIS DISPOSAL AUTHORITY

1.5 Review of this SDA

Authorised employees of the Western Australian Public Universities will review the structure, coverage and content of this Schedule within five years of its approval. The Western Australian Public Universities will provide a report to the State Records Office of its review findings.

Any proposed revisions / amendments to this Schedule, or any intention to prepare a new WAUSDA to replace this one, will be discussed with the State Records Office prior to such activity commencing.

1.6 Records Relating to Aboriginal and Torres Strait Islander People

1.6.1 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.

1.6.2 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.

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, Pilbara,

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Goldfields and Midwest health districts. All Patient records created within the Kimberley, Pilbara, Goldfields and Midwest 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.

1.7 Records which may become relevant to an actual or alleged incident of child sexual abuse

In response to the Royal Commission into Institutional Responses to Child Sexual Abuse (RCIIRCSA), the State Records Office issued a disposal freeze on records relating to child sexual abuse; or records that are, or that may become, relevant to any actual or alleged incident of child sexual abuse. This includes all records of past or current actual and alleged incidents of child sexual abuse, and all records related to the care, supervision, education and treatment of children where government employees, contractors, volunteers and outsourced service providers are in contact with children.

In early 2021, the State Records Office issued the General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect to specify retention periods for records related to allegations or incidents, governance and reporting with regards to child abuse or neglect. The revision of retention periods for *other* child-related records not captured in this General Disposal Authority is to be determined by institutions after careful consideration of the evidentiary value of such records, the likelihood of an incident or allegation of child sexual abuse and the practicalities of retaining and managing the records.

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The WA Universities have identified WAUSDA classes that relate to children. No classes are considered to be of a high risk profile. Several student-related classes are considered to be of medium risk. However, at the time of the 2022 WAUSDA revision, it is deemed premature to decide on revised retention periods for these classes. Further work is required with regards to benchmarking against other universities across Australia; the intersection with the Respect Now Always program and consideration of the risks and practicalities. Therefore, the disposal freeze will remain in place until such time as the WA Universities determine appropriate retention periods and have them approved by the SRAC.

1. ABOUT THIS SCHEDULE

1.1 Important Note

The Western Australian Universities Sector Disposal Authority (WAUSDA) will be used in combination with the State Records Office publication *General Disposal Authority for State Government Information* which covers records of activities / categories that are common across State government.

The State Records Office Guideline: State Records Office Guideline: *Records Retention and Disposal Instructions: An Information Management Guideline for State Organisations* will be consulted before any disposal of records is conducted, whether as part of a formal / regular disposal program or on an ad hoc basis.

Records relevant to actual or alleged child sexual abuse and other records relating to children

The final report of the Commonwealth Royal Commission into Institutional Responses to Child Sexual Abuse, released on 15 December 2017, contains several recommendations concerning recordkeeping by government organizations undertaking child-related functions or activities.

Organizations must be mindful of records that document, or may otherwise be relevant to, actual or alleged incidents of child sexual abuse, and the care, supervision, education and treatment of children by government employees, contractors, volunteers and outsourced service providers in contact with children. Such records may be subject to specific retention instructions as issued by the State Records Office, for example, the General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) issued in December 2020.

1.2 Purpose of this Schedule

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The WAUSDA has been developed by the Western Australian Public Universities in conjunction with the State Records Office of WA to form part of the Recordkeeping Plan of each University, as required under section 16(3) (a-c) of the *State Records Act 2000*.

The objectives of the WAUSDA are to:

- Provide a consistent and standardized 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
- Authorise the destruction of those records not required for permanent retention.

1.3 Scope and Implementation of this Schedule

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

The WAUSDA supersedes the previous Western Australian University Sector Disposal Authority (SD 2011011) - 6 Dec 2013.

The WAUSDA covers the functional records of:

- Curtin University;
- Edith Cowan University;
- Murdoch University; and,
- University of Western Australia.

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Records sentenced under the previous WAUSDA 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: Implementing a Revised Disposal Authority - Resentencing Records.

The WAUSDA applies to records in all formats.

Before any records covered in this Schedule are destroyed or transferred to the State Records Office as State archives, they will be reviewed by the delegated authority and authorised for destruction or transfer.

A list of destroyed records, and, where destruction is performed by an external contractor, certificates of destruction provided by the contractor to the organisations' authorised officer, will be retained in accordance with the *General Disposal Authority for State Government Information*.

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 ongoing retention or archiving if warranted. Any records due for destruction that on re-assessment may have archival value should be referred to the State Records Office for further evaluation.

Permission has been given by the parties to the WAUSDA for the Department of Health (DoH) to use the research classes as set out in the WAUSDA (Chapter 12).

2. SPECIFIC MATTERS

2.1 "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:

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- concern major liabilities, functions or obligations of the University;
- relate to the development of University legislation, regulations, or policy;
- significantly impact or affect the Universities 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.

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2.2 Archives Not Transferred to the State Records Office

2.2.1 State Archives to be retained by Curtin University

The University will retain State Archives of historical significance to the University. These records have ongoing heritage, research and evidentiary value. Student-related State Archives will also be retained as requests for information relating to students are routinely received and are more efficiently processed by having the records available on site and housed in the University Archives.

State Archive retained by Curtin University are housed in the John Curtin Prime Ministerial Library (JCPML) and similar repositories. Classes of State Archives that will not be transferred to the SRO include:

- Amendments to Grades (15.5.21)
- Records pertaining to donations of significance to Curtin (GDASG35.1)
- Examination Papers approved master set (15.8.3)
- Exhibitions of significance to Curtin (GDASG43.1)
- Graduate Register (15.10.1)
- Graduation Program (15.10.4)
- Register of recipients of awards (15.14.7)
- Student Academic Record / Final Results (15.1.1) (15.15.1) *where held on student file*

2.2.2 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 (15.5.21)

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- Records pertaining to donations of significance to ECU (GDASG35.1)
- Examination Papers approved master set (15.8.3)
- Exhibitions of significance to ECU (GDASG43.1)
- Graduate Register (15.10.1)
- Graduation Program (15.10.4)
- Register of recipients of awards (15.14.7)
- Student Academic Record / Final Results (15.1.1) (15.15.1) *where held on student file*

2.2.3 State Archives to be retained by Murdoch University

Whilst Murdoch University has an agreement to manage and retain custody of their archives, they will transfer all State archives to the SRO when a new storage facility is available.

2.2.4 State Archives to be retained by the University of Western Australia

The University of Western Australia is authorised to manage and retain custody of all the archives of the University.

2.3 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*.

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(a) 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; and
- Records relating to the University committee responsible for the strategic financial planning. Includes committee minutes, agendas and tabled papers.

Such information may be sensitive, confidential, commercially or financially valuable. Its premature release could impact negatively on individuals, or the University in a variety of ways including financial and reputational damage. However, the potential impact is expected to reduce with time.

(b) 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; and,
- Closed Senate or Council records.

Such information may be sensitive and confidential and its release could impact negatively on the safety of individuals, the University, State or Nation if released inappropriately. The restricted period is in line with existing SRO restricted access archives relating to Cabinet and Executive papers. The potential impact is expected to reduce with time.

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

- 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. *See also 2.3 (f) where student files contain sensitive personal information.*

Such information may be confidential and its release could impact negatively on individuals and the University, This time period allows for the lessening of sensitivity and confidentiality with the passing of time.

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

- Corruption disclosures made under related legislation made by or about university personnel and/or university operations found to have substance;
- Records produced by the Academic Promotions committee; and

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- Records relating to legal professional privilege.

Such information may be sensitive and confidential and its release could impact negatively on individuals and/or the University, if released inappropriately. The restricted period is in line with existing SRO restricted access archives for Legal or Professional privilege. The potential impact is expected to reduce with the passing of a significant period of time.

(e) Where the following constitute State archives, they 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
- 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.

Such information may be highly sensitive and confidential and its release could impact negatively on individuals and/or the University, if released inappropriately. The restricted period is in line with existing SRO restricted access archives for human resource files and categories under S49 of the *State Records Act*. The potential impact is expected to reduce with the passing of a significant period of time after which the persons directly impacted are likely to be deceased.

(f) Where the following constitute State archives, they 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
- Student files that contain information of a sensitive personal or confidential nature.

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Such information may be highly sensitive and confidential and its release could impact negatively on individuals and/or the University, if released inappropriately. The restricted period is in line with existing SRO restricted access archives for human resource files and categories under S49 of the *State Records Act*. The potential impact is expected to reduce with the passing of a significant period of time after which the persons directly impacted are likely to be deceased.

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

3. DEFINITIONS

3.1 Definition of Terms

Custody: the minimum retention period for which records are to be kept prior to their disposal. The Custody statement includes the disposal trigger that begins the retention period.

Destroy: records identified as having temporary value and which will be destroyed once their retention period has expired.

Disposal Action: the action that occurs to the records once the retention period has expired. The final disposition will typically be "Destroy", "Required as State archives" or "Retain in agency".

Required as State archives: records identified as having permanent value. State archives are to be transferred to the State Records Office once their retention period has expired (unless the State Records Commission has given approval for the organisation to retain such records).

Retain in Agency: the disposal action for a class of records identified as NOT being State archives but which are to be retained permanently in-house by the agency for ongoing reference purposes.

Context

1.4 Publications produced by Universities

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Premiers Circular No. 2019/01, 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 Premiers Circular 2019/01 and Legal Deposit instructions issued by the State Library of WA.

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No	Function/Activity	Description	Disposal Action	Custody
1	COLLECTION MANAGEMENT	<p>The function of managing University collections of art, museum specimens (including biological and geological specimens), private archives and other objects which are owned by the University or on loan to the University. Includes the ongoing care and preservation of items and artefacts in the collection.</p> <p>See 8. INFORMATION MANAGEMENT for the management of business information such as government records, State or University Archives and library materials.</p>		
1.1	Acquisition	<p>The process of gaining ownership of University art, museum and private archive collection materials.</p> <p>See 1.3 COLLECTION MANAGEMENT - CONTROL for registers of acquisitions.</p> <p>See <i>General Disposal Authority for State Government Information</i> 35. DONATIONS for items acquired through donation.</p>		
1.1.1		<p>Significant acquisitions of art, museum and private archive collection materials.</p> <p>Refer to the introduction of this authority for the criteria for significant.</p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
1.1.2		<p>Non-significant acquisitions of art, museum and private archive collection materials, not included in 1.1.1</p>	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>COLLECTION MANAGEMENT - Acquisition</i>				
1.1.3		Initial assessment of potential acquisitions of art, museum and private archive collection materials.	Destroy	Retain 7 years after action completed, then Destroy.
1.1.4		Planning and management of commissioned portraits of the University Vice Chancellor and other University dignitaries.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
1.2	Conservation	<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 General Disposal Authority for State Government Information 62.MAINTENANCE for facilities management maintenance.</i></p> <p><i>See General Disposal Authority for State Government Information 79.RECORDS AND INFORMATION MANAGEMENT for the conservation and preservation of library materials and government records including University and State Archives.</i></p> <p><i>See General Disposal Authority for State Government Information 22. CONSERVATION for the preservation, protection, and restoration of land or buildings, artefacts or information resources</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COLLECTION MANAGEMENT - Conservation</i>				
1.2.1		Monitoring and control of conditions of exhibitions and storage spaces. Includes activities such as temperature, pest and humidity control and monitoring.	Destroy	Retain 10 years after action completed, then Destroy.
1.2.2		Conservation and preservation carried out directly to an item or artefact such as repairs, de-acidification etc.	Destroy	Retain 7 years after artefact or item has been deaccessioned, then Destroy.
1.3	Control	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 institution's 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.	Retain in agency	Retain in agency
1.3.2		Registers of artwork or museum acquisitions by the University including purchases and/or donations.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
1.4	Disposal	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,	Retain in agency	Retain in agency

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No	Function/Activity	Description	Disposal Action	Custody
<i>COLLECTION MANAGEMENT - Lending Out</i>				
		donation or destruction.		
1.5	Lending Out	<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 dockets, condition reports and all associate correspondence. Lending may occur within the university or to external organisations for displays and exhibitions.</p> <p><i>See General Disposal Authority for State Government Information 43. EXHIBITIONS / DISPLAYS</i> for records relating to items borrowed by the university for exhibitions.</p> <p><i>See 8.4 INFORMATION MANAGEMENT - LENDING</i> for records relating to loans of information resources and publications.</p>		
1.5.1		Lending of items from University collections to internal clients for use in a display, event or exhibition.	Destroy	Retain 7 years after item returned, then Destroy.
1.6	Security	<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><i>See General Disposal Authority for State Government Information 73. PRIVACY</i> for records related to the administration and management of privacy provisions for art, museum and private archive</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COLLECTION MANAGEMENT - Security</i>				
		collections. <i>See General Disposal Authority for State Government Information 89. SECURITY AND SURVEILLANCE</i> for security arrangements for University property. <i>See 8.5 INFORMATION MANAGEMENT - SECURITY</i> for the administration and management of access to records including state archives.		
1.6.1		The management of restricted items or artefacts such as oral histories in culturally significant art, museum or private archive collections such as Indigenous collections. Refer to the introduction of this authority for the criteria for significant.	Retain in agency	Retain in agency
1.6.2		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.	Destroy	Retain 5 years after action completed, then Destroy.
1.6.3		The management of security arrangements for handling items and artefacts within the University art, museum or private archive collections.	Destroy	Retain 5 years after action completed, then Destroy.
2	COMMUNITY RELATIONS	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,		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Alumni Relations</i>				
		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.		
2.1	Alumni Relations	The management of relations with University Alumni and associates.		
2.1.1		Significant Alumni association promotions, events or activities. Refer to the introduction of this authority for the criteria for significant.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.1.2		Non-significant alumni association promotions, events or activities, not included in 2.1.1.	Destroy	Retain 5 years after action completed, then Destroy.
2.1.3		Master register of alumni members.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.1.4		Membership details including personal alumni details, notification of members details and changes to personal details.	Destroy	Retain 1 year after action completed, then Destroy.
2.2	Animal Care Services	The provision of veterinary care services to the general community.		
2.2.1		Ground-breaking / precedent setting surgery or	Required as State	Retain 5 years after

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Animal Care Services</i>				
		treatment of animals.	archives	action completed, then transfer to the SRO.
2.2.2		The treatment of animals such as client files, consent forms, surgery records, pathology reports and post mortem reports. Includes the prescription of drugs and register of drugs.	Destroy	Retain 5 years after action completed, then Destroy.
2.2.3		Appointment registers for veterinary consultations.	Destroy	Retain 1 year after action completed, then Destroy.
2.3	Awards	The establishment, bestowal and administration of awards and honours to members of the community for outstanding achievement or endeavour. Includes Honorary Awards. See 10.8 PERSONNEL - RECOGNITION for awards and recognition of university staff. See 15.14 STUDENT ADMINISTRATION - SCHOLARSHIPS, PRIZES AND AWARDS for student awards and prizes. <i>See General Disposal Authority for State Government Information</i> 15.CELEBRATIONS / CEREMONIES / COMPETITIONS / EVENTS / HONOURS AND AWARDS		
2.3.1		The establishment, administration and bestowal of awards to the community by the University. Includes	Required as State	Retain 5 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
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COMMUNITY RELATIONS - Child Care Services

		Honorary awards such as Honorary doctorates.	archives	transfer to the SRO.
2.4	Child Care Services	The provision of child care services to staff, students and the general community.		
2.4.1		<p>Personal case file of each child. This includes records relating to the</p> <ul style="list-style-type: none"> • child's personal information • attendance • parental authorisation • special requirements • particulars of treatment to be given to a child or any medication administered to a child by a member of the service • injuries that require first aid • parent / guardian reports or serious complaints about child care. <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>	Destroy	Retain 60 years after last attendance or date of last documentation, then Destroy.
2.4.2		Unsuccessful applications for places for childcare. Includes records of interviews, waiting lists etc.	Destroy	Retain 2 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Child Care Services</i>				
2.4.3		Records of documented observations concerning a child's interactions and developmental progress and learning and developmental plans for individual children etc.	Destroy	Retain 3 years after action completed, then Destroy.
2.4.4		Records relating to the administrative and routine operations of the childcare facility, i.e. catering, daily or weekly routines and programs of activity.	Destroy	Retain 1 year after action completed, then Destroy.
2.4.5		Record of visitors to an approved day care venue.	Destroy	Retain 3 years after action completed, then Destroy.
2.5	Community Grants	<p>The application for and receipt of community grants. Includes funding for community based activities such as festivals, the museums, art galleries and other community related projects.</p> <p>See 2.18 COMMUNITY RELATIONS - SPONSORSHIP MANAGEMENT for funding received from partners and sponsors of the University activities and events.</p>		
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.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.6	Competitions	Activities associated with competitions run by the University.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Competitions</i>				
2.6.1		Register and associated records of winners of significant competitions run by the University. Refer to the introduction of this authority for the criteria for significant.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.6.2		Register and associated records of winners of competitions run by the University deemed as non significant , not included in 2.6.1.	Destroy	Retain 2 years after action completed, then Destroy.
2.7	Event Planning	<p>The planning and organisation of university events that mark an occasion or honour a person. Includes official openings and ceremonies, public lectures, unveiling's, festivals, farewells and other functions.</p> <p>See 2.8 COMMUNITY RELATIONS - EVENT PRODUCTION for records relating to technical management of events and productions.</p> <p>See 2.9 COMMUNITY RELATIONS - EVENT PROGRAMMING for research, selection and development of events, performances and programs.</p> <p>See 15.10 STUDENT ADMINISTRATION - GRADUATION CEREMONIES for records associated with the planning and coordination of graduation ceremonies.</p> <p>See <i>General Disposal Authority for State Government Information</i> 15.CELEBRATIONS / CEREMONIES / COMPETITIONS / EVENTS / HONOURS AND AWARDS for significant and unique events and</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Event Planning</i>				
		addresses delivered at ceremonies, celebrations and functions.		
2.7.1		Register or master listing of functions held by the University.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
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.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
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, Intervarsity Sports and other annual sporting or leisure trips.	Destroy	Retain 7 years after action completed, then Destroy.
2.8	Event Production	<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 2.7 COMMUNITY RELATIONS – EVENT PLANNING for arrangements associated with holding an event.</p> <p>See 2.9 COMMUNITY RELATIONS - EVENT PROGRAMMING for research, selection and</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Event Production</i>				
		development of events, performances and programs. See 15.10 STUDENT ADMINISTRATION - GRADUATION CEREMONIES for records associated with the production of graduation ceremonies.		
2.8.1		The technical production of significant events, such as festival, theatrical and musical productions. Refer to the introduction of this authority for the criteria for significant.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.8.2		The technical production of all non significant events or productions that are not included in 2.8.1.	Destroy	Retain 7 years after action completed, then Destroy.
2.9	Event Programming	The process of researching, selecting and developing a series of events, performances and programs to form an integrated whole. Includes the processes involved in determining the artistic direction, themes and artistic content of events. See 2.7 COMMUNITY RELATIONS – EVENT PLANNING for arrangements associated with holding an event. See 2.8 COMMUNITY RELATIONS - EVENT PRODUCTION for the technical production of individual events. See 15.10 STUDENT ADMINISTRATION - GRADUATION CEREMONIES for records associated		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Event Programming</i>				
		with the programming of graduation ceremonies. <i>See General Disposal Authority for State Government Information</i> 6.AGREEMENTS / CONTRACTS for negotiations of agreements for non-significant events.		
2.9.1		Records relating to negotiations with artists, writers, performers, publishers, agents to encourage them to participate or collaborate in significant University events. May include artist and event background information, negotiation of specific agreement conditions, ongoing liaison for the duration of the agreement. Refer to the introduction of this authority for the criteria for significant.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
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.	Destroy	Retain 5 years after action completed, then Destroy.
2.9.3		Records pertaining to artists submissions that are not included in program and are not considered for inclusion in future programs. Includes unsolicited material or copies of originals sent by artists and organisations.	Destroy	Retain 1 year after action completed, then Destroy.
2.9.4		The concepts, themes and artistic direction as well as the overall planning, selection and structure of each significant event. Includes research into potential	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Event Programming</i>				
		<p>themes and strategic programming direction.</p> <p>Refer to the introduction of this authority for the criteria for significant</p>		
2.9.5		<p>The concepts, themes and artistic direction as well as the overall planning, selection and structure of each non significant event, not included in 2.9.4. Includes research into potential themes and strategic programming direction.</p>	Destroy	Retain 7 years after action completed, then Destroy.
2.10	Health & Wellness Services	<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><i>See General Disposal Authority for State Government Information</i> 27.COUNSELLING for counselling services provided to employees of the organisation.</p> <p><i>See General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003)</i> 2.2 GOVERNANCE - OPERATIONAL for operational level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Health & Wellness Services</i>				
2.10.1		Patient case files, other than Indigenous Australians, where the patient was less than 18 years old at a point in the record (-18 years). May include medical, counselling or dental records. Please refer to 2.10.4 for patient files of Indigenous Australians	Destroy	Retain 60 years after action completed, then Destroy.
2.10.2		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 or dental records. Please refer to 2.10.4 for patient files of Indigenous Australians.	Destroy	Retain 60 years after action completed, then Destroy.
2.10.3		Psychiatric patient case files.	Destroy	Retain 7 years after patient death or post mortem, provided the patient has attained the age of 25 years, then Destroy.
2.10.4		Identified Patient Case files of Indigenous Australians. 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, Pilbara, Goldfields and Midwest health	Retain in agency	Retain in agency

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Health & Wellness Services</i>				
		<p>districts. All Patient records created within in the Kimberley, Pilbara, Goldfields and Midwest health districts must be retained indefinitely.</p> <p><i>Please refer to section 1.6.2 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>		
2.10.5		Records relating to the management and provision of drugs/medicines for medical purposes. Includes all drug registers, prescription file copies, orders and requests and other documentation used by medical personnel to administer the activity.	Destroy	Retain 5 years after action completed, then Destroy.
2.10.6		Records relating to advice on religious/spiritual matters.	Destroy	Retain 2 years after action completed, then Destroy.
2.10.7		Records relating to services and programs for religious/spiritual support.	Destroy	Retain 1 year after action completed, then Destroy.
2.10.8		Development and planning associated with health, wellness and fitness programs. Includes fitness assessments for new and existing gym members.	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - High School Programs</i>				
		See also <i>General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003)</i> 2.2 GOVERNANCE - OPERATIONAL for operational level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.		
2.11	High School Programs	The provision of programs that offer the tertiary education experience to secondary school students In many instances these programs 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 programs is to encourage and foster students to complete year 12 and pursue tertiary education.		
2.11.1		The administration and management of high school programs.	Destroy	Retain 3 years after action completed, then Destroy.
2.11.2		Registers of high priority schools, contact details and regular participant details.	Destroy	Retain until reference use ceases, then destroy.
2.11.3		Successful application forms from high school students to attend or participate in high school programs.	Destroy	Retain 3 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - High School Programs</i>				
2.11.4		Unsuccessful application forms from high school students to attend or participate in high school programs.	Destroy	Retain 1 year after action completed, then Destroy.
2.12	Liaison	<p>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.</p> <p><i>See General Disposal Authority for State Government Information 61.LIAISON for liaison between other community groups and professional associations.</i></p>		
2.12.1		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.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.13	Marketing / Advertising	<p>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.</p> <p><i>See 2.9 COMMUNITY RELATIONS - EVENT PROGRAMMING for records documenting arrangements, negotiations and discussions of individual events with artists, agents and performers.</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Marketing / Advertising</i>				
2.13.1		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, audio visual and audio material provided by artists.	Destroy	Retain 2 years after action completed, then Destroy.
2.13.2		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.	Destroy	Retain 5 years after action completed, then Destroy.
2.13.3		Records relating to the obtaining and use of external organisation databases for marketing purposes, for example, mailing lists.		Retain as per agreement requirements
2.13.4		Individual event marketing plans.	Destroy	Retain 5 years after action completed, then Destroy.
2.13.5		The development and implementation of packages, in co-operation with other organisations, to promote the University and Western Australia.	Destroy	Retain 7 years after action completed, then Destroy.
2.13.6		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	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Market Research</i>				
		articles prepared for the media.		
2.14	Market Research	Research undertaken by the University, or for the University, for marketing purposes. <i>See General Disposal Authority for State Government Information 82.REPORTING for final reports created as a result of market research activities.</i>		
2.14.1		Statistical summaries and raw data of audience reaction and expectations to significant events and productions managed by or for the University. Refer to the introduction of this authority for the criteria for significant.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.14.2		Statistical summaries and raw data of audience reaction and expectations to non significant events and productions, not included in 2.14.1, managed by or for the University.	Destroy	Retain 5 years after action completed, then Destroy.
2.15	Media Relations	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.		
2.15.1		Footage provided by the media as a record of significant University events. Refer to the introduction of this authority for the criteria for significant.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Media Relations</i>				
2.15.2		Footage provided by the media as a record of non significant University events, not included in 2.15.1.	Destroy	Retain 5 years after action completed, then Destroy.
2.15.3		Event information provided to the media for promotional and information purposes. Includes media schedules and supporting documentation, itinerary, interview arrangements and contact details.	Destroy	Retain 5 years after action completed, then Destroy.
2.16	Merchandise	The design, development and distribution of University merchandise.		
2.16.1		The design, development and distribution of organisational merchandise.	Destroy	Retain 5 years after action completed, then Destroy.
2.17	Overseas Trained Professionals	<p>Records relating to the provision of training schemes including support for overseas trained professionals, who are seeking employment in Western Australia. Includes the setting of conditions.</p> <p><i>See General Disposal Authority for State Government Information 37. EMPLOYMENT CONDITIONS / EQUAL EMPLOYMENT OPPORTUNITY for the management of the general conditions of employment for all staff</i></p> <p><i>See General Disposal Authority for State Government Information 63.MARKETING for the marketing of training schemes.</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody
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COMMUNITY RELATIONS - Overseas Trained Professionals

		See <i>General Disposal Authority for State Government Information</i> 80.RECRUITMENT for the recruitment of overseas trained professionals.		
2.17.1		Case file management of doctors involved in the overseas trained doctor (OTD) scheme.	Destroy	Retain 15 years after action completed, then Destroy.
2.17.2		The planning and management of orientation programs for overseas trained professionals.	Destroy	Retain 2 years after action completed, then Destroy.
2.17.3		Material produced to promote orientation and supporting activities such as mentoring and training for overseas trained professionals.	Destroy	Retain 7 years after action completed, then Destroy.
2.17.4		Videos, programs and other media productions produced in association with the OTD television show.	Destroy	Retain 7 years after action completed, then Destroy.
2.17.5		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.	Destroy	Retain 7 years after action completed, then Destroy.
2.17.6		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.	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Sponsorship Management</i>				
2.18	Sponsorship Management	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. <i>See General Disposal Authority for State Government Information 91. SPONSORSHIP</i>		
2.18.1		Summaries generated and collated in the course of monitoring sponsorship related matters. Includes register listing details of sponsorship.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
2.18.2		Records documenting targets for sponsorship income and research of potential sponsorship opportunities.	Destroy	Retain 7 years after action completed, then Destroy.
2.18.3		Control records for managing sponsorship activities including inventories of items provided by sponsors as part of sponsorship agreement obligations.	Destroy	Retain 7 years after action completed, then Destroy.
2.19	Ticketing	The management of tickets for productions, programs and events organised and conducted by the University.		
2.19.1		The establishment and guidelines for ticketing schemes developed in collaboration with sponsors, for example, the Ticketing Support Scheme.	Destroy	Retain 10 years after action completed, then Destroy.
2.19.2		Records relating to administrative arrangements of the Ticketing Support Scheme. Includes mail out lists, ticket price allocations for individual events and	Destroy	Retain 2 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMUNITY RELATIONS - Ticketing</i>				
		final proofs for tickets.		Destroy.
2.19.3		Ticket booking and allocation arrangements. Includes individual and group booking forms, complimentary ticket allocations and requests for free tickets.	Destroy	Retain 1 year after action completed, then Destroy.
3	COMPENSATION	<p>Compensation provided to personnel, students and visitors by the university.</p> <p><i>See General Disposal Authority for State Government Information 18.CLAIMS for records relating to compensation.</i></p>		
3.1	Appeals	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.	Destroy	Retain 10 years after action completed, then Destroy.
3.2	Claims	<p>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.</p> <p><i>See General Disposal Authority for State Government Information 18.CLAIMS for financial records relating to compensation claims.</i></p> <p><i>See General Disposal Authority for State Government</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMPENSATION - Claims</i>				
		<i>Information</i> 52.INFRINGEMENTS / LITIGATION / PROSECUTIONS for claims that result in legal action.		
3.2.1		Listing of compensation claims	Destroy	Retain 15 years after action completed, then Destroy.
3.2.2		Claims for compensation submitted by members of the public managed by an external insurance provider.	Destroy	Retain 7 years after claim is finalised, then Destroy.
4	EQUIPMENT & STORES	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. <i>See General Disposal Authority for State Government Information</i> 2.ACQUISITION / DISPOSAL for records relating to equipment and stores.		
4.1	Maintenance	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.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>EXTERNAL RELATIONS</i>				
5	EXTERNAL RELATIONS	The function of establishing and administering a formal relationship with a body external to the University. Includes the 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.		
5.1	Consultancy	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.		
5.1.1		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.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
5.1.2		Significant or precedent setting expert witness service by staff. Includes the provision of advice, opinions and testimony to courts, tribunals and to other judicial offices. Refer to the introduction of this authority for the criteria for significant.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
5.1.3		Non significant expert witness service by staff not included in 5.1.2. Includes the provision of advice, opinions and testimony to courts, tribunals and to other judicial offices.	Destroy	Retain 15 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>EXTERNAL RELATIONS - Consultancy</i>				
5.1.4		Significant products produced as a result of the provision of consulting services by university personnel. 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. Refer to the introduction of this authority for the criteria for significant	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
5.1.5		Non significant products produced as a result of the provision of consulting services by university personnel not included in 5.1.4. 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.	Destroy	Retain 5 years after conditions have been satisfied, then Destroy.
5.1.6		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.	Destroy	Retain 7 years after contract has expired, then Destroy.
5.1.7		Declarations of specialised consultancy activities undertaken by staff.	Destroy	Retain 75 years after date of birth, or 7 years after retirement, whichever is later, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>FACILITIES MANAGEMENT</i>				
				Destroy.
6	FACILITIES MANAGEMENT	<p>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 and grounds management.</p> <p>See 12.13 RESEARCH - FACILITIES AND SUPPORT for provision of facilities which assist in carrying out research functions.</p>		
6.1	Acquisition	<p>The process of gaining ownership of property and other facilities.</p> <p>See <i>General Disposal Authority for State Government Information 2. ACQUISITION / DISPOSAL</i> for records relating to the acquisition of property and facilities.</p>		
6.1.1		Property acquisition not proceeded with.	Destroy	Retain 7 years after action completed, then Destroy.
6.2	Allocation	See 12.10 RESEARCH - LICENSING for licences required in the course of conducting research.		
6.2.1		Applications for liquor licenses. Includes approval or rejection notification, proof of compliance and all	Destroy	Retain 7 years after expiry or termination of

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No	Function/Activity	Description	Disposal Action	Custody
<i>FACILITIES MANAGEMENT - Allocation</i>				
		other associated documentation.		licence, then Destroy.
6.2.2		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.	Destroy	Retain 7 years after licence/permit expires, then Destroy.
6.2.3		The allocation of University parking permits.	Destroy	Retain 1 year after action completed, then Destroy.
6.3	Appeal	The process of managing appeals against parking infringements and property acquisition.		
6.3.1		Successful appeals against parking infringements.	Destroy	Retain 7 years after action completed, then Destroy.
6.3.2		Unsuccessful appeals against a parking infringement.	Destroy	Retain 2 years after action completed, then Destroy.
6.3.3		Statutory declaration forms completed by vehicle owners stating they were not drivers of a particular vehicle at the time of a parking infringement notice.	Destroy	Retain 3 years after action completed, then Destroy.
6.3.4		Appeals against compensation paid in relation to the compulsory acquisition of property.	Destroy	Retain 10 years after action completed, then Destroy.
6.4	Arrangements	Measures taken in the selection, preparation and		

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No	Function/Activity	Description	Disposal Action	Custody
<i>FACILITIES MANAGEMENT - Arrangements</i>				
		bookings of venues. See 2.7 COMMUNITY RELATIONS - EVENT PLANNING for the arrangements made for events and functions. See 15.10 STUDENT ADMINISTRATION - GRADUATION CEREMONIES for the arrangements made for graduation ceremonies.		
6.4.1		The booking of University venues for weddings, functions, events or any other purpose. Includes: <ul style="list-style-type: none">• Guest list print outs• Venue seating arrangements• Mail out arrangements.	Destroy	Retain 2 years after action completed, then Destroy.
6.5	Compliance	Complying with mandatory or optional accountability, legal, regulatory or quality standards or requirements to which the University is subject in relation to Facilities Management. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series. See 12.10 RESEARCH - LICENSING for the acquisition of a licence or permit for the purpose of undertaking research.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>FACILITIES MANAGEMENT - Compliance</i>				
6.5.1		Records relating to the compliance with licence or / registration requirements by centres or services operated by or within the University.	Destroy	Retain 7 years after expiry or termination of license, then Destroy.
6.6	Construction	The process of building facilities and / or structures, making alternations and completing renovations. <i>See General Disposal Authority for State Government Information 23. CONSTRUCTION / CAPITAL WORKS--23.1. for significant construction projects.</i>		
6.6.1		Construction activities on properties that are not proceeded with, including architectural and technical plans, drawings and specifications.	Destroy	Retain 7 years after decision not to proceed with construction, then Destroy.
6.6.2		Working papers documenting the construction activities on properties. Includes working drawings for non significant construction.	Destroy	Retain 2 years after action completed, then Destroy.
6.7	Energy Management	The management of energy resources at the University, including water, gas, electricity and fuel. <i>See 6.10 FACILITIES MANAGEMENT - INSTALLATION for the installation of infrastructure to support distribution of energy.</i>		
6.7.1		Planning, management and administration of energy resources to and on the University campus (including all offsite facilities).	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
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FACILITIES MANAGEMENT - Flora and Fauna Management

6.8	Flora and Fauna Management	Management, handling and relocation of protected and endangered flora and fauna in areas under the control of the University. Includes environmental restorative projects.		
6.8.1		The management of declared rare or endangered flora and fauna.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
6.8.2		The handling, relocation or disposal of flora and fauna not included in 6.8.1.	Destroy	Retain 7 years after action completed, then Destroy.
6.8.3		The management of native flora reserves and wildlife and native fauna reserves.	Destroy	Retain 7 years after action completed, then Destroy.
6.8.4		The care and management of animal and agricultural facilities including farms, paddocks and glass houses.	Destroy	Retain 7 years after action completed, then Destroy.
6.9	Honouring and Naming	The naming (usually, in honour) of University property, buildings and facilities.		
6.9.1		The records relating to naming of University buildings, roads, ovals, reserves and other structures.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
6.9.2		The records relating to the establishment, design, erection, management and removal of memorial or commemorative plaques, monuments, fountains, art	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>FACILITIES MANAGEMENT - Installation</i>				
		works such as sculptures etc.		
6.10	Installation	<p>The placing of equipment in position and connecting and adjusting it for use.</p> <p>See <i>General Disposal Authority for State Government Information</i> 55.INSTALLATION / COMMISSIONING for the installation of technological items, equipment and services.</p>		
6.10.1		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 buildings, properties or facilities.	Destroy	Retain 5 years after replacement of equipment or 20 years after installation if the date of replacement is not known, then Destroy.
6.11	Inspections	<p>The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.</p> <p>See 12.14 RESEARCH - SPECIMEN MANAGEMENT for monitoring and review of animal management.</p>		
6.11.1		The inspection of research facilities and/or equipment. Includes inspections by external agencies or representatives from legislative bodies. Includes official biosafety inspections by external inspectors and records of inspections of facilities certified with the Office of the Gene Technology Regulator (OGTR).	Destroy	Retain 8 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>FACILITIES MANAGEMENT - Leasing Out</i>				
6.12	Leasing Out	Leasing-out items, equipment, accommodation, premises or real estate to another organisation or person for a specified period and agreed price. Also includes subleasing. <i>See General Disposal Authority for State Government Information 58.LEASING / LEASING OUT for contracts relating to leasing out and for leasing property from another organisation.</i>		
6.12.1		Records relating to the management and administration of fee waivers for the hire of University venues, facilities and accommodation areas.	Destroy	Retain 5 years after action completed, then Destroy.
6.13	Maintenance	The upkeep, repair, servicing, modification and preservation of conditions of buildings, facilities and grounds owned by the University. <i>See General Disposal Authority for State Government Information 62. MAINTENANCE for repairs carried out on infrastructure, land, buildings, equipment and vehicles.</i>		
6.13.1		The implementation of fire breaks.	Destroy	Retain 1 year after action completed, then Destroy.
6.13.2		Maintenance work orders, including orders that have been registered on a maintenance system.	Destroy	Retain 2 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>FACILITIES MANAGEMENT - Maps and Signs</i>				
6.14	Maps and Signs	<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 6.6 FACILITIES MANAGEMENT - CONSTRUCTION for architectural plans and drawings.</p>		
6.14.1		Master copies of maps and signs of the University.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
6.14.2		<p>Records relating to sign development, arrangements, production and placements. Includes:</p> <ul style="list-style-type: none">• Venue, directional, event specific and sponsor signage• Arrangements with suppliers and co-ordination of signage• Signage schedules• Signage design and proofs• Sign inventories, registers or master lists documenting signage developed by, or on behalf of, the University.	Destroy	Retain 4 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>FACILITIES MANAGEMENT - Security</i>				
6.15	Security	<p>Measures taken to protect premises from accidental or intentional damage or from unauthorised access. Includes the investigations of security breaches or incidents.</p> <p><i>See General Disposal Authority for State Government Information</i> 89.SECURITY AND SURVEILLANCE where recordings are showing evidence of security breaches or other incidents required as evidence for investigations and / or litigation cases.</p> <p><i>See General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003)</i> 2.2 GOVERNANCE - OPERATIONAL for operational level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p>		
6.15.1		Requests to the Police Service for vehicle licence plate checks.	Destroy	Retain 2 years after action completed, then Destroy.
6.16	Space Management / Accommodation	The planning, reviewing and allocation of work space within the University. Includes the managing and allocating accommodation for organisational units.		
6.16.1		Accommodation surveys and review of space management.	Destroy	Retain 5 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>FACILITIES MANAGEMENT - Space Management / Accommodation</i>				
6.16.2		The processing and approval of requests for different or additional accommodation at the University.	Destroy	Retain 10 years after action completed, then Destroy.
7	FINANCIAL MANAGEMENT	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.		
7.1	Accounting	<p>The process of collecting, recording, classifying, summarising and analysing information on financial transactions which reflect the financial position of the university.</p> <p><i>See General Disposal Authority for State Government Information 14. BUDGETING</i> for records related to managing agency income and expenditure.</p> <p><i>See General Disposal Authority for State Government Information 12. BANKING / BANK ACCOUNTS</i> for banking transactions</p> <p><i>See General Disposal Authority for State Government Information 13. BOOKS OF ACCOUNT</i> for the systematic documenting of agency financial transactions</p> <p><i>See General Disposal Authority for State Government Information 95. TAXATION</i> for records relating to the assessing and paying of taxes</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>FINANCIAL MANAGEMENT - Accounting</i>				
7.1.1		Bank guarantees.	Transfer to contractor on receipt of certificate of completion.	
7.1.2		Rate exemptions including applications for exemption from paying rates.	Destroy	Retain 30 years after action completed, then Destroy.
7.1.3		Tax submissions to jurisdictions outside of Australia.	Destroy	Retain 7 years after action completed, then Destroy.
7.2	Corruption Disclosure & Prevention	<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 & 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 whistle-blower ' legislation.</p> <p><i>See General Disposal Authority for State Government Information</i> 26. CORRUPTION / MISCONDUCT for records relating to corruption disclosures made under related legislation made by or about university personnel and/or university operations.</p>		
7.2.1		Records documenting financial management arrangements supporting the agency's fraud control plan.	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>FINANCIAL MANAGEMENT - Fees and Charges</i>				
7.3	Fees and Charges	Determining and administering the collection of tuition fees and administrative charges. Includes fees collected by the 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.		
7.3.1		Conscientious objector form which is submitted so that payments by students are made to a charitable fund in lieu of Guild membership.	Destroy	Retain 7 years after action completed, then Destroy.
7.3.2		Tuition fees payable by students to the University to study. Includes Commonwealth supported and full fee paying, undergraduate, postgraduate and non-award students.	Destroy	Retain 7 years after action completed, then Destroy.
7.3.3		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	Destroy	Retain 10 years after action completed, then Destroy.
7.3.4		The schedule of tuition fees set each year.	Destroy	Retain 10 years after action completed, then Destroy.
7.3.5		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.	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>FINANCIAL MANAGEMENT - Fees and Charges</i>				
7.3.6		Advice of Tax File Number (TFN).	Destroy	Retain 1 month after submission of taxation information to the Australian Taxation Office, then Destroy.
7.3.7		Fee Reports - Computer printout of fees, liabilities and payments.	Destroy	Retain 2 years after action completed, then Destroy.
7.4	Payments	The preparation and payment of money. Does not include salary & wages.		
7.4.1		Royalty payments to authors whose work is published by the University.	Destroy	Retain 6 years after successful audit, then Destroy.
8	INFORMATION MANAGEMENT	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.		
8.1	Authorisation	<p>Delegation of power to authorise an action or permit an activity. For example, copyright declarations or other administrative matters.</p> <p><i>See General Disposal Authority for State Government Information</i> 11.AUTHORISATIONS / DELEGATIONS for records relating to financial delegations.</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>INFORMATION MANAGEMENT - Authorisation</i>				
8.1.1		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.	Destroy	Retain 7 years after action completed, then Destroy.
8.1.2		Applications to the organisation to reproduce material when copyright is held by another party. e.g. Reproduction or publication of a Thesis.	Destroy	Retain 7 years after action completed, then Destroy.
8.2	Control	<p>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.</p> <p><i>See General Disposal Authority for State Government Information</i> 79.RECORDS AND INFORMATION MANAGEMENT for master copies of classification schemes and thesauri.</p>		
8.2.1		Quality control sign off forms for scanning source documentation. Includes scanner test target forms and quality control sign offs.	Retain in agency	Retain in agency
8.2.2		The development, maintenance and customisation of university classification schemes and the thesauri, including controlled vocabulary schemes.	Destroy	Retain 5 years after superseded, then Destroy.
8.3	Infringements	<p>The management of Library infringements and fines.</p> <p><i>See General Disposal Authority for State Government</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>INFORMATION MANAGEMENT - Infringements</i>				
		<i>Information</i> 52. INFRINGEMENTS / LITIGATION / PROSECUTIONS for records relating to breaches of rules/laws such as minor or simple offences under agency rules or regulations		
8.3.1		The suspension of Library access and/or payment of fines for University students which affects their ability to Graduate.	Destroy	Retain 10 years after action completed, then Destroy.
8.3.2		The suspension of Library access and/or payment of fines for library members, including students which does not affect their ability to Graduate.	Destroy	Retain 5 years after action completed, then Destroy.
8.3.3		The administration processing relating to the issuing and delivery of library fines and other penalties.	Destroy	Retain 1 year after action completed, then Destroy.
8.4	Lending	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). See 1.5 COLLECTION MANAGEMENT - LENDING OUT for correspondence relating to loan of art work and museum artefacts.		
8.4.1		The provision of Library borrowing and usage rights.	Destroy	Retain 1 year after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>INFORMATION MANAGEMENT - Lending</i>				
8.4.2		Records relating to borrowing and use of Library material. Includes request forms, delivery docketts and courier arrangements.	Destroy	Retain 1 year after action completed, then Destroy.
8.5	Security	<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><i>See General Disposal Authority for State Government Information 73. PRIVACY for records related to the administration of privacy provisions.</i></p>		
8.5.1		Investigations into breaches of privacy including unauthorised access, use, misuse, modification or disclosure of personal information to third parties.	Destroy	Retain 7 years after action completed, then Destroy.
9	OCCUPATIONAL HEALTH & SAFETY	<p>The function of implementing and co-ordinating occupational safety and health and associated legislation throughout the 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 General Disposal Authority for State Government Information 67.OCCUPATIONAL SAFETY AND HEALTH</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>OCCUPATIONAL HEALTH & SAFETY - Reporting</i>				
9.1	Reporting	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. <i>See General Disposal Authority for State Government Information 67.OCCUPATIONAL SAFETY AND HEALTH for reports relating to other hazardous substances not relating to biosafety.</i>		
9.1.1		Incident reports relating to biosafety held on the personal file.	Destroy	Retain 75 years after employee's date of birth or 7 years after retirement whichever is later or 7 years after death, then Destroy.
9.1.2		Incident reports relating to biosafety not held on the personnel file giving rise to monitoring.	Destroy	Retain 30 years after action completed, then Destroy.
9.1.3		Incident reports relating to biosafety not held on the personnel file not giving rise to monitoring.	Destroy	Retain 7 years after action completed, then Destroy.
9.2	Audit	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		

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No	Function/Activity	Description	Disposal Action	Custody
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OCCUPATIONAL HEALTH & SAFETY - Audit

		of the University over a specified period.		
9.2.1		Official audit reports on compliance of agency programs and operations with accepted OH&S standards.	Destroy	Retain 30 years after action completed, then Destroy.
9.3	Hazardous Materials	<p>Matters relating to the administration and management of all research, teaching and general operational activities involving hazardous materials.</p> <p>Hazardous materials include radiation, biological and chemical forms that pose either a health and/or physical hazard such as those that present:</p> <ul style="list-style-type: none">• Chronic health hazards - teratogens, carcinogens, mutagens• Acute toxicity hazards - poisons, medicines, drugs• Physical hazards - explosive, flammable, oxidising• Radioactive hazards - ionising and non-ionising radiation• Biological hazards - Genetically Modified Organisms (GMO), biological material and micro-organisms that can pose serious harm to an individual's and/or the communities health		

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No	Function/Activity	Description	Disposal Action	Custody
<i>OCCUPATIONAL HEALTH & SAFETY - Hazardous Materials</i>				
9.3.1		Significant breaches of regulations and practice involving hazardous materials relating to research, e.g. breaches resulting in death, damage, release of or exposure to hazardous materials.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
9.3.2		Other non-significant breaches of ethics and practice involving hazardous materials relating to research, e.g. administrative breaches.	Destroy	Retain 7 years after completion of project, then Destroy.
9.3.3		The handling, storage, disposal and transport of security-sensitive biological agents.	Destroy	Retain 75 years after disposal of agent, then Destroy.
9.3.4		Copy of the institutional Genetically Modified Organism (GMO) Register. Note: Master register retained by the Office of Gene Technology Regulator.	Destroy	Retain 2 years after superseded, then Destroy.
10	PERSONNEL	<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 General Disposal Authority for State Government Information</i> 69.PERSONAL FILES</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>PERSONNEL - Academic Promotions</i>				
10.1	Academic Promotions	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. <i>See General Disposal Authority for State Government Information 19.COMMITTEES / BOARDS for the management of records produced by the academic promotions and appeals committees.</i>		
10.1.1		The awarding of an academic promotion. Includes applications, recommendations, approvals and advice of decision.	Destroy	Retain 75 years after date of birth, or 7 years after retirement, whichever is later, then Destroy.
10.1.2		Unsuccessful applications for academic promotion. Includes appeals against unsuccessful applications for promotion.	Destroy	Retain 5 years after action completed, then Destroy.
10.1.3		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.	Destroy	Retain 5 years after action completed, then Destroy.
10.2	Appointments	Appointments of chaplains within the university. <i>See General Disposal Authority for State Government Information 80.RECRUITMENT for recruitment of</i>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>PERSONNEL - Appointments</i>				
		other University staff.		
10.2.1		The appointment of chaplains which are not held on personal files (this includes accepting a recommendation or nomination by a religious body).	Destroy	Retain 5 years after end of appointment, then Destroy.
10.3	Clubs & Societies	<p>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.</p> <p><i>See General Disposal Authority for State Government Information 84. REPRESENTATIVES for the nomination, appointment or resignation of individuals as official representatives to staff clubs, social clubs and associations.</i></p>		
10.3.1		The proposal and establishment of University staff clubs and associations.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
10.4	Fellowships	<p>Successful fellowship applicants who are employed either through internal or external funding to undertake research and / or teaching at the University.</p> <p><i>See 15.14 STUDENT ADMINISTRATION - SCHOLARSHIPS, PRIZES & AWARDS for unsuccessful fellowship applications.</i></p>		
10.4.1		Successful fellowship applications by	Destroy	Retain 75 years after

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No	Function/Activity	Description	Disposal Action	Custody
<i>PERSONNEL - Grievances & Complaints</i>				
		students/personnel		date of birth, or 7 years after retirement, whichever is later, then Destroy.
10.5	Grievances & Complaints	<p>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. Includes the lodgement of the complaint or grievance, resolution, appeals and all other associated correspondence.</p> <p>See 15.6 STUDENT ADMINISTRATION - DISCIPLINE for matters relating to the handling and resolution of disciplinary matters such as alleged academic and research misconduct and offences.</p> <p>See 15.11 STUDENT ADMINISTRATION - GRIEVANCES for complaints and grievances regarding University students.</p> <p>See <i>General Disposal Authority for State Government Information</i> 49.GRIEVANCES for grievances and complaints that are not precedent setting.</p> <p>See <i>General Disposal Authority for State Government Information</i> 51.INDUSTRIAL NEGOTIATION if the</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>PERSONNEL - Grievances & Complaints</i>				
		grievance results in a formal industrial relations dispute.		
10.5.1		Formal complaints or grievances raised by an employee, which are precedent setting and have resulted in significant change to University policy or procedure. Refer to the introduction of this authority for the criteria for significant.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
10.6	Honorary Appointments	The selection, approval and administration for members of the community or staff members bestowed with an honorary appointment by the University. Includes Senior Honorary Research Fellows, Emeritus Professors and Adjunct and Clinical titles, visiting professor, visiting fellow, visiting research associate, senior scholar-in-residence, artist-in-residence, writer-in-residence, adjunct appointments, affiliate teaching staff. Also includes visiting appointments and academic visitors.		
10.6.1		Records relating to all honorary appointments made by the University.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
10.6.2		Records relating to the selection, approval and administration of academic visitors and visiting appointments at the University. <i>See General Disposal Authority for State Government</i>	Destroy	Retain 5 years after appointment ceases or visit made, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>PERSONNEL - Misconduct Investigations</i>				
		<i>Information 42. EXPENDITURE/PAYMENTS and 88.6 SALARIES/PAYROLL - Allowances</i> where the for records include financial information.		
10.7	Misconduct Investigations	<p>The investigations of alleged general, academic and/or research misconduct and offences.</p> <p>See 10.5 PERSONNEL - GRIEVANCES & COMPLAINTS for records relating to the activities associated with the handling and resolution of grievances and complaints for staff.</p> <p>See <i>General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) 1.1</i></p> <p>ALLEGATIONS/INCIDENTS Records of allegations or incidents of child abuse (including child sexual abuse) or neglect, concerning a staff member or other person engaged by the organisation.</p>		
10.7.1		<p>Serious allegations of professional misconduct including academic fraud, misconduct in research matters and serious breaches of ethical practice. Includes allegations and notifications directed to the Corruption and Crime Commission of WA and Public Sector Commission.</p> <p>See the General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (2020-03) 1.1</p> <p>ALLEGATIONS/INCIDENTS for records related to</p>	Destroy	Retain 15 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>PERSONNEL - Misconduct Investigations</i>				
		allegations or incidents of child abuse or neglect.		
10.7.2		Allegations of professional misconduct against a staff member of a minor nature.	Destroy	Retain 3 years after action completed, then Destroy.
10.7.3		Infringements or breaches of mandatory standards, rules or statutory requirements that do not proceed to litigation. Includes notifications of breaches and investigations and negotiations.	Destroy	Retain 3 years after action completed, then Destroy.
10.8	Recognition	<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>See 2.3 COMMUNITY RELATIONS - AWARDS for the bestowing of an honorary award to a member of the public by the University.</p> <p>See 10.6 PERSONNEL - HONORARY APPOINTMENTS for the process of appointing an individual to an honorary appointment at the University.</p> <p>See 15.14 STUDENT ADMINISTRATION - SCHOLARSHIPS, PRIZES & AWARDS for awards bestowed on students by the University.</p> <p>See <i>General Disposal Authority for State Government Information</i> 69.PERSONAL FILES</p>		

Authority number: 2022-005

No	Function/Activity	Description	Disposal Action	Custody
<i>PERSONNEL - Recognition</i>				
		<p>See General Disposal Authority for State Government Information 97.TRAINING AND DEVELOPMENT for business or industry awards and honours.</p> <p>See General Disposal Authority for State Government Information 15. CELEBRATIONS / CEREMONIES / COMPETITIONS / EVENTS / HONOURS AND AWARDS for honours and awards presented or received by the agency</p>		
10.8.1		Successful submissions or applications for awards in relation to Teaching or Research.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
10.8.2		Unsuccessful submissions or applications for awards in relation to Teaching or Research.	Destroy	Retain 4 years after action completed, then Destroy.
10.8.3		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.	Destroy	Retain 2 years after action completed, then Destroy.
10.9	Security	The measures taken to identify and protect people, premises, equipment or information from accidental or intentional unauthorised access.		
10.9.1		Photographic images for personnel identity cards. Includes negatives and the management of the digital image.	Destroy	Destroy once superseded or when employee leaves the University

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No	Function/Activity	Description	Disposal Action	Custody
<i>PERSONNEL - Staff Benefits</i>				
10.10	Staff Benefits	The management of incidental benefits received by agency personnel in the course of their employment.		
10.10.1		Arranging and management of staff benefits through corporate membership programs, such as Frequent Flyer programs.	Destroy	Retain 7 years after action completed, then Destroy.
11	PUBLICATIONS	<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. See section 1.4 of the Introduction for instructions.</p> <p>See 15.5 STUDENT ADMINISTRATION - ASSESSMENTS for Theses.</p> <p>See <i>General Disposal Authority for State Government Information</i> 76. PUBLISHING / PUBLICATIONS</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>PUBLICATIONS - Organisational Publications</i>				
		See 12.5 RESEARCH for the publishing of research findings		
11.1	Organisational Publications	Includes publications for an external audience (e.g. articles in professional journals, conference proceedings), internal publications (e.g. induction manuals, staff newsletters), and material intended for promotional purposes (e.g. leaflets).		
11.1.1		Master copies of publications containing course content such as University handbooks.	Retain in agency	Retain in agency
11.1.2		Working and used copies of calendars and handbooks.	Destroy	Retain until reference use ceases, then destroy.
11.2	Control	Creating, maintaining and evaluating control mechanisms such as registers for publications.		
11.2.1		The allocation and administration of ISBN (International Standard Book Number) or ISSN (International Standard Serial Number) for all books and other published material produced by the University.	Destroy	Retain 1 year after reference use ceases, then Destroy.
11.2.2		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.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
11.3	Evaluation	Activities involved in determining the suitability of potential publications to meet the needs of a given		

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No	Function/Activity	Description	Disposal Action	Custody
<i>PUBLICATIONS - Evaluation</i>				
		<p>situation.</p> <p>See 11.5 PUBLICATIONS - PRODUCTION for records relating to a manuscript proposal deemed suitable for publishing.</p>		
11.3.1		Manuscripts or proposals rejected or deemed unsuitable for publishing.	Destroy	Return to the author or retain a minimum of 6 months after last action completed, then destroy.
11.3.2		Advice to an author that a manuscript or proposal has been rejected or deemed unsuitable.	Destroy	Retain 5 years after action completed, then Destroy.
11.4	Intellectual Property	Intellectual property held or maintained by the organisation, including copyright, patents and trademarks.		
11.4.1		Successful or unsuccessful applications for protection of intellectual property, (includes trademarks, patents, copyright, seal) and subsequent work produced resulting in licensing documentation and agreements.	Destroy	Retain 15 years after action complete or license expires, then Destroy.
11.5	Production	<p>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.</p> <p><i>See General Disposal Authority for State Government</i></p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>PUBLICATIONS - Production</i>				
		<p><i>Information 76. PUBLISHING / PUBLICATIONS</i> for the master copy of the publications other than those covered by WAUSDA 11.1 ORGANISATIONAL PUBLICATIONS.</p> <p>See 11.1 Organisation Publications for master copies of publications containing course content such as University handbooks.</p>		
11.5.1		<p>The development of publications irrespective of the medium 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">• Highlights video• Compilation films, videos and audio material• Corporate profile videos• Launch video• Photographs and videos of University events.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
11.5.2		<p>Master copies of records created by, or on behalf of the University as a record of significant 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</p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
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PUBLICATIONS - Production

		or photographer. Refer to the introduction of this authority for the criteria for significant.		
11.5.3		Master copies of records created by, or on behalf of the University as a record of non significant 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 photographer.	Destroy	Retain 7 years after action completed, then Destroy.
11.5.4		Records relating to the production of significant manuscripts or proposals 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: <ul style="list-style-type: none">• graphic design• indexing• editing• final drafts of publications (electronic/paper version)• proof-reading• printing/binding	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>PUBLICATIONS - Production</i>				
		<ul style="list-style-type: none">• preparation of source files• marking-up of document, including applying metadata• quality assurance and testing of final HTML files• creation of master version• production of electronic media products (e.g. CD-ROMs, diskettes)• updating and maintaining information and websites• production script		
11.5.5		The digital copy of the print ready version of every book published by University publishers.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
11.5.6		Records relating to the production of non-significant manuscripts or proposals 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: <ul style="list-style-type: none">• graphic design• indexing	Destroy	Retain 7 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH</i>				
		<ul style="list-style-type: none">• editing• final drafts of publications (electronic/paper version)• proof-reading• printing/binding• preparation of source files• marking-up of document, including applying metadata• quality assurance and testing of final HTML files• creation of master version• production of electronic media products (e.g. CD-ROMs, diskettes)• updating and maintaining information and websites• production script		
12	RESEARCH	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.		

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No	Function/Activity	Description	Disposal Action	Custody
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RESEARCH

		<p>MAJOR RESEARCH DEFINITION</p> <p>Records relating to University research projects with outcomes that are or become</p> <ul style="list-style-type: none">• of high interest,• the subject of widespread debate or contention in the public arena,• have a major national or international significance,• change the commonly held view or approach (paradigm shifting),• alter or vary the typical example,• where the principle investigator has a widely acknowledged influence in the area of scholarship,• representative case for or epitome of a subject,• projects that involve the use of major or new innovative techniques,• have potential major or long term impact on the environment, heritage, society or human health,• have a legislative requirement to retain the		
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Authority number: 2022-005

No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Accreditation</i>				
		<p>records permanently, such as research involving gene therapy & biotechnology.</p> <p>MINOR RESEARCH DEFINITION</p> <p>Records relating to research that is not deemed a major, as outlined above</p> <p>DEFINITION OF A CLINICAL TRIAL</p> <p>A clinical trial is "any research study that prospectively assigns human participants or groups of humans to one or more health-related interventions to evaluate the effects on health outcomes."</p> <p>(definition from : World Health Organisation International Clinical Trials Registry Platform (ICTRP) - https://www.who.int/publications/i/item/international-standards-for-clinical-trial-registers)</p>		
12.1	Accreditation	<p>Achieving formal approval from relevant accrediting organisations, general external professional bodies or local 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 17.2 TEACHING & LEARNING - COURSE ACCREDITATION for the accreditation of courses offered by the university.</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Accreditation</i>				
12.1.1		<p>Registration of the University as a research and scientific institution including accreditation of the University as an institution able to conduct biotechnology research in accordance with statutory requirements.</p> <p>Documents may include application for registration, the supporting documentation, registration certificate and replacements, and variations/amendments.</p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
12.1.2		<p>The accreditation or registration of the University's research and testing facilities. Includes:</p> <ul style="list-style-type: none"> • obtaining scientific user licences • certification of biotechnology practices, procedures and facilities at the University • registers of Office of Gene Technology (OGTR) Certified Facilities at the University. 	Destroy	Retain 7 years after accreditation/certification expires or is revoked, then Destroy.
12.1.3		Unsuccessful applications for accreditation or registration of University research and testing facilities.	Destroy	Retain 2 years after action completed, then Destroy.
12.2	Arrangements	<p>The arrangements made in relation to the acquisition, delivery, storage and disposal of research material.</p> <p>See 12.14.5 RESEARCH - SPECIMEN</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Arrangements</i>				
		MANAGEMENT for radioactive materials and radiation equipment.		
12.2.1		The delivery of hazardous research materials and / or equipment, not including radioactive materials.	Destroy	Retain 5 years after action completed, then Destroy.
12.2.2		The delivery of non-hazardous research materials and / or equipment.	Destroy	Retain 2 years after action completed, then Destroy.
12.3	Commercialisation	<p>The development and management of products and services emerging from the University's 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><i>See General Disposal Authority for State Government Information 40. ESTABLISHMENT</i> for establishment of companies where the university holds shared equity.</p> <p><i>See General Disposal Authority for State Government Information 57. INTELLECTUAL PROPERTY</i> for the registration of patents and other intellectual property belonging to the university.</p>		
12.3.1		The commercialisation of products and services carried out by the University, where the intellectual	Destroy	Retain 20 years after last action or 3 years after expiry of patent,

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Commercialisation</i>				
		property is owned by the University.		whichever is the later, then Destroy.
12.3.2		Unsuccessful commercialisation activities.	Destroy	Retain 7 years after action completed, then Destroy.
12.3.3		The development of opportunities for commercial ventures. Includes market research and sales forecasting.	Destroy	Retain 5 years after action completed, then Destroy.
12.4	Conducting Research	<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"> • Field books • Laboratory notebooks • Data matrices • Collated data • Modelling drafts and final models • Experiment plans • Participant consent forms <p>See 12.6 RESEARCH - DATA ANALYSIS &</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Conducting Research</i>				
		<p>RESULTS for the generation of information resulting from research and the assessment of research data to form conclusions.</p> <p>See 12.5 RESEARCH - DISSEMINATION for the distribution of findings and reports through publications and/or presentation.</p> <p>See 12.7 RESEARCH - ETHICS CLEARANCE for gaining ethical clearance in relation to research.</p> <p>See 12.8 RESEARCH - GRANT ADMINISTRATION for administrative management of research grants and funding.</p> <p>See 12.11 RESEARCH - METHODOLOGY the planning and selection of research methodologies and processes.</p>		
12.4.1		<p>Conducting research with outcomes that are classed as major, and/or that involve gene therapy.</p> <p><i>Refer to the scope for RESEARCH for the definition of major research.</i></p>	Required as State archives	Retain 5 years after date of publication, or 5 years after completion of the project, whichever is later, then transfer to the SRO.
12.4.2		Conducting minor research involving humans or animals that utilise high risk material such as teratogens and carcinogens, ionising radiation or dangerous drugs.	Destroy	Retain 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Conducting Research</i>				
12.4.3		Conducting research with outcomes that are classed as minor, but involving clinical trials.	Destroy	Retain 15 years after date of publication, or 15 years after conclusion of the project, whichever is later, then Destroy.
12.4.4		Conducting research with outcomes that are deemed as minor, where the projects involving children (-18 years).	Destroy	Retain 7 years after publication or project completion, or the subject/s have reached 25 years of age, whichever is later, then Destroy.
12.4.5		Conducting research with outcomes that are classed as minor, not covered by other minor research classes. 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).	Destroy	Retain 7 years after date of publication, or 7 years after conclusion of the project, or 7 years after expiry of GMO approval or disposal whichever is later, then Destroy.
12.5	Dissemination	The distribution of findings and reports through publications and/or presentation. See 12.4 RESEARCH - CONDUCTING RESEARCH for the activities involved in undertaking research. See 12.6 RESEARCH - DATA ANALYSIS &		

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Dissemination</i>				
		<p>RESULTS for the generation of information resulting from research and the assessment of research data to form conclusions.</p> <p>See 12.7 RESEARCH - ETHICS CLEARANCE for gaining ethical clearance in relation to research.</p> <p>See 12.8 RESEARCH - GRANT ADMINISTRATION for administrative management of research grants and funding.</p> <p>See 12.11 RESEARCH - METHODOLOGY the planning and selection of research methodologies and processes.</p>		
12.5.1		Dissemination of research findings to the broader community. Includes dissemination through publication of findings, presentations and general promotions of outcomes.	Destroy	Retain 3 years after action completed, then Destroy.
12.6	Data Analysis & Results	<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 12.4 RESEARCH - CONDUCTING RESEARCH for the activities involved in undertaking research.</p> <p>See 12.5 RESEARCH - DISSEMINATION for the distribution of findings and reports through publications and/or presentation.</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Data Analysis & Results</i>				
		See 12.7 RESEARCH - ETHICS CLEARANCE for gaining ethical clearance in relation to research. See 12.8 RESEARCH - GRANT ADMINISTRATION for administrative management of research grants and funding. See 12.11 RESEARCH - METHODOLOGY the planning and selection of research methodologies and processes.		
12.6.1		Research data, analysis and results with outcomes that are classed as major, and/or that involve gene therapy. Refer to RESEARCH function scope for definition of major research.	Required as State archives	Retain 5 years after date of publication, or 5 years after completion of the project, whichever is later, then transfer to the SRO.
12.6.2		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.	Destroy	Retain 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then Destroy.
12.6.3		Minor research data, analysis and results with outcomes that are classed as minor, but involving clinical trials.	Destroy	Retain 15 years after date of publication, or 15 years after conclusion of the project, whichever is later, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Data Analysis & Results</i>				
12.6.4		Research data, analysis and results with outcomes that are classed as minor, where the projects involving children (-18 years).	Destroy	Retain 7 years after publication or project completion, or the subject/s have reached 25 years of age, whichever is later, then Destroy.
12.6.5		Research data, analysis and results with outcomes that are classed as minor, not covered by other minor research classes.	Destroy	Retain 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then Destroy.
12.6.6		Research data, analysis and results relating to short-term research projects undertaken by students for assessment purposes.	Destroy	Retain 12 months after the completion of the project, then Destroy.
12.6.7		Large scale datasets collected for the purpose of future research opportunities. May include observational (such as radio telescope data) or machine generated data.	Destroy	Retain 12 months after last action, then Destroy.
12.6.8		Routine observational data generated by radio telescopes deemed unusable.	Destroy	Retain until deemed unusable, then destroy
12.6.9		Research data where consent for use has been withdrawn by the participant.	Destroy	Retain until notified of withdrawal, then destroy

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Ethics Clearance</i>				
12.7	Ethics Clearance	Gaining ethical clearance in relation to research and research training activities.		
12.7.1		Ethics Clearances for research with outcomes that are classed as major, and/or that involve gene therapy. Refer to RESEARCH function scope for definition of major research	Required as State archives	Retain 5 years after date of publication, or 5 years after completion of the project, whichever is later, then transfer to the SRO.
12.7.2		Ethics clearances relating to minor research that utilises high risk material such a teratogens and carcinogens, ionising radiation or dangerous drugs.	Destroy	Retain 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then Destroy.
12.7.3		Ethics Clearances for research with outcomes that are classed as minor which involve clinical trials or research involving the use of animals..	Destroy	Retain 15 years after date of publication, or 15 years after conclusion of the project, then Destroy.
12.7.4		Ethics Clearances for research with outcomes that are classed as minor which involve children (-18 years).	Destroy	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.

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Ethics Clearance</i>				
12.7.5		Ethics Clearances for research with outcomes that are classed as minor, not covered by other minor research classes.		Retain 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then Destroy.
12.7.6		Unsuccessful applications for ethical clearance, including those applications submitted to the Institutional Biosafety.	Destroy	Retain 2 years after action completed, then Destroy.
12.8	Grant Administration	<p>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 University's name 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 <i>General Disposal Authority for State Government Information</i> 6.AGREEMENTS / CONTRACTS for contracts or agreements relating to research grants.</p>		
12.8.1		Research projects with outcomes classed as Major, or that involve gene therapy, that are successful in	Required as State archives	Retain 5 years after date of publication, or 5

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Grant Administration</i>				
		obtaining funding. Includes project and funding proposals, application of forms or tenders, resource allocation, supporting information, referees, agreements with research and partners, an internal and external compliance reports. <i>Refer to RESEARCH function scope for definition of major research.</i>		years after completion of the project, whichever is later, then transfer to the SRO.
12.8.2		Successful applications for funding minor research that utilize high risk material such as teratogens and carcinogens, ionising, radiation or dangerous drugs. 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.	Destroy	Retain 50 years after date of publication or after conclusion of the project, whichever is the later, then Destroy.
12.8.3		Successful applications for funding for minor research involving clinical trials. 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.	Destroy	Retain 15 years after date of publication, or 15 years after conclusion of the project, whichever is later, then Destroy.
12.8.4		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	Destroy	Retain 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Grant Administration</i>				
		internal and external compliance reports.		Destroy.
12.8.5		Unsuccessful research grants applications and proposals.	Destroy	Retain 3 years after action completed, then Destroy.
12.8.6		Records relating to the formulation and/or development of research which do not proceed to a formal research grant application.	Destroy	Retain 2 years after action completed, then Destroy.
12.8.7		Guidelines and conditions that external organisations provide to the University for applicants seeking research grant funding.	Destroy	Retain until reference use ceases, then Destroy
12.8.8		Master register of successful applications for research grants received from funding bodies.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
12.8.9		Non competitive and/or discretionary fund allocation for research. Includes funding allocated through incentives and ad hoc funding.	Destroy	Retain 7 years after action completed, then Destroy.
12.9	Intellectual Property	Intellectual property held or maintained by the organisation, including patents and trademarks.		
12.9.1		Successful application for protection of intellectual property, (includes trademarks and patents) and subsequent licensing agreements and documentation.	Required as State archives	Retain 5 years, then transfer to the SRO.
12.9.2		Unsuccessful applications for protection of intellectual property, (includes trademarks and patents).	Destroy	Retain 7 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Licensing</i>				
				Destroy.
12.10	Licensing	The acquisition of a licence or permit for the purpose of undertaking research. See 12.1 RESEARCH - ACCREDITATION for records relating to the organisational scientific licence for the University.		
12.10.1		Successful application for licences relating to the use of flora and fauna for scientific or other prescribed purposes.	Destroy	Retain 7 years after date of license expires or is revoked, then Destroy.
12.10.2		Unsuccessful application for licences relating to the use of flora and fauna for scientific or other prescribed purposes.	Destroy	Retain 2 years after action completed, then Destroy.
12.10.3		Successful application for anatomy licences (called practice licences) for conducting the research of anatomy.	Destroy	Retain 7 years after expiry or termination of license, then Destroy.
12.10.4		Unsuccessful application for anatomy licences (called practice licences) for conducting the research of anatomy.	Destroy	Retain 2 years after action completed, then Destroy.
12.10.5		Records relating to the acquisition of a licence to use animals for research teaching or breeding purposes under an organisational scientific licence.	Destroy	Retain 7 years after licence or permit lapses, then Destroy.
12.10.6		The acquisition of a copy of licence to use animals for research teaching or breeding purposes from other	Destroy	Retain until reference use ceases, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Licensing</i>				
		organisations.		Destroy
12.10.7		Genetically modified organism (GMO) licences authorised under the Gene Technology Act 2000	Destroy	Retain 7 years after expiry or termination of license, then Destroy.
12.10.8		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.	Destroy	Retain 7 years after the permit has expired or has been surrendered, then Destroy.
12.11	Methodology	<p>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.</p> <p>See 12.4 RESEARCH - CONDUCTING RESEARCH for the activities involved in undertaking research.</p> <p>See 12.6 RESEARCH - DATA ANALYSIS & RESULTS for the generation of information resulting from research and the assessment of research data to form conclusions.</p> <p>See 12.5 RESEARCH - DISSEMINATION for the distribution of findings and reports through publications and/or presentation.</p> <p>See 12.7 RESEARCH - ETHICS CLEARANCE for gaining ethical clearance in relation to research.</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Methodology</i>				
		See 12. 8 RESEARCH - GRANT ADMINISTRATION for administrative management of research grants and funding.		
12.11.1		Methodology for research projects with outcomes that are classed as major, and/or that involve gene therapy. Refer to RESEARCH function scope for definition of major research.	Required as State archives	Retain 5 years after date of publication, or 5 years after conclusion of the project, whichever is later, then transfer to the SRO.
12.11.2		Methodology for minor research projects involving humans or animals that utilise high risk material such as teratogens and carcinogens, ionising radiation or dangerous drugs.	Destroy	Retain 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then Destroy.
12.11.3		Methodology for research projects with outcomes that are classed as minor, but involving clinical trials.	Destroy	Retain 15 years after date of publication, or 15 years after conclusion of the project, whichever is later, then Destroy.
12.11.4		Methodology for research projects with outcomes that are classed as minor, where the projects involving children (-18 years).	Destroy	Retain 7 years after publication or project completion, or the subject/s have reached 25 years of age, whichever is later, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Methodology</i>				
				Destroy.
12.11.5		Methodology for minor research projects not covered by other minor research classes.	Destroy	Retain 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then Destroy.
12.12	Reporting	Mandatory statements or findings of the results of research projects or investigations, not including publications. See 12.5 RESEARCH - DISSEMINATION for the publishing of research findings.		
12.12.1		Reporting on research projects with outcomes that are are classed as major, and/or that involve gene therapy. Includes progress reports, inspection reports and reports on expenditure. Refer to RESEARCH function scope for definition of major research.	Required as State archives	Retain 5 years, then transfer to the SRO.
12.12.2		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.	Destroy	Retain 50 years after date of publication, or 50 years after conclusion of the project, whichever is later, then Destroy.
12.12.3		Reporting on research projects with outcomes that	Destroy	Retain 15 years after

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Reporting</i>				
		are classed as minor, but involving clinical trials. Includes progress reports, inspection reports and reports on expenditure.		date of publication, or 15 years after conclusion of the project, whichever is later, then Destroy.
12.12.4		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.	Destroy	Retain 7 years after publication or project completion, or the subject/s have reached 25 years of age, whichever is later, then Destroy.
12.12.5		Reporting for minor research projects not covered by other minor research classes. Includes progress reports, inspection reports and reports on expenditure.	Destroy	Retain 7 years after date of publication, or 7 years after conclusion of the project, whichever is later, then Destroy.
12.12.6		Reporting Annual Research or Performance Index activities, such as the Higher Education Research Data (HERDC), Excellence for Research In Australia (ERA).	Destroy	Retain 7 years after action completed, then Destroy.
12.13	Research Facilities & Support	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.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Research Facilities & Support</i>				
12.13.1		Applications by University researchers to conduct research activities at external organisations. Includes applications and approvals to use specimens (i.e. animals) at external facilities.	Destroy	Retain 7 years after action completed, then Destroy.
12.13.2		The acquisition and management of funding for equipment and facilities such as laboratory equipment to support the research activities of the University.	Destroy	Retain 7 years after action completed, then Destroy.
12.13.3		Unsuccessful applications that are submitted to funding bodies for research infrastructure funding. May include supporting documentation.	Destroy	Retain 2 years after action completed, then Destroy.
12.13.4		Guidelines and conditions that external organisations provide to the University for applicants seeking funding for research equipment and facilities.	Destroy	Retain until reference use ceases, then Destroy
12.13.5		The application, approval and maintenance of quarantine approved premises on campus.	Destroy	Retain 7 years after the permit has expired or has been surrendered, then Destroy.
12.13.6		Video surveillance records for facilities handling security-sensitive biological agents.	Destroy	Retain 2 years after action completed, then Destroy.
12.14	Specimen Management	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		

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Specimen Management</i>				
		as bacteria.		
12.14.1		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.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
12.14.2		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.	Destroy	Retain 7 years after action completed, then Destroy.
12.14.3		The monitoring and review of animal management including official inspections, offences, orders, appeals, reviews, and reports.	Destroy	Retain 7 years after action completed, then Destroy.
12.14.4		The management and maintenance of inorganic or organic specimens used for research or other teaching purposes.	Destroy	Retain 7 years after action completed, then Destroy.
12.14.5		The acquisition, storage and disposal of radioactive substances and radiation equipment.	Destroy	Retain 75 years after disposal of substance or equipment, then Destroy.
12.14.6		Records relating to registration under the Animal Welfare Act 2002 authorising the University to use animals for scientific purposes.	Destroy	Retain 7 years after expiry or termination of license, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>RESEARCH - Specimen Management</i>				
12.14.7		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.	Destroy	Retain 7 years after action completed, then Destroy.
13	STAFF DEVELOPMENT	<p>The function of encouraging staff to develop their skills and abilities (through participation in activities, programs and events) to maximize their potential and increase their productivity. Includes identifying and implementing all aspects of training needs and programs (internal and external) available to staff.</p> <p><i>See General Disposal Authority for State Government Information</i> 68.PERFORMANCE PLANNING AND APPRAISAL</p>		
13.1	Professional Development Leave	<p>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.</p>		
13.1.1		Successful applications for study or professional development leave including acceptances and reports that are not retained on the official personnel file.	Destroy	Retain 7 years after action completed, then Destroy.
13.1.2		Unsuccessful applications for study or professional	Destroy	Retain 2 years after

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No	Function/Activity	Description	Disposal Action	Custody
<i>STAFF DEVELOPMENT - Professional Development Leave</i>				
		development leave that are not retained on the official personnel file.		action completed, then Destroy.
13.1.3		Study leave reports by staff that are not retained on the official personnel file.	Destroy	Retain until reference use ceases, then Destroy
13.2	Subsidies	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.		
13.2.1		Applications and approvals for payments or waivers of study fees for staff. Includes documentation where the University contributes towards the fees associated with a recognised course of study.	Destroy	Retain 7 years after action completed, then Destroy.
14	STRATEGIC MANAGEMENT	<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"> • corporate mission, • strategic objectives, • continuous improvement processes, • quality assurance, 		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STRATEGIC MANAGEMENT - Appeals</i>				
		<ul style="list-style-type: none"> • risk frameworks, • audit and certification, • and the formulation and amendment of legislation which provides the legislative basis for the organisation. <p>See <i>General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003)</i> 2.2 GOVERNANCE - STRATEGIC for strategic level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p>		
14.1	Appeals	<p>A comprehensive investigation of significant 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 introduction of this authority for the criteria for significant</p>		
14.1.1		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 Visitor.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
14.2	Compliance	Complying with mandatory or optional accountability,		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STRATEGIC MANAGEMENT - Compliance</i>				
		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. See 15.2 TEACHING & LEARNING - COURSE ACCREDITATION for the accreditation of courses.		
14.2.1		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.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
14.3	Corporate Protocols	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 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. See 15.10 STUDENT ADMINISTRATION - GRADUATION CEREMONIES for records about graduation ceremony protocols, including academic dress protocols.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STRATEGIC MANAGEMENT - Corporate Protocols</i>				
14.3.1		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	Retain in agency
14.4	Elections	Election of office bearers, representatives and other senior positions within the University. Includes electoral roll creation, maintenance and roll services, call for nominations, advertising the ballot, ballot papers, nominations and tally sheets.		
14.4.1		The election of the Chancellor and Pro Chancellor.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
14.4.2		Elections for memberships of committees & boards of the University, including Guild of Student elections where the University manages the election process. Includes electoral roll creation, maintenance and roll services as well as, the electoral roll itself, ballot papers, tally sheets, nominee statements, and official notification of results.	Destroy	Retain 3 years after action completed, then Destroy.
14.4.3		The conduct of elections. This can include advertising, balloting, nominations, notices, papers, scrutineers and tally sheets.	Destroy	Retain 6 months after action completed, then Destroy.
14.5	Standards	Implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the University. Also includes quality		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STRATEGIC MANAGEMENT - Standards</i>				
		<p>assurance activities.</p> <p><i>See General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) 2.1 GOVERNANCE - STRATEGIC</i> for strategic level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p> <p><i>See General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) 2.2 GOVERNANCE - OPERATIONAL</i> for operational level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p>		
14.5.1		<p>Supplementary records relating to quality assurance activities i.e. working papers, drafts and administrative arrangements.</p> <p>See also General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) GOVERNANCE - STRATEGIC for strategic level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p>	Destroy	Retain 1 year after action completed, then Destroy.
14.5.2		The instigation and conduct of quality assurance	Required as State	Retain 5 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION</i>				
		activities by the University.	archives	transfer to the SRO.
15	STUDENT ADMINISTRATION	<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>		
15.1	Academic Record	The complete record of a student's 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.		
15.1.1		<p>Academic Record - The official record of the marks or grades achieved by a student during the course of the degree, diploma or other award.</p> <p><i>Note: See 15.15 STUDENT FILES for Academic records contained on student files and not held elsewhere.</i></p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Academic Record</i>				
15.1.2		Letters of completion which is notification that a course of study has been completed.	Destroy	Retain 10 years after action completed, then Destroy.
15.1.3		Records relating to the authority to release results.	Destroy	Retain 7 years after action completed, then Destroy.
15.1.4		Board of Examiners Results - Computer printout lists run from the student records system to assist Faculties in making 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	Retain 7 years after action completed, then Destroy.
15.1.5		Printouts from the student record system of Academic Records that support decision-making other than Board of Examiner Results.	Destroy	Retain 1 year after reference use ceases, then Destroy.
15.1.6		Written requests for a formal Statement of Academic Record (Academic Transcript) and / or Confirmation of Completion of studies.	Destroy	Retain 6 months after action completed, then Destroy.
15.1.7		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.	Destroy	Retain 3 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Academic Record</i>				
15.1.8		Documentation from the Faculty or School recommending the student for the award of degree or diploma.	Destroy	Retain 6 years after action completed, then Destroy.
15.2	Academic Appeals	<p>The process of appeal against a decision by application to a higher authority.</p> <p>See 15.6 STUDENT ADMINISTRATION - DISCIPLINE for appeals against disciplinary actions.</p> <p>See 15.11 STUDENT ADMINISTRATION - GRIEVANCES for appeals against decisions relating to grievances and complaints.</p>		
15.2.1		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.	Destroy	Retain 10 years after action completed, then Destroy.
15.2.2		Appeals against the denial of requests for deferred assessment, retrospective withdrawal from a unit, advanced standing, and the non-award of a scholarship.	Destroy	Retain 10 years after action completed, then Destroy.
15.2.3		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.	Destroy	Retain 7 years after action completed, then Destroy.
15.3	Admission	The process of applying for entry into a course of study offered by the University. Includes liaison with		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Admission</i>				
		<p>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 programs, deferment of offer as well as reviews and appeals against non-admission.</p> <p>See 15.7 STUDENT ADMINISTRATION - ENROLMENT for matters dealing with enrolment to the University.</p>		
15.3.1		<p>Successful applications for admission to a course of study offered by the university. Includes:</p> <ul style="list-style-type: none"> • Undergraduate & honours courses • Masters by coursework • Postgraduate certificate • Postgraduate diploma • Equity entry programs and offers 	Destroy	Retain 10 years after action completed, then Destroy.
15.3.2		<p>Successful applications for Masters by research and PhD places.</p> <p>See 15.3.1 for Masters by course work.</p>	Destroy	Retain 75 years after action completed, then Destroy.
15.3.3		Unsuccessful applications for admission to a course of study offered by the university, Including:	Destroy	Retain 1 year after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Admission</i>				
		<ul style="list-style-type: none">• Undergraduate & honours courses• Masters by coursework• Postgraduate certificate• Postgraduate diploma• Equity entry programs and offers		Destroy.
15.3.4		Unsuccessful applications for higher degree research places.	Destroy	Retain 3 years after action completed, then Destroy.
15.3.5		Prospective students withdrawing their application to be admitted to the University.	Destroy	Retain 1 year after action completed, then Destroy.
15.3.6		Cut-off scores and tertiary entrance ranks.	Destroy	Retain 7 years after action completed, then Destroy.
15.3.7		Tertiary Institution Service Centre (TISC) list of applicants by course preference or course statistics and list of applicants for University place aggregate totals.	Destroy	Retain 3 years after action completed, then Destroy.
15.3.8		Ranking of students by which the Faculties indicate their preference of students for admission to study at the University. Including ranking of entrance interviews.	Destroy	Retain 3 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Admission</i>				
15.3.9		Non-award course admissions including applications, medical forms and any associated documentation.	Destroy	Retain 7 years after action completed, then Destroy.
15.4	Advanced Standing (Credit & Exemptions)	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.		
15.4.1		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.	Destroy	Retain 10 years after action completed, then Destroy.
15.5	Assessment	The evaluation of student performance in terms of knowledge acquired, understanding developed and skills gained in order to progress towards a degree or other academic achievement.		
15.5.1		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.	Destroy	Retain 10 years after action completed, then Destroy.
15.5.2		Student generated reports based upon professional experience in an educational environment.	Destroy	Retain 3 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Assessment</i>				
15.5.3		Supervision records of successful higher degree research students.	Destroy	Retain 75 years after action completed, then Destroy.
15.5.4		Supervision records of unsuccessful higher degree students.	Destroy	Retain 2 years after appeal period, then Destroy.
15.5.5		Work submitted or completed by students for the purposes of assessment or evaluation, including assignments and presentations but excluding examination scripts, practicum, and theses.	Destroy	Retain minimum 7 days after appeal period, then Destroy
15.5.6		Log Books recording the receipt, dispatch or grade / mark of student's assignments.	Destroy	Retain 2 years after action completed, then Destroy.
15.5.7		Higher degree by research theses and selected significant honours theses where the student successfully completed the course.	Retain in agency	Retain in agency
15.5.8		Honours theses or other significant work where the student successfully completed the course but the work is not selected for permanent retention by the University. Refer to the introduction of this authority for the criteria for significant.	Destroy	Retain 5 years after date of marking or examination, then Destroy.
15.5.9		Theses where the student did not successfully complete the course.	Destroy	Retain minimum of 1 year after appeal period, then return to

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No	Function/Activity	Description	Disposal Action	Custody
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STUDENT ADMINISTRATION - Assessment

				student or destroy.
15.5.10		Thesis submission register.	Destroy	Retain until reference use ceases, then Destroy
15.5.11		Examiners Reports of Theses for Masters by research, PhD or equivalent level.	Destroy	Retain 75 years after action completed, then Destroy.
15.5.12		Examiners Reports of Honours & Graduate Diploma degree students.	Destroy	Retain 10 years after action completed, then Destroy.
15.5.13		Examiners / Assessors reports on non Theses examinations.	Destroy	Retain 3 years after action completed, then Destroy.
15.5.14		Written reports on the academic progress of candidates enrolled in postgraduate research degree and professional doctorate courses.	Destroy	Retain 75 years after action completed, then Destroy.
15.5.15		Register of Examinations held.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.5.16		Marking key used to assess examination script.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.5.17		Working papers produced by assessors to calculate grades and marks, including work sheets, distribution	Destroy	Retain 1 year after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
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STUDENT ADMINISTRATION - Assessment

		of class results, score sheets, oral or performance examination sheets, raw score's and initial marking lists including the breakdown of marks assessment points.		Destroy.
15.5.18		Records which document the authoritative grades and / or marks awarded to students for work submitted for assessment such as essays or assignments. Includes marks recording sheets and authorisation to submit results for contribution to the student's final grade. See 15.1 STUDENT ADMINISTRATION - Academic Record for official academic record of results.	Destroy	Retain 5 years after action completed, then Destroy.
15.5.19		Results achieved by students enrolled in short course or non-award courses to students such as intensive English language programs or bridging programs prior to admission or in association with their studies.	Destroy	Retain 7 years after action completed, then Destroy.
15.5.20		The grading or marking of student work for assessment including essays, assignments etc which do not contribute to the student final grade.	Destroy	Retain 1 year after action completed, then Destroy.
15.5.21		Amendments to final grade to the academic record subsequent to an appeal.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.5.22		Assessment Reports - Reports relating to the compilation of assessments.	Destroy	Retain 10 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Assessment</i>				
15.5.23		Unsatisfactory progress including warning letters, replies from students, and approvals to repeat units.	Destroy	Retain 10 years after action completed, then Destroy.
15.5.24		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.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.6	Discipline	<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">• dishonesty in assessment such as plagiarism and unauthorised collusion;• falsification of an academic record or research results;• misconduct in an examination;• misconduct in or in relation to the Library;• non-payment of a fine or debt to the University;• misconduct in or in relation to the University's computing and networking facilities;		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Discipline</i>				
		<ul style="list-style-type: none"> • wilful damage to university property; and • abusive or violent behaviour etc. 		
15.6.1		Handling and resolution of disciplinary matters where the alleged offence is dismissed or no disciplinary act is taken. Also includes unsubstantiated allegations that have been found to be false.	Destroy	Retain 2 years after action completed, then Destroy.
15.6.2		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.	Destroy	Retain 7 years after action completed, then Destroy.
15.6.3		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.	Destroy	Retain 75 years after action completed, then Destroy.
15.7	Enrolment	The process of enrolling students in a course or unit of study.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Enrolment</i>				
15.7.1		The enrolment of students into a course or subject (or unit of study).	Destroy	Retain 10 years after action completed, then Destroy.
15.7.2		Enrolment offer.	Destroy	Retain 10 years after action completed, then Destroy.
15.7.3		Records where the student is declining the offer of admission to the University.	Destroy	Retain 2 years after action completed, then Destroy.
15.7.4		The enrolment approvals from Faculties that endorse a period of study undertaken by either by an inbound or outbound student on exchange. Note: these records are not filed on the official student file.	Destroy	Retain 2 years after action completed, then Destroy.
15.7.5		Registers of Student Enrolments.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.7.6		Administrative arrangements for enrolments, including the preparations for and management of the enrolment process.	Destroy	Retain 2 years after action completed, then Destroy.
15.7.7		Students concurrently enrolled in units at other universities for credit towards their degree (cross-institutional enrolment).	Destroy	Retain 10 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Enrolment</i>				
15.7.8		Police clearances records where the clearance is required as a prerequisite to enrolment.	Destroy	Retain 10 years after action completed, then Destroy.
15.7.9		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).	Destroy	Retain 10 years after action completed, then Destroy.
15.7.10		Overload forms.	Destroy	Retain 10 years after action completed, then Destroy.
15.7.11		Pre-requisite forms.	Destroy	Retain 10 years after action completed, then Destroy.
15.7.12		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.	Destroy	Retain 7 years after action completed, then Destroy.
15.7.13		Notices to students advising of enrolment details.	Destroy	Retain 1 year after action completed, then Destroy.
15.7.14		Variation of student details i.e. changes of name or address.	Destroy	Retain 2 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Enrolment</i>				
15.7.15		Successful applications for placement in a student exchange program, including letters of offer, acceptance forms, confirmation of enrolment letter, interview notes, correspondence, and documentation.	Destroy	Retain 5 years after action completed, then Destroy.
15.7.16		Unsuccessful applications for placement in a student exchange program.	Destroy	Retain 1 year after action completed, then Destroy.
15.7.17		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).	Destroy	Retain 10 years after action completed, then Destroy.
15.8	Examinations	The processes associated with the development of examinations and the arrangements in place to conduct them.		
15.8.1		Records relating to the appointment of examiners, assessors or supervisors.	Destroy	Retain 2 years after action completed, then Destroy.
15.8.2		The process for the preparation and approval of examination papers.	Destroy	Retain 5 years after action completed, then Destroy.
15.8.3		Master Copy (or 'set') of Examination Question Papers, including supplementary / deferred exams.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Examinations</i>				
15.8.4		Records relating to examination/assessment attendance. Examples of records: Attendance Lists, attendance cards.	Destroy	Retain 1 year after action completed, then Destroy.
15.8.5		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.	Destroy	Retain 10 years after action completed, then Destroy.
15.8.6		Examination scripts (blank/unmarked exam papers) duplicates of exam papers.	Destroy	Retain until reference use ceases, then Destroy
15.8.7		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.	Destroy	Retain 1 year after action completed, then Destroy.
15.8.8		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.	Destroy	Retain 5 years after action completed, then Destroy.
15.8.9		List of examinations being provided.	Destroy	Retain 1 year after date of list, then Destroy.
15.8.10		Granting of supplementary assessment and	Destroy	Retain 10 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
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STUDENT ADMINISTRATION - Examinations

		associated correspondence.		Destroy.
15.8.11		Administrative arrangements for examinations. Includes supervision/invigilation arrangements, eligibility lists, examination timetables and venues.	Destroy	Retain 2 years after action completed, then Destroy.
15.8.12		Application to sit examination elsewhere.	Destroy	Retain 10 years after action completed, then Destroy.
15.9	Exchange Programs	Programs organising the exchange and placement of students between educational institutions.		
15.9.1		The development of schemes between the University and other institutions.	Destroy	Retain 2 years after action completed, then Destroy.
15.9.2		The establishment of student exchange programs with other universities.	Destroy	Retain 7 years after expiry or termination of agreement, then Destroy.
15.9.3		Registers or lists of students who are on incoming or outgoing exchange programs. 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.	Destroy	Retain 10 years after action completed, then Destroy.
15.9.4		Exchange program university's evaluation forms completed by exchange students.	Destroy	Retain 5 years after action completed, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Graduation Ceremonies</i>				
15.10	Graduation Ceremonies	<p>The arranging and managing the University graduation ceremonies. Includes all correspondence and associated documentation produced to organise and manage an occasion.</p> <p><i>See General Disposal Authority for State Government Information</i> 15.CELEBRATIONS / CEREMONIES / COMPETITIONS / EVENTS / HONOURS AND AWARDS the arranging and managing a special occasion such as an Honours ceremony.</p>		
15.10.1		Register of graduates. This is the master list of students who graduate (including those who graduate in absentia).	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.10.2		Records relating to academic dress protocol, including policy relating to and descriptions of official regalia.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.10.3		Regalia orders for graduations, including regalia return cheques form.	Destroy	Retain 7 years after action completed, then Destroy.
15.10.4		Master copies of Graduation Ceremony Program. Includes order of proceedings, list of student names and awards received.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.10.5		Audio visual recordings of graduation ceremonies; photographs; and transcripts of speeches including occasional addresses, valedictory addresses, and citations for honorary degrees.	Retain in agency	Retain in agency

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Graduation Ceremonies</i>				
15.10.6		The notification of and attendance at graduation ceremonies.	Destroy	Retain 1 year after action completed, then Destroy.
15.10.7		Application to graduate, including official records of conferral of award and eligibility to graduate.	Destroy	Retain 10 years after action completed, then Destroy.
15.10.8		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.	Destroy	Retain 2 years after action completed, then Destroy.
15.11	Grievances	<p>The handling and resolution of individual cases relating to complaints about the study environment, study organisation or distribution, peers, supervisors or subordinates.</p> <p>See 10.5 PERSONNEL - GRIEVANCES & COMPLAINTS for complaints about personnel.</p>		
15.11.1		<p>Formal complaints or grievances raised by a student, which are precedent setting cases and have resulted in significant change to University policy or procedure.</p> <p>Refer to the introduction of this authority for the criteria for significant.</p>	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.11.2		Formal complaints or grievances and where the matter has been referred to an outside agency such	Destroy	Retain 10 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Grievances</i>				
		as the Human Rights & Equal Opportunity Commission or the State Ombudsman.		Destroy.
15.11.3		Non significant formal grievances not included in 15.11.1, 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.	Destroy	Retain 7 years after action completed, then Destroy.
15.11.4		Grievances that were raised informally and were not proceeded with.	Destroy	Retain 2 years after action completed, then Destroy.
15.12	Planning	<p>Planning about student administration.</p> <p><i>See General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) 2.1 GOVERNANCE -</i> STRATEGIC for strategic level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p> <p><i>See General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) 2.2 GOVERNANCE -</i> OPERATIONAL for operational level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Planning</i>				
15.12.1		Routine records relating to the development and administration of student load intake (quotas) into programs and/or courses.	Destroy	Retain 5 years after action completed, then Destroy.
15.12.2		Records relating to the calculations relating to Effective Full Time Student Units (EFTSU).	Destroy	Retain 5 years after action completed, then Destroy.
15.13	Reporting	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.		
15.13.1		Records relating to student enrolment error reports generated by the student records system.	Destroy	Retain 1 year after action completed, then Destroy.
15.14	Scholarships, Prizes & Awards	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. See 10.4 PERSONNEL - FELLOWSHIPS for successful Fellowship applications.		
15.14.1		Successful applications/nominations for undergraduate and masters by coursework	Destroy	Retain 10 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Scholarships, Prizes & Awards</i>				
		scholarships, prizes, awards and bursaries.		Destroy.
15.14.2		Successful applications/nominations for postgraduate higher degrees by research scholarships, prizes, awards and bursaries. Does not include Rhodes scholarships.	Destroy	Retain 75 years after action completed, then Destroy.
15.14.3		Unsuccessful applications / nominations, regardless of how the award is administered, for scholarships, prizes, award and bursaries.	Destroy	Retain 3 years after action completed, then Destroy.
15.14.4		Unsuccessful fellowship applications.	Destroy	Retain 3 years after action completed, then Destroy.
15.14.5		Records relating to the establishment and management of rules and conditions of internally administered scholarships, prizes, awards, bursaries and fellowships. See also See <i>General Disposal Authority for State Government Information</i> 35. DONATIONS for original donor conditions and agreements relating to the funds associated with the scholarships.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.14.6		Records relating to the establishment and management of externally administered fellowships. This can include terms and conditions for the fellowship.	Destroy	Retain 5 years after action completed, then Destroy.
15.14.7		Registers of recipients of awards, bursaries, prizes, fellowships, and scholarships.	Required as State archives	Retain 5 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Scholarships, Prizes & Awards</i>				
				transfer to the SRO.
15.14.8		Records relating to the decision making process to receive scholarships, prizes, awards, bursaries and fellowships.	Destroy	Retain 2 years after action completed, then Destroy.
15.14.9		Administrative arrangements for the delivery or presentation of awards.	Destroy	Retain 2 years after action completed, then Destroy.
15.14.10		Successful applications and associated correspondence for Rhodes Scholarships.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.14.11		Unsuccessful applications and associated correspondence for Rhodes Scholarships.	Destroy	Retain 3 years after action completed, then Destroy.
15.14.12		Records relating to the administration and management of the Rhodes Scholarship application process.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
15.14.13		Scholarships proposed but not leading to formal establishment.	Destroy	Retain 7 years after action completed, then Destroy.
15.15	Student Files	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.		
15.15.1		Alumni who attain prominence in their field or	Required as State	Retain 5 years after

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Student Files</i>				
		become recognised for distinguished achievement or notoriety. <i>Note:</i> Includes Student files containing Academic records where not held on file elsewhere.	archives	action completed, then transfer to the SRO.
15.15.2		Student files maintained for students enrolled in, and who complete, a Higher Degree by Research (Doctor of Philosophy, Masters by Research), Higher Doctorate, or Professional Doctorate.	Destroy	Retain 75 years after action completed, then Destroy.
15.15.3		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).	Destroy	Retain 10 years after action completed, then Destroy.
15.15.4		Students who discontinue or withdraw from their course of study.	Destroy	Retain 10 years after action completed, then Destroy.
15.16	Student Recruitment	Records associated with the recruitment of students to courses of study in the University.		
15.16.1		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.	Destroy	Retain 2 years after action completed, then Destroy.
15.16.2		The appointment of and arrangements with recruitment / advertising agencies who undertake	Destroy	Retain 2 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT ADMINISTRATION - Study Abroad</i>				
		the marketing of courses offered by the University.		Destroy.
15.17	Study Abroad	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.		
15.17.1		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.	Destroy	Retain 5 years after action completed, then Destroy.
15.17.2		Unsuccessful applications for enrolment in a Study Abroad program.	Destroy	Retain 1 year after action completed, then Destroy.
15.17.3		Records relating to successful applications for Study Abroad travel bursaries.	Destroy	Retain 5 years after action completed, then Destroy.
15.17.4		Records relating to unsuccessful applications for Study Abroad travel bursaries.	Destroy	Retain 1 year after action completed, then Destroy.
16	STUDENT SERVICES	The function of providing support and services to students by either the University or another entity for the personal and academic development of students.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT SERVICES - Accommodation</i>				
		See 2. COMMUNITY RELATIONS for non-academic services offered by the University to students, staff and the general public.		
16.1	Accommodation	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.		
16.1.1		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. <i>See also General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) 2.2 GOVERNANCE - OPERATIONAL</i> for operational level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.	Destroy	Retain 7 years after action completed, then Destroy.
16.1.2		Unsuccessful applications for student accommodation.	Destroy	Retain 6 months after semester commenced, then Destroy.
16.1.3		Schedule of fees for accommodation services.	Destroy	Retain 5 years after superseded, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT SERVICES - Accommodation</i>				
16.1.4		The provision of accommodation through matching students with private accommodation options such as boarding houses.	Destroy	Retain 2 years after action completed, then Destroy.
16.2	Arrangements	Preparations undertaken to ensure students have identification and evidence of their eligibility to receive student concessions.		
16.2.1		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.	Destroy	Retain 1 year after action completed, then Destroy.
16.2.2		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.	Destroy	Retain 1 year after action completed, then Destroy.
16.2.3		Photographic images for student identity cards. Includes negatives.	Destroy	Retain until superseded or when student leaves University, then Destroy
16.3	Career Advice	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.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT SERVICES - Career Advice</i>				
16.3.1		The provision of information, assistance and advice regarding career directions, suitability and pre-requisite qualifications. May include case files.	Destroy	Retain 2 years after action completed, then Destroy.
16.3.2		The collection and dissemination of careers information. Includes interaction with providers and employers, employment opportunities, information relating employment seminars and mentoring opportunities.	Destroy	Retain until reference use ceases, then Destroy
16.4	Clubs & Societies	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.		
16.4.1		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.	Destroy	Retain 7 years after action completed, then Destroy.
16.4.2		Significant matters, disputes or similar relating to the relationship and interaction between the university and the student associations. Refer to the introduction of this authority for the criteria for significant.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
16.5	Orientation	The planning and management of activities intended to introduce new students to the University and its		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT SERVICES - Orientation</i>				
		<p>amenities, services, facilities and activities.</p> <p><i>See General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) 2.2 GOVERNANCE - OPERATIONAL</i> for operational level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p>		
16.5.1		<p>The planning and management of student orientation activities. Includes activities and events organised for Orientation Week, pre-departure briefings and orientation for international students, programs conducted by Faculties, Schools and Central Administrative Offices, and the training of student volunteers.</p> <p><i>See also General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003) 2.2 GOVERNANCE - OPERATIONAL</i> for operational level activities associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p>	Destroy	Retain 5 years after action completed, then Destroy.
16.6	Student Support	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		

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT SERVICES - Student Support</i>				
		and other supporting documentation.		
16.6.1		<p>Confidential data about students and their support requirements. Includes support and advice provided to international higher degree research students in regard to their dependents schooling needs and arrangements.</p> <p>Includes notes of confidential interviews, summaries of advice given to the student, case notes and supporting medical documentation as evidence to support claims. Correspondence and official communications between the university and government departments in regard to fees for schooling for students dependents while they are studying in Australia.</p>	Destroy	Retain 10 years after action completed, then Destroy.
16.6.2		Provision of specific study skills and support programs. These programs teach skills such as language skills, time and project management, reading, researching, writing and presentation skills.	Destroy	Retain 5 years after action completed, then Destroy.
16.6.3		Client records which includes the identification and assessment of current skill levels.	Destroy	Retain 5 years after action completed, then Destroy.
16.6.4		Facilitating employment opportunities for students. Includes students registering for employment and employers seeking workers.	Destroy	Retain until reference use ceases, then Destroy
16.6.5		The provision or coordination of services for students with disabilities or medical conditions, permanent or	Destroy	Retain 2 years after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>STUDENT SERVICES - Financial Assistance</i>				
		temporary, that 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.
16.7	Financial Assistance	The provision of financial support to students by the University including emergency cash loans and zero or low-interest short-term loans.		
16.7.1		The establishment and development of University student loans schemes.	Destroy	Retain 5 years after superseded, then Destroy.
16.7.2		The management of loans provided to students.	Destroy	Retain 7 years after expiry of the loan, then Destroy.
16.7.3		Successful applications for financial assistance.	Destroy	Retain 7 years after action completed, then Destroy.
16.7.4		Unsuccessful applications for financial assistance.	Destroy	Retain 1 year after action completed, then Destroy.
17	TEACHING & LEARNING	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.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>TEACHING & LEARNING - Arrangements</i>				
		See 12.14 RESEARCH - SPECIMEN MANAGEMENT for records associated with the care, use, protection and disposal of specimens for teaching and research purposes in accordance with statutory requirements.		
17.1	Arrangements	The preliminary measures and preparations undertaken to ensure that the University teaching calendar and timetable is scheduled and managed appropriately.		
17.1.1		Structure of the University academic year. Including semester and other teaching period dates, key administrative and committee dates.	Destroy	Retain 1 year after calendar expires, then Destroy.
17.1.2		The development and amendment of the University teaching timetable. Includes staff unavailability forms and all other documentation used to develop the University timetable.	Destroy	Retain 2 years after action completed, then Destroy.
17.1.3		Records relating to the allocation of teaching workloads for teaching personnel.	Destroy	Retain 2 years after action completed, then Destroy.
17.2	Course Accreditation	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		

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No	Function/Activity	Description	Disposal Action	Custody
<i>TEACHING & LEARNING - Course Accreditation</i>				
		laboratories for teaching and research activities. See 12.1 RESEARCH - ACCREDITATION for accreditation of the University as a research institution. See 17.5 TEACHING & LEARNING - COURSE APPROVAL for the internal approval of courses and units delivered by the University.		
17.2.1		Successful applications for gaining accreditation of courses of study from external professional bodies or accreditation authorities.	Retain in agency	Retain in agency
17.2.2		Unsuccessful applications for gaining accreditation of courses of study from external professional bodies or accreditation authorities.	Destroy	Retain 5 years after action completed, then Destroy.
17.2.3		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.	Destroy	Retain 2 years after accreditation expires or superseded, then Destroy.
17.3	Course Approval	The approval of courses and units delivered by the University. Includes records associated with the approval of amendments and the consultation processes.		
17.3.1		Records of the consultation process carried out during the approval of courses. Includes review documentation prepared for review panels,	Destroy	Retain 10 years after curricula superseded, then Destroy.

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No	Function/Activity	Description	Disposal Action	Custody
<i>TEACHING & LEARNING - Course Approval</i>				
		submissions, recommendations, responses, final reports and resolutions passed by the relevant committees.		
17.3.2		Courses and units developed, submitted and approved for curriculum within the University, including master copies of course and unit outlines.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
17.3.3		Proposals for courses and units that have not been approved for curriculum within the University.	Destroy	Retain 5 years after action completed, then Destroy.
17.3.4		The administration and allocation of course codes. Note: This information will be published in the Faculty Handbooks or in Course Management Systems.	Destroy	Retain until reference use ceases, then destroy
17.4	Course Delivery	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.		
17.4.1		The planning, development and formulation of teaching methods, practices, pedagogy and strategies to enable course delivery at the University.	Destroy	Retain 10 years after action completed, then Destroy.
17.4.2		Supplementary material used for teaching purposes to enable course delivery such as academic working papers.	Destroy	Retain until reference use ceases, then destroy
17.4.3		Attendance records including class lists.	Destroy	Retain 1 year after action completed, then

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No	Function/Activity	Description	Disposal Action	Custody
<i>TEACHING & LEARNING - Course Delivery</i>				
		See 17.4.5. for Vocational Education Training (VET) course attendance records.		Destroy.
17.4.4		Resources and materials including copies of course outlines, study guides, reading lists, self-assessment exercises, audio-visual teaching aides, assignment lists, lecture notes, distance education materials.	Destroy	Retain 2 years after reference ceases, then Destroy.
17.4.5		Attendance records including class lists for students studying Vocational Education Training courses. See 17.4.3 for non-Vocational Education Training (VET) course attendance records.	Destroy	Retain 5 years after action completed, then Destroy.
17.5	Course Development	The development and planning of the structure, assessment requirements and content of University courses.		
17.5.1		The development of new courses of study, including those developed in conjunction with other institutions.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
17.5.2		Working papers related to the development of University courses and units.	Destroy	Retain until reference use ceases, then destroy
17.5.3		Approved amendments to existing courses and units.	Required as State archives	Retain 5 years after course superseded or discontinued, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody
<i>TEACHING & LEARNING - Evaluation</i>				
17.6	Evaluation	<p>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.</p> <p>See 14.5 STRATEGIC MANAGEMENT - STANDARDS for high level quality assurance activities.</p>		
17.6.1		Assessments/evaluations outcomes and final reports relating to university courses and their delivery.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
17.6.2		Raw data collected and used in the evaluation of University courses and their delivery. May include student feedback forms, surveys, questionnaires, interviews and other data and background material.	Destroy	Retain 2 years after action completed, then Destroy.
17.6.3		Confidential feedback received from postgraduate students about their supervisors.	Destroy	Retain 7 years after action completed, then Destroy.
18	TECHNOLOGY & TELECOMMUNICATIONS	<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</p>		

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No	Function/Activity	Description	Disposal Action	Custody
<i>TECHNOLOGY & TELECOMMUNICATIONS - Allocation</i>				
		<p>network systems such as video conferencing, voice communications and electronic mail and the technical aspects of the Internet, Intranet and Websites.</p> <p>See 8. INFORMATION MANAGEMENT for records relating to the management of information resources.</p> <p>See <i>General Disposal Authority for State Government Information</i> 30.DATA ADMINISTRATION / DATABASE MANAGEMENT / APPLICATION DEVELOPMENT</p>		
18.1	Allocation	The process of assigning permits, equipment, or items of technology or telecommunications to employees or organisational units.		
18.1.1		The allocation of hardware, software and other information technology items of equipment.	Destroy	Retain 2 years after action completed, then Destroy.
18.2	Application Development	Developing or modifying and maintaining software and programming codes to run business applications. Includes specifications, testing, pilots, prototyping and metadata requirements.		
18.2.1		Records documenting results of application testing activities.	Destroy	Retain 7 years after action completed, then Destroy.
18.3	Modelling	The processes involved in designing, testing and evaluating sample model profiles of systems under		

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No	Function/Activity	Description	Disposal Action	Custody
<i>TECHNOLOGY & TELECOMMUNICATIONS - Modelling</i>				
		analysis.		
18.3.1		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 the business, teaching and research needs of the University.	Destroy	Retain 7 years after action completed, then Destroy.
18.4	Security	The measures taken to protect systems or information from accidental or intentional damage or from unauthorised access.		
18.4.1		Arrangements for the sanitisation of technology equipment prior to disposal.	Destroy	Retain 1 year after action completed, then Destroy.
19	COMMON ACTIVITIES	These activities may be used in conjunction with any keyword as appropriate.		
19.1	Advice	The receipt or provision of advice to, or from, the organisation.		
19.1.1		Non significant advice, not included in <i>General Disposal Authority for State Government Information 5.2 ADVICE</i> , provided or received relating to routine operational or administrative matters See Introduction for definition of significant	Destroy	Retain 7 years after action completed, then Destroy.
19.2	Agreements	Records relating to the establishment, ongoing management and finalisation of contracts, agreements and joint ventures.		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMON ACTIVITIES - Agreements</i>				
		See also <i>General Disposal Authority for State Government Information</i> 6. AGREEMENTS		
19.2.1		Agreements / Contracts that include Survival Clauses (ie provisions / clauses within an agreement / contract that will remain valid beyond the termination of the agreement.)	Destroy	Retain for 15 years after the expiration of the agreement, then destroy
19.3	Customer Service	The planning, monitoring and evaluation of services provided by the University. <i>See General Disposal Authority for State Government Information</i> 29. CUSTOMER SERVICE		
19.3.1		The development and administration of an internal service charter.	Destroy	Retain a minimum of 3 years after superseded, then destroy
19.4	Planning	Records relating to the process of formulating formal plans to achieve specific objectives. Includes determination of services, needs and solutions to those needs. See 15.12 STUDENT ADMINISTRATION - PLANNING for student-based planning activities such as student load intakes <i>See General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003)</i> 2.1 GOVERNANCE - STRATEGIC for strategic level planning activities associated with creating and managing a safe		

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMON ACTIVITIES - Planning</i>				
		<p>environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p> <p>See <i>General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect (DA 2020-003)</i> 2.2 GOVERNANCE - OPERATIONAL for operational level planning associated with creating and managing a safe environment for children, and handling and investigating allegations or incidents of child abuse or neglect.</p>		
19.4.1		Working papers used in developing University plans.	Destroy	Retain 5 years after action completed, then Destroy.
19.5	Reporting	<p>Formal reporting against the University business and corporate activities.</p> <p>See 12.14 RESEARCH - REPORTING for reporting as part of research administration or a research project</p>		
19.5.1		Annual submissions to the State or the Commonwealth Government on core business activities. Includes statutory reporting in relations to research and teaching activities.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
19.5.2		Reports (Including Statistics) relating to the course and teaching evaluation that are not reproduced elsewhere.	Retain in organisation	Retain in organisation

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No	Function/Activity	Description	Disposal Action	Custody
<i>COMMON ACTIVITIES - Reporting</i>				
19.5.3		Reports (Including Statistics) relating to the course and teaching evaluation that are reproduced elsewhere.	Destroy	Retain 7 years after action completed, then Destroy.
19.6	Reviewing	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.		
19.6.1		A review of non significant , general operational matters, services, procedures and systems, not included in See also <i>General Disposal Authority for State Government Information</i> 86.1 REVIEWING . See Introduction for definition of significant.	Destroy	Retain 7 years after action completed, then Destroy.
19.6.2		Supplementary records, drafts and working papers of significant reviews. Refer to the introduction of this authority for the criteria for significant	Destroy	Retain 10 years after action completed, then Destroy.
19.6.3		Contribution to external reviews.	Destroy	Retain 7 years after action completed, then Destroy.