

RETENTION AND DISPOSAL SCHEDULE

FOR



AUSTRALIAN CATHOLIC UNIVERSITY
AUGUST 2010

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This schedule covers:-

- ◆ The **minimum** period for the retention of records, and
- ◆ Gives some advice on the transfer of records to other areas eg student administration and personnel in particular.

Should any individual department wish to retain the records longer it is their responsibility to provide facilities for storage.

PREFACE

AUTHORITY

The Schedule had been issued with the authority of the Vice Chancellor of the Australian Catholic University.

SCOPE

This schedule covers both functional and administrative records created by the Australian Catholic University.

The University was incorporated as a company in 1990 and has been recognised by legislation in three states:

Australian Catholic University Act 1990 (New South Wales)

Australian Catholic University Act 1991 (Victoria)

Australian Catholic University Act 2006 (Queensland)

In recognition of these pieces of legislation and the University's status as a company, and in deference to the University's campus in the Australian Capital Territory, this schedule satisfies the respective corporate and multi-state requirements for records' retention.

HISTORY OF SCHEDULE

This document was prepared by File Force in 1997 and was based on the standard File Force government model. Much of the source material was taken from The Australian Record Retention Manual, the Queensland Department of Administrative Services, Queensland State Archives, the Local Government Retention Schedule, the retention schedule from the University of Kentucky, and McGill University.

The schedule was updated by the Vice-Chancellery Records Officer in 2002 and 2005. A more extensive revision and update was conducted in 2010.

PURPOSE

The purpose of the Schedule is to enable the university to legally dispose of records, and guide the user to those records that should be retained permanently.

Specifically the Schedule aims to:

- Provide a common schedule for common records, thereby eliminating the necessity for each area to prepare its own schedule of records and providing consistency in disposal decisions.
- Reduce the volume of records held in high-cost office accommodation, thereby achieving economies in space, equipment and staff.
- Ensure that records of no further value to the university are destroyed.
- Ensure that records of archival value are transferred to the Archives.

What the Schedule does not do:-

The schedule is not a records management manual, nor is it a replacement for an archivist, or an archives. The schedule should be implemented in conjunction with the application of Records Management practices (ISO 15489),

As organisations change over time there has been no attempt to write this schedule along any organisational structure used within the university. Where documents relate to specific faculties, sections or departments they are mentioned in the comments section.

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SOURCES

In recognition of the Australian Catholic University's unique status as a company and a multi-state university as outlined in the **Scope** on the previous page, this schedule has selected the lengthiest retention period from each of the disposal authorities listed below.

New South Wales

GA28 - General Retention and Disposal Authority: Administrative Records

GDA12 - General Retention and Disposal Authority: Personnel Records

GDA23 - General Retention and Disposal Authority: University Records

Queensland

GRDS – General Retention and Disposal Schedule for Administrative Records

QDAN601 – University Sector Retention and Disposal Schedule

Victoria

PROS 02/01 - General Retention and Disposal Authority for the Records for Higher and Further Education Institutions

PROS 07/01 - General Retention and Disposal Authority for Records of Common Administrative Functions

Australian Capital Territory

NI2007-313 – Territory Records (Records Disposal Schedule – Tertiary Student Management Records) Approval 2007 (No 1)

NI2007-314 – Territory Records (Records Disposal Schedule – Tertiary Teaching and Research Records) Approval 2007 (No 1)

Corporate

ARRM – Australian Records Retention Manual

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LAYOUT OF THIS SCHEDULE


This schedule is broken into six parts, which are generic to records management with some adaptation to the functional records of a university. As the great majority of records held by individual faculties or departments are “Common or Generic”, they are covered once and once only in the General Schedule. Where there is sufficient difference in law or accessibility of records, they are covered separately. Eg. Accounting, Personnel, Students and Facilities.

REF	RECORD SERIES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
0.0	Designates the generic name of the records Series type of record held by the university. “A records series is a group of documents filed together in a unified arrangement which results from, or relates to, the same function”.	Gives examples and group names of records that fit this class of record.	T= Temporary P= Permanent	5D= Retain 5 years then destroy. 5A = Retain for 5 years then transfer to archives. 1T= Retain in department for one year then transfer according to instructions in comment column.	The act or authority cited if required. Other Comments	This column provides the relevant disposal authority and reference number on which the disposal decision has been determined.

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PART 1 - INTRODUCTION


Instructions for disposition of a record may be placed in any of the following possible categories.


 Destroy at termination of period of time after the last use of the file or record, for example


STARTED	FINISHED	RETAIN	DESTROY
CASE FILE 1/2004	12/2004	3 years ie. end of 2007	1/2008
CASE FILE YEAR PART ONE 7/04	6/05	5 years ie. end of 2010	1/2011
CASE FILE YEAR PART TWO 7/04	6/05		1/2011
CLIENT FILE 1/2004	6/2035	1 year ie. end of 2036	1/2037

 Transfer to archives after a period of time

 seek the advice of the officer responsible for records in your Section, or the Vice-Chancellery Records Officer, prior to destruction or transfer to Archives.

 Destroy when superseded (manuals and phone books etc)

 Retain ONE Master copy only (Lists of Benefactors, suppliers)

 Retain current information only (suppliers, debtors, creditors)

It is the responsibility of all to ensure that those records so recommended are retained for the minimum period only and not used as an opportunity to retain material longer than is absolutely necessary.

Often identical information is kept in different Faculty/Sections of this unit for convenience or ease of reference. The Faculty or Section assigned responsibility for the function should retain the records for the required period in the Schedule. All other copies of the same information should be destroyed as soon as the reference function ceases.

DESTROYING RECORDS

Arrangements for the destruction of records must comply with the ACU Records and Archives Management Policy, and in accordance with the Retention & Disposal Schedule

UPDATING THE SCHEDULE

The Schedule will be reviewed annually to ensure its completeness and review of retention periods. Any suggestions sections may wish to make to assist in the review process should be addressed to the Senior Administrative Officer (Secretariat), or the Vice-Chancellery Records Officer.

ASSISTANCE IN USING THE SCHEDULE

Areas requiring any assistance in the interpretation or implementation of the Records Retention and Disposal Schedule are encouraged to contact the Officer Responsible for Records in your Section or alternatively the Vice-Chancellery Records Officer.

ELECTRONIC RECORDS

An electronic record is any record created or stored electronically and included in this term are those records which are "born Digital", as well as those records which have been scanned into an electronic record format and stored on "the system". Within this category of record are e-mails which are sent and received as

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part of a business transaction and they should be subject to this Retention and Disposal Schedule, as are the rest of the electronic and paper based records managed by the University

Electronic transactions laws enable electronic communications to be used as a legitimate and recognised means of creating transactions, a means of communication recognisable by law; The word 'transaction' is defined to cover any transaction. Thus they cover more than legally enforceable agreements, contracts or other arrangements of a non commercial nature and include for example, offers, acceptances and representations that might be capable of being legally recognisable in some context.

The laws apply for the purposes of State law (statute and case law) and exclude Commonwealth law, and they also exclude matters of Corporate Law. The latter is significant of course to business matters. Under the corporations law financial records must be retained for 7 years in hard copy form as the same information reproduced electronically will not be admissible in a court, nor capable of being produced for corporations law regulatory/administrative purposes and requirements.

The laws of evidence currently in force are: **Commonwealth, NSW, ACT Evidence Act 1995**

QLD (1) Evidence Act 1977 (2) Evidence and Discovery Act 1867

VIC (1) Evidence Act 1958

As organisations become more and more reliant on Information Technology to conduct business matters, it becomes more important to be able to vouch for the reliability of these records with regards to how and why business decisions were made if required to do so in a court of law.

Information Technology (IT) evidence is any information, and is often termed electronic evidence, digital evidence or computer-based evidence, whether subject to human intervention or not, that has been extracted from a computer or otherwise held in electronic or machine readable format. IT also encompasses data held on or passing through computers and other electronic devices. In order to be used as evidence in a court of law, IT evidence must be extracted in a human readable form.

IT evidence can be divided into three categories: (1) records that are computer-stored; (2) computer-generated records; and (3) records that are partially computer-generated and partially computer stored.

Digital storage/Vital Records/Risk Management

The storage of records in electronic form necessitates the use of additional storage, plans and strategies to prevent their loss, either by disaster misfortune or any unfortunate event. Therefore a strategy should be determined to conduct a risk assessment of the University's Records Management Operations and should encompass:

- Periodic data refreshing (transfer of data from one digital source to another), or from one generation of technology to another
- Use of Vaults, strong rooms or fire protected cabinets.
- Backup systems onto a variety of alternative mediums and held away from the seat of operation.

Once vital records are identified it is important that each work unit monitor their relevant vital records for archiving and ensures that records are transferred direct to a designated archives unit and can be retrieved a any time

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The university has the responsibility to identify and preserve information of permanent value on computer. Because of the relatively temporary nature of magnetic tapes, discs etc **all records which are designated as permanent must be kept in PAPER FORM** and printed out on good quality paper. This applies also to the automated indices or other finding aids used to identify and locate files.

PRE 1920 RECORDS

Because of the comparative rarity of nineteenth and early twentieth century records, there is generally a strong case for keeping many early records even if the same records for later periods are destroyed. Irrespective of any retention period given in this schedule, **NO** pre 1920 records should be destroyed without referral to the Vice-Chancellery Records Officer

ATO RULING

Record Keeping - Electronic Records

"The ATO accepts that taxpayers in business can store records of sales, purchases, receipts vouchers, credit notes, delivery dockets, etc. Electronically, as long as the records are in a form that ATO staff can access and understand.

Such storage may take the form of imaging those records onto an electronic storage medium.

Where paper records are imaged and stored electronically, they should be

- 👉 Read only
- 👉 Retained for **seven years**
- 👉 Have adequate back-up control, and
- 👉 Be able to be retrieved and read at all times by ATO Staff.

Original paper records that have been imaged onto an electronic storage medium need not be retained after 7 years"

(Source Institute of Chartered Accountants – Client Alert November 1997)

In relation to records retention: Australian Catholic University must ensure that not only are the disks kept, but also the programs and the machines that played the programs are kept or alternatively there is a "Seamless Migration" of data. ie. each time the University upgrades computers, upgrade the data to keep both "Accessible to the ATO staff".

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

PART 2 ADMINISTRATION & GOVERNANCE

These are general administrative records, as well as those records concerned with the function of governing the university to ensure accountability within its statutory environment.

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.1	ACCREDITATION OF UNIVERSITY The activity associated with the university seeking institutional accreditation as an educational provider with the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS)		P	5A	Retain permanently	QDAN601 601.2/C335
2.2.1	ADDRESSES - MAJOR Final version of addresses that are considered significant to the university.	Addresses on policy, strategic direction, new partnerships Also include addresses never presented	P	5A	Retain as state archives	PROS 07/01 2.1.1
2.2.2	ADDRESSES - MINOR Final version of addresses on the routine promotion of the university or its services.		T	2D	Retain for 2 years after last action	PROS 07/01 2.1.2
	ADVERTISING	<i>SEE 2.39 Public Relations</i>				
2.3	ALUMNI Activities and contact associated with the management of Alumni relations	Register of members, contact details Alumni association activities, events or promotions	T	D	Retain for 6 months after last action.	QDAN601 601.2/C11 601.2/C12
2.4	ANNUAL GENERAL MEETING Records relating to the annual general meetings held by ACU Ltd.	Includes EGMs (Extraordinary General Meetings)	P	1A	Retain permanently	ARRM COR.06.1
	APPRECIATION LETTERS	<i>SEE 2.24 Greetings</i>				
	ART PRIZE	<i>SEE 2.6 Awards – Art/Literary</i>				
2.5	ARTICLES OF AGREEMENT	Constitution Memorandum and Articles of Association	P	5A	Required as state archives	GDA23 3.1.2
2.6	AWARDS – ART/LITERARY Art or literary awards/prizes established by the university.					
2.6.1	AWARDS – ART/LITERARY – JUDGES Judging panel for an award.		P	5A	Retain permanently	QDAN601 601.2/C84

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.6.2	AWARDS – ART/LITERARY - NOMINEES	Nominations Notification of outcome	P	2D	Retain for 2 years after last action	QDAN601 601.2/C82
2.6.3	AWARDS – ART/LITERARY – WINNERS Master set of award recipients		P	5A	Retain permanently by the university	QDAN601 601.2/C81
	BEQUESTS	<i>SEE 2.16.1 Donations</i>				
	BOARD OF DIRECTORS	<i>SEE 2.8.1 Committees - Major</i>				
2.7.1	CELEBRATIONS AND CEREMONIES - MAJOR Records of significant ceremonies	Opening of buildings	P	1A	Retain permanently	GA28 2.4.1
2.7.2	CELEBRATIONS AND CEREMONIES - OTHER Records of all other ceremonies		T	5D	Retain for 5 years after last action	GA28 2.4.2
	CHRISTMAS CARDS - RECEIVED	<i>SEE 2.24 Greetings</i>				
	CHRISTMAS CARDS - SENT	<i>SEE 2.14 Corporate Identity</i>				
	COLLABORATIVE VENTURES	<i>SEE 2.30 Joint Ventures</i>				
2.8.1	COMMITTEES - MAJOR Governing body, such as senate, council and convocation, and other high level decision making bodies of the university such as professorial boards and academic boards (including strategic committees). All committees or bodies constituted under a statute.	Academic Board Faculty Board Honorary Awards Committee Meeting of Members Research management Committee Senate Standing & Finance Committee State Chapter Company board of ACU Ltd				
2.8.2	COMMITTEES - MAJOR - MEETINGS Master set of meeting papers	Agenda Minutes Tabled documents	P	2A	Required as state archives	GDA23 3.8.1
2.8.3	COMMITTEES - MAJOR - MEMBERS Records relating to appointments and resignations of members or senate, councils and similar high level bodies.	Only where members are directly appointed EXCLUDES: members elected by ballot	P	2A	Required as state archives	GDA23 3.8.2

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.8.4	COMMITTEES - OTHER Records documenting the activities of university committees which report to the major committees.	School committees School sub-committees Working parties of ad hoc committees	T	5D	Retain for 5 years after committee ceases to exist	QDAN601 601.2/C326
2.9.1	COMPENSATION – FATALITIES Records documenting claims for compensation submitted for the death of an employee, student or visitor.		P	5A	Required as state archives	PROS 07/01 11.5.1 11.5.3
2.9.2	COMPENSATION – INJURY – EMPLOYEES Records documenting claims for compensation submitted for personal injury of an employee.		T	75D	Retain until employee turns 75 years of age or 50 years after accident, whichever is longer.	for 75 years of age: GA28 3.2.1 for 50 years after separation: PROS 07/01 11.5.4
2.9.3	COMPENSATION - INJURY – STUDENT Records documenting claims for compensation submitted for personal injury of a student.		T	15D	Retain for 15 years after last action	GA28 3.2.4
2.9.4	COMPENSATION - INJURY – VISITORS Records documenting claims for compensation submitted for personal injury of a visitor.		T	15D	Retain for 15 years after last action	GA28 3.2.4
2.10.1	COMPLAINTS - MAJOR Complaints that result in changes to university policy or procedures		P	2A	Retain as state archives	PROS 07/01 2.3.2
2.10.2	COMPLAINTS - MEDIUM Complaints that require investigation or a detailed response.		T	7D	Retain for 7 years after last action	GA28 2.19.1
2.10.3	COMPLAINTS - MINOR Complaints that can be referred to another organisation or require a routine response.		T	2D	Retain for 15 years after last action	GA28 2.19.2
	CONDOLENCE LETTERS	<i>SEE 2.24 Greetings</i>				

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.11.1	CONFERENCES - ARRANGEMENTS Records relating to arrangements for conferences, whether convened by the university or an external organisation.	Program development Arranging speakers Venue bookings Registration management	T	2D	Retain for 2 years after last action.	PROV 07/01 2.4.3
2.11.2	CONFERENCES - ACU - PROCEEDINGS Master set of transcripts and speeches, proceedings and reports of conferences convened by the university.		P	5A	Retain as state archives.	PROS 07/01 2.4.1
2.11.3	CONFERENCES – EXTERNAL – INSTITUTIONAL PRESENTATIONS Papers presented by university staff which address the university’s policy, strategic direction or new services, products or partnerships.		T	5A	Retain as state archives.	PROS 07/01 2.4.4
2.11.4	CONFERENCES – EXTERNAL – PERSONAL DEVELOPMENT Papers presented by university staff as part of their own personal development.		T	D	Retain until reference ceases	PROV 07/01 2.4.5
	CONGRATULATIONS LETTERS	<i>SEE 2.24 Greetings</i>				
2.12	CONSULTANTS & CONTRACTORS Records relating to the hiring of consultants and contractors including copies of the contracts, specifications, quotations etc.	Engagements Agreements Enquiries Management Monitoring and Reporting	T T	7D 12D	Retain for 7 years after last action. Retain for 12 years if signed under seal.	GA28 4.0.1
2.13.1	COPYRIGHT - CROWN Records relating to copyright held by the Crown and administered by the University or copyright held by the University.		P	10A	Retain permanently	GRDS 4.1.39

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.13.2	COPYRIGHT - OTHER All other records relating to copyright.	Application to reproduce material Infringement of copyright Copyright agreements	T	7D	Retain for 7 years after lapse of agreement or last action, whichever is longer	GRDS 4.1.41 4.1.42 4.1.43 4.1.44
2.14	CORPORATE IDENTITY The activity of identifying, designing and procuring symbols that promote the identity of the university.	University name, coat of arms, crest, motto, logo, seal, medals				
2.14.1	CORPORATE IDENTITY – DEVELOPMENT Records of the development of the corporate identity.	Design and format of letter head, coat of arms, testatmurs, common seal. University Christmas Cards (sample copy from each year)	P	5A	Retain permanently	QDAN601 601.2/C327
2.14.2	CORPORATE IDENTITY – MISUSE Records relating to the misuse of corporate identity	Falsified transcripts Fraudulent use of web content	T	7D	Retain for 7 years after last action	QDAN601 601.2/C328
2.14.3	CORPORATE IDENTITY – PROTECTION Records relating to protection of the university's identity	Registration of seal Trade marks	P	5A	Retain permanently	QDAN601 601.2/C329
2.14.4	CORPORATE IDENTITY – USE	Records listing instances where the university seal has been used. Applications to use university's identity eg. crest, motto, logo	T	7D	Retain for 7 years after last action	QDAN601 601.2/C330 601.2/C331
	DIGESTS OF SENATE	<i>see</i> COMMITTEES - MAJOR				
2.15	DISCRIMINATION Programs to eliminate discrimination.	EEO Affirmative action	T	10D	Retain for 10 years after last action.	GRDS 5.4.21
	DISCRIMINATION - STAFF	<i>SEE 4. Grievances</i>				
	DISCRIMINATION - STUDENTS	<i>SEE</i>				
2.16.1	DONATIONS - BEQUESTS Records relating to bequests to the university.		P	5A	Retain permanently.	GRDS 5.1.16
2.16.2	DONATIONS – OTHER Records relating to other donations of money or gifts.		T	5D	Retain for 5 years after last action.	GRDS 5.1.17

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.17	DRAFTS Drafts of report, correspondence, routine calculations not circulated as final documents and of which a final draft has been produced which becomes the official record,		T	D	Retain until administrative use ceases	GRDS 6.1.7
2.18	ELECTIONS The activity of conducting ballots for electing members of councils, committees and the university senate	Senate Student bodies				
2.18.1	ELECTIONS - CONDUCT Records relating to the conduct of elections	Nominations Ballot papers & tally sheets Appointment of scrutineers	T	1D	Retain for 1 year after declaration of election result	QDAN601 601.2/C332
2.18.2	ELECTIONS - ELECTORAL ROLL Records relating to the creation and maintenance of the electoral roll, including the roll itself		T	1D	Retain for 1 year after declaration of election result	QDAN601 601.2/C333
2.18.3	ELECTIONS - RESULTS		T	5D	Retain for 5 years after declaration of election result	QDAN601 601.2/C334
2.19.1	ENQUIRIES - DETAILED Correspondence records relating to provision of detailed information or advice to clients which may have legal significance.		T	7D	Retain for 7 years after last action	GRDS 5.1.19
2.19.2	ENQUIRIES - ROUTINE Correspondence records relating to provision of routine information to clients.		T	2D	Retain for 2 years after last action	GRDS 5.1.20
2.20	ENROLMENT STATISTICS AND REPORTS Reports concerning the corporate administration of the university,	Used for budgeting, allocation of academic staff, premises etc	P	1A	Retain permanently	PROS 07/01 3.1.0

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.21.1	ENTERPRISE BARGAINING - AGREEMENTS The processes associated with the establishment, negotiation, maintenance and review of workplace agreements.		P	2A	Required as state archives	GRDS 3.3.12
2.21.2	ENTERPRISE BARGAINING – WORKING PAPERS		T	2D	Retain for 2 years after last action.	GRDS 3.3.13
2.21.3	ENTERPRISE BARGAINING – UNSUCCESSFUL Records relating to situations where enterprise bargaining has not resulted in agreements.		T	5D	Retain for 5 years after last action.	GA28 11.1.4
2.22	EPHEMERAL DOCUMENTS Documents of short term temporary informational value that should not be incorporated into the recordkeeping system.	Unsolicited letters of employment or offering goods/services Telephone message Routine request for promotional material Duplicate copies of circulars, forms etc	T	D	Retain until administrative use ceases	GRDS 6.1.5 6.1.8 6.1.6 6.1.2
2.23	EXTERNAL ORGANISATIONS The activities associated with maintaining contact between the university and external bodies	Professional associations, other universities, student unions, student representative bodies, community groups.				
2.23.1	EXTERNAL ORGANISATIONS - AGREEMENTS - DATED Records relating to dated agreements to establish relationships with entities external to the university.	Agreements with universities in Australia or overseas	T	7D 12D	Retain for 7 years after expiry of agreement. Retain for 12 years if signed under seal.	QDAN601 601.2/C15
2.23.2	EXTERNAL ORGANISATIONS - AGREEMENTS – UNDATED Records relating to undated agreements to establish relationships with entities external to the university.		T	25D	Retain for 25 years from date registered.	QDAN601 601.2/C16

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.23.3	EXTERNAL ORGANISATIONS - COMMITTEES Records relating to external committees such as the AVCC.	Appointment of members Minutes Agenda Reports	T	2D	Retain for 2 years after last action.	PROS 07/01 1.4.1 1.4.2
2.23.4	EXTERNAL ORGANISATIONS - MEMORANDUM OF UNDERSTANDING – DATED Records relating to dated Memoranda of Understanding to establish relationships with entities external to the university.	MOU with universities in Australia or overseas	T	7D	Retain for 7 years after expiry of agreement.	QDAN601 601.2/C18
2.23.5	EXTERNAL ORGANISATIONS - MEMORANDUM OF UNDERSTANDING – UNDATED Records relating to undated Memoranda of Understanding to establish relationships with entities external to the university.		T	25D	Retain for 25 years from date registered.	QDAN601 601.2/C19
2.24	GREETINGS Records documenting the preparation, sending or receipt of letters of appreciation or condolence.	Christmas Cards Letters of appreciation Letters of sympathy/condolence Letters of congratulations	T	D	Destroy when administrative use ceases	GA28 2.11.1
2.25.1	INDUSTRIAL DISPUTES – MAJOR Records relating to industrial disputes that have a major impact on the university's operations, involving a large number of staff and/or having a major affect on the provision of services.		P	2A	Required as state archives	GRDS 3.3.8 3.3.9
2.25.2	INDUSTRIAL DISPUTES – OTHER Records relating to industrial disputes that have a minor impact on the university's operations, involving a small number of staff and/or having minimal disruption to the provision of services.		T	7D	Retain for 7 years after last action.	GRDS 3.3.10

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.26.1	INDUSTRIAL RELATIONS – APPEALS - MAJOR Records relating to appeals against a decision or order made to an external industrial relations body, where the university is a major participant in negotiations.	Appeal to Australian Industrial Relations Commission (AIRC)	P	2A	Retain permanently	PROS 07/01 8.3.1
2.26.2	INDUSTRIAL RELATIONS – APPEALS - OTHER Records relating to appeals against a decision or order made to an external industrial relations body, where the university is a not major participant in negotiations.	Appeal to Australian Industrial Relations Commission (AIRC)	T	5D	Retain for 5 years from last action	GA28 11.2.2
2.26.3	INDUSTRIAL RELATIONS – AWARDS & AGREEMENTS Records relating to the establishment, negotiation, maintenance and review of awards or agreements with significant input by the university.		P	2A	Required as state archives	GRDS 3.3.2
2.26.4	INDUSTRIAL RELATIONS – CLAIMS Records relating to insurance claims for damage or loss incurred by an organisation resulting from industrial action.		T	7D	Retain for 7 years from finalisation or withdrawal of claim	GA28 11.3.1
2.26.5	INDUSTRIAL RELATIONS – PLANNING Final approved plans for industrial relations, including correspondence on who the plans apply to and responsibilities for their implementation.	Dispute contingency plans	T	5D	Retain for 5 years after plan is superseded.	GA28 11.8.1
2.26.6	INDUSTRIAL RELATIONS – POLICY Final approved plans for industrial relations, including correspondence on who the plans apply to and responsibilities for their implementation.	Working from home policy Flexible work practices policy.	T	10D	Retain for 10 years after policy is superseded.	GA28 11.9.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.26.7	INDUSTRIAL RELATIONS – PROCEDURES Final approved versions of manuals detailing industrial relations procedures, including correspondence on who the plans apply to and responsibilities for their implementation.	Procedures for working from home Procedures for flexible work practices	T	10D	Retain for 10 years after procedures are superseded.	GA28 11.10.1
2.27	INFORMATION TECHNOLOGY Records relating to the acquisition or development, implementation, maintenance, use and disposal of information and communications technology and systems.					
2.27.1	INFORMATION TECHNOLOGY – ACQUISITION - OPERATIONAL For systems that become operational.	Feasibility studies Specifications System documentation Tactical & action plans	T	7D	After system is superseded	PROS 07/01 19.1.1
2.27.2	INFORMATION TECHNOLOGY – ACQUISITION - UNSUCCESSFUL For systems that do NOT become operational.	Feasibility studies Specifications System documentation Tactical & action plans	T	D	Retain until administrative use ceases	PROS 07/01 19.1.2
2.27.3	INFORMATION TECHNOLOGY – CUSTOMER SERVICE Records relating to the provision of a help desk.		T	2D	Retain 2 years after last action	PROS 07/01 19.6.1
2.27.4	INFORMATION TECHNOLOGY – DATABASE MANAGEMENT Records relating to database management.	Monitoring usage Passwords User rules	T	7D	Retain 7 years after last action	PROS 07/01 19.8.1
2.27.5	INFORMATION TECHNOLOGY - INSTALLATION Records relating to installation, implementation, configuration and relocation of IT equipment and facilities.	Includes educational material on the use of the system.	T	5D	Retain 5 years after last action	PROS 07/01 19.11.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.27.6	INFORMATION TECHNOLOGY - LICENCES Records relating to the acquisition and renewal of software licences.		T	7D	Retain 7 years after licence has expired	PROS 07/01 19.14.1 19.14.2
2.27.7	INFORMATION TECHNOLOGY - MAINTENANCE Records relating to the maintenance and upkeep of systems.	Maintenance Repair System support	T	2D	Retain 2 years after last action	PROS 07/01 19.15.1
2.27.8	INFORMATION TECHNOLOGY – SECURITY Records relating to the security of systems.		T	7D	Retain for 7 years after system closed.	PROS 07/01 19.16.1
2.27.9	INFORMATION TECHNOLOGY - YEAR 2000 COMPLIANCE Activities associated with planning, analysing, reporting, testing and certifying services are Year 2000 compliant.		T	7D	Retain for 7 years from last action.	GA28 20.4.8 20.20.1
2.28.1	INSURANCE - CLAIMS Records documenting insurance claims	Property insurance Public liability insurance Vehicle insurance	T	7D	Retain for 7 years after last action	PROS 07/01 6.6.3 4.8.3
2.28.2	INSURANCE - POLICIES	Property insurance Public liability insurance Vehicle insurance	T	7D	Retain for 7 years after policy expires	PROS 07/01 6.6.1 14.8.1
2.28.3	INSURANCE - RENEWAL Records relating to annual renewal of insurance policies	Property insurance Public liability insurance Vehicle insurance	T	2D	Retain for 2 years after last action	PROS 07/01 6.6.2 14.8.2
2.29	INTELLECTUAL PROPERTY Activities involved in managing the University's intellectual property, both published and unpublished, and the use of intellectual property owned by another party.	INCLUDES: the management of knowledge, copyright, design, patents and trademarks, royalties and matters of confidentiality such as trade secrets.				

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.29.1	INTELLECTUAL PROPERTY – ADMINISTRATION & USAGE General administrative correspondence relating to intellectual property management.	Contracts Licences Agreements Other formal arrangements	T	7D	Retain for 7 years after last action	QDAN601 601.2/C118
2.29.2	INTELLECTUAL PROPERTY – INFRINGEMENTS AND DISPUTES	Includes notification of disputes, mediation, agreement and outcome.	T	10D	Retain for 10 years after last action	QDAN601 601.2/C119
2.29.3	INTELLECTUAL PROPERTY - REGISTRATION OF COPYRIGHT AND PATENTS Records relating to the grant or registration of intellectual property.	Applications for grant or registration Request form, specification, patent (provisional or complete) Request for examination Objections (statement and hearings) Extensions for registration Renewal	P	5A	Refer to relevant Records Officer to be archived	QDAN601 601.2/C120 601.2/C121
2.30.1	JOINT VENTURES Records of activities involved in the management of joint operations of the University with other organisations including government, where there is a contract, formal arrangement or joint contribution of resources.	Agreements Terms of reference Funding agreements Reports and correspondence	P	10A	Retain permanently	QDAN601 601.2/C104
2.30.2	JOINT VENTURES – DO NOT PROCEED Records relating to proposed joint ventures that do not proceed.		T	5D		QDAN601 601.2/C103
2.31.1	LEGAL MATTERS Records relating to all legal matters involving the University	Advice from the university's solicitors and/or legal counsel Litigation matters involving the university	P	5A	Retain permanently	PROS 02/01 4.1.0
2.31.2	LEGAL MATTERS – DISCOVERY Records created and received during legal discovery processes.	Subpoenas Discovery orders	T	7D	Retain for 7 years after last action	PROS 07/01 10.4.3

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.32.1	LEGISLATION Records relating to the development of legislation and regulations concerning the operations and functions of the university.		P	2A	Retain permanently	PROS 07/01 7.7.2
2.32.2	LEGISLATION - RESPONSE Records relating to a minor response to a request for a comment on legislation other than that directly relating to the university's functions.		P	5D	Retain for 5 years after last action	PROS 07/01 7.7.4
2.32.3	LEGISLATION – REFERENCE Copies of legislation kept for reference purposes.		T	D	Retain until administrative use ceases	GRDS 5.4.26
	LITERARY PRIZE	<i>SEE 2.6 Awards – Art/Literary</i>				
	LOGO	<i>SEE 2.14 Corporate Identity</i>				
2.33	MANUALS – PROCEDURES Final approved versions of the university's manuals detailing procedures, to whom they apply and responsibility for their implementation.		T	3D	Retain for 3 years after superseded	GRDS 5.4.43 GA28 17.14.1
	MEDIA RELEASES	<i>SEE 2.36 Press Statements</i>				
	MINUTES	<i>SEE 2.8 Committees</i>				
	NUISANCE LETTERS	<i>SEE 2.10 Complaints</i>				
2.34.1	OFFICE/DESK DIARIES – SENIOR STAFF Diaries or appointment books that document significant matter or decisions not recorded elsewhere.	Vice Chancellor, Executive Staff and Central Directors as defined in Staffing Delegations Register	P	1A	Required as state archives	GA28 19.3.2
2.34.2	OFFICE/DESK DIARIES - OTHER All other diaries		T	D	Retain until administrative use ceases	GA28 19.3.3
	ORGANISATIONAL DEVELOPMENT	<i>SEE 2.46 Strategic Management</i>				
	ORGANISATIONAL STRUCTURE	<i>SEE 2.43 Restructuring</i>				
2.35.1	POLICY - CORE ACTIVITES Records relating to formulations of policy about the core functional activities of the university.		P	5A	Required as state archives	GRDS 5.4.35

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.35.2	POLICY - ADMINISTRATIVE - MAJOR Records relating to formulations of policy about the major administrative activities of the university	Personnel Finance	P	5A	Required as state archives	PROS 07/01 13.1.2
2.35.3	POLICY - ADMINISTRATIVE - MINOR Records relating to formulations of policy about the minor administrative activities of the university	Fleet management Benchmarking	T	D	Retain until superseded	PROS 07/01 13.1.3
	POLICY SPEECHES	<i>SEE 2.2 Addresses</i>				
2.36	PRESS STATEMENTS By Vice-Chancellor or delegate, or issued through the public affairs office	Press Statements Media Releases - Information Bulletins Interviews, speeches, lectures by CEO	P	5A	Required as state archives	PROS 07/01 2.15.1
	PROJECT FILES	<i>Refer to specific function to which the project relates</i>				
2.37	PROJECT REGISTER Summary documentation of projects.		P	5A	Retain as state archives	PROS 07/01 18.3.1
2.38	PUBLIC LECTURES The activities associated with organising and presenting lectures or seminars which are outside of the teaching curriculum / short courses and may be attended by members of the community.					
2.38.1	PUBLIC LECTURES – ORGANISATION Records relating to organising lectures.	Invitations to speak Advertising Catering and venue booking	T	2D	Retain for 2 years after last action.	QDAN601 601.2/C20
2.38.2	PUBLIC LECTURES – TRANSCRIPTS FUNDED BY SUBSCRIPTION Transcripts of lectures/seminars that are funded by subscription or bequest		P	5A	Retain permanently	QDAN601 601.2/C21
2.38.3	PUBLIC LECTURES - TRANSCRIPTS NOT FUNDED BY SUBSCRIPTION Transcripts of lectures/seminars that are not funded by subscription or bequest		T	D	Retain for 6 months after last action	QDAN601 601.2/C22

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.39	PUBLIC RELATIONS The university's presentation and improvement of its image to other organisations and the public in order to publicise and explain functions.	Advertising Media presentations Exhibitions Films & videos Newsletters				
2.39.1	PUBLIC RELATIONS – MAJOR Records documenting major marketing campaigns to promote the university.		P	5A	Required as state archives	PROS 07/01 2.14.1
2.39.2	PUBLIC RELATIONS – OTHER Records documenting minor marketing campaigns to promote the university.		T	7D	Retain for 7 years after last action.	PROS 07/01 2.14.2
2.40.1	PUBLICATIONS – MASTER SET Material published by the university.	Newsletters Journals Pamphlets Magazines Films	P	1A	Retain permanently	GRDS 4.2.11
2.40.2	PUBLICATIONS - ARTICLES Significant articles contributed to journals, magazines and newspapers about the university and/or its functions.		T	10D	Retain for 10 years after last action	GRDS 4.2.12
2.41.1	QUALITY ASSURANCE – AUDIT – AUQA Documentation of external quality assurance audit by AUQA (Australian Universities Quality Agency)	Submissions to AUQA Audit report	P	3A	Required as state archives.	GDA23 3.7.3
2.41.2	QUALITY ASSURANCE - AUDIT- MAJOR Records of internal and external audits of university activities resulting in significant changes to policy or procedures.		T	10D	Retain for 10 years after last action	GDA23 3.7.1
2.41.3	QUALITY ASSURANCE – AUDIT – MINOR Records of internal and external audits of university activities not resulting in significant changes to policy or procedures.		T	6D	Retain for 6 years after last action	GDA23 3.7.2

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.41.4	QUALITY ASSURANCE – COMPLIANCE Records relating to the assessment and certification of the university's quality systems by an external organisation.		T	3D	Retain for 3 years after certification lapses	GA28 19.4.2
2.41.5	QUALITY ASSURANCE – IMPLEMENTATION Records relating to the implementation of quality management systems and monitoring implementation activities.		T	3D	Retain for 3 years after last action	GA28 19.9.2
2.41.6	QUALITY ASSURANCE – MANUAL Quality manual		T	3D	Retain for 3 years after superseded	GRDS 5.4.43
2.41.7	QUALITY ASSURANCE – PLANS Final approved version of quality management plans.		T	7D	Retain for 7 years after plan is superseded.	GA28 19.14.3
2.42.1	RECORDS MANAGEMENT - ARCHIVES All records relating to archival action and procedures.	Correspondence regarding transfer and retrieval of records to and from the State Archives Office.	P	10A	Retain permanently.	GRDS 4.1.29
2.42.2	RECORDS MANAGEMENT - DISPOSAL All records relating to disposal action and procedures.		P	10A	Retain permanently.	GRDS 4.1.30
2.42.3	RECORDS MANAGEMENT - MASTER LIST OF FILE TITLES AND FINDING AIDS Master control records for the university's recordkeeping systems.	Registers Indexes Configuration manuals	P	A	Retain permanently	PROS 07/01 9.4.1
2.42.4	RECORDS MANAGEMENT - OTHER All other records related to records management.		T	5D	Retain for 5 years after last action.	GRDS 4.1.13 4.1.27

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.43.1	RESTRUCTURING - MAJOR Records relating to reviews and restructures affecting major functional sections of the university or the university as a whole.		P	A	Retain permanently	PROS 07/01 18.4.1
2.43.2	RESTRUCTURING - OTHER Records relating to all other reviews and restructures in the university.		T	10D	Retain for 10 years after last action	PROS 07/01 18.4.2
	RISK MANAGEMENT	<i>SEE 2.46.3 Strategic Management - Risk</i>				
	SENATE	<i>SEE 2.8.1 Committees - Major</i>				
2.44	SOCIAL CLUB Records relating to the interaction between the university and employee run social clubs.		T	2D	Retain for 2 years after last action	GDA12 2.29.1
2.45.1	STATUTES The establishment and management of university statutes, rules and by-laws	Master set of statutes, rules and by-laws	P	5A	Required as state archives	GDA23 3.3.2
2.45.2	STATUTES – DEVELOPMENT Records relating to the development of university statutes, rules and by-laws.		T	10D	Retain for 10 years after last action.	GDA23 3.3.1
2.46.1	STRATEGIC MANAGEMENT – IMPLEMENTATION Records relating to the implementation of programs and initiatives, whether internally or externally driven.		T	10D	Retain for 10 years after last action.	GRDS 5.4.21
2.46.2	STRATEGIC MANAGEMENT – REPORTS Reports on the evaluation and analysis of core university functions.		T	10D	Retain for 10 years after last action.	GDA23 3.9.7
2.46.3	STRATEGIC MANAGEMENT – RISK Records relating to the identification and assessment of organisational risks in order to assist planning and the implementation of strategies to minimise their impact.	Risk assessment Action plan Risk register	T	7D	Retain for 7 years after last action.	PROS 07/01 18.5.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.47.1	STRATEGIC PLAN – UNIVERSITY WIDE Final version of university-wide strategic plan.		P	5A	Required as state archives	GA28 19.1.1
2.47.2	STRATEGIC PLAN - OTHER Final version of strategic plans for individual units within the university.	Faculty strategic plan School strategic plan	T	7D	Retain for 7 years after plan is superseded	GA28 19.1.2 19.14.3
	SUBPOENAS	<i>SEE 2.31.2 Legal Matters - Discovery</i>				
2.48.1	SURVEYS – EXTERNAL Records relating to surveys conducted by other organisations.		T	2D	Retain for 2 years after last action	GRDS 5.1.43
2.48.2	SURVEYS – INTERNAL Records relating to surveys conducted by the university.	Client satisfaction	T	5D	Retain for 5 years after last action	GRDS 5.1.42
	SYMPATHY LETTERS	<i>SEE 2.24 Greetings</i>				
	TRADE MARK REGISTRATIONS	<i>SEE 2.14 Corporate Identity</i>				
	TRAVEL ALLOWANCE	<i>SEE 4.1 Allowances</i>				
2.49	TRAVEL ARRANGMENTS Records relating to travel undertaken by personnel in the course of the University official business.	Travel itineraries Authorisations Arrangements for passports and visas	T	6D	Retain for 6 years after last action.	GDA12 2.3.1
2.50.1	UNIONS – ADMINISTRATION Routine matters associated with the operation of unions/associations within the university.	Arrangements for meetings.	T	2D	Retain for 2 years after last action.	GRDS 3.3.17
2.50.2	UNIONS – REPRESENTATION Representations from staff unions and other employee associations.	Advice to unions/associations concerning changes to establishment or working conditions Documentation of on-going arrangements for consultation with unions/associations Information regarding union/association policies, newsletters, etc.	T	7D	Retain for 7 years after last action.	GRDS 3.3.16

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	ADMINISTRATION & GOVERNANCE	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
2.51.1	VISITS - STANDARD The activities associated with arranging and facilitating the visits to university premises by individuals or groups from external organisations or institutions.		T	1D	Retain for 1 year after last action.	QDAN601 601.2/C24
2.51.2	VISITS – VIPs Visit by Heads of State, Ministers and other government officials.	Invitations Itineraries and programs Security arrangements	T	7D	Retain for 7 years after last action.	GRDS 5.2.36
2.52	WHISTLEBLOWERS Records relating to investigations into disclosures made under Whistleblower legislation.		P	2A	Required as state archives	PROS 07/01 10.6.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

PART 3 FINANCIAL MANAGEMENT

These records relate to the managing of the university's financial resources. This part of the schedule covers the establishing, operation and maintenance of accounting systems, controls and procedures; financial planning, framing budgets and budget submissions; and managing income and expenditure.

REF	FINANCIAL MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
3.1	ACCOUNTING Principal accounting records and supporting documentation related to managing the organisation's revenue and expenditure	Cheques, Credit notes, Bills of exchange, Promissory notes, Petty cash, Invoices, Receipts, Subsidiary ledgers, Balance sheets EXCLUDES: Cashbook or General Ledger	T	7D	Retain for 7 years after the end of the financial year in which the record was created	PROS 07/01 5.1.1
3.2	ANNUAL REPORT Annual financial reports		P	5A	Required as state archives	GDA23 3.1.3
3.3	ASSET REGISTER Summary record listing all fixed assets owned by the agency		P	A	Retain as state archives	PROS 07/01 5.2.1
3.4	ASSET VALUATION Records documenting asset valuation and asset management processes	Includes requests for inclusion on the asset register.	T	7D	Retain for 7 years after administrative use has concluded	PROS 07/01 5.2.2
3.5.1	AUDIT – MAJOR Final report of an internal or external financial audit that results in major or significant changes to agency practices		P	A	Retain permanently	GRDS 2.1.10
3.5.2	AUDIT – OTHER Final report of an internal or external financial audit that results in only minor or routine changes to agency practices		T	10D	Retain for 10 years after audit is completed	GRDS 2.1.3

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REF	FINANCIAL MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
3.6	AUSTRALIAN SECURITIES AND INVESTMENTS COMMISSION RETURNS Records relating to reports regarding the management of the organisation's finances	Returns furnished to the Australian Securities and Investments Commission (ASIC)	T	10D	Retain for 10 years after the end of the financial year in which the record was created	ARRM COR.06.3
3.7	AUTHORISATION The process of delegating power to authorise a financial activity	Appointment of an officer to countersign cheques Delegation to approve expenditure	T	7D	Retain for 7 years after delegation is superseded	PROS 07/01 5.4.1
3.8	BANK ACCOUNTS Records relating to the establishment and management of bank accounts.	Includes closure of accounts	T	7D	Retain for 7 years after account has been closed	PROS 07/01 5.1.2
3.9	BANKING Records documenting the management of banking activities	Deposit records Bank statements Reconciliation statements Investment and dividend statements Credit card usage	T	7D	Retain for 7 years after the end of the financial year in which the record was created	PROS 07/01 5.1.3
	BILLS OF EXCHANGE	<i>SEE 3.1 Accounting</i>				
3.10.1	BUDGETING - EXTERNAL Budget estimates and supporting documents prepared for external approval		P	A	Retain as state archives	GA28 7.8.1
3.10.2	BUDGETING - INTERNAL Budget estimates and supporting documents prepared for internal use by the university		T	7D	Retain for 7 years after the end of the financial year in which the record was created	PROS 07/01 5.5.2
3.10.3	BUDGETING - PREPARATION Background records used for the production of whole of university budget		T	5D	Retain for 5 years after last action	PROS 07/01 5.5.4

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	FINANCIAL MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
3.10.4	BUDGETING - PROGRESS Records documenting spending progress or revenue collection against allocations within budget estimates		T	2D	Retain for 2 years after the end of the financial year in which the record was created	GA28 7.8.3
	CASHBOOKS	<i>SEE 3.20 Ledger – General</i>				
3.11	CHART OF ACCOUNTS		T	7D	Retain for 7 years after the end of the financial year in which the record was created	PROS 07/01 5.1.8
	CHEQUES	<i>SEE 3.1 Accounting</i>				
	CREDIT NOTES	<i>SEE 3.1 Accounting</i>				
3.12	DEBT RECOVERY		T	7D	Retain for 7 years after the end of the financial year in which the record was created	PROS 07/01 5.1.4
	DELEGATION	<i>SEE 3.7 Authorisation</i>				
3.13	DEPRECIATION Records relating to calculation of annual depreciation expenses. These are part of the records relating to maintenance and capitalisation of expenditure.		T	7D	Retain for 7 years after administrative use has concluded	PROS 07/01 5.2.2
3.14.1	FINANCIAL STATEMENTS – ANNUAL Annual financial statements and associated background documentation	Balance sheets Operating statements Cash flow statement	P	A	Retain as state archives	PROS 07/01 5.6.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	FINANCIAL MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
3.14.2	FINANCIAL STATEMENTS –INTERIM Interim financial statements including balance sheets and operating statements	Balance sheets Operating statements	T	7D	Retain for 7 years after the end of the financial year in which the record was created	PROS 07/01 5.6.2
3.14.3	FINANCIAL STATEMENTS –WORKING PAPERS Working papers and calculations relating to the preparation of all financial statements		T	7D	Retain for 5 years after the end of the financial year in which the record was created	PROS 07/01 5.6.3
3.15.1	FRAUD - MAJOR Records documenting the identification of major instances of fraud or corruption		T	15D	Retain for 15 years after administrative use has concluded	PROS 07/01 5.7.1 5.7.3
3.15.2	FRAUD - OTHER Records documenting the identification of other instances of fraud or corruption		T	10D	Retain for 10 years after administrative use has concluded	GA28 7.10.1
3.16	FUNDRAISING Records documenting the receipt and disbursement of money received through fundraising activities		T	7D	Retain for 7 years after the end of the financial year in which the record was created	PROS 07/01 5.8.1
	GENERAL LEDGER	<i>SEE 3.20 Ledger – General</i>				
3.17.1	GRANT FUNDING – ADMINISTERED BY THE UNIVERSITY – SUCCESSFUL APPLICATIONS	Register of grants Application forms	T	7D	Retain for 7 years after last action	GDA23 4.2.1 4.2.2

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	FINANCIAL MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
3.17.2	GRANT FUNDING – ADMINISTERED BY THE UNIVERSITY – UNSUCCESSFUL APPLICATIONS		T	2D	Retain for 2 years after last action	GDA23 4.2.3
3.17.3	GRANT FUNDING – RECEIVED BY THE UNIVERSITY		T	10D	Retain for 10 years after last action	GRDS 2.1.30
3.18	INCIDENTAL BENEFITS Records relating to incidental benefits	Frequent flyer points	T	7D	Retain for 7 years after the end of the financial year in which the record was created	PROS 07/01 5.1.5
	INVOICES	<i>SEE 3.1 Accounting</i>				
3.19	JOURNAL		T	10D	Retain for 10 years after the end of the financial year in which the record was created	GRDS 2.1.3
3.20	LEDGERS – GENERAL	Includes Cashbooks	T	20D	Retain for 20 years after the end of the financial year in which the record was created	GRDS 2.1.2
	LEDGER - SUBSIDIARY	<i>SEE 3.1 Accounting</i>				
3.21	LOANS Acquiring financial loans for the provision of services and the financing of programs	Loan agreements Repayment records Interest rate agreements	T	7D	Retain for 7 years after finalisation of the loan	PROS 07/01 5.13.0

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REF	FINANCIAL MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
3.22	PECUNIARY INTERESTS Activities associated with the disclosure of pecuniary interests of employees or members of boards or committees	Company, trust and property holdings	T	3D	Retain for 3 years after an individual ceases to hold office	PROS 07/01 5.9.1
	PETTY CASH	<i>SEE 3.1 Accounting</i>				
3.23	PROCEDURES Master set of manuals, handbooks, directives detailing procedures supporting the financial management function		P	A	Retain as state archives	PROS 07/01 5.10.1
	PROMISSORY NOTES	<i>SEE 3.1 Accounting</i>				
	RECEIPTS	<i>SEE 3.1 Accounting</i>				
	RECONCILIATIONS	<i>SEE 3.1 Accounting</i>				
3.24	SHARE REGISTRY RECORDS	Due to limited shareholding all records to be retained.	P	A	Retain permanently	ARRM COR.05.5.1
3.25	TAXATION The activities involved with administering taxation matters	GST Payroll tax Business activity statement Fringe benefits tax	T	5D	Retain for 5 years after the end of the financial year in which the record was created	PROS 07/01 5.12.0
3.26	TRUST FUNDS Records relating to Trust funds established or managed by the university which are perpetual or established under a Will.		A	P	Retain permanently	QDAN601 601.2/C25
	VOUCHERS	<i>SEE 3.1 Accounting</i>				

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

PART 4 HUMAN RESOURCES

These records relate to the management of employees in the university.

REF	HUMAN RESOURCES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
	ADJUSTMENT ADVICE RECORDS	SEE Salaries				
4.1	ALLOWANCES Records relating to money paid to employees in addition to their salary to cover work-related expenses	Overtime First aid Clothing and travel allowance	T	7D	Retain for 7 years after last action	PROS 07/01 12.2.1
4.2	APPEALS Records documenting appeals over promotion decisions		T	10D	Retain for 10 years after last action	GDA12 2.2.1
4.3.1	APPLICATIONS - EXECUTIVE	Applications for Executive Positions i.e. Pro-Vice-Chancellors, Deans and Directors.	P	A	When Administrative use has ceased.	GDA12 2.23.2
4.3.2	APPLICATIONS - OTHER	Applications for non Executive Positions	T	7D	Retain for 7 years after employment ceases.	GDA12 2.23.3
4.3.3	APPLICATIONS - UNSOLICITED		T	D	Retain until administrative use has ceased	GDA12 2.23.5
	APPRENTICESHIPS	<i>SEE 4.29 Traineeships</i>				
4.4	ATTENDANCE Attendance records of all employees.	Includes time sheets, flexitime sheets, attendance books, overtime records	T	7D	Retain for 7 years after administrative use has ceased	PROS 07/01 12.9.3
	CADETSHIPS	<i>SEE 4.29 Traineeships</i>				
4.5	COUNSELLING Records relating to the provision of counselling or professional coaching to staff	Trauma counselling	T	7D	Retain for 7 years after last action	PROS 07/01 12.4.1
	DISPUTE RESOLUTION	<i>SEE 4.12 Grievances</i>				

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	HUMAN RESOURCES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
4.6.1	EEO - MANAGEMENT PLAN Final version of the EEO Management Plan.		T	7D	After plan has been superseded or has lapsed.	GRDS 3.4.68
4.6.2	EEO – MANAGEMENT PLAN – DEVELOPMENT	Records relating to the development of the university EEO management plan.	T	5D	Retain for 5 years after last action	GRDS 3.4.69
4.7	EMPLOYEE ENTITLEMENTS Records relating to calculation of annual leave, long service leave and superannuation. Information used to support financial statements		T	7D	Retain for 7 years after financial year to which records relate.	PROS 07/01 12.5.4
	EMPLOYEE HISTORY CARDS	<i>SEE 4.9 Employment Conditions</i>				
4.8	EMPLOYEE TAXATION RECORDS held by the employer	Group certificates Tax declaration forms	T	50D	Retain for 50 years after employee's date of separation from university.	PROS 07/01 12.15.1
4.9	EMPLOYMENT CONDITIONS Records relating to the general conditions of employment for personnel.	Summary record documenting the employment details of all employees in an agency.	P	5A	Retain permanently	PROS 07/01 12.5.1
4.10	EMPLOYMENT SCHEMES The general employment situation and the availability/unavailability of labour. Includes overemployment, underemployment, special government sponsored schemes/programs for unemployed, and general recruitment procedures such as guidelines for advertisements and interviews, compositions of selection committees etc.	Recruitment Procedures Vacation Temporary Employees Trainees	T	7D		GDA12 2.12.12

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	HUMAN RESOURCES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
4.11	EVALUATION Records relating to the process of determining the suitability of potential or existing programs, systems or services supporting the personnel function.		T	7D	Retain for 7 years after last action	GDA12 2.13.1
4.12.1	GRIEVANCES – FORMAL Records documenting formal grievances including those presented to a panel.		T	15D	Retain for 15 years after last action	PROS 07/01 12.7.3
4.12.2	GRIEVANCES – INFORMAL Records documenting grievances which are handled informally by a line manger or Grievance Registrar.	Includes those settled by mediation	T	7D	Retain for 7 years after last action	PROS 07/01 12.7.2
4.12.3	GRIEVANCES – SUMMARY Summary documentation of grievances detailing the type of grievance and how resolved.		P	5A	Retain as state archives	PROS 07/01 12.7.1
4.13.1	LEAVE – APPLICATIONS - STANDARD Records relating to applications for leave. EXCLUDES: study leave, long service leave, leave without pay (if longer than 6 months)	Medical certificates Leave forms	T	7D	Retain for 7 years after last action	GDA12 2.17.3
4.13.2	LEAVE – APPLICATIONS – OTHER Records relating to applications for extended leave.	Study leave Long service leave Leave without pay (if longer than 6 months)	T	75D	Retain until employee turns 75 years of age or 50 years after s/he leaves the university, whichever is longer.	for 75 years of age: GDA12 2.17.2 for 50 years after separation: PROS 07/01 12.9.1

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REF	HUMAN RESOURCES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
4.13.3	LEAVE – CONSOLIDATED Summary records of the administration of leave, leave requests and leave entitlements.	Register of Leave Leave cards Consolidated leave records	T	75D	Retain until employee turns 75 years of age or 50 years after s/he leaves the university, whichever is longer.	for 75 years of age: GDA12 2.17.1 for 50 years after separation: PROS 07/01 12.9.1
4.14.1	MISCONDUCT – CHILD PROTECTION Records relating to allegations and disciplinary proceedings that involve minors.	Includes false, malicious or unproven allegations.	T	99D	Retain for 99 years after last action	GDA12 2.10.1
4.14.2	MISCONDUCT – SERIOUS Records relating to serious allegations of misconduct that do not involve minors.	Interview transcripts Investigation reports Signed statements	T	25D	Retain for 25 years after last action	GDA12 2.10.2
4.14.3	MISCONDUCT – OTHER Records relating to less serious allegations. Disciplinary action may include suspension or reduction in salary/job classification.		T	7D	Retain for 7 years after last action	GDA12 2.10.3
4.15	MOVING Records documenting relocation of an employee and his/her family.	Includes storage of personal and household effects at the agency's expense.	T	7D	Retain for 7 years after last action	PROS 07/01 12.11.1
	OCCUPATIONAL HEALTH AND SAFETY	<i>SEE 4.16 OH&S</i>				
4.16.1	OH&S – ACCIDENT/INCIDENT REPORTS – FATALITIES Accident or incident reports where the death of an employee, contractor, student or visitor has occurred on university premises.	Includes fatalities on way to/from work for employees and contractors.	P	5A	Retain permanently	PROS 07/01 11.1.1
4.16.2	OH&S – ACCIDENT/INCIDENT REPORTS – OTHER All other accident or incident reports involving an employee, contractor, student or visitor has occurred on university premises.	Includes accident register.	T	50D	Retain for 50 years after last action	GRDS 3.6.2
4.16.3	OH&S – AUDIT Internal and external audits relating to OH&S.		T	7D	Retain for 7 years after last action	PROS 07/01 11.4.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	HUMAN RESOURCES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
4.16.4	OH&S – COMPLIANCE Records relating to compliance with OH&S regulations.	Licences	T	10D	Retain for 10 years after last action	PROS 07/01 11.6.2 11.6.3
4.16.5	OH&S – FIRST AID First aid registers of injuries and treatment.		T	7D	Retain for 7 years after last action	GRDS 3.6.4
4.16.6	OH&S – INSPECTIONS – MAJOR Records documenting an inspection following a major accident in the workplace.		P	5A	Retain as state archives	PROS 07/01 11.8.1
4.16.7	OH&S – INSPECTIONS – OTHER Records documenting all other inspections in the workplace.		T	10D	Retain for 10 years after last action	PROS 07/01 11.8.2
4.16.8	OH&S – PROMOTION Records relating to programs that promote the establishment and maintenance of a healthy work environment.		T	5D	Retain for 5 years after last action	PROS 07/01 11.7.1 11.7.2
4.16.9	OH&S – TRAINING Summary records to facilitate the management and monitoring of the provision of occupational health and safety training.		T	75D	Retain for 75 years after last action	GA28 18.11.9
	OVERTIME	<i>SEE 4.1 Allowances</i>				
4.17	PAYMENT HISTORY RECORD - EMPLOYEE	Refers to employee pay history records generated by computerised or manual system and in either hard copy or Electronic format	T	50D	Retain for 50 years after employee leaves the university	PROS 07/01 12.15.1
4.18	PAYROLL DEDUCTIONS	Signed authorities for deductions from pay for health insurance, union subscription, Retained in Personnel Working File	T	50D	Retain for 50 years after employee leaves the university	PROS 07/01 12.15.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	HUMAN RESOURCES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
4.19.1	PERSONNEL FILES – SIGNIFICANT FIGURES Personnel files for all senior staff, as well as significant figures in the history of the university.	Head of Department, sub -department, important division or higher If individual was dismissed from the University and whose manner of earning dismissal was more than ordinary interest Where the appointment is historically significant as the first of its kind eg first appointment as a female architect etc.	P	10A	Retain permanently	GRDS 3.4.25
4.19.2	PERSONNEL FILES – OTHER All other employees not covered in the above category.	This file will contain the following categories of information. Includes information about employment, inclusive of health, recruitment and selection, terms and conditions of employment including documentation communicating with payroll, performance, disciplining and resignation.	T	75D	For employees who leave before age 25, records must be retained until officer turns 75. For employees who leave after age 25, records must be retained for 50 years.	for 75 years of age: GDA12 for 50 years after separation: PROS 07/01
4.19.3	PERSONNEL FILES - TEMPORARY EMPLOYEES Records for casual/temporary employees		T	10D	Retain for 10 years after last action.	GRDS 3.4.27
4.20	PERFORMANCE MANAGEMENT The process of identifying, evaluating and developing corporate and employee work performances so tat the university's goals and objectives are achieved and also benefitting employees through recognition, performance feedback.					
4.20.1	PERFORMANCE MANAGEMENT – INDIVIDUALS Performance agreements with individual employees.	Final version of agreement Annual reviews Remedial action	T	7D	Retain for 7 years after last action	PROS 07/01 12.12.2

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	HUMAN RESOURCES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
4.20.2	PERFORMANCE MANAGEMENT – PROGRAMS Records documenting the development and management of the university's performance management schemes.		T	7D	Retain for 7 years after last action	PROS 07/01 12.12.1
4.21	POSITION DESCRIPTIONS		T	7D	After position has been abolished or superseded.	PROS 12.13.1
4.22	RECRUITMENT Records documenting the recruitment process.	Advertisements Composition of interview panel Interview and referee questions Selection committee reports	T	2D	Retain for 2 years after last action	PROS 07/01 12.14.1
4.23	SALARIES Records documenting the process of payment of salaries to personnel.		T	7D	Retain for 7 years after the end of the financial year in which the record was created	PROS 07/01 5.11.1
4.24	SALARY ADVICE slips	Pay/salary advice slips (in cases where employees have not collected their salary advice slips)	T	2D	Retain for 2 years after the end of the financial year in which the record was created	GDA12 2.26.1
4.25	SECURITY Background checks and security clearances.		T	5D	Retain for 5 years from leaving the university or 6 years after last security clearance, whichever is sooner	GRDS 3.4.95

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	HUMAN RESOURCES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
4.26	STAFF COMPLEMENTS Number of positions in a department and structure of those positions.	Restructure	P	10A	Retain permanently	GRDS 3.4.22
4.27	STAFF DEVELOPMENT All aspects of training for staff.	Includes internal and external courses.	T	7D	Retain for 7 years after last action	GA28 18.11.4
4.28	TRAINEESHIPS System by which personnel are sponsored to study full time at a University, or Technical College, whilst undergoing practical experience during vacations. Includes apprenticeships and cadetships.	Working papers on Programs` Graduate Recruitment Trainee Administrative Officer	T	7D	Retain for 7 years after last action	GA28 18.11.2
4.29	WORKER PARTICIPATION Involvement of personnel, by the formation of committees or like groups, in the managerial or decision-making process.		T	5D	Retain for 5 years after committee ceases to exist.	GRDS 5.4.6
	WORKERS COMPENSATION	<i>SEE 2.9.2 Compensation</i>				
4.30	WORKING HOURS Hours which personnel are required to work.	Includes correspondence on the hours of work required under the flexible hours system.	T	2D	Retain for 2 years after last action	GRDS 3.4.74
4.31	WORKPLACE AGREEMENTS Records documenting enterprise agreements or contracts made with individual employees or at a workgroup level.	Agreements Negotiations	T	7D	Retain for 7 years after agreement has lapsed.	PROS 07/01 12.18.1

PART 5 - STUDENT ADMINISTRATION & SERVICES

These records relate to the administration and management of student records, from initial application through to graduation. The records also relate to the provision of services to students whilst at the university.

1. PREAMBLE

For full details see "Student Administration Privacy Policy" dated 22 August 2002 and the "Procedures for the Confidentiality of Student Records" approved by the Academic Registrar on 18 February 2004.

2. DEFINITIONS

- 2.1 "Student records": All information, transactions, or correspondence relating to any applicant, prospective student, enrolled student or graduate of the University which is recorded on any medium (eg electronic, computer, paper, hard copy files, microfiche).
- 2.2 "Computer records": Machine-readable records containing personal information, enrolment information, academic results and qualifications from either Australian Catholic University or any other institution and other records pertaining to students' enrolled status.
- 2.3 "Authorised officer": Any University staff member authorised either by direct delegation from the Executive Director University Services, or by virtue of appointment to a particular role in the University. Authorisation to access student records is limited to authority to access that data necessary for the staff member to perform their official University duties
- 2.4 "Academic Information": Includes academic qualifications (including secondary and tertiary education, training and development programs completed) and place/s at which they were obtained; employment history, referee reports, academic status (at ACU and elsewhere), courses and units undertaken, results gained, credits granted for prior study, scholarships and prizes awarded.
- 2.5 Personal Information: Examples include name, title, date of birth, address and contact details, gender, next of kin, citizenship and residence status, country of origin, languages spoken, medical status, disability status, (fee paying, HECS, PELS), tax file number.

3. PRINCIPLES

- 3.1 The most important consideration is preservation of confidentiality and the privacy interests of students. In accordance with the Privacy Principles of the *Privacy Amendment (Private Sector) Act 2000* Personal and academic information supplied to the University by a student will only be disclosed to third parties with the written consent of the student concerned, unless otherwise prescribed by law. The declarations signed by the student in Tertiary Admission Applications, Direct Applications and enrolment forms are critical to this principle. These declarations must provide for release to relevant government departments (eg as required by the *Higher Education Support Act 2003* Professional Registration Bodies, other educational Institutions (e.g. the Automated Retrieval of Transcripts System (ARTS) etc.).
- 3.2 Acknowledgment is made of the legal responsibilities for disclosure required under various Commonwealth and State/Territory legislation.
- 3.3 Processes must be set in place to protect the physical security of the records.

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.1	ACADEMIC MISCONDUCT Records relating to a student breach of academic standards that may involve the imposition of a penalty	Plagiarism Falsifying results Cheating	T	15D	Retain for 15 years after date of decision	PROS 02/01 9.1.0
5.2	ACCOMMODATION The activities involved in providing residential accommodation for students.					
5.2.1	ACCOMMODATION - CONDUCT	Code of conduct for students	T	D	Retain until superseded	QDAN601 601.2/C202
5.2.2	ACCOMMODATION – FEES	Schedule of fees	T	5D	Retain for 5 years after superseded	QDAN601 601.2/C203
5.2.3	ACCOMMODATION – PERSONAL CASE FILES Records relating to student residents	Application and acceptances Breaches of code of conduct and any disciplinary action	T	7D	Retain for 7 years after student leaves accommodation	PROS 02/01 16.2.0
5.2.4	ACCOMMODATION – UNSUCCESSFUL APPLICATIONS Records relating to unsuccessful applicants for student accommodation		T	2D	Retain for 2 years after last action	NI2007-313 158.247.002
5.3	ADMISSIONS Applications/offers for admission to any course of study offered by the university. This activity also relates to special applications such as mature age students and re-admissions.	Undergraduate courses Postgraduate courses Non-award courses				
5.3.1	ADMISSIONS - SUCCESSFUL - ACCEPTED Records relating to offers and applications which are successful and accepted	Application forms and supporting documentation Interview records Entry examinations	T	6D	Retain for 6 years after completion or discontinuation of course	GDA23 9.1.1
5.3.2	ADMISSIONS - SUCCESSFUL - NOT ACCEPTED Records relating to offers that are not accepted		T	3D	Retain for 3 years from date of offer	GDA23 9.1.2

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.3.3	ADMISSIONS - UNSUCCESSFUL Records relating to applications which are unsuccessful.		T	1D	Retain for 1 year from end of appeal period	PROS 02/01 6.2.0
5.4	ADVANCED STANDING		T	7D	Retain for 7 years after completion or discontinuation of course	PROS 02/01 8.1.0
5.5	APPEALS Records of appeals of individual assessments		T	1D	Destroy 1 year after action completed	GDA23 25.2.6
5.6	ATTENDANCE Records of daily/class/tutorial attendance for assessment purposes.		T	2D	Retain for 2 years after last entry	PROS 02/01 11.1.2
	AWARDS	<i>SEE 5.30 Scholarships</i>				
	BURSARIES	<i>SEE 5.30 Scholarships</i>				
5.7	CAREERS ADVICE The activities associated with providing information and assistance to students on employment, career guidance and job searches	Appointment registers Client records	T	2D	Retain for 2 years after last contact.	GDA23 19.1.1
5.8	CHANGE OF NAME Records related to a student legally changing his/her name.	Includes statutory declaration	T	7D	Retain for 2 years after last action.	NI2007-313 065.188.001 065.188.002
5.9	CHILDCARE The provision of childcare services or centres where the service is provided by the university or where, for other reasons (such as contractual agreements) the university has a right to control of the records.					
5.9.1	CHILDCARE - ACTIVITIES Records relating of daily and weekly routine	Program of activities	T	1D	Retain for 1 year after last action.	GDA23 10.4.3
5.9.2	CHILDCARE – ADMISSION Records relating to the provision of places for childcare	Applications and records of interview Acceptance of places Enrolment forms Waiting lists Learning and development plans	T	3D	Retain for 3 years after child ceases to attend the service	QDAN601 601.2/C209

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.9.3	CHILDCARE - EQUIPMENT Records relating to equipment in use at the centre	Includes vehicles used by the centre	T	3D	Retain for 3 years after disposal of equipment	QDAN601 601.2/C212
5.9.4	CHILDCARE - FATALITIES Records relating to childcare deaths		T	6D	Retain for 6 years after death	QDAN601 601.2/C211
5.9.5	CHILDCARE - LICENCE Records relating to the establishment and licensing of childcare centres	License Funding arrangements Commonwealth subsidies	T	7D	Retain for 7 years after centre ceases to operate	GDA23 10.2.1
5.9.6	CHILDCARE - PERSONAL CASE FILE The personal record of each child	Personal information including contact details Attendance Parental authorisations and permissions Injury, illness or medical treatment Complaints about the care of a child	T	25D	Retain until 25 years after last attendance	PROS 02/01 17.1.0
5.9.7	CHILDCARE – POLICY Records relating to the development of policies and procedures by the centre in relation to childcare services	Health and safety Protection of children whilst in the care of the centre	T	7D	Retain for 7 years after policy is superseded	GDA23 10.3.1
5.9.8	CHILDCARE – PROGRAM Records on the development and evaluation of the centre's program		T	3D	Retain for 3 years after last action	QDAN601 601.2/C214
	CHILD PROTECTION	<i>SEE 5.31.1 Security - Child Protection</i>				
5.10	CLASS ROLL BOOKS		T	3D	Retain for 3 years after last action	NI2007-313 065.190.001
5.11	CONCESSION CARD Records relating to the arrangement, management and issuing of concession cards	Consultation with agency providing student concession	T	1D	Retain for 1 year after last action	GDA23 12.2.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.12	COUNSELLING Records relating to the provision of counselling services. EXCLUDES: careers counselling/advice	Registration records Case files	T	7D	Destroy 7 years after last action.	GDA23 11.1.1
5.13	CREDIT TRANSFER		T	7D	Retain for 7 years after completion or discontinuation of course	PROS 02/01 8.1.0
	CRIMINAL BACKGROUND CHECK	<i>SEE 5.31.2 Security – Criminal Background Check</i>				
5.14	DEFERMENT Records relating to applications for deferment of enrolment.		T	7D	Retain for 7 years after completion or discontinuation of course	PROS 02/01 8.1.0
5.15	ENROLMENT Activities and processes associated with students' initial and continuing enrolment in a course of study					
5.15.1	ENROLMENT FORM Form completed by student containing personal and enrolment details		T	7D	Retain for 7 years after completion or discontinuation of course	PROS 02/01 8.1.0
5.15.2	ENROLMENT - VARIATION Forms used to add or drop units from an existing enrolment.		T	7D	Retain for 7 years after completion or discontinuation of course	PROS 02/01 8.1.0
5.16.1	ENTRANCE EXAMINATION - ACCEPTED STUDENTS	Mainly related to International Education students (eg. TOEFL and IELTS reports)	T	6D	Retain for 6 years after completion or discontinuation of course	GDA23 9.1.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.16.2	ENTRANCE EXAMINATION - UNSUCCESSFUL CANDIDATES		T	1D	Destroy 6 months after appeal period concludes	GDA23 9.1.3
5.17.1	EXCHANGE PROGRAM - APPLICATIONS Records relating to exchange arrangements for particular students. Includes successful and unsuccessful applicants.	Application form Notice of acceptance Correspondence	T	7D	Retain for 7 years after last action	NI2007-313 065.187.001
5.17.2	EXCHANGE PROGRAM – AGREEMENTS Records relating to arrangements, contracts and agreements with other institutions for student exchange		T	7D	Retain for 7 years after expiry of agreement or last action, whichever is latest	GDA23 16.2.3
5.18	EXEMPTIONS		T	7D	Retain for 7 years after completion or discontinuation of course	PROS 02/01 8.1.0
5.19	FEES The processes involved in establish, determining and administering fees and charges to be levied on students.	Government fees eg. HECS Tuition fees Student service charges				
5.19.1	FEES – GOVERNMENT FEES Records relating to Commonwealth Government contribution fees	HECS (Higher Education Contribution Scheme) fees	T	7D	Retain for 7 years after student has completed or discontinued course of study.	GDA23 12.4.1
5.19.2	FEES - SCHEDULE	Schedules of fees set	T	10D	Retain for 10 years from year to which schedule relates.	QDAN601 601.2/C197

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REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.19.3	FEES – TUITION The administration and collection of tuition fees (other than student contribution fees)	Outstanding fees Fines Non-payment	T	5D	Retain for 5 years after student has completed or discontinued course of study.	QDAN601 601.2/C193
5.19.4	FEES – TUITION - SANCTION FOR NON-PAYMENT Records relating to the administration of the sanction of non-payment of tuition fees		T	70D	Retain for 70 years from date of enrolment	QDAN601 601.2/C194
	FELLOWSHIPS	<i>SEE 5.30 Scholarships</i>				
5.20	FINANCIAL ASSISTANCE Records relating to the provision of financial assistance to students	Student loans Discretionary funds for students to attend conferences, sporting competitions				
5.20.1	FINANCIAL ASSISTANCE - ADMINISTRATION Records relating to the establishment, administration and management of funds and schemes	Includes rules and conditions	T	5D	Retain for 5 years after scheme becomes obsolete	QDAN601 601.2/C225
5.20.2	FINANCIAL ASSISTANCE – SUCCESSFUL APPLICATIONS Records relating to the provision of financial assistance to students	Records of interview Assessment Request for extension	T	6D	Retain for 6 years after last action or discharge of loan	GDA23 19.2.1
5.20.3	FINANCIAL ASSISTANCE – UNSUCCESSFUL APPLICATIONS Records relating to the provision of financial assistance to students	Application and supporting documentation	T	1D	Retain for 1 year after last action and expiry of appeal period	QDAN601 601.2/C230
	GRADES - FINAL	<i>SEE 8.15.3 Results - Final</i>				
5.21.1	GRADUATION - ACADEMIC DRESS Records relating to academic dress protocol		P	5A		QDAN601 601.2/C163
5.21.2	GRADUATION - CONFERRAL PROCEEDINGS Records relating to the proceedings of the conferral of certificates at a ceremony	Protocols Transcripts of guest speeches	T	10D	Retain for 10 years after graduation ceremony	QDAN601 601.2/C164

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.21.3	GRADUATION - ELIGIBILITY	Notification to students of finalisation, approval and graduation ceremony	T	2D	Retain for 2 years after graduation ceremony	QDAN601 601.2/C165
5.21.4	GRADUATION - PROGRAMS Program/order of proceedings	Certified copies of Graduation ceremony booklets – formal record of graduands.	P	5A		GDA23 13.2.1 13.3.1
5.21.5	GRADUATION - REGISTER OF GRADUATES	Master list of graduands	P	5A		PROS 02/01 12.1.0
5.22	GRIEVANCES Managing the activities associated with the handling and resolution of grievances from students.	Complaints over perceived discrimination Complaints over work/study environment, Complaints over peers, lecturers, tutors Complaints over access to equipment, facilities, tutorials or other services				
5.22.1	GRIEVANCES - MAJOR Records relating to formal grievances by a student which have resulted in significant change to university procedure.		P	5A	Retain permanently	GRDS 5.1.39
5.22.2	GRIEVANCES - OTHER Records relating to all other grievances and complaints raised by a student		T	15D	Retain for 15 years after last action	PROS 02/01 9.1.0
5.23	HEALTH SERVICES The provision of health services where the service is provided directly by the university or where, for other reasons (such as contractual agreements) the university has a right to control of the records.	Medical services Dental services Speech pathology Physiotherapy				
5.23.1	HEALTH SERVICES – ACCREDITATION Records relating to the accreditation of the medical practice	Licenses Permits	T	5D	Retain for 5 years after license or permit lapses	QDAN601 601.2/C231
5.23.2	HEALTH SERVICES – AGREEMENTS Agreements with service providers		T	7D	Retain for 7 years after expiry of agreement	QDAN601 601.2/C232

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.23.3	HEALTH SERVICES - APPOINTMENT REGISTERS		T	2D	Retain for 2 years after last action	QDAN601 601.2/C233
5.23.4	HEALTH SERVICES – DRUGS The provision of the prescriptions for drugs and the use/storage of drugs		T	7D	Retain for 7 years after last action	GDA23 14.1.1
5.23.5	HEALTH SERVICES - PATIENT RECORDS - ADULTS Records providing evidence of clinical care to an adult patient		T	10D	Retain for 10 years after last patient service or medico-legal action	QDAN601 601.2/C235
5.23.6	HEALTH SERVICES - PATIENT RECORDS - MINORS Records providing evidence of clinical care to a minor		T	10D	Retain for 10 years after patient turns 18 years of age and 10 years since last patient service or medico-legal action	QDAN601 601.2/C237
5.23.7	HEALTH SERVICES - NOTIFIABLE DISEASES Records displaying evidence of clinical care to an individual patient with a notifiable disease.	Hepatitis B or Hepatitis C HIV Leprosy Q Fever Severe Acute Respiratory Syndrome (SARS) Syphilis Tuberculosis	T	85D	Retain until patient turns 85 years of age and 10 years since last patient service or medico-legal action	QDAN601 601.2/C234
	HECS	<i>SEE Fees</i>				
5.24.1	HONORARY DEGREES – ACCEPTED Records relating to the nomination and recommendation for the award of an honorary degree		P	5A	Retain permanently	QDAN601 601.2/C166
5.24.2	HONORARY DEGREES – REFUSED Records relating to the refusal or deferring of an honorary degree		T	10D	Retain for 10 years after last action	QDAN601 601.2/C167

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
	INDUSTRY/FIELD EXPERIENCE CLINICAL PRACTICUM (SCHOOL FILE)	<i>SEE 8.13 Practicum</i>				
	INTERNATIONAL STUDENTS	<i>Same as any other student</i>				
5.25	LOAD MANAGEMENT Records relating to the management of student intake load into programs and courses.	Projection and target reports Student load statistics reports	T	5D	Retain for 5 years after last action	QDAN601 601.2/C199
	MEDALS	<i>SEE 5.30 Scholarships</i>				
	MISCONDUCT – ACADEMIC	<i>SEE 5.1 Academic Misconduct</i>				
	MISCONDUCT - NON- ACADEMIC	<i>SEE 5.36 Student Misconduct</i>				
	NAME CHANGE	<i>SEE 5.8 Change of Name</i>				
5.26	OPEN DAY Records relating to the planning and management of Open Day		T	2D	Retain for 2 years after last action	QDAN601 601.2/C241
5.27	ORIENTATION Records relating to the planning and management of student orientation	O week activities and program Venue bookings	T	2D	Retain for 2 years after last action	QDAN601 601.2/C241
	PRIZES	<i>SEE 5.30 Scholarships</i>				
5.28	RECOGNITION OF PRIOR LEARNING		T	7D	Retain for 7 years after completion or discontinuation of course	PROS 02/01 8.1.0
5.29	RELIGIOUS SUPPORT The activities associated with pastoral care and religious support to the university students and staff	Appointment of chaplain Programs for support	T	5D	Retain for 5 years after last action or end of appointment	GDA23 19.5.1
5.30	SCHOLARSHIPS The activities associated with the provision and award of scholarships, prizes, fellowships, bursaries and medals					
5.30.1	SCHOLARSHIPS - ADMINISTRATION Records relating to the administrative arrangements for the delivery of scholarships, prizes, fellowships, bursaries and medals		T	6D	Retain for 6 years after last action	GDA23 15.1.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.30.2	SCHOLARSHIPS - ESTABLISHMENT The activities associated with the establishment, rules and conditions of scholarships, prizes, fellowships, bursaries and medals	Includes design and manufacture of university medals	P	5A	Retain permanently	QDAN601 601.2/C174 601.2/C175
5.30.3	SCHOLARSHIPS - NOMINATIONS The nomination and determination of recipients of scholarships, prizes, fellowships, bursaries and medals		T	5D	Retain for 5 years after prize awarded	QDAN601 601.2/C179
5.30.4	SCHOLARSHIPS - RECIPIENTS Register of recipients of scholarships, prizes, fellowships, bursaries and medals		P	5A		QDAN601 601.2/C176
5.31.1	SECURITY – CHILD PROTECTION Records that a working with children check has been carried out.	Usually recorded as a pre-requisite to enrolment in a subject/unit (including practicums) involving contact with children.	T	99D	Retain for 99 years after completion or discontinuation of course	GDA23 12.3.5
5.31.2	SECURITY - CRIMINAL BACKGROUND CHECK Records that a criminal background check has been carried out.	Usually recorded as a pre-requisite to enrolment in a subject/unit (including practicums).	T	6D	Retain for 6 years after completion or discontinuation of course	GDA23 12.3.3
5.32	SPECIAL NEEDS The management of specific needs of some students					
5.32.1	SPECIAL NEEDS - FUNDING APPLICATIONS – SUCCESSFUL Applications, agreements and contracts for funding that have been accepted		T	7D	Retain for 7 years after funding ceases	QDAN601 601.2/C721
5.32.2	SPECIAL NEEDS - FUNDING APPLICATIONS – UNSUCCESSFUL Applications for funding that have been rejected		T	7D	Retain for 1 year from notification of outcome	QDAN601 601.2/C223
5.32.3	SPECIAL NEEDS – SERVICE DELIVERY The provision of special needs support services	Interpreter Reading assistance for sight impaired students Disabled access	T	7D	Retain for 7 years after last action	NI2007-313 068.197.001

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REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.33	STUDENT BODIES Interaction between the university and student bodies	Student union Student sporting clubs	T	6D	Retain for 6 years after last action	GDA23 19.3.1
5.34	STUDENT CARD The provision of student identification	ID card	T	1D	Retain for 1 year after last action	NI2007-313 068.192.001
5.35.1	STUDENT FILE – FACULTY FILE Stored in school or departmental offices or with individual academic staff		T	1T	Transfer to Student Administration for inclusion in Student History or Student Working File.	
5.35.2	STUDENT FILE - HISTORY FILE This is the master copy of the student's academic career and other major documentation of their attendance at the University. The purpose of this record is to historically document the student's progress. EXCLUDES: Thesis.	<ul style="list-style-type: none"> - Academic Achievements - Admonishments (Actions under the Student Code of Conduct or Academic regulations) - Appeals and Reviews under Academic Regulations - Direct application and acceptance - Major Claims against the university that could result in future compensation. - Claims relating to individual student <ul style="list-style-type: none"> • Equal Opportunity Claims, • Sexual Harassment, • Workers Compensation, • Public Liability, • Sickness reports relating to any potential litigation - Industry/Field Experience, - Practicum (Transferred from faculties after graduation) - Transfer Credit evaluations 	P	5A	These records may be recorded electronically and the paper records destroyed after complying with the Evidence Act of 1997 (All states) as amended and satisfying the archival film standards of the Archive Office of your State.	QDAN601 601.2/C198

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.35.3	STUDENT FILE - WORKING FILE This is the working file for each student containing administrative memorandum required to administer the student's obligations and rights whilst attending the university.	<ul style="list-style-type: none"> - Application for Deferred Exam - Application for Credit, Recognition of Prior Learning - Application for Leave - Variation of Enrolment - Change of Name - Change of Address - Certification Letters - Request for Transcript - Application for Withdrawal - Correspondence - Disputes regarding fees, attendance 	T	7D	Retain for 7 years after completion or discontinuation of course	Only contains records retained for 7 years or less.
	STUDENT INTAKE LOAD	<i>SEE 5.25 Load Management</i>				
	STUDENT LOAN	<i>SEE 5.20 Financial Assistance</i>				
5.36.1	STUDENT MISCONDUCT – CHILD PROTECTION Records of cases involving suspected or proven abuse or neglect of children		T	99D	Retain for 99 years after last action	GDA23 3.2.1
5.36.2	STUDENT MISCONDUCT - GENERAL Records relating to matters of student discipline that do not involve academic studies. EXCLUDES: academic misconduct	Property damage Harassment Violence	T	15D	Retain for 15 years after date of decision	PROS 02/01 9.1.0
5.37	STUDENT RECRUITMENT The activities associated with the use of representative services and agencies external to the university to facilitate relations with prospective students.	Appointment of representatives/agents Agreements with representatives/agents	T	7D	Retain for 7 years after appointment ceases or expiry of agreement.	QDAN601 601.2/C23 601.2/C350
	STUDENT UNION	<i>SEE 5.33 Student Bodies</i>				
5.38	STUDY ASSISTANCE SERVICES Advice and support to students in the course of their study eg. English, Mathematics	Administration of specific programs Client records	T	2D	Retain for 2 years after last action	GDA23 19.9.1

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REF	STUDENT ADMINISTRATION & SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
5.39.1	TESTAMUR – NOT COLLECTED Testamurs not collected at graduation ceremonies or returned to the university		T	75D	Retain for 75 years after ceremony	NI2007-313 065.191.002
5.39.2	TESTAMUR – REPLACEMENT Requests for replacement testamurs	Statutory declaration Payment of fee	T	2D	Retain for 2 years after last action	QDAN601 601.2/C169
5.40.1	TRANSCRIPTS Student academic transcript.	Stored electronically or as paper record.	P	2A	Retain permanently	GDA23 12.2.1
5.40.2	TRANSCRIPTS – CONVERTED Paper records which have been converted to electronic format, through data entry or imaging.		T	D	Retain until administrative use ceases.	GDA23 12.2.2
5.41	TRANSFER CREDIT EVALUATIONS	Includes recognition of prior learning and documentation of grades from other institutions.	T	7D	Retain for 7 years after completion or discontinuation of course	PROS 02/01 8.1.0
5.42	WITHDRAWAL The formal withdrawal by a student from a course of study		T	7D	Retain for 7 years after completion or discontinuation of course	PROS 02/01 8.1.0

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

PART 6 - PROPERTY & FACILITIES MANAGEMENT

These are records relating to the acquisition, building and maintenance of building used by the university for any purpose whatsoever.

REF	PROPERTY & FACILITIES MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
	ACCIDENTS	<i>SEE 6.17.1 Maintenance</i>				
6.1.1	ACQUISITION - SUCCESSFUL Records relating to the acquisition of property through purchases, donation, bequest or other forms of acquisition.	Legal documents relating to a purchase Tender documents Certificates of approval	P	A	Retain as state archives	PROS 07/01 14.2.1
6.1.2	ACQUISITION - UNSUCCESSFUL Records relating to negotiation for property where the acquisition did not proceed.		T	7D	Retain for 7 years after purchase is suspended	PROS 07/01 14.2.3
	AIR CONDITIONING	<i>SEE 6.14.1 Installation 6.17.3 Maintenance</i>				
6.2	ASBESTOS Records relating to identification and removal of asbestos used in construction		T	100D	Retain for 100 years from removal	PROS 07/01 14.11.5
6.3	BUILDING CONDITIONS REPORTS Periodic internal reports used to monitor and document recurring activities relating to the management of university property	Annual reports on building conditions carried out by or on behalf of the Campus Operations	T	3D	Retain for 3 years after last action.	GA28 16.21.3
	CHEMICAL REGISTER	<i>SEE 6.12 Hazardous Material</i>				
6.4	CONSERVATION Activities involved in the preservation, protection, maintenance, restoration and enhancement of property, including buildings and land.	Includes heritage property Remediation of contaminated land Conservation of Aboriginal sites				
6.4.1	CONSERVATION – ABORIGINAL SITES Records relating to sites of Aboriginal or Torres Strait Islander significance		P	A	Retain as state archives	GRDS 1.3.10

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	PROPERTY & FACILITIES MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
6.4.2	CONSERVATION - CONTAMINATED SITES – HIGH RISK Records relating to the remediation of contaminated sites that present a long term public health risk, involve major public controversy or have a significant impact on policies.	Site inspections Environmental monitoring Consultations Remedial action	P	A	Retain as state archives	GA28 16.6.5
6.4.3	CONSERVATION - CONTAMINATED SITES - OTHER Records relating to the remediation of contaminated sites that do not present a long term public health risk, involve major public controversy or have a significant impact on policies.	Site inspections Environmental monitoring Consultations Remedial action	T	75D	Retain for 75 years after action completed	GA28 16.6.6
6.4.4	CONSERVATION – ENVIRONMENTAL IMPACT STATEMENTS Environmental impact studies prepared or commissioned by the university		P	A	Retain as state archives	GRDS 1.3.9
6.4.5	CONSERVATION – HERITAGE SITES Records relating to the conservation of places and structures of historical significance which are listed in a heritage register		P	A	Retain as state archives	GRDS 1.3.11
6.5	CONSTRUCTION & RENOVATION The process of making or building a structure.	Includes renovations that affect the overall structure of the property.				
6.5.1	CONSTRUCTION & RENOVATION – UNIVERSITY OWNED Construction or renovation activities carried out on university or government owned properties.		P	A	Retain as state archives	PROS 07/01 14.4.1
6.5.2	CONSTRUCTION & RENOVATION – NOT UNIVERSITY OWNED Construction or renovation activities carried out on properties that are not university or government owned.		T	15D	Retain for 15 years after property is no longer occupied	PROS 07/01 14.4.2

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REF	PROPERTY & FACILITIES MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
6.5.3	CONSTRUCTION & RENOVATION – NOT PROCEEDED WITH Records documenting planned construction or renovation activities that does not proceed.		T	7D	Retain for 7 years after decision not to proceed	PROS 07/01 14.4.3
6.6	CONTAMINATED LAND Records documenting the identification and restoration of contaminated land		P	A	Retain as state archives	PROS 07/01 14.11.4
6.7.1	CONTRACTING-OUT - STANDARD Records relating to the hiring of contractors, consultants	Agreements & contracts Specifications Quotations	T	7D	Retain for 7 years after lapse of contract or last action	GRDS 1.3.16 1.3.17
6.7.2	CONTRACTING-OUT – UNDER SEAL Contracts under seal and supporting documentation		T	12D	Retain for 12 years after last action	GRDS 1.3.18
	DAMAGE	<i>SEE 6.17.1 Maintenance</i>				
6.8	DISASTER PLAN Disaster plan for property whether leased or owned		T	D	Destroy once plan is superseded	PROS 07/01 14.14.1
6.9	DISPOSAL The disposal of property by sale, transfer, auction, donation or destruction		P	7A	Retain as state archives	PROS 07/01 14.5.1
	ENDANGERED SPECIES	<i>SEE 6.11.1 Flora/Fauna – Endangered</i>				
	EQUIPMENT	<i>SEE 6.14.1 Installation 6.17.3 Maintenance</i>				
6.10	FIT-OUTS Refurbishing a workplace that does not affect the overall structure of the property	Painting, floor coverings, furnishings, partitions, wall fittings and equipment				
6.10.1	FIT-OUTS - ASBESTOS Fit-outs where asbestos is present		T	100D	Retain for 100 years after disposal of property	PROS 07/01 14.6.2
6.10.2	FIT-OUTS - STANDARD Fit-outs where no asbestos is present		T	15D	Retain for 15 years after fit-out	PROS 07/01 14.6.1
	FLEET MANAGEMENT	<i>SEE 6.30 Vehicles</i>				

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	PROPERTY & FACILITIES MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
6.11.1	FLORA/FAUNA – ENDANGERED Records relating to the management of endangered species on university property		T	10D	Retain for 10 years after action complete	GA28 16.10.2
6.11.2	FLORA/FAUNA – PROTECTED Records relating to the management of protected species on university property	Animal/plant surveys Animal/plant species register	T	2D	Retain for 2 years after action complete	GA28 16.10.1
6.12.1	HAZARDOUS MATERIAL – BUILDING FABRIC Records documenting the removal and disposal of hazardous materials from the fabric of the building	Includes asbestos	T	100D	Retain for 100 years after removal of waste	PROS 07/01 14.11.5
6.12.2	HAZARDOUS MATERIAL - OTHER Records documenting the removal and disposal of hazardous waste and materials that are not from the fabric of the building	Pesticides Chemicals	T	30D	Retain for 30 years after removal of waste	PROS 07/01 14.11.6
6.13	ILLEGAL ENTRY Records relating to illegal entry.	Includes incidents of illegal entry resulting in damage and/or theft	T	7D	Retain for 7 years after last action	PROS 07/01 14.1.2
6.14.1	INSTALLATION – STANDARD Records documenting the installation of equipment in properties.	Air-conditioning Plumbing, heating Security equipment and cabling	T	D	Retain until installation is removed	PROS 07/01 14.7.1
6.14.2	INSTALLATION – PUBLIC USAGE Records documenting the installation of equipment used exclusively or extensively by the public.		T	25D	Retain 25 years after installation is removed	PROS 07/01 14.7.2
6.15	LEASING Records relating to the leasing of property belonging to another organisation	Leases Licenses Occupancy agreements	T	7D	Retain for 7 years after lease expires	GRDS 1.3.26
6.16	LEASING-OUT Records relating to the leasing-out of accommodation, premises or real estate belonging to the university	Negotiations Signed leases	T	7D	Retain for 7 years after lease expires	GRDS 1.3.28
6.17	MAINTENANCE The activities associated with the upkeep and repair of internal/external conditions of the premises.					

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REF	PROPERTY & FACILITIES MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
6.17.1	MAINTENANCE – ACCIDENTS & DAMAGE Records relating to accidents or damage occurring to the premises.		T	7D	Retain for 7 years after last action	GA28 16.16.2
6.17.2	MAINTENANCE – COOLING TOWER	Service logs Test results	T	7D	Retain for 7 years after last action	GA28 16.16.4
6.17.3	MAINTENANCE – ROUTINE Records relating to routine maintenance not involving structural changes.	Air-conditioning Painting	T	5D	Retain for 5 years after last action	GRDS 1.3.34
6.18.1	MAPS – MASTER COPY Master copies of maps of the university	Includes plans and drawings	P	A	Retain as state archives	GDA23 7.4.1
6.18.2	MAPS – OTHER	Maps based on master map Draft records for maps and plans	T	1D	Retain for 1 year after last action	GDA23 7.4.2 7.4.3
6.19	MOVING Records related to moving business activities from one property to another	Inventories Costings Removalist records	T	7D	Retain for 7 years after last action	PROS 07/01 14.12.1
6.20	NAMING The activity of naming of premises, buildings, grounds, reserves, ovals, roads, fountains or other structures		P	5A	Retain permanently	QDAN601 601.2/C67
6.21	PEST CONTROL Records relating to pest and infestation control		T	7D	Retain for 7 years after last action	PROS 07/01 14.13.1
6.22.1	PLANNING – CAPITAL ASSETS Records related to planning and feasibility studies for the acquisition of capital assets		T	7D	Retain for 7 years after last action	GRDS 1.3.44
6.22.2	PLANNING - OTHER Final approved plans to support the management of property	Plans for disabled access Energy management plans Facility and usage plans	T	5D	Retain for 5 years after plan is superseded	GA28 16.18.2
	PLANS & DRAWINGS	<i>SEE 6.18 Maps</i>				
6.23	POLICY Policies relating to the sale and development of university owned land and property		P	5A	Retain permanently	QDAN601 601.2/C72
6.24	PROPERTY REGISTER		P	5A	Retain permanently	QDAN601 601.2/C73
	PROTECTED SPECIES	<i>SEE 6.11.2 Flora/Fauna – Endangered</i>				

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REF	PROPERTY & FACILITIES MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
	RECYCLING	<i>SEE 6.31 Waste Management</i>				
	RENOVATION	<i>SEE 6.5 Construction & Renovation</i>				
6.25	SECURITY Records documenting routine guarding, surveillance and patrol operations.	Includes records of electronic security systems, security reports and rosters.	T	7D	Retain for 7 years after last action	PROS 07/01 14.15.1
6.25.1	SECURITY BREACH – SABOTAGE Records relating to security incidents where sabotage is strongly suspected or proven.	Act of terrorism Arson Bomb threat (genuine not a hoax) Intentional damage resulting in death	P	A	Retain as state archives	GA28 16.24.1
6.25.2	SECURITY BREACH – SERIOUS Records relating to serious security incidents where charges are laid or significant damage/injury has occurred but sabotage is not strongly suspected or proven.	Armed hold up Major damage to people/property	T	15D	Retain for 15 years after action completed	GA28 16.24.2
6.25.3	SECURITY BREACH – OTHER Records relating to minor security incidents where no charges are laid and no significant damage/injury has occurred.	Trespass Minor damage to property	T	7D	Retain for 7 years after action completed	GA28 16.24.3
6.26	TENDER REGISTER		T	7D	Retain for 7 years after last entry	GRDS 1.3.67
6.27.1	TENDERS - MAJOR Successful tenders relating to projects of government-wide impact, landmark structures or major public controversy		P	A		GRDS 1.3.62
6.27.2	TENDERS - OTHER Other successful tenders		T	7D	Retain for 7 years after finalisation of relevant contract	GRDS 1.3.63
6.27.3	TENDERS - UNSUCCESSFUL		T	2D	Retain for 2 year after last action	GRDS 1.3.64
6.27.4	TENDERS – COPIES OF TENDER DOCUMENTS		T	D	Retain until administrative use ceases	GRDS 1.3.65

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REF	PROPERTY & FACILITIES MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
6.28	TRAFFIC The process of controlling traffic and parking on university owned or controlled grounds					
6.28.1	TRAFFIC – ACCIDENTS Records relating to traffic accidents which involve injury or damage to property		T	6D	Retain for 6 years after action completed	GDA23 7.6.5
6.28.2	TRAFFIC – FINES Records relating to fines, penalties and fees for parking and traffic infringements		T	2D	Retain for 2 years after action completed	GDA23 7.6.4
6.28.3	TRAFFIC – MANAGEMENT & PLANNING Records relating to the planning, management and control of traffic and parking	Public information notices Public transport services	T	5D	Retain for 5 years after last action	GDA23 7.6.2
6.28.4	TRAFFIC – PARKING PERMITS Applications for parking permits		T	1D	Retain for 1 year after expiry of permit	GDA23 7.6.3
6.28.5	TRAFFIC – VEHICLE REMOVAL Records relating to the removal, detention and disposal of illegally parked and abandoned	Notices to vehicle owners Public notices of sale	T	1D	Retain for 1 year after last action	QDAN601 601.2/C76
6.29	VALUATION Records of valuing land and property		T	D	Retain until superseded	QDAN601 601.2/C77
6.30.1	VEHICLE - ACCIDENTS Records relating to accidents involving university vehicles		T	7D	Retain for 7 years after last action	GRDS 1.2.2
6.30.2	VEHICLE - ACQUISITION Records relating to the purchase or lease of vehicles		T	5D	Retain for 5 years after last action	GRDS 1.2.4
6.30.3	VEHICLE - DISPOSAL Records relating to the disposal of vehicles.	Includes destruction, sale and replacement	T	5D	Retain for 5 years after last action	GRDS 1.2.12
6.30.4	VEHICLE - INFRINGEMENTS Records relating to infringements of traffic regulations by drivers in university vehicles		T	1D	Retain for 1 year after last action	GRDS 1.2.14

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REF	PROPERTY & FACILITIES MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
6.30.5	VEHICLE - USAGE Records relating to the use and maintenance of university vehicles	Registration records Running sheets or logbooks Vehicle bookings	T	2D	Retain for 2 years after last action	GRDS 1.2.8 1.2.16
6.31	WASTE MANAGEMENT The management of waste and the off-site disposal of waste products	Includes recycling.				
6.31.1	WASTE MANAGEMENT – HAZARDOUS - LONG-TERM Records relating to the management and off-site disposal of hazardous substances with potential long-term effects on humans and the environment	Radioactive waste Pesticides	T	99D	Retain for 99 years after action completed	GDA23 7.7.3
6.31.2	WASTE MANAGEMENT – HAZARDOUS - LOW RISK Records relating to the management and off-site disposal of hazardous substances where the level of danger to humans and the environment is low and the effects are not potentially long-term.	Clinical and related waste	T	20D	Retain for 20 years after action completed	GDA23 7.7.2
6.31.3	WASTE MANAGEMENT – NON-HAZARDOUS Records relating to the management and off-site disposal of non-hazardous substances		T	1D	Retain for 1 year after action completed	GDA23 7.7.1

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PART 7 RESEARCH

These are records of the activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. This may be funded by a grant, consultancy or scholarship, or may be an unfunded act of academic scholarship undertaken by the University.

REF	RESEARCH	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
7.1	ANATOMY The management and use of human bodies, body parts or specimens for research or teaching purposes					
7.1.1	ANATOMY - FACILITIES Records relating to inspections of anatomy facilities.	Documentation, approval and general correspondence.	T	7D	Retain for 7 years after last action.	QDAN601 601.2/C90
7.1.2	ANATOMY - SPECIMENS Records relating to the acquisition of donation, care, storage, maintenance, management and disposal of anatomy or specimens.	Central register of donations Consent forms Certificates of agreement	P	5A	Retain permanently by the university	QDAN601 601.2/C91
7.2	ANIMAL MANAGEMENT The activities associated with the care, use, protection and disposal of animals and animal body parts or specimens for teaching or research purposes in accordance with statutory requirements.	Licences and permits Complaints Animal register Veterinary records Lethality tests Quarantine	T	7D	Retain for 7 years after last action.	QDAN601 601.2/C92 601.2/C93 601.2/C94
7.3.1	BIOTECHNOLOGY - ACCREDITATION Records relating to accreditation of institution to conduct biotechnology research	Includes application, supporting information, notice and reporting for legislative compliance.	P	5A	Retain permanently by the university	QDAN601 601.2/C97
7.3.2	BIOTECHNOLOGY – CERTIFICATION & LICENCES Records relating to biotechnology licences and certification.	Inspections by monitoring authority Applications and supporting documentation Certificates Internal/external reports for compliance	T	7D	Retain for 7 years after licence or certification lapses	QDAN601 601.2/C101 601.2/C102
7.3.3	BIOTECHNOLOGY - INCIDENT REPORTING	Incident reports relating to biosafety	T	30D	Retain for 30 years after last action	QDAN601 601.2/C98

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REF	RESEARCH	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
7.3.4	BIOTECHNOLOGY - RISK MANAGEMENT Records relating to activities associated with biosafety risk management	Management and mitigation of risks associated with biotechnology research	P	5A	Retain permanently	QDAN601 601.2/C100
7.4	COMMERCIALISATION Records associated with gaining economic benefit from a product or service derived from research activities					
7.4.1	COMMERCIALISATION – AGREEMENTS – PRODUCT COMMERCIALISED Records related to agreements for commercialisation where the product is commercialised.	Licence deeds Agreements Confidentiality deeds Sub-licenses, Assignments Deeds of indemnity	P	7A	Retain permanently by the university	QDAN601 601.2/C105
7.4.2	COMMERCIALISATION – AGREEMENTS – PRODUCT NOT COMMERCIALISED Records related to agreements for commercialisation where the commercialisation is unsuccessful.	Licence deeds Agreements Confidentiality deeds Sub-licenses, Assignments Deeds of indemnity	T	12D	Retain for 12 years after last action	QDAN601 601.2/C106
7.4.3	COMMERCIALISATION – FEASIBILITY STUDIES Planning and feasibility studies for the commercialisation of a product, including arrangements for commercial manufacture or design of a product		T	7D	Retain for 7 years after last action	QDAN601 601.2/C107
7.4.4	COMMERCIALISATION – REGISTRATION Records relating to the registration of patents, copyright and ownership of intellectual property where owned in part or completely by the university.		P	5A	Required as state archives	GDA23 22.1.5
7.5	CONSULTANCY The provision of professional and testing services by the university or its staff to external bodies.					

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REF	RESEARCH	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
7.5.1	CONSULTANCY – LEGAL The provision of expert witness services.	Advice, opinions and testimony to courts, tribunals or other judicial offices.	T	15D	Retain for 15 years after last action	GDA23 22.2.3
7.5.2	CONSULTANCY – STANDARD The administration and management of consultancies for non-judicial purposes.	Negotiations, costings and agreements Reports	T	7D	Retain for 7 years after last action	GDA23 22.2.1
7.5.4	CONSULTANCY – UNSUCCESSFUL Records relating to consultancy where the tender/expression of interest was unsuccessful or where the required service was not provided.	Tender documentation Expressions of interest	T	1D	Retain for 1 year after last action	GDA23 22.2.2
7.6	ETHICAL CLEARANCES	The processes associated with gaining ethical clearance in relation to research and research training activities. Includes human and animal research and genetic manipulation.				
7.6.1	ETHICAL CLEARANCES – ANIMALS Ethical clearance for individual projects with research involving animals.	Application, supporting documentation	T	7D	Retain for 7 years after conclusion of project	QDAN601 601.2/C110
7.6.2	ETHICAL CLEARANCES – GENETICALLY MODIFIED ORGANISMS Biosafety ethics for research involving genetically modified plants and organisms.	Application, supporting documentation	T	20D	Retain for 20 years after conclusion of project	GDA23 23.1.4
7.6.3	ETHICAL CLEARANCES – HIGH RISK MATERIAL Ethical clearance for individual projects with research involving high risk material.	Teratogens and carcinogens Ionising radiation and dangerous drugs	T	20D	Retain for 20 years after conclusion of project	GDA23 23.1.2
7.6.4	ETHICAL CLEARANCES – HUMANS Ethical clearance for individual projects with research involving humans.	Application, supporting documentation, information sheet for participants, annual reporting process.	T	20D	Retain for 20 years after conclusion of project	GDA23 23.1.1
7.7	RESEARCH DATA Records created in the conduct of a Research Project where the university is entitled to control or ownership of research data.	Readings, photographs, outcomes, observations, printouts, data sheets, field notes, diagrams, graphs, analysis, conclusions, recommendations, laboratory notes, transcriptions, clinical record.				

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REF	RESEARCH	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
7.7.1	RESEARCH DATA – MAJOR Projects of major national or international significance, interest or controversy or where the principal investigator has a widely acknowledged influence on the area of scholarship and where the data is crucial to the substantiation of the research findings and cannot be readily or practically duplicated;	includes drafts for publication in external publications and final research reports	P	10A	Required as state archives	GDA23 23.6.1
7.7.2	RESEARCH DATA – OTHER – LONG TERM EFFECTS Projects which are not of major significance, - where the project has human subjects and potential long term effects, including animal testing for human products. Also includes clinical or psychological research.	Drug trials, radioactivity, human tissue studies, genetic manipulation, trials of devices and some psychological research. *Note: this retention period has been based on the recommendations in the joint statement of the National Health and Medical Research Council and the Australian Vice-Chancellors' Committee. However, other considerations affecting retention may need to be taken into account, such as workers compensation regulations.	T	20D*	Retain for 20 years after last action or subjects have reached 25 years of age, whichever is longer	GDA23 23.6.2
7.7.3	RESEARCH DATA – OTHER – NO LONG TERM EFFECTS Projects which are not of major significance, where the project does not have potential long term effects.		T	7D	Retain for 7 years after last action	NI2007-314 063.091.003
7.8	RESEARCH FUNDING The activities associated with collating and reporting research output and quality in order to establish eligibility for Commonwealth funding.					
7.8.1	RESEARCH FUNDING – PUBLICATIONS & RESEARCH OUTPUT Records related to details of staff publications or research output for		T	13D	Retain for 13 years after year of data collection	QDAN601 601.2/C128

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REF	RESEARCH	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
	preparation of applications for research funding					
7.8.2	RESEARCH FUNDING - SUBMISSIONS Final institutional submission to the Commonwealth department responsible for higher education	Department of Employment, Science & Training (or its successor)	P	3A	To be retained permanently	QDAN601 601.2/C127
7.9	RESEARCH MATERIALS The management of materials used in research activities					
7.9.1	RESEARCH MATERIALS – DRUGS The acquisition, storage and disposal of chemicals, drugs, poisons used in research which are not covered by specific regulations		T	5D	Retain for 5 years after last action or disposal or product.	QDAN601 601.2/C129 601.2/C130
7.9.2	RESEARCH MATERIALS - RADIOACTIVE SUBSTANCES The acquisition, storage and disposal of radioactive substances and radiation equipment	Includes X-ray equipment	T	70D		QDAN601 601.2/C133 601.2/C135
7.10	RESEARCH PROCEDURES The development, review and implementation of procedures supporting the research function	Laboratory manual	T	D	Retain until superseded	QDAN601 601.2/C138
7.10.1	RESEARCH PROJECTS - MASTER REGISTER	Records relating to the master register of research projects	P	5A	When administrative use is concluded	QDAN601 601.2/C140
7.10.2	RESEARCH PROJECTS – SUCCESSFUL Records relating to funding proposals for research.	Application forms or tenders, Supporting information Referees Agreements with grant partners Protocols and reports	T	7D	Retain for 7 years after last action	QDAN601 601.2/C142
7.10.3	RESEARCH PROJECTS – UNSUCCESSFUL Records relating to funding proposals for research which are unsuccessful.	Working papers Preliminary data Agreements	T	2D	Retain for 2 years after last action	QDAN601 601.2/C143
7.11	RESEARCH RISK MANAGEMENT Activities relating to managing and	Research involving humans, animals, biotechnology and ionising radiation	T	7D	Retain for 7 years after last	QDAN601 601.2/C145

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REF	RESEARCH	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
	reducing risks associated with research				action	
7.12	RESEARCH STRATEGY DEVELOPMENT The activities associated with defining strategic goals and objectives for research and formulation of plans to achieve this.	Includes development of framework to advance areas of focus and raise research concentrations				
7.12.1	RESEARCH STRATEGY DEVELOPMENT – DEVELOPMENT AND IMPLEMENTATION Records relating to the development and implementation of research strategies.	Includes proposal for plan, correspondence, briefing papers and discussion papers	T	5D	Retain for 5 years after last action	QDAN601 601.2/C149
7.12.2	RESEARCH STRATEGY DEVELOPMENT – EVALUATION Records relating to the evaluation of research strategic plan.	Includes surveys of performance, reports and summaries of performance against indicators, review documents and statistics	T	10D	Retain 10 years after research strategic plan superseded	QDAN601 601.2/C147
7.12.3	RESEARCH STRATEGY DEVELOPMENT – STRATEGIC PLAN Records related to the approved research strategic plan.	Includes mission statement, objectives, goals, performance indicators, supporting documents and approval.	P	5A	Retain permanently	QDAN601 601.2/C146

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PART 8 TEACHING & LEARNING

These are records of the function of conveying knowledge to facilitate learning. This includes curriculum planning and development, course delivery, assessment and examinations, learning materials, teaching resources and evaluation,

REF	TEACHING & LEARNING	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
8.1	ACADEMIC RECORD Official academic records of the grades achieved by a student		P	5A	Retain permanently	QDAN601 601.2/C245
	ADULT EDUCATION	<i>SEE 8.6 Continuing Education</i>				
8.2	ASSESSMENT Examination scripts, essays and other forms of assessment completed by students but not returned to them.	Assignments Presentations Examination scripts	T	1D	Retain for 1 year after release of results	NI2007-313 065.186.006
8.3	ATTENDANCE Records relating to attendance for examinations or other assessment activities. EXCLUDES: practicums when working with children		T	D	Retain for 6 months after last action	QDAN601 601.2/C247
8.4	AWARDS The activities associated with the granting of awards to staff in recognition of teaching excellence.	Internal and external awards Awards to individuals Awards to the institution				
8.4.1	AWARDS - ESTABLISHMENT Records relating to the establishment of excellence awards within the university.		T	5D	Retain for years after award no longer offered	QDAN601 601.2/C263
8.4.2	AWARDS - SUCCESSFUL Records relating to applications received which are nominated for an award and are successful.		P	5A	Retain permanently	QDAN601 601.2/C261
8.4.3	AWARDS - UNSUCCESSFUL Records relating to applications received which are not successful.		T	5D	Retain for years after award no longer offered	QDAN601 601.2/C260 601.2/C262

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	TEACHING & LEARNING	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
8.5	CALENDARS Master set of calendars, handbooks and course guides	Calendars Faculty handbooks Course guides	P	5A	Retain as state archives	GDA23 25.4.3
8.6	CONTINUING EDUCATION The activities associated with running programs which benefit the broader community. Includes education programs in fitness, health, well-being, behaviour, art, humanities, language, travel and special interest programs. EXCLUDES: non-award courses.					
8.6.1	CONTINUING EDUCATION - DELIVERY Administrative records on the management and running of continuing education courses		T	2D	Retain for 2 years after last action	GDA23 24.1.2
8.6.2	CONTINUING EDUCATION – REGISTRATION & RESULTS Enrolment and final grades in continuing education courses		T	7D	Retain for 7 years after last action	GDA23 24.1.1
8.7	COURSE DELIVERY The activities supporting the delivery of the course	Lecture notes Audio/visual teaching aides Reading lists	T	10D	Retain for 10 years after last action	NI2007-314 064.175.001
	COURSE GUIDES	<i>SEE 8.5 Calendars</i>				
8.8.1	CURRICULUM – ACCREDITATION Records relating to external accreditation by professional or registration bodies	Letter/notification of successful accreditation	T	10D	Retain for 10 years after accreditation expires	GDA23 25.5.4
8.8.2	CURRICULUM – APPROVAL Records relating to the approval of curricula	Master set of approved curricula	P	5A	Required as state archives	QDAN601 601.2/C281
8.8.3	CURRICULUM – DEVELOPMENT The process of developing curricula for university courses. This includes the initiation or discussion of proposals.	These records typically originate in schools or faculties	T	10D	Retain for 10 years after program is no longer offered	QDAN601 601.2/C282
8.8.4	CURRICULUM - REVIEW Records relating to internal or external review of curricula. Includes working papers	Committee records Reference/advisory/industry groups Notes and correspondence	T	3D	Retain for 3 years after last action	GDA23 25.7.1

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	TEACHING & LEARNING	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
8.9	EVALUATION Activities relating to the collection of information and assessment of teaching processes	Australian Graduate Survey Student surveys Evaluation of teaching Course experience questionnaire				
8.9.1	EVALUATION – ADMINISTRATION Administrative activities associated with the collection of data for evaluation of teaching		T	2D	Retain for 2 years after last action	QDAN601 601.2/C295
8.9.2	EVALUATION – DATA Analysis and survey data.		T	5D	Retain for 5 years after last action	QDAN601 601.2/C296
8.9.3	EVALUATION – REPORTING Report of evaluation outcome.		P	5A	Retain permanently	QDAN601 601.2/C297
	EXAMINATION ATTENDANCE	<i>SEE 8.3 Attendance</i>				
8.10	EXAMINATION PAPERS	Master set of questions	P	5A	Retain as state archives	GDA23 25.4.2
	EXAMINATION SCRIPTS	<i>SEE 8.2 Assessment</i>				
8.11	EXAMINATION SUPERVISION Administrative arrangements for examination and assessment.	Supervision/invigilation arrangements Timetables	T	1D	Retain for 1 year after last action	QDAN 601 601.2/C255
	HANDBOOKS	<i>SEE 8.5 Calendars</i>				
8.12	NON-AWARD COURSES Courses where students complete individual units/subjects from a degree/diploma course EXCLUDES: continuing education courses.					
8.12.1	NON-AWARD COURSES - DELIVERY Administrative records on the management and running of non-award courses		T	2D	Retain for 2 years after last action	GDA23 24.3.2
8.12.2	NON-AWARD COURSES - RESULTS Final grades in non-award courses		T	75D	Retain for 75 years after last action	GDA23 24.3.1
8.13.1	PRACTICUM - ADMINISTRATION Arrangements and liaison with placement providers		T	2D	Retain for 2 years after last action	QDAN 601 601.2/C310

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	TEACHING & LEARNING	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
8.13.2	PRACTICUM – AGREEMENTS Agreement with other organisations to allow placements		T	13D	Retain for 13 years after agreement expires	QDAN 601 601.2/C311
8.13.3	PRACTICUM – ATTENDANCE Records relating to attendance where students are working with children	Nursing Teaching	T	10D	Retain for 10 years after action complete	GDA23 25.3.2
8.13.4	PRACTICUM – PARTICIPATION Summary records providing proof of number of hours completed and satisfactory performance	Nursing Teaching	T	50D	Retain for 50 years after completion of course	GDA23 25.2.3
8.15.1	RESULTS - APPEALS Records relating to appeals about examination/assessment results.		T	2D	Retain for 2 years after last action	QDAN601 601.2/C249
8.15.2	RESULTS - CHANGES Records relating to changes to assessment results.	Requests Outcomes	T	6D	Retain for 6 years after completion of course	GDA23 25.9.4
8.15.3	RESULTS - FINAL Master record of candidates and results.		P	2A	Retain permanently	PROS 02/01 11.3.0
8.15.4	RESULTS - GRADING Grading/marking of individual assessment items of a subject or course.	Assignments Essays Theses	T	2D	Retain for 2 years after last action	QDAN601 601.2/C251
8.15.5	RESULTS - REVIEW Records relating to review, moderation and confirmation of results.		T	2D	Retain for 2 years after last action	QDAN601 601.2/C252
8.16	SPECIAL CONSIDERATION Requests from students that special consideration be given due to circumstances which affected their performance in an examination or other assessment activity	Requests and outcomes Includes requests for deferred or supplementary examinations	T	3D	Retain for 3 years after last action	GDA23 25.10.1
	SUPERVISION EXAMINATIONS	<i>SEE 8.11 Examination Supervision</i>				
8.17.1	SUPERVISION - HIGHER DEGREE STUDENTS Records relating to the supervision of the candidate	Advice and liaison between supervisor and student	T	10D	Retain for 10 years after last action	NI2007-313 065.250.002

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	TEACHING & LEARNING	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
8.17.2	SUPERVISION - HIGHER DEGREE STUDENTS – APPOINTMENT Appointment of examiners, assessors or supervisor		T	1D	Retain for 1 year after action completed or end of appeal period, whichever is longer	GDA23 25.11.2
8.17.3	SUPERVISION - HIGHER DEGREE STUDENTS – REPORTS	Examiners/assessors reports and related records	T	D	Retain until end of appeal period	GDA23 25.11.3
8.18.1	TERTIARY PREPARATION PROGRAMS Programs where students complete individual units/subjects from a degree/diploma course					
8.18.2	TERTIARY PREPARATION PROGRAMS - DELIVERY Administrative records on the management and running of tertiary preparation programs		T	2D	Retain for 2 years after last action	GDA23 24.4.2
8.18.3	TERTIARY PREPARATION PROGRAMS - RESULTS Final grades in tertiary preparation programs		T	7D	Retain for 7 years after last action	GDA23 24.4.1
8.19	THESES Master set of theses and dissertations submitted by higher degree (PhD and Masters) and honours students		P	5A	Retain permanently	QDAN601 601.2/C258
8.20	TIMETABLING The activities associated with the organisation, control and scheduling of classes and examinations for students.		T	1D	Retain for 1 year after last action.	QDAN601 601.2/C321
	UNIT OUTLINES	<i>SEE 8.5 Calendars</i>				

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

PART 9 COLLECTIONS MANAGEMENT

These are records relating to the management of collections of art, private records, manuscripts, museum specimens, heritage artefacts and other objects which are owned by the university, or on loan to the university.

REF	COLLECTIONS MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
9.1	ACCESS & USE Records relating to access and use of collections.	Application for access Access conditions Registers of access	T	D	Retain for 6 months after last action.	QDAN601 601.2/C1
9.2	ACQUISITIONS Records relating to the acquisition of items for the collection. Includes donations, gifts and bequests, as well as purchases.	Intellectual ownership agreements. Terms & conditions of bequest.	P	5A	Retain permanently by the university	QDAN601 601.2/C2 601.2/C3
9.3	COLLECTION CONTROL The activities associated with registering and describing items within the collection.	Catalogues, inventories, electronic control systems, indexes and registers	P	5A	Retain permanently by the university	QDAN601 601.2/C4
9.4	CONSERVATION The activities involved in the preservation, protection, maintenance, restoration and enhancement of property, information resources and artefacts.					
9.4.1	CONSERVATION – ENVIRONMENTAL MONITORING & CONTROL Records relating to monitoring and control of conditions of the exhibitions and storage spaces.	Temperature, pest and humidity control.	T	10D	Retain for 10 years after last action.	QDAN601 601.2/C5
9.4.2	CONSERVATION – MAINTENANCE & STORAGE Records relating to maintenance and storage of items in a collection.		T	5D	Retain for 5 years after disposal of item.	QDAN601 601.2/C6
9.4.3	CONSERVATION – PRESERVATION & RESTORATION Records relating to the preservation and restoration of items within the collection.	Repairs De-acidification	T	D	Retain until disposal of item.	QDAN601 601.2/C7

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	COLLECTIONS MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
9.5	DISPOSAL Records relating to the disposal of collection items by sale, transfer, conversion to another medium/format, auction, destruction or repatriation.		P	7A	Retain permanently by the university	QDAN601 601.2/C8
9.6	EXHIBITIONS The activities associated with using items in displays for the purpose of informing or educating the viewer, or promulgating the activities, services, projects or programs of the university.					
9.6.1	EXHIBITIONS – CURATING Records relating to the planning and implementation of an exhibition.	Liaison with donors/lenders Invitations to exhibit	T	5D	Retain 5 years after last action.	QDAN601 601.2/C9
9.6.2	EXHIBITIONS – CATALOGUE	Printed catalogue	P	A	Required as state archives	GDA23 1.7.2
9.7	LOANS The lending of items to the university for use in exhibitions/displays and the lending of items owned by the university to other institutions/organisations.	Includes the formal documentation that sets out conditions, rights and responsibilities.				
9.7.1	LOANS – AGREEMENT/CONTRACT Records relating to the loan agreement/contract.		T	13D	Retain at least 13 years after contract expires.	QDAN601 601.2/C10
9.7.2	LOANS – OTHER Records relating to the loan of collection items (excluding those relating to the loan agreement/contract).		T	D	Retain until no longer required for reference purposes.	GDA23 1.9.2

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

PART 10 LIBRARY MANAGEMENT

These are records relating to the management of the university's libraries.

REF	LIBRARY MANAGEMENT	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
10.1	ACQUISITION Records relating to the acquisition of books, journals or online services EXCLUDES: services purchased through a tendering process	Orders Subscriptions and renewals	T	7D	Retain for 7 years after last action	GA28 12.1.1
10.2	ADMINISTRATION Records relating to administration and operating arrangements for library services		T	5D	Destroy 5 years after last action.	GRDS 4.1.18
10.3	AGREEMENTS Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision of information management services	Agreement for Kinetica services with National Library of Australia	T	7D	Retain for 7 years after expiry of agreement or last action, whichever is later	GA28 12.2.1
10.4	DONATIONS Records relating to the donation of library materials		T	5D	Retain for 5 years after disposal of item	GRDS 4.1.34
10.5	LOANS Loan records	Includes inter-library loans	T	D	Retain until administrative use ceases	GA28 12.9.5

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

PART 11 FOOD SERVICES

These are records relating to the function of providing food for sale through commercialised businesses controlled by the university and the provision of food to residential students.

REF	FOOD SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
11.1.1	FOOD POISONING - ADULTS Records of internal and external investigations into food related complaints involving adults.	Incident reports Results of food tests Notification to government authority	T	3D	Retain for 3 years after last action	QDAN601 601.2/C28
11.1.2	FOOD POISONING - MINORS Records of internal and external investigations into food related complaints involving minors.	Incident reports Results of food tests Notification to government authority	T	24D	Retain for 6 years after minor turns 18 years of age	QDAN601 601.2/C29
11.2.1	FOOD SAFETY PROGRAM - DEVELOPMENT Records relating to the development of the Food Safety Program		T	3D	Retain for 3 years after last action	QDAN601 601.2/C32
11.2.2	FOOD SAFETY PROGRAM - FINAL The final version of the Food Safety Program		T	5D	Retain for 5 years after the program is superseded	QDAN601 601.2/C33
11.3	FOOD SERVICES Records relating to the provision of food services	Menu	T	D	Retain until reference ceases	QDAN601 601.2/C34
11.4	FOOD SUPPLIES Records relating to the provision of supplies		T	D	Retain until reference ceases	QDAN601 601.2/C35
11.5	LICENCES Authorisation for operate a food and/or liquor business					
11.5.1	LICENCES – FOOD BUSINESS OPERATOR Records relating to the licensing of the university to operate a food business	Licence application Decisions notice Renewal notices Inspection reports	T	3D	Retain for 3 years after last action	QDAN601 601.2/C26

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

REF	FOOD SERVICES	EXAMPLE	CLASS	DISPOSAL ACTION	COMMENT	SOURCE
11.5.2	LICENCES – LIQUOR Records relating to the licensing of the university to sell or supply liquor	Liquor licence application Decisions notice Records relating to the acquisition, sale and supply of liquor	T	7D	Retain for 7 years after last action	QDAN601 601.2/C27
11.6	MONITORING The activity of checking, observing or recording the operation of equipment, services, infrastructure or systems	Food temperature logs Freezer/refrigerator temperature logs	T	1D	Retain for 1 year after last action	QDAN601 601.2/C30 601.2/C31

PART 12 PERMANENT RECORDS

For records intended for permanent retention, it is essential to choose materials which are durable, stable, insect and mould resistant and non-acidic. Suitable papers for permanent records are archive text made to Australian Archives Bond.

The following records are to be retained permanently.

- 2.1 ACCREDITATION OF THE UNIVERSITY
- 2.2 ADDRESSES - MAJOR
- 2.4 ANNUAL GENERAL MEETING
- 2.5 ARTICLES OF AGREEMENT
- 2.6.1 AWARDS – ART/LITERARY - JUDGES
- 2.6.3 AWARDS – ART/LITERARY - WINNERS
- 2.7.1 CELEBRATIONS & CEREMONIES - MAJOR
- 2.8.2 COMMITTEES – MAJOR - MEETINGS
- 2.8.3 COMMITTEES – MAJOR - MEMBERS
- 2.9.1 COMPENSATION - FATALITIES
- 2.10.1 COMPLAINTS - MAJOR
- 2.11.2 CONFERENCES – ACU - PROCEEDINGS
- 2.11.3 CONFERENCES – EXTERNAL – INSTITUTIONAL PRESENTATIONS
- 2.13.1 COPYRIGHT - CROWN
- 2.14.1 CORPORATE IDENTITY - DEVELOPMENT
- 2.14.3 CORPORATE IDENTITY - PROTECTION
- 2.16.1 DONATIONS - BEQUESTS
- 2.20 ENROLMENT STATISTICS AND REPORTS
- 2.21.1 ENTERPRISE BARGAINING - AGREEMENTS
- 2.25.1 INDUSTRIAL DISPUTES - MAJOR
- 2.26.1 INDUSTRIAL RELATIONS - APPEALS - MAJOR

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

2.26.3	INDUSTRIAL RELATIONS – AWARDS & AGREEMENTS
2.29.3	INTELLECTUAL PROPERTY – INFRINGEMENTS & DISPUTES
2.30.1	JOINT VENTURES
2.31.1	LEGAL MATTERS
2.32.1	LEGISLATION
2.34.1	OFFICE/DESK DIARIES – SENIOR STAFF
2.35.1	POLICY – CORE ACTIVITIES
2.35.2	POLICY – ADMINISTRATIVE - MAJOR
2.36	PRESS STATEMENTS
2.37	PROJECTS REGISTER
2.38.2	PUBLIC LECTURES- TRANSCRIPTS FUNDED BY SUBSCRIPTION
2.39.1	PUBLIC RELATIONS – MAJOR
2.40.1	PUBLICATIONS – MASTER SET
2.41.1	QUALITY ASSURANCE – AUDIT - AUQA
2.42.11	RECORDS MANAGEMENT - ARCHIVES
2.42.2	RECORDS MANAGEMENT - DISPOSAL
2.42.3	RECORDS MANAGEMENT - MASTER LIST OF FILE TITLES AND FINDING AIDS
2.43	RESTRUCTURING
2.45.1	STATUTES
2.47.1	STRATEGIC PLAN – UNIVERSITY WIDE
2.52	WHISTLEBLOWERS
3.2	ANNUAL REPORT
3.3	ASSET REGISTER
3.5.1	AUDITS – MAJOR
3.10.1	BUDGETING - EXTERNAL
3.14.1	FINANCIAL STATEMENTS - ANNUAL
3.23	PROCEDURES (MANUALS)

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

3.24	SHARE REGISTRY RECORDS
3.26	TRUST FUNDS
4.3.1	APPLICATIONS - EXECUTIVE
4.9	EMPLOYMENT CONDITIONS
4.12.3	GRIEVANCES - SUMMARY
4.16.1	OH&S – ACCIDENT/INCIDENT REPORTS - FATALITIES
4.16.6	OH&S – INSPECTIONS - MAJOR
4.19.1	PERSONNEL FILES – SIGNIFICANT FIGURES
4.26	STAFF COMPLEMENTS
5.21.1	GRADUATION – ACADEMIC DRESS
5.21.4	GRADUATION – PROGRAM
5.21.5	GRADUATION – REGISTER OF GRADUATES
5.22.1	GRIEVANCES – MAJOR
5.24.1	HONORARY DEGREES - ACCEPTED
5.30.2	SCHOLARSHIPS - ESTABLISHMENT
5.30.4	SCHOLARSHIPS - RECIPIENTS
5.35.2	STUDENT FILE – HISTORY FILE
5.40.1	TRANSCRIPTS
6.1.1	ACQUISITION – SUCCESSFUL (PROPERTY)
6.4.1	CONSERVATION – ABORIGINAL SITES
6.4.2	CONSERVATION – CONTAMINATED SITES – HIGH RISK
6.4.4	CONSERVATION – ENVIRONMENTAL IMPACT STUDIES
6.4.5	CONSERVATION – HERITAGE SITES
6.5.1	CONSTRUCTION & RENOVATION – UNIVERSITY OWNED
6.6	CONTAMINATED LAND
6.9	DISPOSAL (PROPERTY)
6.18.1	MAPS – MASTER COPY

RETENTION AND DISPOSAL SCHEDULE FOR AUSTRALIAN CATHOLIC UNIVERSITY

6.20	NAMING
6.23	POLICY (PROPERTY)
6.24	PROPERTY REGISTER
6.25.1	SECURITY BREACH - SABOTAGE
6.27.1	TENDERS - MAJOR
7.1.2	ANATOMY - SPECIMENS
7.3.1	BIOTECHNOLOGY - ACCREDITATION
7.3.4	BIOTECHNOLOGY – RISK MANAGEMENT
7.4.1	COMMERCIALISATION – AGREEMENTS
7.4.4	COMMERCIALISATION – REGISTRATION
7.7.1	RESEARCH DATA - MAJOR
7.8.2	RESEARCH FUNDING - SUBMISSIONS
7.11.1	RESEARCH PROJECTS – MASTER REGISTER
7.13.3	RESEARCH STRATEGY DEVELOPMENT – STRATEGIC PLAN
8.1	ACADEMIC RECORD
8.4.2	AWARDS – SUCCESSFUL
8.5	CALENDARS
8.8.2	CURRICULUM - APPROVAL
8.9.3	EVALUATION – REPORTING
8.10	EXAMINATION PAPERS
8.15.3	RESULTS - FINAL
8.19	THESES
9.2	ACQUISITIONS (ARTWORKS, MUSEUM ITEMS)
9.3	COLLECTION CONTROL (ARTWORKS, MUSEUM ITEMS)
9.5	DISPOSAL (ARTWORKS, MUSEUM ITEMS)
9.6.2	EXHIBITIONS CATALOGUE

BACKGROUND NOTES FOR USERS.

A **RETENTION SCHEDULE** is a document which outlines the continuing records series that the University consciously retains for their administrative, fiscal, historical or legal value. In the document you will cover the description of the series and the relative location of the records over a time frame described as "Active", "Semi-Active" and "Inactive" prior to their final destruction or transfer to the University Archives. This allows the records to be culled from their workstation environment and moved to less active and less expensive storage space.

This schedule will allow the University either to remove records for their final destruction, (ie records no longer required) or to more controlled storage. This will require the maintenance and control of the transfer program.

When a decision needs to be made for particular records held by the university you must follow the following general set of events.

1. Consult the easy find index to find the record by name.
2. If the record cannot be found see if the record complies with one of the generic classes in Section 2-00 to 2-10 and apply that ruling. As this would suggest the including of further words to the index or specific descriptions refer this to the Officer Responsible for this Schedule for addition to the schedule.
3. If the record cannot be found – refer the matter to the Officer Responsible for the maintenance of the schedules.

TRANSFER PROCEDURES

REGULAR REVIEWS

There is a need to regularly purge records that are no longer required. This will require the transfer of those records that are considered to be of reduced value to the University to a repository or to microfilm. This entails the transfer of records from your current active premises to the University Archive.

Active Records

Held in normal filing shelves for the active use of the action officers and the records staff for retrieval purposes. This will be close to the workstation for the officer concerned. Many of these records many not come into consideration for retention as they

are the daily working papers of individual staff members. However there are many that do.

Semi-active

Records held in a less expensive area of the building but still close enough for the records staff to make a retrieval of the records when required with a minimum of delay. Only records covered by the schedule even have the opportunity to become Semi-active.

Inactive Records

Held off-site or in a less accessible area of the University's premises in the least expensive yet suitable equipment for the storage and retrieval of information. Either a commercial repository or microfilm can be used.

Archival & Historical Records

This small percentage of records of permanent nature as defined in the list of permanent records is either held by you, or transferred to the University Archives. Note that some permanent records may never go the archives as they are being constantly used.

The location of the records is described in the column ROU (Responsible Organisation Unit).

It is equally important to know that the record has been destroyed or transferred to the archives or alternative storage. In consequence a register of records destroyed must be maintained.

ANALYSIS

When establishing the value of a record the following four values were taken into account.

1. Administrative Value
2. Fiscal Value
3. Legal Value, and
4. Historical Value.

A time period is established specifying how long the series should be kept to satisfy each value. These retention periods will be used to develop the disposition instruction for the series.

ADMINISTRATIVE VALUE

The administrative value of a record series is the value a series has to its originating office in carrying out their function. In determining administrative value two separate retention questions must be asked.

1	How long is the record needed for the administration?
2	How long is the record needed in the originating office for the day to day administration?

FISCAL VALUE

Records with fiscal value show how money was obtained, allotted, controlled and expended. Fiscal value varies in length of time from short periods for such routine items as invoice, cashbooks, and expense accounts to long term for superannuation accounts, trust funds etc. Some of these records are required by law to be kept for specific periods and most have minimum retention periods established by various Acts, which must be observed.

LEGAL VALUE

This can include other pieces of legislation or the requirements of other bodies who have an authority over the university. Such requirements for the University are held in the Companies Act, Evidence Act, Limitation of Actions Act, Workers Compensation Act, Companies Act and the relevant Universities and Higher Education Acts.

“Legal uses” is more difficult to establish. The key is to determine what uses the record will be put to both by the University and citizens, and apply the law that relates to these functions. The records may be kept as a record of transactions, licences, or information. A record of licences, laws or regulations need to be kept at least as long as the regulation are in effect and legal action can arise under them.

In the case of the licence for as long as someone can possibly hold one. For the University this is PERMANENT as the university can last for ever.




As one of the University’s primary responsibilities is to safeguard, and at times enforce, the students’ and staff’s civil rights, the records that document these rights must be available. In appraising for legal use, the factors to be considered are how long an action can be maintained (the limitation of actions) covered under the Limitation of Actions Act, for that State, which will specify the length of time that could expire before action can be taken.

HISTORICAL VALUE

Historical value of a record is that quality that makes the record useful to the researcher today and 100 years from now. When appraising for historical retention, it must be remembered that information that is saved today is what will be known by future generations. In appraising records, the documents should show the scope, nature and extent of an activity or detail the condition of the University, its students and staff or and phenomena affecting them at a given point of time.

END OF YEAR TRANSFER PROCEDURES




At the end of the period selected you should transfer records:-

	From ACTIVE	to	SEMI-ACTIVE and
	From SEMI-ACTIVE	to	INACTIVE
	From INACTIVE	to	DESTRUCTION.

When we refer to transferring records, we are talking about the physical movement of records from one place to another not the destruction of records, which is a final disposal. The transfer procedure refers to the transfer of records from one activity status to another; destruction refers to the final activity.

ACTIVE TO SEMI-ACTIVE TRANSFER

This action reduces also the amount of equipment needed, and thus the amount of time spent on “fingering through files”. The transfer of files in this mode is essential to the saving of space and expensive equipment. The primary objectives are:-

-  The reduction of the excess in the system of active records to reduce the search time to find current records.
-  Reduction in the amount of generally more expensive active records storage devices used to a less expensive and more practical mode, considering that the access rate will be considerably lower.
-  Reduction in expenditure on equipment generally.

Semi-active records do not require the same amount of filing aids and quality of equipment as a current or active record. The suspension sleeves can be re-used for the more recent records or the new records and the manilla folders transferred to shelving or less expensive equipment away from the public eye where appearance is not so important. These records are transferred and sorted ready for their next move into a holding area. Access is regular compared with Inactive Records and usually required for Audit or reference purposes.

SEMI-ACTIVE TO INACTIVE TRANSFER

This is a crucial time when records should be grouped for their final destruction period rather than their creation period. The records should be gathered together to give efficiency in the repository. If all records due for

destruction in the same period are kept together, then that area can be used again when that time comes.

TRANSFER METHODS

By performing the following activities a week or two ahead of time, the work of transferring can be made easier and can be speeded up by combining a part of it with another filing operation. Prepare new folder for active files.

1. Make sure transfer boxes are available and identified.
2. Remove those records for immediate destruction.

ONE-PERIOD METHOD (Accounts & Vouchers)

When the one period method is used, all materials are removed from the active files at a certain time (usually once per year) and are placed in archive boxes. The older folders are usually placed in these boxes. New folders are prepared and, for all practical purposes, a new active file is started. The disadvantage to this method of transfer is that recent materials are suddenly placed in an inactive file and are not available for immediate reference. Frequent reference to the materials in the inactive files during the first few months following the transfer period is usually necessary. This can be used more readily with accounting vouchers.

TWO PERIOD METHOD

Under the two-period method, duplicate files - one active and one semi-active - are maintained in the office. The semi-active files are usually maintained in the lower shelves.

Let us assume that the file period is a year and that a new active file is started at the beginning of each calendar year. This means that in January of each year new folders are prepared, and a new active file is started for the new year. The materials for the preceding year remain where they are and the new file is placed beside it. The old materials are transferred to a lower shelf in the same cabinet. In this way, a new file of materials for the current year is established, while the materials filed during the preceding year are readily accessible.

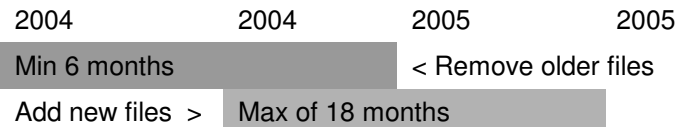
At the end of the current year, the process starts again. A new file is set up for the new year, the materials accumulated during the preceding year are left where they are or are transferred to another part of the filing unit. The

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materials for the previous year are now placed in Transfer boxes and are sent to the records centre.

MAXIMUM-MINIMUM PERIOD METHOD (for Subject Files)

A transfer method that may eliminate the objectionable features of both the one-period transfer and the two-period transfer method is known as the "Maximum-minimum period method". When this method is used, only the inactive material is transferred at regular intervals.



The material is transferred once per year in (say) July. All material dated during the current calendar year is left in the active files, while all materials dated during the preceding year is transferred. This means that materials are kept in the active files at least six months (Jan 1 to June 30) but not more than 18 months. In other words, the material that is transferred is at least six months old, and it varies in age at the time of transfer from 6 to 18 months. It is from these minimum and maximum periods of time that this method derives its name.

TRANSFER POLICIES

Regardless of the transfer method used, the following points should be kept in mind when transferring records:-

1. Not every document is transferred. Many records are destroyed at the time of transfer because they are no longer of value.
2. Others, because of their importance, are held in the active files for long period of time.

The transferring of non-current records should take place during a slack period of the business year if at all possible. It is highly desirable to have as little interference as possible with the normal operation of the office.