Records Management Procedures

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University of
New England

Contents

Summary

These procedures outline the University's recordkeeping requirements to support its legal, regulatory and operational obligations and are applicable to all UNE employees, including contractors, consultants and UNE entities. These procedures aim to:

- advise staff of responsibilities in relation to recordkeeping requirements,
- assist development of local procedures and business practices to support recordkeeping requirements; and
- ensure compliance to legal, regulatory and operational recordkeeping requirements.

These procedures should be used in conjunction with the resources available from the Records Management Office (RMO) to support recordkeeping compliance including: information sheets, FAQ's, templates, training, online learning modules, disposal schedules and recordkeeping systems.

Contact the Records Management Office

For further information, contact the Records Management Office rmo@une.edu.au

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Legislative obligations

The University of New England is a statutory authority of the State of New South Wales. The University has specific requirements for recordkeeping. These are further extended by related financial and administrative legislation which requires UNE employees to be accountable for their actions.

There are many Acts which apply to the University. The list below is an example of Acts or Regulations that have sections relating to recordkeeping:

- State Records Act 1998 (NSW)

- State Records Regulation 2015 (NSW)

- University of New England Act 1993 (NSW)

- Tertiary Education Quality and Standards Agency Act 2011 (Cth)

- Copyright Act 1968 (Cth)

- Electronic Transactions Act 1999 (Cth)

- Evidence Act 1995 (NSW)

- Government Information (Public Access) Regulation 2009 (NSW)

- Health Records and Information Privacy Act 2002 (NSW)

- Health Services Act 1997 (NSW)

- Medical Practice Regulation 2003 (NSW)

- Health Practitioner Regulation (New South Wales) Regulation 2016

- Pesticides Act 1999

- Biosecurity Act 2015

- Animal Research Act 1985

- Poisons and Therapeutic Goods Act 1966

- Industrial Relations Act 1996

- Workplace Injury Management and Workers Compensation Act 1998

- Workplace Video Surveillance Act 1998

- Occupational Health and Safety Act 2000

- Independent Commission Against Corruption Act 1988 (NSW)

- Privacy and Personal Information Protection Act 1998 (NSW)

- Public Finance and Audit Act 1983 (NSW)

- Public Interest Disclosures Act 1994 (NSW)

These Acts state what information must be kept, how that information must be managed and when and how the information may be disposed of. Penalties apply for failure to comply with these requirements.

The State Records Act 1998, Section 12 (2) requires public offices to establish a Records Management program that provides an organised, managed and planned approach to records management. To support this program, in 1999 UNE implemented the electronic document and records management system (EDRMS) known as TRIM.

University records must be managed in TRIM (or an approved business system). TRIM manages business information, both physical and electronic including email, from creation or receipt to destruction or permanent retention. Control processes include classification and document registration capturing required metadata, correspondence management, version control, workflow and action tracking, security and access, retention and disposal, auditing and archiving.

Records Management & TRIM Training

The Records Management Office recognises that training in all aspects of recordkeeping is essential. RMO offers a free service which addresses the needs of individuals or business units. To assist you in using TRIM and managing your records, one-on-one or group training together with procedures and reference guides are available. Please contact RMO on ext. 2259 or via email rmo@une.edu.au to arrange a time that suits your needs.

Self-paced online training is also available.

For TRIM you will need to register here for an account.

Records Management (from NSW State Archives and Records)

Recordkeeping and you: supervisors and managers

Framework for records and information management in NSW

Recordkeeping concepts

Recordkeeping and you

Approved Business Systems

The UNE Business Systems which are considered Approved Business Systems (for the purposes of the Records Management Rule) are:

- Callista Student Management
- FinanceOne
- Ascender HRS

The Checklist for assessing Business Systems is available on the State Archives & Records website.

Business systems have replaced traditional paper-based ways of doing business.   Sadly, from a recordkeeping perspective not all systems are designed, configured and monitored to create or manage records. If a business system supports high risk business operations such as financial management, HR & Student support, project management, significant investments, high profile activities, legal matters etc., then it is important these systems are able to create full and accurate records of these operations.

Business systems don't always create "data in context" which limits evidentiality and understanding. Data in some systems can be overwritten, changed or deleted.   Some systems are configured to only retain data for limited periods of time or to keep limited metadata, which inhibits information accessibility, use and understanding.   Business systems don't generally tag which information within them needs to be kept and which can be thrown away. With some there are no audit trails or they are designed to only perform short term business operations and to leave no lasting, understandable record of what these operations were. These systems are also changed and upgraded regularly - these frequent changes can corrupt, delete or alter business information.

Without recordkeeping functionality, integrity, accessibility, authenticity and useability of the information generated by business systems can be questioned.   If these systems are supporting high risk, long term or strategic business operations, this impacts our ability to account for our actions, both immediately and in the longer term.

With existing systems, to ensure you have the records you need in the short and long term you can:

- configure business systems so they are able to make and manage full and accurate records
- ensure the business system has the capacity to export data which can be captured and managed in the corporate recordkeeping system, TRIM
- integrate business systems with TRIM and automate record capture in defined workflow processes
- run regular, defined reports from databases and capture these in TRIM

Note: It is important not to assume that records can be recreated by re-querying business systems. Data may be changed or deleted over time and the system configuration may change. This will affect the ability to perform the same searches and the integrity of search results.

BEFORE moving to any cloud based business or storage environments, Senior Executive and their project managers need to carefully assess and mitigate recordkeeping risks. The University must

conform to the requirements of [General authority for transferring records out of NSW for storage with or maintenance by service providers based outside of the State (GA 35).](#)   We must ensure the quality and trustworthiness of records are not compromised in the cloud environment and that data export capacities ensure that records and their metadata can be returned to UNE at any stage in accessible formats.

Identifying recordkeeping requirements

There are three main types of recordkeeping requirements:

- Legislative
- Operational
- Public

Recordkeeping requirements may be stated explicitly in laws, regulations and other instruments of authority such as disposal schedules and standards published by NSW State Archives & Records, or may be implied by the environments in which the University operates.

What is a record?

A record is any information that is created, received and maintained as evidence and information by an organisation or person in pursuance of legal obligations or in the transaction of business. (Australian Standard ISO15489 - Records Management)

The State Records Act 1998 defines a record as: *Record means any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process, or in any other manner or by any other means. State record means any record made and kept, or received and kept, by any person in the course of the exercise of official functions in a public office, or for any purpose of a public office, or for the use of a public office, whether before or after the commencement of this act.*

Records come in different forms, including paper and electronic documents, drawings, maps, plans, photographs, SMS / Text messages, voicemail, microforms, audio / video recordings, and database entries. Format is irrelevant – paper, digital, carved in stone – it doesn't matter. It is the **CONTENT** that determines a record - if it contains evidence of business activity, decisions made or actions taken on behalf of the University of New England, it is a record.

> It is the **CONTENT** that determines a record - if the item contains evidence of business activity, decisions made or actions taken on behalf of the University of New England, it is a record.

The following are some examples of records:

- Agendas, minutes and business papers of meetings of formally established University boards and committees including ad hoc committees and working parties
- Students' academic transcripts
- Decisions made by employees which are recorded in memoranda, letters, email messages, reports etc.
- Financial transactions held electronically or in hard copy format
- Personnel transactions (offers of employment, reports on performance and other dealings between employees and the University)

- Course and Unit outlines
- Applications and other forms completed by students
- Decisions conveyed to students by mail or electronically
- Lecturers' grade lists and assignment mark lists held electronically or in hard copy
- Research grant applications
- Research ethics approvals
- Contracts / Agreements
- Master copies of UNE publications
- Policies, Procedures and Guidelines created by the University

Please refer to the comprehensive listing found on the RMO website showing University records that must be managed in TRIM or an approved business system with recordkeeping functionality.

When does a document become a record?

Not all documents/information are considered a record. A document becomes a record at the point in its lifetime when it:

- is sent to others for comment, advice or approval;
- contains evidence of a decision making process; or
- contains evidence of business activities.

Some documents and emails are automatically records as they are transmitted in the course of business. However, not all records will have long term value and not all need to be kept for an extended period of time.

What records should I capture?

If you are the author or addressee (from an external source), it is your responsibility to create a record. If it is already captured as a record, then you don't need to keep copies. If your records provide evidence to support an official business function, they need to be managed as official records and stored in TRIM.

Determine who is responsible for keeping the official record. Business units may hold copies of information, but is your area responsible for keeping the official record? Are you responsible, or is a team member responsible? If you are the originator of the records or your business unit is responsible for the function the records support, create an official file and store these records in TRIM.

The importance of a piece of information is not always apparent when it is first created. If you answer yes to any of the questions below then the information is to be considered as a record and captured into an approved recordkeeping system:

- Is there a statutory requirement to make or keep particular records?
- Are there any financial or legal implications that may come under scrutiny to ensure accountability?
- Is this information required for reporting purposes to internal or external bodies?
- Is this evidence of a decision which sets a precedent?
- Is this evidence of a decision which will impact on another individual, office or the University as a whole?

- Is this evidence of a decision which needs or may need supporting evidence or a record of the decision and/or decision making process?
- Is this evidence of a change to policy, procedure or methodology?
- Is this evidence of a business transaction or agreement?
- Does the transaction have to be approved by a more senior officer, committee or specialist section?
- Does this authorise or approve an action?
- Is this formal advice or an instruction I gave or received?
- Is this information likely to be of value or importance to others outside your immediate working environment?
- Is the information likely to be of historical or cultural value to future generations?
- If I left my job tomorrow, would my replacement need this information?
- Is the record of interest or importance to others outside of my School or Business Unit?
- Are there financial or legal implications which may come under scrutiny to ensure accountability, (by the Auditor-General, Ombudsman, Administrative Appeals Tribunal?)

When to capture a record

Information should be captured at creation, rather than at a later stage. If a delay occurs, continuity and contextual information is often lost, reducing the evidentiary value and usefulness of the record. This makes it harder to establish the integrity of a record and can hinder the decision making processes, especially if it affects other areas of the University.

The purpose of the Records Management Program is to have complete and accurate records, to have knowledge of their existence, know who holds them and the tools to be able to retrieve these records regardless of where in the University they are created.

When to create a record

It is important to create records of conversations through telephone, video conference, SMS or face to face if business decisions were made and there is no documentary evidence to follow such as a letter or memo.

Examples include conversations that:

- Convey the primary response from the University to another organisation, a staff member, a media representative or a Student (i.e. instances in which a response may not be confirmed in writing), such as a verbal agreement, authorisation, directive or formal/legal advice; or
- Represent complaints from a member of the public requiring further investigation.

Create a written record of these conversations in the form of a file note or follow-up email and circulate it to the other participants to ensure they agree that it is an accurate reflection of the conversation.

Ephemeral (short-term value) records

Ephemeral or Short-Term Value records are records which are used to facilitate University business but are of a trivial nature or of such short-term value that they do not need to be retained once reference has ceased. They do not need to be captured into a recordkeeping system and can be freely destroyed when no longer needed without listing them into an approved recordkeeping system. If you are unsure of what constitutes a record of short term value, please contact RMO.

Examples of ephemeral record types include:

- Notes/Calculations used in the preparation of other records such as correspondence, reports, budget documents etc.
- Drafts of documents relating to matters of minor importance which have not been circulated for comment/approval, do not provide evidence of significant decisions, reasons and actions or significant information not contained in the final document. Drafts which document matters such as rationale behind university policy and certain legal issues, and those drafts which are circulated for comment, should be incorporated into the recordkeeping system.
- Copies made from records held elsewhere in the University in any format. These include duplicate minutes, agendas, computer printouts of information contained in an electronic recordkeeping system, copies of internal circulars, abstracts or copies of formal financial records maintained for convenient reference, reference copies of film, video, microfilm or microfiche.
- Records and publications from outside sources that are kept solely for reference, such as invitations to functions, copies of other university annual reports, unsolicited promotional literature for goods and services, catalogues and published documents.
- Audio Recordings that are used in preparation of other records or in preparation of minutes and transcripts of formal proceedings, not covered by any stipulation set by the University.
- Transmittal messages and other conversational documentation, which do not record business transactions of the university or formal communication between staff members. These may include: informal transmission messages on with compliments slips; sticky notes; email and facsimile cover notes; facsimile or telephone messages of a routine or trivial nature; and informal email.
- Appointment diaries and meeting schedules which may be maintained on electronic systems that do not record significant matters such as notes of discussions and meetings, case notes etc.
- Copies of personal documents, and documents containing personal information, acquired by the university which are not required on a continuing basis to support the business transactions to which they relate - such as copies of birth certificates, drivers' licences, marriage certificates, copies of references, copies of qualifications, change of address notices.

Personal records

Personal records and correspondence are records which are of a personal nature and have no relevance to the business of the University. Examples include: 'Let's do lunch', personal/family arrangements or CVs.

The University allows for personal information to be retained by an individual. UNE has provided a specific directory (the H Drive) to store this type of information. A folder or folders should be

identified in your email Inbox to identify your personal information. Business information should not be included in these personal areas. If correspondence incorporates both personal and work-related information, then the correspondence is a University record and should be saved into a formal recordkeeping system.

Record formats

Electronic records

UNE conducts most of its business electronically. It is therefore necessary to create and manage information in electronic format. Electronic transactions are no different from their paper counterparts in that they need to be recorded, captured in a fixed form, maintained and made accessible as records. Electronic records must remain available, accessible, retrievable and usable for as long as a business need exists, or as long as legislative, policy and archival requirements provide, whichever is longer.

Approved Recordkeeping systems are secure from unauthorised access or modification that could result in "irrecoverable loss of records and data". Error or equipment failure can result in deliberate or inadvertent corruption or deletion. Back up procedures should provide a security precaution against loss, corruption and unauthorised access.

Storage media should be tested regularly to check for degradation and information should be transferred to new storage media before loss of quality or technological obsolescence occurs.

Any records of ongoing value created or received electronically, including word processed documents and emails, should be captured into TRIM.

Once electronic documents (including emails) are captured into TRIM they can be deleted from your machine. The disposal of electronic documents and electronic mail must be undertaken in compliance with the State Records Act 1998.

Email records

Electronic records include email messages which may need to be retrieved at a later time or which have been identified as constituting a record of the University's official work.

Email records, printed or not, are records under the [Government Information (Public Access) Regulation 2009 (NSW)](#) and are "discoverable" in litigation. They can be produced in court by subpoena and are subject to copyright, privacy and defamation legislation. In order to maintain their value as evidence, email messages must be inviolate. This requires that they are maintained in a system which prevents them from being altered or manipulated from their original state.

Emails of ongoing value must be captured into TRIM (or an approved business system).

Capture key emails as soon as possible after you send or receive them, rather than waiting until the end of the email thread. Although the final email in a thread may quote the previous emails, this is by no means certain if the thread branches and there is no way of determining whether the quoted text was altered from the original – it is easy to edit or delete text from an email.

Web sites

The University web site is not a recordkeeping system as it only retains information for the period it is published. University web sites have similar retention rules to those for publications and as such, must be maintained and preserved. Information published on the web such as policy, procedures and guidelines must be captured into a recognised recordkeeping system. The record is required to be updated each time a new version is published.

The University Web site is published using the Content Management System (CMS), Squiz. Squiz is an automated web processing solution, not a recordkeeping system and, despite incorporating version control, is unable to capture and maintain a proper record of a website over time

The CMS is not integrated with the corporate recordkeeping system so there is no direct link to records management tools, therefore records must be maintained within the system until examined and sentenced in accordance with an authorised disposal schedule

Web 2.0 and social media

Web 2.0 is about interactive information sharing, interoperability, user-centred design and collaboration. These include but are not limited to blogs, wikis, social networking systems, collaborative editing tools, instant messaging and podcasts.

Any of these mediums may create University business records and care must be taken to ensure that any records are managed as such. Considerations include:

- Was it made, sent or received in the course of business?
- Does it document a decision taken?
- Does it document advice given?
- Does it require the process of arriving at a decision?
- Is it required to be kept by legislation?

A risk assessment should be undertaken in relation to the content of web 2.0 technologies to ensure integrity, security and long term preservation of records. These applications are not designed for information capture and maintenance so appraisal is required before implementation.

Paper records

Paper is still used for records and even business units that now conduct their business electronically will have legacy paper records. Paper records need to be recorded, captured in a fixed form, maintained and made accessible as records. Paper records must remain available, accessible, retrievable and usable for as long as a business need exists, or as long as legislative, policy and archival requirements provide, whichever is longer.

Managing records

Who owns University records?

The University owns all records created and received by individual employees as part of their day to day business. This includes research data, teaching materials and correspondence.

Who manages University records?

University records are managed by the business units that deal with the contents or subject matter of the records. For example, Secretariat manage the records of Council & Academic Board, Human Resource Services manage all staff records, while Student Centre are responsible for all student records.

RMO manages records from nominated areas of the University Senior Executive and administrative areas which include legal agreements, contracts and other business documents.

Containers / Folders / Files

All records relate to a function or activity of UNE. Containers house records that have common subject matter, security and retention values, in the one location. Records may be hard copy, virtual/electronic or a combination of both, referred to as hybrid containers. Records are enclosed in a container to ensure that they are:

- protected against loss and/or deterioration
- registered using the classification scheme (controlled language) to aid retrieval
- classified with a records disposal schedule to assist with the retention and disposal decisions
- tracked to ensure that the folder is easily retrievable
- made available for future reference

Corporate Recordkeeping System

What is a recordkeeping system?

A recordkeeping system is software which captures, manages and provides access to records through time. These records can be either in electronic or paper form.

A recordkeeping system should:

- routinely capture all records within the scope of the business activity it covers
- organise the records in a way that reflects the business processes of the records creator
- protect the records from unauthorised alteration, destruction or transfer
- routinely function as the primary source of information about actions that are documented in the records
- provide an audit trail of who has viewed or altered a record and when
- provide ready access to all related records and related metadata.

What is recordkeeping metadata?

Recordkeeping metadata enables you to describe records, people and business activities in a suitable amount of detail to ensure:

- better information accessibility
- improved records management
- greater accountability in business operations

A number of everyday activities involve the capture of metadata about records or rely on metadata being available. Examples include:

- identifying personal information that must be protected under Privacy legislation
- accessing documents sought under GIPA legislation
- transferring records to another organisation as a result of administrative change or privatisation (i.e. National Marine Science Centre transferred to Southern Cross University)
- tracking correspondence
- identifying vital records as part of disaster planning
- transferring permanent records to NSW State Archives & Records
- documenting the destruction of records

Metadata is a way of codifying information needed to use and access records. The elements below document five types of information:

- What records do we have?
- Where are the records?
- What do the records relate to?
- Who can access the records?
- How are the records managed?

The metadata captured by HP TRIM meet the requirements of both the Australian Standard, Information and documentation, *Managing metadata for records AS/NZS 23081.3-2012* and the NSW State Archives & Records, NSW Recordkeeping Metadata Standard

Titling & Naming records

Business units must determine the naming conventions to be used for the records they save to TRIM. The principles outlined below will ensure the records can be located.

- Be descriptive and concise.
- Be consistent whatever conventions you use for naming your documents.
- Do consult with your users how the documents will be searched and retrieved later on.
- Do indicate version numbers, draft and final if the documents require version control.
- Do not use any punctuation symbols character such as: \ / < > | " ? [ ] ; = + & $ in the title.
- Do not use abbreviations without also spelling out the abbreviated words. The meaning of abbreviations change or are forgotten over time.

Once a naming convention has been decided, please take the following into consideration:

What are the search criteria / strings I would use if I were to look for these records? i.e. surname, subject, date, document types, etc.

What are the most important key elements I need to include in the document title? i.e. keywords that will be searched for should be in higher order than the rest.

It is recommended you use 5 December 2015 as the date format if added to the document titling – if you choose to use DD/MM/YYYY make certain all staff stick to it. For dates to be of use in document titling they must be consistent.

Examples of descriptive titling

- Email from Bill Smith to Prof Spock HP TRIM Licencing
- Email from Bill Smith to Jill Williams Special Studies Program SSP Recordkeeping 21 June 2017
- Email from Bill Smith to Jill Williams XXX XXX as acting XXX
- Email from Bill Smith to Legal 22002XXXX BROWN Dot Point 4 - Para 28 - NO RECORDS FROM RMO 15 August 2016
- Email from Legal to Bill Smith URGENT BROWN V UNE, 15 August 2016
- Email from Bill Smith to Jill Williams Hewlett Packard HP EOFY offer with quote for extra TRIM seats
- Email from Bill Smith to CLG Jill Williams Departure of XXX XXX securing UNE records
- Email from Jill Williams to Sam Durward cc Bill Smith Departure of XXX securing UNE records in particular TEQSA re-registration
- Email from Bill Smith to Jill Williams HP TRIM Records - Head XXX XXX and XXX
- Email from Bill Smith to Jill Williams HPE TRIM / Content Manager - Licence Cost
- Email from Bill Smith to Jill Williams cc George Citizen TRIM folder - UNE Life safety and security takeover project with access restrictions/locations
- Email from Bill Smith requesting invoice be paid.
- 2013 Plagiarism Annual Report - Report to XXX XXX Academic Board from Bill Smith
- Authority from Bill Smith to issue PO
- Email trail Bill Smith Jill Williams Scholarships
- Email from Jill Williams to Bill Smith Brown v UNE Legally Privileged and Confidential - URGENT

Student Records must be titled as <Student Number> <Surname> <Descriptive Title>

Example:

- 202XXX011 EXAMPLE1 Carla BEDPRM Advanced Standing Application SRM S2 2011
- 202XXX039 EXAMPLE2 Denise BEDEC Show Cause Outcome 2010/2011
- 204XXX021 EXAMPLE3 Erin BA Advanced Standing Application S1 2011 Transfer Arts
- 204XXX021 EXAMPLE3 Erin BA Advanced Standing Application S2 2011
- 205XXX316 EXAMPLE5 Offer Letter MTCHPM S1 2011
- 205XXX890 EXAMPLE6 Robert Scott Student Enrolment Form 2011
- 205XXX226 EXAMPLE7 Abdel GSB781
- 220XXX276 EXAMPLE8 Timothy S1 2011 Replacement Offer Letter GDED
- 220XXX499 EXAMPLE9 Renata BLAWS Advanced Standing Application S2 2011 Law
- 220XXX499 EXAMPLE10 Renata BLAWS Advanced Standing Application S2 2011
- 220XXX543 EXAMPLE11 Elizabeth - Request To Enrol In Five Units in Semester One 2011
- 220XXX555 EXAMPLE12 Late Application for PMTH339
- 220XXX877 EXAMPLE13 Kate Amended Grade PREX395

- 220XXX003 EXAMPLE14 Jean HHSC 247 S2 2010 Result Amendment Form
- 220XXX920 EXAMPLE15 Tamika HBPSYC ASA Outcome Letter S1 2011
- 220XXX036 EXAMPLE16 Khashman K Alenezi SCI502 S2 2010 Result Amendment Form
- 220XXX155 EXAMPLE17 Michelle Course Rules and Choosing Subjects
- 220XXX294 EXAMPLE18 Christina Med ASA Outcome Letter S1 2011

Access and security of records

All staff can access the records they require to conduct the operational requirements of their position. There may be specific legislation and policies that govern accessibility of some information. Records that contain personal, commercial or operationally sensitive information will be identified and locked-down to ensure that only those staff with a business reason to access the information will be able to do so.

Paper Folders/files and documents

Physical official folders are not to be taken off campus without authorisation from the Chief Legal & Governance Officer. It is preferable that copies be made for this purpose and identified as such. Where original records are required (e.g. for legal matters in the case of litigation) the Records Management Office must be advised before the records leave the University, to ensure appropriate record security and tracking is completed and follow ups for return of files/folders can be made.

Appraisal, retention and disposal of records

The process of retention and disposal is automatic when records are registered in TRIM as the retention schedule is applied at the time of Container / File creation which is then reviewed prior to disposal / Archive date. If your records are managed in TRIM, retention, disposal & destruction is an automated process managed by RMO.

Records of business activities may only be deleted if they are authorised for destruction by the State Archivist. These authorisations will usually be issued in "Records Retention and Disposal Schedules" and apply to records irrespective of their format.

Appraisal is the process to determine which records need to be created and captured into recordkeeping systems and how long the records need to be kept to meet business needs and our requirements for accountability and community expectations. This includes determining which records should be kept as part of our collective memory and cultural heritage.

Decisions on how long records are retained is based on the recordkeeping requirements of the record. In addition to regulatory, business and stakeholder requirements, the potential research value of the records should also be considered as this is a significant aspect of community stakeholder expectations. Many records created for a specific purpose have an intrinsic value unrelated to the reason for their creation.

Records identified for permanent retention (State Archive) are likely to be those which:

- provide evidence and information about the University's policies and actions
- provide evidence and information about the University's interaction with stakeholders
- document the rights and obligations of individuals and business areas
- contribute to the building of the University's memory for scientific, cultural and historical purposes
- contain evidence and information about activities of interest to internal and external stakeholders.

Responsibilities

All UNE employees have a responsibility to ensure University records that they create and receive as part of their business role are complete, accurate and managed in accordance with the Records Management Rule.

The Vice Chancellor and Senior Management Team have overall responsibility for ensuring that the University fulfils its legal and business obligations in relation to recordkeeping and that adequate resources are available for managing and maintaining University records.

Heads of Business Units are required to facilitate and promote the establishment and resourcing of appropriate record keeping systems in accordance with University Policy and Procedures. Heads of Business Units are to ensure that staff members have a clear understanding of recordkeeping requirements for their business area and provide adequate training and education. They are responsible for ensuring records are disposed of in accordance with authorised disposal schedules, and for certification of entries made in each of the business units Register of Records Destroyed.

The Records Management Office is responsible for issuing policy, procedures and guidelines, education, training and advice to assist areas to conform to the requirements for University recordkeeping and to meet their responsibilities and compliance requirements of the State Records Act 1998. RMO is also responsible for the configuration, development, implementation, training and support for the corporate Recordkeeping software, TRIM. In addition it provides operational support to nominated areas of the University, which include business areas such as the Vice Chancellor's Office and Senior Executive.

Information Technology Department is responsible for maintaining the network, databases and systems on which records and information is stored.

CATEGORY	DESCRIPTION
COMMITTEES	Records relating to international committees where UNE provides the state or national representative. Records include: • records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. • records of nomination, appointment, resignation or termination of members • authorisations by UNE to participate • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed.
COMMITTEES	Records relating to inter-government committees where the University provides the State representative, e.g. Committees or Councils of State and national committees consisting of heads of government organisations, Ministers or statutory offices e.g. Solicitor Generals, Police Commissioners. Records include: * records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. * records of nomination, appointment, resignation or termination of members * authorisations by the University to participate * agenda and minutes * advice and briefing papers * submissions and reports * recommendations and resolutions * correspondence arising from business discussed or resolutions passed.
COMMITTEES	Records relating to inter-agency or external committees where (1) the University provides the secretariat and (2) the committee was established for the purposes of strategic planning or policy development and considers issues impacting on the core functions or responsibilities of the University. Records include: * records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. * records of nomination, appointment, resignation or termination of members * authorisations by UNE to participate * agenda and minutes * advice and briefing papers * submissions and reports * recommendations and resolutions * correspondence arising from business discussed or resolutions passed.
COMMITTEES	Records relating to inter-agency or external committees where (1) the University does not provide the secretariat or (2) where UNE provides the secretariat but the Committee considers operational matters or matters relating to administrative or non-core functions of the University. Records include: * records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. * records of nomination, appointment, resignation or termination of members * authorisations by the University to participate * agenda and minutes * advice and briefing papers * submissions and reports * recommendations and resolutions * correspondence arising from business discussed or resolutions passed.
COMMITTEES	Records relating to internal committees established for strategic planning or policy development purposes which consider significant issues impacting on the core functions or responsibilities of the University. Records include: * records of the establishment of the committee, its terms of reference, memoranda of understanding, etc. * records of nomination, appointment, resignation or termination of members * agenda and minutes * advice and briefing papers * submissions and reports * recommendations and resolutions * correspondence arising from business discussed or resolutions passed.
COMMITTEES	Records relating to internal committees which form part of consultative arrangements with staff regarding working conditions, e.g. occupational health and safety committees, workplace relations committees. Records include: * records of the establishment of the committee, its terms of reference, etc. * records of nomination, appointment, resignation or termination of members * agenda and minutes * advice and briefing papers * submissions and reports * recommendations and resolutions * correspondence arising from business discussed or resolutions passed.
COMMITTEES	Records relating to internal committees which consider operational matters and issues concerning the administrative or general operational support functions of the University. Excludes committees which form part of consultative arrangements with staff regarding working conditions or occupational health and safety issues. Records include: * records of the establishment of the committee, its terms of reference, etc. * records of nomination, appointment, resignation or termination of members * agenda and minutes * advice and briefing papers * submissions and reports * recommendations and resolutions * correspondence arising from business discussed or resolutions passed. Note: There may be some records relating to committees dealing with operational matters that warrant retention as State archives, particularly where the records of the committee document decision making by the University with respect to its core functions or responsibilities, e.g. the records of grants or funding committees where the University has a functional responsibility for the disbursement of significant amounts of funding to industry, community groups or a particular sector, e.g. the records of registration or approval committees or panels where the University has a responsibility for licensing the conduct of certain activities or the registration of certain professions. Note: Retention period is a minimum only and staff should carefully consider whether the nature of these records would require a longer retention period.
COMMITTEES	Records relating to meetings of advisory or consultative committees, councils, etc., i.e. committees consisting of external stakeholder representation, which advise on or oversee the operations of, or delivery of services within the University or which provide advice to the Minister or Government on policy, priorities or strategy. Includes committees established by the University, committees required to be established by legislation or where the Premier or Minister establishes the committee and/or appoints its members. Records include: • records of the establishment of the committee, its terms of reference, etc. • agenda and minutes • advice and briefing papers • submissions and reports • recommendations and resolutions • correspondence arising from business discussed or resolutions passed • major publications, reports and discussion papers.

CATEGORY	DESCRIPTION
COMMUNITY RELATIONS - Acquisition	Records relating to the acquisition of services to support the conduct of community, public relations, marketing or public profile raising activities, e.g. newspaper cutting or media monitoring services, where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include: * requests for quotes and orders * minutes or notes of meetings with service providers * performance and evaluation reports * related correspondence.
COMMUNITY RELATIONS - Addresses	Transcripts of final versions of addresses, speeches or papers delivered as part of lecture series held by University.
COMMUNITY RELATIONS - Addresses	Transcripts of final versions of addresses delivered by the Minister in their capacity as Minister or as a representative of the Government.
COMMUNITY RELATIONS - Addresses	Transcripts of final versions of addresses, speeches or papers delivered by members of governing bodies, the Vice-Chancellor, chief or senior executives of the University at significant occasions or public events, including conferences.
COMMUNITY RELATIONS - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements supporting the conduct of community, public relations, marketing or public profile raising activities, e.g. sponsorship agreements, agreements regarding the use of corporate logos, agreements relating to joint ventures. Records include: * correspondence and negotiations including minutes or notes of meetings with main stakeholders or parties to the agreement * drafts containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements. Note: In some cases agreements may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement, e.g. a contract to undertake research may specify how long the agent carrying out the research is required to retain the data on which research findings are based. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.
COMMUNITY RELATIONS - Celebrations, ceremonies, functions	Key records relating to celebrations, ceremonies and functions of State significance or of major importance to the University, e.g. those marking major anniversaries of significant structures or events (50th Anniversary of UNE) Records include: * programs * guest lists * selected official photographs of the event * reports.
COMMUNITY RELATIONS - Celebrations, ceremonies, functions	Key records relating to celebrations, ceremonies and functions that are not of State significance or of major importance to the University, e.g. receptions, openings and fundraising dinners. Records include: * programs * guest lists * official photographs of the event * reports.
COMMUNITY RELATIONS - Celebrations, ceremonies, functions	Records relating to awards, prizes or honours received by the University, e.g. tourism industry awards, Premier's awards. Records include: * correspondence concerning receipt of awards and presentation ceremonies * certificates of awards. Note: If the award is an object it is not a State record, and is not covered by this Authority.
COMMUNITY RELATIONS - Conferences	Final, approved versions of published or unpublished proceedings, reports and addresses from conferences, seminars or forums arranged by the University. Includes inter-agency and government conferences.
COMMUNITY RELATIONS - Donations, sponsorships and fundraising	Records relating to significant sponsorships, and donations or bequests of money, items, artefacts or property that are of State significance, ongoing benefit or subject to public interest or debate.
COMMUNITY RELATIONS - Donations, sponsorships and fundraising	Records relating to sponsorships, donations or bequests of money, items, artefacts or property that are not of State significance, ongoing benefit or subject to public interest or debate. Includes records relating to donations of money or goods made by the University to other organisations, including charities.
COMMUNITY RELATIONS - Evaluation	Records relating to the evaluation of potential or existing community relations programs, services or initiatives. Records include: • surveys of customers regarding potential or existing services • analysis of services • reports on evaluations.
COMMUNITY RELATIONS - Joint ventures	Records relating to the joint ventures undertaken with other organisations (government or non-government) for the purposes of raising or maintaining the profile of the University or a particular service or program. Includes negotiations for joint ventures that do not proceed. Records include: * correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants * monitoring of arrangements * reporting on arrangements.
COMMUNITY RELATIONS - Marketing	Records relating to campaigns or advertising to raise or maintain the University's public profile, to fundraise, or to advertise a particular service, product, program or event. Records include: * marketing plans * publicity records regarding campaigns/advertising * promotional photographs and negatives used in campaigns/advertising * market research * the mounting of exhibitions, displays and shows including background research, briefs and designs, construction records, exhibition catalogues.
COMMUNITY RELATIONS - Marketing	Records relating to the process of seeking sponsorship or patronage. Records include: * reports and discussions analysing assets, existing sponsorship arrangements, potential sponsors and market opportunities * approaches to companies for strategic alliances or sponsorship arrangements.
COMMUNITY RELATIONS - Marketing	Records relating to sponsorship and patronage programs by the University that are proceeded with.
COMMUNITY RELATIONS - Media relations	Final, approved versions of media releases issued by the University.
COMMUNITY RELATIONS - Planning	Final, approved versions of community relations plans and associated correspondence indicating who the plans apply to and responsibilities for their implementation.

CATEGORY	DESCRIPTION
COMMUNITY RELATIONS - Policy	Final, approved versions of community relations policies, e.g. policies regarding marketing activities, advertising or sponsorship, community or media liaison, membership of professional associations, etc., and associated correspondence indicating who the policies apply to and responsibilities for their implementation.
COMMUNITY RELATIONS - Procedures	Final, approved versions of manuals, handbooks, directives, etc., detailing the University's procedures regarding community relations and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.
COMMUNITY RELATIONS - Public reaction	Records relating to complaints or suggestions that require investigation or a specific response. Includes records of receipt, investigation and response and summary records facilitating the monitoring and tracking of complaints received and their handling, e.g. complaints registers. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
COMMUNITY RELATIONS - Reporting	Records relating to formal reports regarding community relations activities, programs or services. Records include: * background research, e.g. surveys of clients * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
COMMUNITY RELATIONS - Reviewing	Records relating to the review of community relations programs and services. Records include: * documents establishing the review * background research, e.g. client surveys * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final versions of approved reports * project or action plans.
COMPENSATION - Claims	Records relating to an employee's claim for workers' compensation where an incident has resulted in serious personal injury or incapacity. Records include: * incident/injury records * notifications to insurer, employer's reports of injury and supporting documents * records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted * claims for compensation and other related documentation, e.g. statements of witnesses * records of acceptance or denial of claim from insurer * correspondence and advice regarding the case, e.g. from the insurer, employee, doctors, injury management advisor or WorkCover NSW, including minutes or notes of meetings * reports, e.g. progress reports, assessments * medical certificates and other medical reports * claim reviews * records of disputes, including medical disputes, and conciliation * records of the outcomes of appeals, e.g. orders * agreements between parties * records relating to payment by the insurer * records of acquisition of services of case managers * injury management plans for injured employee * rehabilitation providers' reports * details of vocational retraining or workplace adjustment if required * medical certificates and reports * return to work plans * records of disputes over injury management or return to work, and mediation * records regarding fitness to continue assessment and medical retirement. Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant. Note: if date of birth is unknown assume the person was 15 years at the time of the accident.
COMPENSATION - Claims	Records relating to a claim for compensation in relation to an incident resulting in the death of an employee.
COMPENSATION - Claims	Records relating to an employee's claim for workers' compensation where an incident has not resulted in death, serious personal injury or incapacity. Records include: * incident/injury records * notifications to insurer, employer's reports of injury and supporting documents * records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted * claims for compensation and other related documentation e.g. statements of witnesses * records of acceptance or denial of claim from insurer * correspondence and advice regarding the case, e.g. from the insurer, employee, doctors, injury management advisor or WorkCover NSW, including minutes or notes of meetings * reports, e.g. progress reports, assessments * medical certificates and other medical reports * claim reviews * records of disputes, including medical disputes, and conciliation * records of the outcomes of appeals, e.g. orders * agreements between parties * records relating to payment by the insurer * records of acquisition of services of case managers * injury management plans for injured employee * rehabilitation providers' reports * details of vocational retraining or workplace adjustment if required * medical certificates and reports * return to work plans * records of disputes over injury management or return to work, and mediation * records regarding fitness to continue assessment and medical retirement. Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant, but it is likely to occur within the retention period. Consideration may need to be given to retaining these records longer in some circumstances.
COMPENSATION - Claims	Records relating to compensation claims for personal injury made by members of the public, including work experience students and volunteers or other persons who are not employees. Records include: * incident/injury records * notifications to insurer, reports of injury and supporting documents * records of acceptance or denial of provisional liability from insurer and arrangement for payments when accepted * claims for compensation and other related documentation, e.g. statements of witnesses * records of acceptance or denial of claim from insurer * correspondence and advice regarding the case, including minutes or notes of meetings * reports, e.g. progress reports, assessments * medical certificates and other medical reports * claim reviews * records of disputes, including medical disputes, and conciliation * records of the outcomes of appeals, e.g. orders * agreements between parties * records relating to payment by the insurer. Note: These types of claims are dealt with under third party insurance through the insurer.
COMPENSATION - Claims	Records relating to compensation claims for (a) damage to personal property or (b) loss suffered as a result of the University's actions. Records include copies of claims, reports and related correspondence.
COMPENSATION - Compliance	Records relating to breaches of compensation compliance requirements that do not result in litigation, e.g. breaches of requirements for insurance or self-insurer licence conditions etc. Includes penalties.
COMPENSATION - Insurance	Insurance policies taken out by the University to protect against risk of claims for personal injury or property damage, e.g. workers compensation insurance, professional indemnity insurance, including information provided for renewals.
COMPENSATION - Insurance	Records relating to obtaining a licence for the University to self-insure and/or manage its own compensation liabilities. Records include: * records regarding the application process and advice of its outcome * records of audits as part of the process of seeking accreditation.
COMPENSATION - Policy	Final, approved versions of policies relating to the provision of compensation, rehabilitation and injury management, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Includes policies relating to return to work programs developed by the University and copies of the injury management program established by the insurer. Note: Evidence of policies in place at a particular time may be of relevance for future claims or legal action involving the University. This may be the case for some rehabilitation and injury management matters. Staff should consider known or potential risks, which may be identified in risk assessments, when deciding if records of policies need to be retained for longer periods.

CATEGORY	DESCRIPTION
COMPENSATION - Policy	Records relating to the development and review of the University's compensation, rehabilitation and injury management policies. Records include: * policy proposals * background research * draft versions of policies containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.
COMPENSATION - Procedures	Final, approved versions of the University's manuals, handbooks and directives etc detailing approved procedures relating to the provision of compensation, rehabilitation and injury management, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Includes procedures relating to return to work programs developed by the University. Note: Evidence of procedures in place at a particular time may be of relevance for future claims or legal action involving the University. This may be the case for some rehabilitation and injury management matters. Staff should consider known or potential risks, which may be identified in risk assessments, when deciding if records of procedures need to be retained for longer periods.
COMPENSATION - Procedures	Records relating to the development and review of the University's compensation, rehabilitation and injury management procedures. Records include: * background research * draft versions of procedures containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.
COMPENSATION - Reviewing	Records relating to the review of the University's compensation, rehabilitation and injury management programs and operations. Records include: * documents establishing the review * background research, e.g. analysis of compensation and rehabilitation data and accident investigation outcomes to establish trends * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
CONTRACTING-OUT	Records relating to the hiring and use of consultants, contractors, vendors, suppliers, employees from external bureau services or the services of shared service providers. Records include: * determinations of the need for services * specifications and conditions of engagement * invitations and receipts of bids * letters of engagement * correspondence and negotiations, including minutes or notes of meetings with main stakeholders * draft versions of agreements containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * performance and evaluation reports * variations to agreements. Note: Specialty contracts include contracts under seal and deeds to property. Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement, e.g. a contract to undertake research may specify how long the agent carrying out the research is required to retain the data on which research findings are based. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions. Note: Limitation periods for contractual agreements or arrangements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.
EQUIPMENT & STORES - Acquisition	Records relating to the acquisition of equipment and stores where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include: * formal requests for quotes and quotes received * business cases and/or approvals * orders * handover reports and goods inwards books * correspondence and negotiations, including minutes or notes of meetings or notes of discussions.
EQUIPMENT & STORES - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision or supply of equipment and stores that do not form part of contracting-out or tendering arrangements, e.g. servicing agreements. Records include: * correspondence and negotiations including minutes or notes of meetings with main stakeholders * drafts exchanged between parties * final, approved versions of agreements * reviews of agreements. Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.
EQUIPMENT & STORES - Audit	Records relating to audits of the University's equipment and stores. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * records of remedial action.
EQUIPMENT & STORES - Claims	Records relating to insurance claims for damage and loss incurred to the University's equipment and stores.
EQUIPMENT & STORES - Compliance	Records relating to the University's compliance with mandatory or optional standards or with statutory requirements regarding the management or use of equipment and stores. Note: The retention period provided is a guideline only. Any records providing evidence of organisational compliance with statutory or mandatory operating requirements should be kept as long as the University has to account for its actions.
EQUIPMENT & STORES - Compliance	Records relating to registering, licensing or obtaining permits for the use of equipment and plant. Records include: * applications for registration or permit, renewals, cancellations or details regarding cancellation or suspension of permits, licences or registration * receipts for payment of fees (if relevant) * copies of permits, licences, certificates of registration * conditions of licensing or registration * applications for review of decisions regarding licensing or registration.
EQUIPMENT & STORES - Disposal	Records relating to the disposal of equipment and stores, including leased equipment and stores, through any means including sale, transfer, auction, exchange, return or destruction. Records include: * written notices and related correspondence, e.g. to and from leasing companies * handover reports * assessments and certifications of value of goods * independent valuation certificates verifying work undertaken on assets prior to valuation * written quotes * approvals to proceed * auction, sale or transfer records * related correspondence.
EQUIPMENT & STORES - Insurance	Insurance policies covering equipment and stores including information provided for renewals and summary records facilitating the management of policies, e.g. registers of insurance policies. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
EQUIPMENT & STORES - Leasing	Records relating to the administration and management of leased equipment, including: * signed copies of lease agreements * reports received from leasing companies.
EQUIPMENT & STORES - Leasing-out	Records relating to arrangements for leasing-out the University's equipment or stores to other organisations. Records include signed copies of lease agreements.

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CATEGORY	DESCRIPTION
EQUIPMENT & STORES - Policy	Final, approved versions of the University's policies relating to the acquisition, disposal, use and maintenance of equipment and stores and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: There may be some policies relating to the acquisition or disposal of equipment that need to be kept for longer retention periods than that specified because they may impact on the University's accountability with respect to the management of assets.
EQUIPMENT & STORES - Procedures	Final, approved versions of manuals, handbooks, directives, etc., detailing procedures regarding the acquisition and disposal, use and maintenance of equipment and stores and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: There may be some procedures relating to the acquisition or disposal of equipment that need to be kept for longer retention periods than that specified because they may impact on the University's accountability with respect to the management of assets.
EQUIPMENT & STORES - Reporting	Records relating to formal external reports regarding equipment and stores. Records include: * background research * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
EQUIPMENT & STORES - Reviewing	Records relating to the review of items of equipment and stores and of systems and processes associated with their acquisition, disposal, maintenance etc. Records include: * documents establishing the review * background research * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * project or action plans.
EQUIPMENT & STORES - Security	Records relating to the loss of or damage to equipment and stores. Records include investigations into theft or intentional damage and referral of alleged incidents to law enforcement authorities.
ESTABLISHMENT - Evaluation	Records relating to the evaluation of positions against existing or planned organisational structures to support corporate requirements and resource needs.
ESTABLISHMENT - Planning	Final, approved versions of plans for the structure/establishment of sections or business units and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
ESTABLISHMENT - Policy	Final, approved versions of establishment policies, e.g. policies regarding classification and grading of positions, establishment and review of positions etc, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.
ESTABLISHMENT - Procedures	Final, approved versions of manuals, handbooks, directives etc detailing the University's establishment procedures, e.g. procedures regarding classification and grading of positions, establishment and review of positions etc, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.
ESTABLISHMENT - Reporting	Records relating to formal reports regarding the establishment or review of organisational structures. Records include: * background research * draft versions of reports containing significant changes/ alterations or formally circulated for comment * final, approved versions of reports.
ESTABLISHMENT - Restructuring	Records relating to the establishment of new organisational structures, or to the review of existing structures and programs which result in significant changes to core functional areas or the University as a whole, e.g. in the event of an amalgamation or change to or transfer of functional responsibilities. Records include: * background research * copies of instruments giving effect to machinery of government changes * draft versions of reports containing substantial changes/alterations or formally circulated for comment * final, approved versions of proposals concerning changes * final, approved versions of Organisational charts resulting from the restructure.
ESTABLISHMENT - Restructuring	Records relating to the review of existing structures and programs which do not result in significant changes to core functional areas or the University as a whole. Records include: * background research * copies of instruments giving effect to machinery of government changes * draft versions of reports containing substantial changes/alterations or formally circulated for comment * final, approved versions of proposals concerning changes. * final, approved versions of Organisational charts resulting from the restructure.
ESTABLISHMENT - Variations	Records relating to the creation, variation, abolition or transfer of positions and assigned duties. Records include: * proposals and authorisations for creation, variation or abolition * minutes or notes of meetings regarding the parameters of new positions or changes to existing positions * position descriptions and statements of duty. Note: Signed copies of position descriptions or statements of duties should be retained for longer periods.
FINANCIAL MANAGEMENT - Accounting	Records documenting the University's financial transactions. Includes revenue, expenditure, debt recovery and deposits.
FINANCIAL MANAGEMENT - Accounting	Records relating to the establishment and management of bank accounts. Includes the closure of accounts.
FINANCIAL MANAGEMENT - Accounting	Records relating to the management of incidental benefits received by employees in the course of their official duties, e.g. frequent flyer points.
FINANCIAL MANAGEMENT - Accounting	Records relating to the assessment and payment of taxation. Includes income tax, fringe benefits tax (FBT), goods and services tax (GST), sales tax, payroll tax, fuel tax and pay as you go (PAYG) withholding. Records include: * tax assessments * business activity statements * tax invoices.
FINANCIAL MANAGEMENT - Advice	Records relating to the provision or receipt of detailed and significant financial advice to executive or senior management, the Minister or other NSW bodies regarding external financial and annual reporting requirements. Includes detailed and high level advice on the application of specific accounting standards and policies, financial or annual reporting legislation and accounting treatments.
FINANCIAL MANAGEMENT - Advice	Records relating to advice regarding general financial management and accounting practices including financial advice concerning routine operational matters, e.g. wage cases, property matters.

CATEGORY	DESCRIPTION
FINANCIAL MANAGEMENT - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements regarding management of the University's financial resources, e.g. credit card contracts. Records include: * correspondence and negotiations including minutes or notes of meetings with main stakeholders * drafts containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements. Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.
FINANCIAL MANAGEMENT - Allocation	Records relating to the allocation of funds from Government and allocations within the University. Includes restrictions and variations to funding allocations.
FINANCIAL MANAGEMENT - Asset register	Registers documenting the assets and/or accountable items in the possession of the University. Note: With paper-based registers, retain minimum of 7 years after last item entered has been disposed of, then destroy. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
FINANCIAL MANAGEMENT - Audit	Records relating to audits of the University's accounts or financial management records, systems and processes which: * identify serious misuse or wastage of public money * set a precedent, and/or * lead to a major change in policies. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of audit reports containing significant changes/alterations or formally circulated for comment * final, approved versions of audit reports * records of remedial action.
FINANCIAL MANAGEMENT - Audit	Records relating to audits of the University's accounts or financial management records, systems and processes which do not: * identify serious misuse or wastage of public money * set a precedent, and/or * lead to a major change in policies. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of audit reports containing significant changes/alterations or formally circulated for comment * final, approved versions of audit reports * records of remedial action.
FINANCIAL MANAGEMENT - Authorisation	Records relating to approvals and authorisations for travel or reimbursement of expenses etc for personnel or others.
FINANCIAL MANAGEMENT - Authorisation	Records of approvals for use and applications for issue of corporate credit or purchase cards.
FINANCIAL MANAGEMENT - Budgeting	Budget estimates, including estimates for expenditure on new policy proposals or programs, and supporting documents prepared for external approval, e.g. by the University's parent department or Minister. Includes variations on estimates.
FINANCIAL MANAGEMENT - Budgeting	Records relating to the development and review of budget estimates. Records include: * budget estimates and supporting documents prepared for internal use * calculations and costings for annual, forward, draft, revised and additional estimates * submissions from business units or offices within the University.
FINANCIAL MANAGEMENT - Compliance	Records relating to the University's compliance with mandatory or optional standards or with statutory requirements regarding financial management, e.g. registration of Australian Business Number (ABN), Australian Company Number (ACN), Data Universal Numbering System Number (DUNS), accounting standards. Note: Retention period is provided as a guideline only. Any records providing evidence of Universityal compliance with statutory or operating requirements must be kept as long as the University has to account for its actions.
FINANCIAL MANAGEMENT - Corruption	Records relating to specific instances of theft, fraud, misappropriation or negligence. Includes: * actual, attempted or suspected fraud, theft, misappropriation or negligence * doubtful debts * irrecoverable revenue, debts and overpayments * recovery of debt * waivering of debt * write offs * deficiencies/losses. Records include: * reports of investigations * records documenting liaison with external authorities.
FINANCIAL MANAGEMENT - Corruption	Records relating to financial management arrangements supporting the University's fraud control plan.
FINANCIAL MANAGEMENT - Evaluation	Records relating to the evaluation of potential and existing financial management programs, systems and services.
FINANCIAL MANAGEMENT - Financial statements	Records relating to the preparation and review of financial statements and summaries. Includes annual statements of assets and liabilities, balance sheets, profit and loss statements, operating statements of financial position and cash flow statements. Records include: * final, signed off statements * working papers and supporting documents needed to explain the methods by which financial statements are made up and adjustments to be made in preparing financial statements. Note: When financial statements and summaries are presented to financial and other committees and placed on file, they should be disposed of in accordance with the relevant entries under COMMITTEES (GA28, 1.0.0).
FINANCIAL MANAGEMENT - Planning	Final, approved versions of plans for the management of the University's financial services, including economic appraisals, etc., and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
FINANCIAL MANAGEMENT - Policy	Records relating to the University's policies for the management of financial resources, including policies on treasury management and accounting. Records include: * policy proposals * background research * records of consultations or meetings * draft versions of policies containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc * final, approved versions of policies * associated correspondence indicating who the policies apply to and responsibilities for their implementation.
FINANCIAL MANAGEMENT - Procedures	Records relating to manuals, handbooks, directives etc detailing the University's procedures for the management of financial resources, including procedures for treasury management and accounting. Records include: * background research * draft versions of procedures containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc. * final, approved versions of procedures * associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

CATEGORY	DESCRIPTION
FINANCIAL MANAGEMENT - Reporting	Records relating to reports regarding the management of the University's finances, e.g. reports to Treasury on yearly premium renewals for insurance policies. Records include: * background research * records relating to the outcomes of consultation with employees, unions, other stakeholders etc * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
FINANCIAL MANAGEMENT - Reviewing	Records relating to the review of financial programs and services. Records include: * documents establishing the review * background research * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * project or action plans.
FINANCIAL MANAGEMENT - Salaries	Records documenting the payment of wages to employees. Note: WorkCover NSW advises that wages consist of total gross earnings (before tax deductions) and some other payments, including:-salary or wages-overtime, shift and other allowances-over-award payments-bonuses and commissions-payments for sick leave, public holidays and the associated leave loadings-the value of any substitutes for cash-employer superannuation contributions-the grossed-up value of fringe benefits-long service leave payments-termination payments-trust distributions to workers where the distribution is in lieu of wages for work done for the trust.
FINANCIAL MANAGEMENT - Treasury management	Records relating to the University's Treasury Management strategy.
FINANCIAL MANAGEMENT - Treasury management	Records relating to operations, and individual appropriations, borrowings, investments and loans to other Universitys or individuals. Note: 'Transaction completed' for records relating to investments and borrowings should be interpreted as when investments are liquidated or matured, or when borrowings are repaid or rolled over.
FINANCIAL MANAGEMENT - Treasury management	Records relating to unclaimed money. Records include copies of returns and registers used to record unclaimed money. Note: With paper-based registers, retain minimum of 7 years after last entry in the register, then destroy. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
FLEET MANAGEMENT - Accidents	Records relating to incidents involving vehicles maintained or used by the University. Records include: * vehicle accident and investigation reports * copies of documents authorising use of the vehicle * copies of driver/operator/pilot licences or certificates of competency * copies of bookings/logs and other evidence supporting use of the vehicle. Note: When an accident results in a compensation claim for personal injury relevant records should be copied for the compensation file. Note: Consideration may need to be given to retaining these records longer in some circumstances, e.g. where the incident results in a compensation claim for personal injury.
FLEET MANAGEMENT - Acquisition	Records relating to the acquisition of vehicles and vehicle accessories, including vehicles purchased through motor vehicle supply contracts. Records include: * quotes * evaluations of period contracts or alternatives * justifications/business cases * orders * handover reports * correspondence.
FLEET MANAGEMENT - Acquisition	Records relating to the acquisition of fuel and services, including e-tags, tollway schemes etc required to support the fleet management process where there is no tender or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include records of fuel cards issued and cancelled.
FLEET MANAGEMENT - Arrangements	Vehicle running sheets/log books.
FLEET MANAGEMENT - Authorisation	Records relating to requests and approvals authorising the use of vehicles involving financial arrangements. Records include: * records of permission to use private vehicles for official business * records of permission to undertake maintenance and repairs * records of permission for private use of fuel cards and arrangements for reimbursement.
FLEET MANAGEMENT - Claims	Records relating to insurance claims for damage to vehicles. Records include copies of claims, reports and related correspondence.
FLEET MANAGEMENT - Compliance	Records relating to the University's compliance with regulatory standards including modifications to the manufacturer's delivered vehicle including any engineering certifications, photographs, costs and supporting records. Note: Retention period is provided as a guideline only. Any records providing evidence of Universityal compliance with statutory or operating requirements must be kept as long as the University has to account for its actions.
FLEET MANAGEMENT - Compliance	Records relating to the calculation of Fringe Benefits Tax (FBT) liabilities.
FLEET MANAGEMENT - Disposal	Records relating to the disposal of vehicles through any means including sale, transfer, auction, exchange, return or destruction etc. Records include: * independent valuations * certifications of work undertaken on vehicles prior to disposal * written quotes * auction records * correspondence * handover reports for leased vehicles.
FLEET MANAGEMENT - Insurance	Vehicle insurance policies including information provided for renewals and summary records facilitating the management of policies, e.g. registers of insurance policies. Note: With paper-based registers, retain minimum of 7 years after expiry of last policy in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
FLEET MANAGEMENT - Leasing	Records relating to the administration and management of leased or hired vehicles, including: * agreements * reports received from leasing companies * vehicle exemption reports.
FLEET MANAGEMENT - Leasing-out	Records relating to arrangements for leasing-out part of the University's fleet. Records include signed copies of lease agreements.

CATEGORY	DESCRIPTION
FLEET MANAGEMENT - Planning	Final, approved versions of the University's fleet management plans, e.g. fleet improvement plans for reductions in fuel use, greenhouse gas emissions and better average fuel consumption, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
FLEET MANAGEMENT - Policy	Final, approved versions of fleet management policies, e.g. policies on personal use of Universityal vehicles, use of parking spaces, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: There may be some policies relating to the acquisition or disposal of the University's fleet that need to be kept for longer retention periods than that specified because they may impact on the University's accountability with respect to the management of assets.
FLEET MANAGEMENT - Procedures	Final, approved versions of University manuals, handbooks, directives etc detailing fleet management procedures, e.g. procedures on acquisition of new and replacement vehicles, maintenance procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: There may be some procedures relating to the acquisition or disposal of the University's fleet that need to be kept for longer retention periods than that specified because they may impact on the University's accountability with respect to the management of assets.
FLEET MANAGEMENT - Reporting	Records relating to the development and review of reports relating to fleet management, e.g. financials, utilisation, fuel expenditure, running costs, value of reportable fringe benefits provided to employees, reporting in line with Government Energy Management Policy, reporting on accidents/incidents and theft involving Universityal vehicles. Records include: * background research * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
FLEET MANAGEMENT - Reviewing	Records relating to the review of fleet management arrangements and systems or of the University's transport needs, e.g. reviews of fleet size and composition. Records include: * measurements and reviews of needs, arrangements or components of system * reports on review and recommendations.
GOVERNING & CORPORATE BODIES - Advice	Records relating to the receipt and provision of advice regarding the administration and operation of the University's governing body.
GOVERNING & CORPORATE BODIES - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements relating to the accountabilities of the body or the conduct of its responsibilities, e.g. agreements between the Minister and members of governing bodies, memoranda of understanding or accountability instruments. Records include: * correspondence and negotiations including minutes or notes of meetings * drafts containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements.
GOVERNING & CORPORATE BODIES - Appeals	Records relating to an appeal made by a member of a governing body to a higher authority on decisions made with respect to the operation of the governing body.
GOVERNING & CORPORATE BODIES - Appeals	Records relating to an appeal made by a member of a governing body to a higher authority on decisions made with respect to the rights and entitlements of individual membership, e.g. entitlements on removal.
GOVERNING & CORPORATE BODIES - Audit	Records relating to audits of the governance practices or performance of governing bodies and their subcommittees which: * result in the suspension or dismissal of members * set a precedent, and/or * lead to a major change in policies. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of audit reports containing significant changes/alterations or formally circulated for comment * final, approved versions of audit reports or responses to audit report findings or recommendations * records of remedial action.
GOVERNING & CORPORATE BODIES - Audit	Records relating to audits of the governance practices or performance of governing bodies and their subcommittees which do not: * result in the suspension or dismissal of members * set a precedent, or * lead to a major change in policies. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of audit reports containing significant changes/alterations or formally circulated for comment * final, approved versions of audit reports or responses to audit report findings or recommendations * records of remedial action.
GOVERNING & CORPORATE BODIES - Authorisation	Records relating to delegations for members of governing bodies or their sub-committees to enter into agreements or arrangements that bind the University. Includes records of Ministerial delegation.
GOVERNING & CORPORATE BODIES - Authorisation	Records relating to other delegations for members of governing bodies or their sub-committees, i.e. that do not involve entering into agreements or arrangements that bind the University.
GOVERNING & CORPORATE BODIES - Authorities	Records relating to the issue of instruments of authority, e.g. by a central agency, to establish new governing bodies or alter existing structures of governing bodies, e.g. non-statutory charters.
GOVERNING & CORPORATE BODIES - Authorities	Records relating to the receipt by the University of instruments of authority to establish new governing bodies or alter existing structures of governing bodies, e.g. non-statutory charters.
GOVERNING & CORPORATE BODIES - Compliance	Summary records documenting disclosures of pecuniary interest by members of governing bodies. Records include conflict of interest registers and registers of related party transactions.
GOVERNING & CORPORATE BODIES - Compliance	Declarations and disclosures of pecuniary interest by members of governing bodies. See FINANCIAL MANAGEMENT for records relating to taxation, fringe benefits and instances of fraud or misappropriation.

CATEGORY	DESCRIPTION
GOVERNING & CORPORATE BODIES - Compliance	Records documenting the establishment and registration of the University, or an entity controlled by it, as a corporate entity. Includes certificates, memoranda and articles of incorporation or association, company or corporate registers (e.g. share and seal registers, registers of directors, etc.).
GOVERNING & CORPORATE BODIES - Compliance	Records relating to arrangements for the winding up of corporate-owned registered companies, subsidiaries or controlled entities. Includes notification of intentions, arrangements to discharge liabilities, removal from registration. See STRATEGIC MANAGEMENT - Agreements for agreements regarding the transfer of responsibilities and ownership of assets such as property, information, etc., due to privatisation of a controlled subsidiary or entity
GOVERNING & CORPORATE BODIES - Corruption	Records relating to allegations of fraud or corruption made about a member of the University's governing body.
GOVERNING & CORPORATE BODIES - Meetings	Records relating to the meetings of governing bodies, such as boards, trusts, etc., and meetings of sub-committees. Records include: * agenda and minutes * advice and briefing papers * submissions and reports * recommendations and resolutions * correspondence arising from business discussed or resolutions passed at meetings.
GOVERNING & CORPORATE BODIES - Membership	Records relating to the nomination, appointment, reappointment, resignation or termination of members of governing bodies or their sub-committees. Records include: * records of the selection process * approvals * letters of appointment, resignation or termination * letters informing the University of the appointment * gazettal notices * terms and conditions of appointment * instruments of appointment * signed copies of codes of conduct * related correspondence.
GOVERNING & CORPORATE BODIES - Membership	Summary records facilitating the management of details of membership or appointments to governing bodies or their sub-committees, e.g. registers of members or appointments.
GOVERNING & CORPORATE BODIES - Membership	Records relating to the determination and approval of payment of members of governing bodies or their sub-committees as remuneration for the performance of their duties. Records include: * taxation declaration records * group certificates * records relating to the recovery of over-payments * list of scheduled members fees and approvals * records relating to the payment of allowances * pay history and superannuation deduction records * records of redundancy payments * records of special remuneration packaging arrangements including Fringe Benefits Tax (FBT) arrangements * records regarding the negotiation of remuneration.
GOVERNING & CORPORATE BODIES - Performance management	Records relating to evaluating the performance of members of governing bodies by the Minister or other relevant authority. Records include: * performance agreements * reviews of performance.
GOVERNING & CORPORATE BODIES - Policy	Final, approved versions of policies and codes of conduct for members of governing bodies and associated correspondence indicating who the policies apply to and responsibilities for their implementation.
GOVERNING & CORPORATE BODIES - Policy	Records relating to the development and review of policies and codes of conduct for members of governing bodies. Records include: * policy proposals * background research * records of consultations * draft versions of policies containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.
GOVERNING & CORPORATE BODIES - Procedures	Final, approved versions of manuals, handbooks, directives, etc., detailing procedures for members of governing bodies and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.
GOVERNING & CORPORATE BODIES - Training and development	Summary records created to facilitate the management and monitoring of the provision of occupational health and safety training to members of governing bodies or their sub-committees, e.g. occupational health and safety training registers. Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
GOVERNMENT RELATIONS - Addresses	Transcripts of final versions of addresses, speeches or papers delivered by the Minister in their capacity as Minister or as a representative of the Government.
GOVERNMENT RELATIONS - Addresses	Transcripts of final versions of addresses, speeches or papers delivered by members of governing bodies, chief or senior executives of the University at significant government occasions.
GOVERNMENT RELATIONS - Advice	Records relating to the provision of advice to the portfolio Minister or other government Universitys concerning substantive aspects of the University's policies and procedures, functions, obligations, legislation or liabilities where a detailed response has been provided. Records include: * briefing notes and minutes providing advice to the Minister * comments on Cabinet submissions and proposals * correspondence.
GOVERNMENT RELATIONS - Advice	Records relating to the provision of advice to the portfolio Minister or other government Universitys where the advice does not concern substantive aspects of the University's policies and procedures, functions, obligations, legislation or liabilities or where there is minimal response by the University, e.g. 'no comment.'
GOVERNMENT RELATIONS - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements with other government Universitys: * concerning policies and procedures applying to the whole of government * concerning changes to the performance of statutory functions of the University, or * having implications for major liabilities or obligations of the University. Records include: * correspondence and negotiations including minutes or notes of meetings * drafts containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements.
GOVERNMENT RELATIONS - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements with other government Universitys not: * concerning policies and procedures applying to the whole of government * concerning changes to the performance of statutory functions of the University, or * having implications for major liabilities or obligations of the University. Records include: * correspondence and negotiations including minutes or notes of meetings * drafts containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements. Note: Specialty

CATEGORY	DESCRIPTION
	contracts include contracts under seal and deeds to property. Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions. Note: Limitation period for causes of action or breaches of contractual arrangements or agreements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.
GOVERNMENT RELATIONS - Authorisation	Records relating to delegations of authority from the Minister to the University.
GOVERNMENT RELATIONS - Compliance	Records relating to the provision of documents to Parliament in compliance with orders, e.g. Standing Order 52. Records include disputes regarding claims of privilege.
GOVERNMENT RELATIONS - Inquiries	Records relating to formal inquiries involving the University or where the University submits a detailed response. Records include: * statements and submissions * legal advice from internal and external legal service providers * responses to final reports and records of implementation of recommendations. Note: Copies of transcripts of evidence or inquiry proceedings can be destroyed in accordance with the normal administrative practice (NAP) provisions of the State Records Act 1998 when no longer required for reference purposes. The original transcripts would be held by the inquiring body.
GOVERNMENT RELATIONS - Inquiries	Records relating to formal inquiries not involving the University or where the University submits a nil response.
GOVERNMENT RELATIONS - Inquiries	Records relating to matters referred from watchdog bodies, such as the Independent Commission Against Corruption (ICAC), NSW Ombudsman etc, to the University for initial investigation and response.
GOVERNMENT RELATIONS - Legislation	Records relating to the preparation and passage of legislation through Parliament. Records include: * records documenting consultation with relevant Universitys and stakeholders and regulatory impact statements * records of preparation of Explanatory Memoranda.
GOVERNMENT RELATIONS - Meetings	Records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government Universitys that do not relate to particular functions. Records include: * agenda and minutes or notes of meetings * advice and briefing papers * submissions and reports * recommendations and resolutions * correspondence arising from business discussed and resolutions passed. Note: Retention period is for records relating to meetings that do not specifically relate to any other activities. If meetings relate to other activities, classify under relevant activity.
GOVERNMENT RELATIONS - Policy	Final, approved versions of policies relating to the management and handling of formal relationships with other government Universitys or government processes, e.g. policies concerning the handling of Ministerials or communications with the Minister's office, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.
GOVERNMENT RELATIONS - Procedures	Final, approved versions of the University's manuals, handbooks, directives etc detailing procedures relating to the management and handling of formal relationships with other government Universitys or government processes, e.g. procedures concerning the handling of Ministerials or communications with the Minister's office, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.
GOVERNMENT RELATIONS - Reporting	Final, approved versions of published and unpublished reports to government relating to the University's core functions and performance, e.g. annual reports or substantial ad hoc reports.
GOVERNMENT RELATIONS - Reporting	Records relating to the development of published and unpublished reports to government relating to the University's core functions and performance, e.g. annual reports or substantial ad hoc reports. Records include: * background research * draft versions of reports containing significant changes/alterations or formally circulated for comment.
GOVERNMENT RELATIONS - Representations	Records relating to responses to correspondence received by the Minister (Ministerials) or Members of Parliament from peak industry Universitys, leading community interest groups, influential stakeholders or individuals and referred to the University, concerning issues of major significance to the University and/or the community. Records include: * copies of letters received * draft responses * minutes providing details for the Minister * requests from the Minister's office for changes * final responses.
GOVERNMENT RELATIONS - Representations	Records relating to the preparation of Ministerial responses to questions raised in Parliament. Records includes question time briefs.
GOVERNMENT RELATIONS - Submissions	Records relating to submissions to Cabinet or the Minister or other government Universitys relating to core functions. Records include: * Cabinet minutes requesting submissions * background research * records of consultations * draft versions of submissions containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc. * final, approved versions of submissions.
GOVERNMENT RELATIONS - Submissions	Records relating to submissions to the Minister or government Universitys relating to administrative matters, e.g. exemptions for employing personnel during staff freezes. Records include: * background research * records of consultations * draft versions of submissions containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. * final, approved versions of submissions.
GOVERNMENT RELATIONS - Submissions	Records relating to submissions by the University on the development or review of legislative or regulatory proposals of other government Universitys or the development or review of government-wide policies developed by central coordinating agencies, e.g. anti-discrimination, Charter of Principles for a Culturally Diverse Society, etc.
GOVERNMENT RELATIONS - Visits	Records relating to visits made to the University by Heads of State, Ministers, or other government officials including interstate or overseas delegations. Records include: * invitations * itineraries and programs * visit reports * records of security arrangements additional to standard security * letters of appreciation.

CATEGORY	DESCRIPTION
INDUSTRIAL RELATIONS - Agreements	Records relating to the establishment, negotiation, maintenance and review of awards or agreements heard or certified by the central arbitration or determining body where the University is the main participant in negotiations. Includes enterprise and contract agreements and standard agreements used as the basis for Australian Workplace Agreements. Records include: * background research * records of consultations * draft versions of awards or agreements exchanged between parties * final, approved versions of awards or agreements * arbitrated variations and consent variations to awards. Note: Final, approved versions of awards or agreements and variations to awards may need to be kept for longer periods if relevant to compensation cases.
INDUSTRIAL RELATIONS - Agreements	Records relating to the establishment, negotiation, maintenance and review of awards or agreements heard or certified by the central arbitration or determining body where the University is not the main participant in negotiations. Includes final, approved versions of agreements and records relating to implementation of agreements.
INDUSTRIAL RELATIONS - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements concerning the implementation of working conditions or practices within a particular workplace that are not heard or certified by the central arbitration or determining body, e.g. agreements between management and unions on behalf of employees, such as agreements for flexible work practices, working from home, or skill based competencies. Includes negotiations, final, approved versions of agreements and records relating to implementation of agreements. Note: Final, approved versions of agreements and variations to awards may need to be kept for longer periods if relevant to compensation cases.
INDUSTRIAL RELATIONS - Agreements	Records relating to negotiations regarding conditions and awards that have not resulted in agreements.
INDUSTRIAL RELATIONS - Appeals	Records relating to appeals against a decision or order made to an external industrial relations body, e.g. the Industrial Relations Commission, where the University is the major participant in negotiations.
INDUSTRIAL RELATIONS - Appeals	Records relating to appeals against a decision or order made to an external industrial relations body, e.g. the Industrial Relations Commission, where the University is not the major participant in negotiations.
INDUSTRIAL RELATIONS - Claims	Records relating to insurance claims for damage or loss incurred by the University resulting from industrial action, e.g. claim for impact on revenue resulting from industrial action.
INDUSTRIAL RELATIONS - Disputes	Records relating to the management of industrial disputes of a significant nature where the University is a primary party to the negotiations or resolution of the dispute. Significant disputes can include those: * resulting in a strike, ban or lock-out * that set precedents, or * that result in innovative or contentious changes to working conditions. Records include: * notifications to the Minister * records of liaison with the relevant lead University * records of discussions, meetings and conferences between parties * records of hearings by the arbitration or determining body (e.g. Industrial Relations Commission, Australian Industrial Relations Commission and predecessor Universitys) * records of hearings before the Federal Court and predecessor Universitys * communications with employees.
INDUSTRIAL RELATIONS - Disputes	Records relating to the management of industrial disputes of a minor nature, or of a significant nature where the University is not a primary party to the negotiations or resolution of the dispute.
INDUSTRIAL RELATIONS - Grievances	Records relating to the handling and resolution of employee grievances and complaints raised by representatives on behalf of employees that have unit, Universityal or sector-wide impact. Includes records relating to liaison with employees, union representatives and the lead University.
INDUSTRIAL RELATIONS - Insurance	Insurance policies including information provided for renewals.
INDUSTRIAL RELATIONS - Meetings	Records relating to ad hoc meetings held regarding industrial relations issues, e.g. ad hoc meetings between management and unions or employee associations. Does not include records relating to meetings for the resolution of substantive industrial relations issues, e.g. disputes.
INDUSTRIAL RELATIONS - Planning	Final, approved versions of plans for industrial relations, e.g. dispute contingency plans, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
INDUSTRIAL RELATIONS - Policy	Final, approved versions of policies on industrial relations issues, e.g. policies on working from home, flexible work practices, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: Records may need to be retained for longer periods if relevant to disputes or grievances or workers compensation claims.
INDUSTRIAL RELATIONS - Policy	Records relating to the development and review of policies on industrial relations issues, e.g. policies on working from home, flexible work practices. Records include: * policy proposals * background research * records of consultations * draft versions of policies containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, stakeholders, etc.
INDUSTRIAL RELATIONS - Procedures	Final, approved versions of manuals, handbooks, directives, etc., detailing industrial relations procedures, e.g. procedures regarding flexible work practices, working from home, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: Records may need to be retained for longer periods if relevant to disputes or grievances or workers compensation claims.
INDUSTRIAL RELATIONS - Procedures	Records relating to the development and review of the University's industrial relations procedures, e.g. procedures regarding flexible work practices, working from home. Records include: * background research * draft versions of procedures containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders.
INDUSTRIAL RELATIONS - Reporting	Records relating to formal reports regarding industrial relations programs, services and systems. Records include: * background research * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
INFORMATION MANAGEMENT - Acquisition	Records relating to the acquisition of information management resources, e.g. books, and information services, online services, telephone information lines, etc., where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include: * orders * subscriptions and renewals * related correspondence.

CATEGORY	DESCRIPTION
INFORMATION MANAGEMENT - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision of information or knowledge management services or the management of information resources that do not form part of contracting-out or tendering arrangements, e.g. agreements for Kinetica services with the National Library of Australia, agreements with State Records for the distributed management of State archives, licensing agreements for thesauri, records confidentiality agreements with external Universitys, agreements to share or access records or information resources etc. Records include: * correspondence and negotiations including minutes or notes of meetings with main stakeholders * drafts containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements.
INFORMATION MANAGEMENT - Appeals	Records relating to matters that are referred to the relevant Minister for determination or review, e.g. requests made under s.7(5) or s.17 of the State Records Act.
INFORMATION MANAGEMENT - Audit	Records relating to information management audits, e.g. audits regarding compliance with records or privacy legislation or quality management standards, performance audits etc. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * records of remedial action.
INFORMATION MANAGEMENT - Authorisation	Records relating to authorisations for employees to access records that have been transferred to other Universitys following administrative change, privatisation or the outsourcing of functions.
INFORMATION MANAGEMENT - Cases	Records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the University, where the decision to grant or refuse access or alteration: * sets a precedent, or * leads to a major change in policies. Records include: * applications * records of decisions or directions * related correspondence * records of alterations or notations to records claimed to be incomplete, incorrect, irrelevant, out of date or misleading * records relating to internal or external reviews or appeals of decisions.
INFORMATION MANAGEMENT - Cases	Records relating to recurring or protracted requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the University, where the decision to grant or refuse access or alteration does not: * set a precedent, or * lead to a major change in policies. Records include: * applications * records of decisions or directions * related correspondence * records of alterations or notations to records claimed to be incomplete, incorrect, irrelevant, out of date or misleading * records relating to internal or external reviews or appeals of decisions.
INFORMATION MANAGEMENT - Cases	Records relating to requests for or decisions regarding access to or alteration of information under relevant legislation, e.g. Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the University, where the request is not recurring or protracted and the decision to grant or refuse access or alteration does not: * set a precedent, or * lead to a major change in policies. Records include: * applications * records of decisions or directions * related correspondence * records of alterations or notations to records claimed to be incomplete, incorrect, irrelevant, out of date or misleading * records relating to internal or external reviews or appeals of decisions.
INFORMATION MANAGEMENT - Cases	Summary records or registration systems created to facilitate the management of access requests and their outcomes, e.g. Freedom of Information (FOI) registers. Note: With paper-based registers, retain minimum of 5 years after last entry in the register. With electronic registers, retain minimum of 5 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
INFORMATION MANAGEMENT - Cases	Records relating to the handling of requests for discretionary access to the University's records that does not involve the application of legislation such as Freedom of Information (FOI), GIPAA, privacy or records legislation or legislation specific to the University, e.g. access provided to family members or researchers given outside these Acts. Includes approvals and refusals.
INFORMATION MANAGEMENT - Cases	Records relating to requests for the suppression of information in public registers maintained by the University, in accordance with privacy legislation. Includes approvals and refusals.
INFORMATION MANAGEMENT - Compliance	Records relating to the University's compliance with mandatory or optional standards or with statutory requirements regarding information management which do not involve individual cases, e.g. records documenting compliance with the Library Act 1939, international standards such as AS ISO 15489 Records Management, State Records Act 1998 and standards released under the Act or privacy or information protection and security requirements. Records include: * records of inspections by monitoring Universitys such as State Records to monitor compliance * advice provided on compliance issues. Note: Retention period is provided as a guideline only. Any records providing evidence of Universityal compliance with statutory or administrative requirements must be kept as long as the University has to account for its actions.
INFORMATION MANAGEMENT - Compliance	Records relating to requests for exemption from complying with statutory requirements, e.g. requests to the Privacy Commissioner to exempt the University from complying with an information protection principle or health privacy principle, requests to State Records to exempt an University from the application of standards etc. Records include: * requests for exemption * correspondence with relevant bodies concerning requests including advice given and received * records of negotiation or refusal of requests * directions from relevant bodies exempting the University from compliance.
INFORMATION MANAGEMENT - Compliance	Records relating to breaches or suspected breaches of privacy. Records include: * complaints * records of investigations * correspondence with stakeholders * records of conciliation * reports and recommendations * records of remedial action.
INFORMATION MANAGEMENT - Compliance	Records relating to breaches or suspected breaches of statutory requirements for the management of records or information resources other than privacy, e.g. breaches of the State Records Act 1998, FOI reporting obligations etc. Records include: * complaints * reports of breaches/suspected breaches * records of investigations * correspondence with stakeholders * records of conciliation * reports and recommendations * records of remedial action. See STRATEGIC MANAGEMENT - Compliance for records relating to breaches of requirements in relation to use of the University's intellectual property rights, including breaches of copyright.
INFORMATION MANAGEMENT - Conservation	Records relating to ongoing preservation measures for the protection of collections of information resources. Includes the monitoring of light, temperature and humidity and pest control in storage areas, packaging, etc., and project management records for conservation projects.

CATEGORY	DESCRIPTION
INFORMATION MANAGEMENT - Control	Primary control records for records required as State archives,* which are required to facilitate access and give meaning and context to the records over time. Records may include: * indexes * correspondence/file registers or registration systems * metadata. * Note: This includes current records as well as records maintained as part of an University's own archives. Note: Before transfer, State Records should be contacted to discuss what control records the University holds for records required as State archives so that an assessment can be made of their value in facilitating ongoing access/preservation to State archives.
INFORMATION MANAGEMENT - Control	Primary control records for records which are required as State archives but which are not required to facilitate access and give meaning and context to the records over time. Records include: * indexes * correspondence/file registers or registration systems * metadata. Note: Retention period is a minimum only. Records control systems for particular functions or activities may be required for longer periods depending on the risks associated with the conduct of particular activities and the potential for or likelihood of the University being required to provide evidence of the destruction of records. These should be determined in relation to the Universitys' business needs. Note: Before disposal, State Records should be contacted to discuss what control records the University holds so that an assessment can be made of their value in facilitating ongoing access.
INFORMATION MANAGEMENT - Control	Primary control records for records not required as State archives. Records include: * indexes * correspondence/file registers or registration systems * metadata. Note: Retention period is a minimum only. Records control systems for particular functions or activities may be required for longer periods depending on the risks associated with the conduct of particular activities and the potential for or likelihood of the University being required to provide evidence of the destruction of records. These should be determined in relation to the Universitys' business needs.
INFORMATION MANAGEMENT - Disposal	Records relating to the implementation of records disposal decisions. Includes internal lists and approval for the destruction of records, advice from State Records regarding authorisation for the disposal of records and certificates of destruction. Excludes internal decisions to extend retention periods. Note: Records may be required for long periods as evidence of accountable destruction. Records regarding core business functions and areas of risk may need to be retained for longer periods.
INFORMATION MANAGEMENT - Disposal	Records relating to the transfer of records to successor Universitys as a consequence of changes in administrative arrangements or functions or privatisation.
INFORMATION MANAGEMENT - Disposal	Records relating to the recovery of records and their return to official custody, i.e. the recovery of estrays. (Estrays are records of the University that have passed into private ownership, generally without approval). Records include: * minutes or notes of meetings and correspondence with State Archives and Records NSW and the Universitys or individuals who have custody * records of decisions regarding management and recovery * reports of outcomes.
INFORMATION MANAGEMENT - Disposal	Records relating to the culling of library or information resource collections.
INFORMATION MANAGEMENT - Disposal	Existing master collections of major publications produced by the University or its predecessor and retained, e.g. in the University's library, where they are unlikely to have been captured in recordkeeping systems. Note: Universityal publications should be covered in the University's functional retention and disposal authority. This entry allows the discretionary intake of particular publications as State archives. Its application will be limited. Minor publications, e.g. newsletters or promotional materials, or final, authorised versions of publications captured into recordkeeping systems, such as reports or policies, can be sentenced using entries elsewhere in this authority and the University's own functional retention and disposal authority.
INFORMATION MANAGEMENT - Donations	Records relating to the donation of information resources, e.g. books, to the University. Includes liaison regarding conditions of donation.
INFORMATION MANAGEMENT - Evaluation	Records relating to the evaluation of potential or existing information management programs, services and systems, e.g. records and library materials, operational services for clients of libraries, archives and records management units, information systems etc.
INFORMATION MANAGEMENT - Implementation	Records relating to the implementation and initial monitoring of information management systems and projects within the University, including recordkeeping, knowledge management and library management systems and projects. Includes pilots and post implementation reviews.
INFORMATION MANAGEMENT - Intellectual property	Records relating to the management of copying services in the University. Includes the administration of payments made to collecting societies and sampling undertaken to support the payment process.
INFORMATION MANAGEMENT - Planning	Final, approved versions of plans for information management projects, systems and activities within an University, e.g. Privacy Management Plans, operational plans, records and information management plans, vital records plans, etc., and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
INFORMATION MANAGEMENT - Policy	Final, approved versions of information management policies, e.g. information management security policies, library and recordkeeping/records management policies, email policies, policies for the management of digital records, Privacy Codes of Practice, Health Privacy Codes of Practice, etc., and associated correspondence indicating who the policies apply to and responsibilities for their implementation.
INFORMATION MANAGEMENT - Policy	Records relating to the development and review of retention and disposal authorities produced for the University. Records include: * background research * correspondence with State Records * records of consultations * draft versions containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, business units, stakeholders, etc.
INFORMATION MANAGEMENT - Procedures	Final, approved versions of manuals, handbooks, directives etc detailing information management procedures, e.g. library procedures, records management procedures, security arrangements for information resources, mail handling protocols, etc., and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.

CATEGORY	DESCRIPTION
INFORMATION MANAGEMENT - Reporting	Records relating to the development and review of reports regarding information management programs, services and systems. Records include: * background research * records relating to the outcomes of consultation with employees, unions, other stakeholders, etc. * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
INFORMATION MANAGEMENT - Reviewing	Records relating to the review of information management programs and services, e.g. reviews of storage areas for records and library materials, operational services for clients of libraries, archives and records management units, information systems, etc. Records include: * documents establishing the review * background research * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final versions of approved reports * project or action plans.
INFORMATION MANAGEMENT - Security	Records relating to major security breaches affecting information resources, e.g. where records and information have been unlawfully accessed or removed from official custody.
INFORMATION MANAGEMENT - Security	Records relating to minor security breaches affecting information resources, e.g. where records have not been appropriately secured.
INFORMATION MANAGEMENT - Security	Records relating to security arrangements for records storage, e.g. safes, vaults, security equipment and off site storage for vital records.
INFORMATION MANAGEMENT - Security	Records relating to physical and intellectual security arrangements for access to records, e.g. decisions regarding general security classifications for accessing records, delegations of authority, etc.
LEGAL SERVICES - Advice	Records relating to legal advice from internal or external legal service providers, including the Crown Solicitor's Office, regarding:-Cabinet matters-interpretations of legislation administered by the University-proposals for new or amended legislation for the University-industrial issues involving the University-matters which are precedent setting in nature-matters resulting in significant changes to the University's policies.
LEGAL SERVICES - Advice	Records relating to legal advice from internal or external legal providers, including the Crown Solicitor's Office, that does not relate to:-Cabinet matters-interpretations of legislation administered by the University-proposals for new or amended legislation for the University-industrial issues involving the University-matters which are precedent setting in nature-matters resulting in significant changes to the University's policies.
LEGAL SERVICES - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision of legal services, advice or representation that do not form part of contracting-out or tendering arrangements. Records include: * correspondence and negotiations including minutes or notes of meetings with main stakeholders * drafts containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements.
LEGAL SERVICES - Compliance	Records relating to the University's compliance with mandatory or optional standards or statutory requirements relating to the provision of legal services, e.g. those in Quality System Guidelines AS/NZS ISO 9001:1994 for the legal profession. Note: Retention period is provided as a guide only. Any records providing evidence of Universityal compliance with statutory or operating requirements must be kept as long as the University has to account for its actions.
LEGAL SERVICES - Litigation	Records relating to issues, claims or case matters which: * set legal precedents, or * result in significant changes to the University's policies or procedures, or the way in which the University operates. Records include: * briefs for counsel * copies of documents required by or lodged with a court * records of consultation with the Attorney General's Department or other Universitys * records documenting compliance with court instructions, e.g. subpoenas and discovery orders.
LEGAL SERVICES - Litigation	Records relating to issues, claims or case matters which: * do not set legal precedents, or * do not result in significant changes to the University's policies or procedures, or the way in which the University operates. Records include: * briefs for counsel * copies of documents required by or lodged with a court * records of consultation with the Attorney General's Department or other Universitys * records documenting compliance with court instructions, e.g. subpoenas and discovery orders. Note: Consideration may need to be given to retaining these records longer in some circumstances, e.g. for records relating to criminal matters or matters relating to minors where appeals or challenges may be lodged many years after the matter is concluded. Universitys should also ensure that all appeals have been exhausted before disposing of records relating to the handling of the matter or court proceedings.
LEGAL SERVICES - Planning	Final, approved versions of plans regarding legal programs and services, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
LEGAL SERVICES - Policy	Final, approved versions of policies regarding the provision of legal services, advice and representation, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.
LEGAL SERVICES - Procedures	Final, approved versions of procedures regarding the provision of legal services, advice and representation and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.
LEGAL SERVICES - Reporting	Records relating to formal reports regarding legal services programs and services. Records include: * background research * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
LEGAL SERVICES - Research	Final, approved reports consolidating research collected for legal services purposes.
LEGAL SERVICES - Reviewing	Records relating to the review of legal services programs and services. Records include: * documents establishing the review * background research * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * project or action plans.

CATEGORY	DESCRIPTION
OCCUPATIONAL HEALTH & SAFETY - Accidents	Records relating to incidents that result in personal injury or incapacity to employees. Records include: * incident/injury records, e.g. incident/accident report forms * notifications to insurer * records of investigation by the University into incident * details of notifications to WorkCover NSW of incident * copies of investigation reports by Police, WorkCover NSW inspectors etc into incident. Note: Records may be required for compensation claims which can potentially be lodged at any time during the lifetime of the claimant. Retention period is intended to cover potential life expectancy of claimants. Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.
OCCUPATIONAL HEALTH & SAFETY - Accidents	Records relating to incidents that results in the death of employees. Records include: * incident records, e.g. incident/accident report forms * notifications to insurer * records of investigation by the University into incident * details of notifications to WorkCover NSW of incident * copies of investigation reports by Police, WorkCover NSW inspectors etc into incident.
OCCUPATIONAL HEALTH & SAFETY - Accidents	Records relating to incidents involving employees that do not result in death, personal injury or incapacity to employees. Records include: * incident/injury records * notifications to insurer * records of investigation by University/WorkCover NSW into incident. Note: A compensation claim can potentially be lodged at any time in the lifetime of the claimant, but it is likely to occur within the retention period. Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.
OCCUPATIONAL HEALTH & SAFETY - Accidents	Records relating to incidents involving members of the public, including work experience students and volunteers or other persons who are not employees. Records include: * incident/injury records * notifications to insurer * records of investigation by University/WorkCover NSW into incident. Note: Consideration may need to be given to retaining these records longer in some circumstances. When an accident results in a compensation claim, relevant records should be copied to the compensation claim file.
OCCUPATIONAL HEALTH & SAFETY - Accidents	Records relating to the provision of first aid treatment. Records include: * first aid registers * forms/records detailing treatment given. Note: With paper-based registers, retain minimum of 5 years after last entry in the register. With electronic registers, retain minimum of 5 years after last update or amendment to an entry, or after data has become obsolete, then destroy. Consideration may need to be given to retaining these records longer in some circumstances if the record is potentially the only record of the occurrence of an injury.
OCCUPATIONAL HEALTH & SAFETY - Accidents	Registers of injuries. Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
OCCUPATIONAL HEALTH & SAFETY - Audit	Records relating to audits of the University's work health and safety management systems or processes. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * records of remedial action. Note: If serious deficiencies are identified during audits, longer retention may be required, particularly if records include documentation of remedial action undertaken.
OCCUPATIONAL HEALTH & SAFETY - Compliance	Records relating to the licensing or registration process for a business, substance, place or type of work involving contact with toxic or hazardous materials. Records include: * applications for, renewals, cancellations or details regarding suspension of permits, licences, certificates of registration * copies of permits, licences, certificates of registration * conditions of registration or licensing * applications for review of decisions regarding registration or licensing. Note: The existence of permits, authorisations etc may be relevant to compensation claims which can be lodged at any time within the lifetime of the claimant.
OCCUPATIONAL HEALTH & SAFETY - Compliance	Records relating to the licensing or registration process for a business, substance, place or type of work not involving contact with hazardous or toxic materials. Records include: * applications for, renewals, cancellations or details regarding suspension of permits, licences, certificates of registration * receipt for payment of fees (if relevant) * copies of permits, licences, certificates of registration * conditions of registration or licensing * applications for review of decisions regarding registration or licensing. Note: The existence of permits etc may be relevant to compensation claims, and in these cases should be copied and kept with records of the claim.
OCCUPATIONAL HEALTH & SAFETY - Compliance	Records relating to health surveillance of employees exposed or at risk of exposure to hazardous or carcinogenic substances or conditions, including asbestos or cytotoxins and lead. Records include: * details of employee/s exposed to or at risk of exposure to hazardous or carcinogenic substances or conditions * notifications to WorkCover NSW by employer of intention to carry out work that involves the use of carcinogenic substances or lead risk work or other notifications as required * reports of outcomes of medical examinations to determine exposure or monitor the effects of exposure on an ongoing basis * copies of written statements to employees regarding exposure when they cease employment.
OCCUPATIONAL HEALTH & SAFETY - Compliance	Hazardous substances registers (including asbestos registers) identifying substance properties and details of their condition. Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
OCCUPATIONAL HEALTH & SAFETY - Compliance	Records relating to compliance with court orders or notices issued by regulatory bodies in connection with work health and safety breaches. Records include: * notices or court orders, e.g. provisional improvement notices (PINS), court orders to publicise or notify offences or to commence a specified project * records of compliance with orders or notices * records of reporting on compliance.
OCCUPATIONAL HEALTH & SAFETY - Compliance	Records relating to drug and alcohol testing of employees. Records include: * sample collection forms * laboratory reports and statements.
OCCUPATIONAL HEALTH & SAFETY - Health promotion	Summary details of materials safety information maintained by the University, e.g. material safety data sheets (MSDS) registers. Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
OCCUPATIONAL HEALTH & SAFETY - Health promotion	Records relating to the management and administration of programs to promote a healthy working environment, such as routine immunisation and health monitoring programs.

CATEGORY	DESCRIPTION
OCCUPATIONAL HEALTH & SAFETY - Health promotion	Health promotion records relating to an individual employee, including: * reports of health monitoring or notifications or certificates of immunisation or vaccination * reports/notifications of outcomes of medical examinations to determine fitness for duty. records relating to medical examinations performed for recruitment purposes.
OCCUPATIONAL HEALTH & SAFETY - Inspections	Records relating to routinely conducted inspections of hazardous substances in the workplace to ensure or check compliance with regulations, standards etc for their management and use.
OCCUPATIONAL HEALTH & SAFETY - Inspections	Records relating to routinely conducted workplace inspections undertaken either by the University or employee representatives to identify and monitor occupational health and safety risks or hazards. Records include: * notes of inspection * records of liaison with WorkCover NSW * records relating to complaints about the way an investigation was carried out * details of remedial action undertaken.
OCCUPATIONAL HEALTH & SAFETY - Planning	Final, approved versions of the University's work health and safety plans, e.g. asbestos management, emergency evacuation and medical evacuation plans etc, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
OCCUPATIONAL HEALTH & SAFETY - Planning	Records relating to the development and review of the University's work health and safety plans, e.g. asbestos management, emergency evacuation and medical evacuation plans etc. Records include: * background research * draft versions of plans containing significant changes/alterations or formally circulated for comment * notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.
OCCUPATIONAL HEALTH & SAFETY - Policy	Final, approved versions of policies relating to specific work health and safety tasks and practices, e.g. policies on the management of hazardous materials, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.
OCCUPATIONAL HEALTH & SAFETY - Policy	Final, approved versions of policies relating to work health and safety programs, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: Evidence of policies in place at a particular time may be of relevance for future claims or legal action involving the University. Staff should consider known or potential risks, which may be identified in risk assessments, when deciding if records of policies need to be retained for longer periods.
OCCUPATIONAL HEALTH & SAFETY - Policy	Records relating to the development and review of the University's work health and safety policies. Records include: * policy proposals * background research * records of consultations * draft versions of policies containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.
OCCUPATIONAL HEALTH & SAFETY - Procedures	Final, approved versions of procedures relating to specific work health and safety tasks and practices, e.g. procedures on the management of hazardous materials, safe work method statements (SWMS), and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.
OCCUPATIONAL HEALTH & SAFETY - Procedures	Final, approved versions of procedures relating to work health and safety programs, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: Evidence of procedures in place at a particular time may be of relevance for future claims or legal action involving the University. Staff should consider known or potential risks, which may be identified in risk assessments, when deciding if records of procedures need to be retained for longer periods.
OCCUPATIONAL HEALTH & SAFETY - Procedures	Records relating to the development and review of the University's work health and safety procedures. Records include: * background research * records of consultations * draft versions of procedures containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.
OCCUPATIONAL HEALTH & SAFETY - Reporting	Records relating to formal internal and external reports regarding work health and safety programs and practices. Records include: * background research * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
OCCUPATIONAL HEALTH & SAFETY - Reviewing	Records relating to the review of work health and safety programs and services. Records include: * records setting review parameters * analyses of injury and illness data, hazard and incident reports, notifications and accident investigation outcomes to establish trends * measurements and reviews of performance against performance indicators * reports on review and recommendations.
OCCUPATIONAL HEALTH & SAFETY - Risk management	Records relating to risk management of work health and safety hazards where risk assessments indicate risk to employees and where health surveillance and/or monitoring of employees are necessary, and where the severity of risk is high. Records include: * records identifying and assessing hazards and risks associated with them including hazard reports * reviews of relevant health and safety information related to hazards/risks * records of decisions and reports developed to eliminate or control risks, e.g. health surveillance, changes to facilities, systems or methods of work or plan or substances used for work * reviews of hazards/risks * records of consultation with committees/representatives and affected employees on hazards/risks.
OCCUPATIONAL HEALTH & SAFETY - Risk management	Records relating to risk management of work health and safety hazards where risk assessments indicate risk to employees and where ongoing health surveillance and/or monitoring of employees are necessary, but where the severity of risk is low. Records include: * records identifying and assessing hazards and risks associated with them including hazard reports * reviews of relevant health and safety information related to hazards/risks * records of decisions and reports developed to eliminate or control risks, e.g. health surveillance, changes to facilities, systems or methods of work or plans or substances used for work * reviews of hazards/risks * records of consultation with committees/representatives and affected employees on hazards/risks.
OCCUPATIONAL HEALTH & SAFETY - Risk management	Records relating to risk management of work health and safety hazards where risk assessments indicate minimal or no risk to employees and where health surveillance and/or monitoring is not required. Records include: * records identifying and assessing hazards and risks associated with them including hazard reports * reviews of relevant health and safety information related to hazards/risks * reviews of hazards/risks * records of consultation with committees/representatives and affected employees on hazards/risks.

CATEGORY	DESCRIPTION
OCCUPATIONAL HEALTH & SAFETY - Risk management	Records relating to the monitoring of atmospheric contaminants when a risk assessment indicates that it should be undertaken.
PERSONNEL - Advice	Records relating to the provision of advice and assistance to employees about employment conditions, career, personal matters, trauma, finances, salaries, superannuation etc. Includes orientation advice for new employees and rehabilitation or return to work assistance not related to a compensation case. Records include notes, reports, etc.
PERSONNEL - Advice	Records relating to the provision of counselling by a professional counsellor. Includes case files. Note: Case files may be destroyed prior to the expiry of the minimum retention period in certain circumstances e.g. mutual agreement between counsellor and client, agreement between University and union.
PERSONNEL - Advice	Records relating to the implementation of employee assistance/counselling programs or schemes, such as career or trauma counselling programs. Includes program plans and reports.
PERSONNEL - Authorisation	Records relating to applications, approvals and authorisations for employees to undertake a proposed action or activity, e.g. undertake a work trip, work from home, hold secondary employment etc. Includes approvals and refused applications.
PERSONNEL - Compliance	Records relating to the University's compliance with mandatory or optional standards or with statutory requirements relating to the management of personnel, e.g. the registration of an University with an 'approved screening agency' for working with children checks. Includes advice and guidance shared between the University and external bodies concerning compliance matters, including circulars and information letters. Note: The retention period provided is a guideline only. Any records providing evidence of compliance with statutory or operating requirements must be kept as long as the University has to account for its actions.
PERSONNEL - Employee service history	Records summarising the employment or service history of personnel. Includes: * name * date of birth * dates of employment/service * positions held and salary * locations worked.
PERSONNEL - Employee service history	Records documenting the selection and appointment of: * University Chancellors and Vice Chancellors.
PERSONNEL - Employee service history	Records documenting the appointment and subsequent employment history (including separation from the University) of successful applicants for a position. Includes: * job applications and resumes * conduct and services checks * letters of appointment and acceptance * recognition of prior service * confidentiality agreement as part of employment * code of conduct * service records * correspondence, reports etc relating to separation.
PERSONNEL - Employee service history	Records documenting the appointment and service of volunteers, individuals on work experience placements and job assistance schemes, and individuals employed on a short-term or casual basis where the terms of engagement do not provide for the accrual of on-going rights and entitlements e.g. individuals employed for one-off or short-term recurring events such as University open days or person's or individuals engaged to provide particular services on an as required basis, etc. Records include: * reports * correspondence * bonds and liabilities * agreements and undertakings * conditions of engagement * details of work performed * working with children declaration * code of conduct * service records.
PERSONNEL - Employee service history	Records relating to individual employee's workplace agreements.
PERSONNEL - Employee service history	Records documenting declarations of interests by employees' e.g. pecuniary interest, benefits and contacts.
PERSONNEL - Employee service history	Records relating to transfers or secondments and arrangements for employees to act in higher positions.
PERSONNEL - Employee service history	Records relating to the management of employment schemes and job assistance schemes. Includes reports, correspondence, bonds and liabilities.
PERSONNEL - Grievances	Records documenting formal and informal grievances lodged by an employee, including those referred to an external body. Includes notes of meetings, reports and recommendations.
PERSONNEL - Insurance	Insurance policies supporting the management of personnel, e.g. for personnel and household effects being moved between locations, including information provided for renewals.
PERSONNEL - Leave, attendance and absences	Summary details of leave taken by employees. Includes name, type of leave, dates taken, and approval.
PERSONNEL - Leave, attendance and absences	Records documenting approvals for leave without pay in excess of 6 months, extended (long service) leave and study leave. Includes briefing notes and other supporting documentation.
PERSONNEL - Leave, attendance and absences	Records documenting applications for leave. Records include leave requests and applications, and associated supporting documentation. Note: Where an appropriate summary record of leave taken by an employee is not available, approved applications will need to be retained for a minimum period of 75 years after date of birth or 7 years after employment ceases, whichever is longer.
PERSONNEL - Leave, attendance and absences	Attendance records for employees, including flexitime sheets, time sheets and attendance sheets. Note: Licensees of children's services should meet the minimum retention requirements for these records outlined in National or NSW laws and regulations applying to early childhood education and care providers.

CATEGORY	DESCRIPTION
PERSONNEL - Misconduct	Records relating to the management of instances or allegations of misconduct involving abuse or neglect of children. Records include: * advice of allegation and response * investigation documentation and reports * referrals to external bodies * records of remedial and/or disciplinary action * records of appeals.
PERSONNEL - Misconduct	Records relating to the management of instances or allegations of misconduct (not involving abuse or neglect of children) where an investigation is conducted. Records include: * advice of allegation and response * investigation documentation and reports * referrals to external bodies * records of remedial and/or disciplinary action * records of appeals.
PERSONNEL - Misconduct	Records relating to the management of instances or allegations of misconduct where no follow-up investigation is conducted.
PERSONNEL - Performance management	Records of awards to employees for bravery and meritorious service. Includes registers, nominations and details of awards.
PERSONNEL - Performance management	Records relating to the administration and implementation of performance management programs, including recognition schemes for employees. Includes routine or periodic awards to employees in recognition of service.
PERSONNEL - Reporting	Records relating to the statutory reporting of incidents or referral of other matters to external bodies such as the Police, Independent Commission Against Corruption, the Ombudsman or child protection agencies e.g. Community Services.
PERSONNEL - Reporting	Records relating to reports regarding the management of personnel, e.g. workforce profile reports. Includes periodic internal reports on personnel programs and services. Records include: * background research * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
PERSONNEL - Reviewing	Records relating to the review of needs, initiatives and schemes to support the management of personnel, including post implementation reviews. Records include: * documents establishing the review * development of methodologies for review * background research * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * project or action plans.
PERSONNEL - Security	Records documenting the issue of security passes to employees and volunteers.
PROPERTY MANAGEMENT - Acquisition	Records relating to the acquisition of property that is significant due to the fact that it is: * a recipient of prestigious State, national or international architectural or design awards * an important local or regional landmark, or * heritage listed. Records include: * records of investigations into and reports on the property * images, including digital recordings, photographs, maps etc * records demonstrating public reaction to the purchase * environmental impact assessments * budget estimates * cost-benefit analyses * correspondence with the vendor or owner * due diligence checks prior to purchase * draft versions of contracts of purchase containing significant changes/alterations * final, approved versions of contracts of purchase.
PROPERTY MANAGEMENT - Acquisition	Records relating to the acquisition of property that is not: * a recipient of prestigious State, * national or international architectural or design awards * an important local or regional landmark, or * heritage listed. Records include: * records of investigations into and reports on the property * images, including digital recordings, photographs, maps etc * records demonstrating public reaction to the purchase * environmental impact assessments * budget estimates * cost-benefit analyses * correspondence with the vendor or owner * due diligence checks prior to purchase * draft versions of contracts of purchase containing significant changes/alterations * final, approved versions of contracts of purchase. Note: Specialty contracts include contracts under seal and deeds to property. Note: Limitation periods for contractual agreements or arrangements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.
PROPERTY MANAGEMENT - Acquisition	Summary records created to facilitate the management of property owned by the University, e.g. deed registers, property registers, land registers etc.
PROPERTY MANAGEMENT - Acquisition	Records relating to negotiations for property where the acquisition is not proceeded with.
PROPERTY MANAGEMENT - Acquisition	Records relating to the acquisition of services supporting property management, e.g. temporary use of plumbers, groundkeepers, electricians, where there is no tender or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering or where no maintenance contract is in place.
PROPERTY MANAGEMENT - Audit	Records relating to audits of processes and systems to detect the presence of hazardous substances or conditions in buildings or land.
PROPERTY MANAGEMENT - Audit	Records relating to audits of the University's property or property management processes and systems not related to hazardous substances, e.g. water or waste recycling audits, energy usage audits, audits of construction processes etc. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of reports containing significant changes/alterations or formally circulated for comment * final versions of authorised reports * records of remedial action.
PROPERTY MANAGEMENT - Claims	Records relating to insurance claims and appeals by the University for damage to and/or loss of property.
PROPERTY MANAGEMENT - Compliance	Records relating to the University's compliance with mandatory or optional standards or with statutory requirements relating to the management of property, e.g. Australian and international standards for building management, disabled access, air conditioning, environmental regulations and building regulations, safety certification, maintenance for fire prevention and access to water supplies. Note: Retention period is provided as a guide only. Any records providing evidence of compliance with statutory or operating requirements must be kept as long as the University has to account for its actions.
PROPERTY MANAGEMENT - Compliance	Records relating to breaches of regulatory requirements by the University, e.g. breaches of waste or environmental requirements, breaches of orders or requirements for the maintenance of heritage properties etc.

CATEGORY	DESCRIPTION
PROPERTY MANAGEMENT - Conservation	Summary records created to record and facilitate the identification and ongoing management of heritage assets, e.g. heritage and conservation registers. Includes records of changes to the heritage status of properties on the register.
PROPERTY MANAGEMENT - Conservation	Records relating to the identification and assessment of assets owned by the University where the assessment has confirmed that the asset is of heritage significance. Includes records relating to assets which are subsequently removed from the University's heritage and conservation register due to transfer or sale. Records include: * internal assessments * records of consultation with communities and other stakeholders * consultants' reports * nominations and submissions on proposed listings * correspondence with heritage bodies * notifications of inclusion on heritage listings * notifications of permanent heritage orders.
PROPERTY MANAGEMENT - Conservation	Records relating to the identification and assessment of assets owned by the University where the assessment has determined that the asset is not of heritage significance. Includes records relating to assets provisionally listed on the University's heritage and conservation register that, once assessed, are subsequently removed. Records include: * internal assessments * records of consultation with communities and other stakeholders * consultants' reports * nominations and submissions on proposed listings * correspondence with heritage bodies * notifications of outcome * notifications of interim heritage orders.
PROPERTY MANAGEMENT - Conservation	Records relating to the ongoing conservation maintenance of assets owned or occupied by the University that have been identified as having heritage significance. Includes records relating to assets which are subsequently removed from the University's heritage and conservation register due to transfer or sale. Records include: * applications seeking changes to heritage places * notifications or orders from the Heritage Council, e.g. notifications or orders restricting development or harm to buildings or regarding failures to maintain or repair * advice and submissions given to or received from heritage bodies regarding maintenance, repair or adaptation * heritage agreements * records of site inspections and monitoring * records of remedial action.
PROPERTY MANAGEMENT - Conservation	Records relating to the remediation of contaminated sites that: * present a major long term public health risk, e.g. toxic waste * involve major public controversy, or * have a significant impact on policies/procedures. Records include: * environmental and heritage impact assessments and plans * records of consultations * records of site inspections * records of remedial action * records of environmental monitoring.
PROPERTY MANAGEMENT - Conservation	Records relating to the remediation of contaminated sites that do not: * present a major long term public health risk * involve major public controversy, or * have a significant impact on policies/procedures. Records include: * environmental and heritage impact assessments and plans * records of consultations * records of site inspections * records of remedial action * records of environmental monitoring.
PROPERTY MANAGEMENT - Construction	Key records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that is of significance due to the fact that it is: * a recipient of a prestigious State, national or international architectural or design award * an important local or regional landmark, or * heritage listed. Records include: * building and development applications, including supporting documentation recording reviews of environmental factors such as environmental impact statements, archaeological or heritage impact statements * records demonstrating public reaction to the construction * plans/designs as approved * plans/designs as executed and variations * specifications * photographs * drawings * site diaries and plans * archival recordings of demolition * records of structural changes made for installations, fit-outs and maintenance * records of decisions or approvals regarding naming of buildings, use of coats of arms/heraldry and the erection of plaques on buildings, structures and public spaces * display models of architectural quality. Includes construction designs, artist's impressions, design models and plans submitted for design competitions. Includes successful and unsuccessful submissions. Includes the naming and renaming of buildings.
PROPERTY MANAGEMENT - Construction	Key records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that is not: * a recipient of prestigious State, * national or international architectural or design awards * an important local or regional landmark, or * heritage listed. Records include: * building and development applications, including supporting documentation recording reviews of environmental factors such as environmental impact statements, archaeological or heritage impact statements * records demonstrating public reaction to the construction * plans/designs as approved * plans/designs as executed and variations * specifications * photographs * drawings * site diaries and plans * records of structural changes made for installations, fit-outs and maintenance * records of decisions or approvals regarding naming of buildings, use of coats of arms/heraldry and the erection of plaques on buildings, structures and public spaces * display models of architectural quality.
PROPERTY MANAGEMENT - Construction	Records relating to project management for construction works. Records include: * records of budget and costs * records of client liaison on non technical matters * records of contractual matters such as variations, payment and sign off on construction * records of logistics * site procedures * records of quality and performance measurements * periodic reports * project risk management records and schedules * records of consultations.
PROPERTY MANAGEMENT - Construction	Records for projects or proposals proceeded with relating to the construction of property (other than key construction records, project management or records of hazardous materials) such as non-architectural quality models, correspondence with builders and records relating to minor day-to-day repairs or maintenance of site. See 16.7.3 for project management records.
PROPERTY MANAGEMENT - Construction	Records relating to the identification and management of hazardous materials including asbestos used or encountered in construction work.
PROPERTY MANAGEMENT - Construction	Records relating to construction projects or proposals not proceeded with.
PROPERTY MANAGEMENT - Construction	Records relating to the design and installation of minor equipment, and temporary equipment and structures for events. Includes lighting, temporary stages, kiosks and other amenities, playing surfaces, seating, signage and banners, air conditioning, sound systems. Records include: * plans and specifications * costs and quotations * associated correspondence.
PROPERTY MANAGEMENT - Disposal	Records relating to the disposal of property that is significant due to the fact that it is: * a recipient of a prestigious State, national or international architectural or design award * an important local or regional landmark, or * heritage listed. Records include: * assessments and investigations * valuation certificates * records of preparation undertaken before disposal * archival recordings of demolition * draft versions of contracts of sale containing significant changes/alterations * final, approved versions of contracts of sale.

CATEGORY	DESCRIPTION
PROPERTY MANAGEMENT - Disposal	Records relating to the disposal of property that is not: * a recipient of prestigious State, national or international architectural or design awards * an important local or regional landmark, or * heritage listed. Records include: * assessments and investigations * valuation certificates * records of preparation undertaken before disposal * draft versions of contracts of sale containing significant changes/alterations * final, approved versions of contracts of sale.
PROPERTY MANAGEMENT - Evaluation	Records relating to the evaluation of the suitability of potential property or the monitoring of existing property in relation to meeting the needs of the University's accommodation and business requirements, e.g. sourcing, appraising and evaluating potential accommodation, business cases, feasibility studies etc.
PROPERTY MANAGEMENT - Flora & fauna management	Records relating to the management of endangered species.
PROPERTY MANAGEMENT - Inspections	Records relating to inspections to determine whether asbestos or other hazardous substances are present in buildings or land.
PROPERTY MANAGEMENT - Insurance	Records relating to property insurance policies including information provided for renewals and summary records created to facilitate the management of policies, e.g. insurance registers. Note: With paper-based registers, retain minimum of 7 years after expiry of the last policy listed in the register. With electronic registers, retain minimum of 7 years after expiry of the policy relating to an entry or after data has become obsolete, then destroy.
PROPERTY MANAGEMENT - Leasing	Records relating to the leasing of property (where the University is the lessee). Records include: * correspondence and records of negotiations * signed leases * records of ongoing management of lease.
PROPERTY MANAGEMENT - Leasing	Summary records created to facilitate the management of leased property, e.g. lease registers. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
PROPERTY MANAGEMENT - Leasing-out	Records relating to the long term leasing-out of land and property owned or managed by the University to another University or person, such as perpetual and 99 year leases. Records include correspondence and records of negotiations, signed leases, contracts or agreements, records of ongoing management of lease, etc.
PROPERTY MANAGEMENT - Leasing-out	Records relating to the general leasing-out of property, facilities, land or open spaces owned or managed by the University. Includes leasing or licensing arrangements for the commercial or residential use of property, etc. Records include correspondence and records of negotiations, signed leases, contracts or agreements, records of ongoing management of the lease, etc.
PROPERTY MANAGEMENT - Maintenance	Records relating to accidents or damage occurring to premises. Records include: * reports of accidents or damage * maintenance work undertaken.
PROPERTY MANAGEMENT - Maintenance	Records relating to the maintenance of cooling water systems. Records include: * operating and maintenance manuals for cooling towers * test results * service log sheets.
PROPERTY MANAGEMENT - Maintenance	Records relating to the removal, storage and disposal of toxic or hazardous substances where risk assessments indicate that the severity of the risk to humans is high, e.g. asbestos, radioactive waste, some pesticides etc. Note: In some circumstances it may be appropriate to keep these records for longer periods.
PROPERTY MANAGEMENT - Maintenance	Records relating to the removal, storage and disposal of toxic or hazardous substances where risk assessments indicate that the severity of the risk to humans is low, e.g. petrol, gas, some chemicals etc.
PROPERTY MANAGEMENT - Planning	Final, approved versions of conservation management plans and related records documenting major conservation or restoration work carried out on heritage properties or items, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
PROPERTY MANAGEMENT - Planning	Final, approved versions of plans to support the management of property, e.g. facility and usage plans, plans for disabled access, energy management plans, environment management plans and waste reduction and purchasing plans, and associated correspondence indicating who the plans apply to and responsibilities for their implementation. Excludes conservation management plans.
PROPERTY MANAGEMENT - Policy	Final, approved versions of the University's policies relating to the management of facilities or property, e.g. security policies, energy management policies, environment management policies, waste management and recycling policies, leasing and hiring policies etc, and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: There may be some policies relating to the acquisition or disposal of property that need to be kept for longer retention periods than that specified because they may impact on the University's accountability with respect to the management of assets.
PROPERTY MANAGEMENT - Procedures	Final, approved versions of manuals, handbooks, directives etc detailing procedures relating to the management of facilities or property, e.g. security procedures, energy management procedures, environment management procedures, waste management and recycling procedures etc, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: There may be some procedures relating to the acquisition or disposal of property that need to be kept for longer retention periods than that specified because they may impact on the University's accountability with respect to the management of assets.
PROPERTY MANAGEMENT - Reporting	Final, approved versions of reports regarding heritage property that contain detailed recommendations and initiatives concerning heritage issues, e.g. condition treatment reports, conservation reports.
PROPERTY MANAGEMENT - Reporting	Final, approved versions of significant reports regarding the management of property owned or occupied by the University unrelated to heritage issues, e.g. reports on security, environment management, reporting against waste reduction and purchasing plans etc.

CATEGORY	DESCRIPTION
PROPERTY MANAGEMENT - Reviewing	Records relating to internal or external reviews of property management processes, programs and services, e.g. accommodation reviews, space and accommodation assessments. Records include: * documents establishing the review * background research * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * project or action plans.
PROPERTY MANAGEMENT - Risk management	Records relating to the identification and assessment of risks associated with the management of facilities or property and associated facilities or services, e.g. risk assessment reports for water cooling systems. Records include: * risk assessments * treatment schedules * action plans * risk registers. Note: 'Action completed' may be after the next risk assessment.
PROPERTY MANAGEMENT - Security	Records relating to security breaches or incidents where it is strongly suspected or proven that sabotage was intended. May include cases of: * unauthorised access or entry/trespass to buildings or restricted areas * acts of terrorism * intentional, major damage resulting in death or serious injury * bomb threats where it is established that the threat was real * fires * armed hold ups. Records include: * reports of breaches or incidents * records of investigations * records of liaison with law enforcement agencies.
PROPERTY MANAGEMENT - Security	Records relating to security breaches or incidents where charges are laid or damage or injury has occurred, but where sabotage is not strongly suspected or proven. May include cases of: * unauthorised access or entry/trespass to building or restricted areas * intentional, major damage * bomb threats where it is established that the threat was real * fires * armed hold ups. Records include: * reports of breaches or incidents * records of investigations * records of liaison with law enforcement agencies.
PROPERTY MANAGEMENT - Security	Records relating to minor security breaches or incidents, e.g. where charges are not laid or significant damage has not occurred, and where sabotage is not strongly suspected or proven. May include cases of: * unauthorised access or entry/trespass to buildings, e.g. unintentional * minor damage. Records include: * reports of breaches or incidents * records of investigations.
PROPERTY MANAGEMENT - Security	Records relating to property access controls to secure areas. Records include: * access registers (e.g. visitors books, sign in sheets) * keys registers * security data logs * records of issue of security passes to visitors * reports on responses to alarm warnings. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
PROPERTY MANAGEMENT - Traffic management	Records relating to the management and planning of parking and traffic control.
PUBLICATION - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements regarding the production, marketing, supply or distribution of published materials, e.g. distribution agreements, agreements regarding joint publishing ventures etc. Records include: * correspondence and negotiations including minutes or notes of meetings with stakeholders * drafts containing significant changes/alterations or formally circulated for comment * final versions of authorised agreements * reviews of agreements.
PUBLICATION - Authorisation	Records relating to authorisations given by individuals to the University granting permission to take and use images of individuals in publications, on websites and intranets.
PUBLICATION - Compliance	Records relating to the University's compliance with mandatory or optional standards or with statutory requirements for the management or the publication of materials. Records include: * records of lodgements of University publications under copyright legislation * records of allocation of ISBN/ISSN numbers, and URL addresses * records of use of official symbols * records of Internet domain names. Note: The retention period provided is a guideline only. Any records providing evidence of compliance with statutory or operational requirements must be kept as long as the University has to account for its actions.
PUBLICATION - Evaluation	Records relating to the evaluation or monitoring of potential or existing publication programs, services or systems or methods, tools and formats for the production and distribution of published materials.
PUBLICATION - Intellectual property	Records relating to managing applications: * received by the University for permission to reproduce published or unpublished material in which the University retains copyright, or * made by the University to reproduce material in which another party holds the copyright, where permission has been granted. Note: Some may find it beneficial to retain a full history of applications as long as copyright is held to assist with processing new requests or monitoring the use of copyrighted materials.
PUBLICATION - Joint ventures	Records relating to the establishment and monitoring of joint ventures undertaken with other organisations (government or non-government) for the purposes of researching, drafting or producing publications. Includes negotiations for joint ventures that do not proceed. Records include: * correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants * monitoring of arrangements * reporting on arrangements.
PUBLICATION - Reporting	Records relating to formal reports regarding publication programs and services, methods, tools and formats. Records include: * background research * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
PUBLICATION - Reviewing	Records relating to the review of publication programs and services or methods, tools and formats. Records include: * documents establishing the review * background research * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * project or action plans.
STAFF DEVELOPMENT - Acquisition	Records relating to the acquisition of goods and services, e.g. training packages and training consultants, where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.
STAFF DEVELOPMENT - Audit	Final, approved versions of audit reports relating to staff development or training programs. Includes reports of outcomes of skills analyses, audits and broad training needs analyses.

CATEGORY	DESCRIPTION
STAFF DEVELOPMENT - Conferences	Final, approved versions of unpublished proceedings, reports and addresses from conferences, seminars or forums arranged by the University for staff development, skills or professional development purposes.
STAFF DEVELOPMENT - Evaluation	Records relating to the evaluation of staff development activities, programs and events to determine whether they will bridge skill and knowledge gaps or meet the training needs of the University.
STAFF DEVELOPMENT - Reporting	Records relating to formal internal and external reports regarding staff development. Records include: * background research * draft versions of reports containing significant changes/alterations or formally circulated for comment * records of consultation with employees, unions, other stakeholders etc * final, approved versions of reports.
STAFF DEVELOPMENT - Reviewing	Records relating to the review of staff development activities, programs and events, including reviews of training programs to determine if they bridge skill and knowledge gaps. Records include: * documents establishing the review * background research, e.g. employee surveys * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * project or action plans.
STAFF DEVELOPMENT - Training	Records relating to the administration of government-wide training initiatives.
STAFF DEVELOPMENT - Training	Records relating to the content of training that forms part of specific study schemes, e.g. scholarships, apprenticeships, cadetships etc.
STAFF DEVELOPMENT - Training	Notices of assessment or examination results of internally conducted training or sent to the University by external training providers. Note: Registered Training Organisation's (RTO) are required to keep sufficient records to enable the reissue of a statement of attainment or qualification for 30 years.
STAFF DEVELOPMENT - Training	Summary records created to facilitate the management and monitoring of the provision of work health and safety training to employees, contractors etc, e.g. work health and safety training registers. Note: With paper-based registers, retain minimum of 75 years after last entry in the register. With electronic registers, retain minimum of 75 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
STRATEGIC MANAGEMENT - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements regarding the transfer of responsibilities and ownership of assets such as property, information, etc. due to administrative change, privatisation or corporatisation. Records include: * correspondence and records of negotiations * drafts containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements.
STRATEGIC MANAGEMENT - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements regarding ownership rights or use of intellectual property, e.g. agreements to invest copyright in another author, person or University.
STRATEGIC MANAGEMENT - Audit	Records relating to audits which cross functions, examine core functions or measure performance or compliance at a strategic level, which: * set a precedent, or * lead to a major change in policies. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of audit reports containing significant changes/alterations or formally circulated for comment * final, approved versions of audit reports * records of remedial action.
STRATEGIC MANAGEMENT - Audit	Records relating to audits which cross functions, examine core functions or measure performance or compliance at a strategic level, which do not: * set a precedent, or * lead to a major change in policies. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of audit reports containing significant changes/alterations or formally circulated for comment * final, approved versions of audit reports * records of remedial action.
STRATEGIC MANAGEMENT - Authorisation	Records relating to delegations of authority to the Vice-Chancellor or to officers occupying executive positions (high level delegations) regarding the functional responsibilities of the University.
STRATEGIC MANAGEMENT - Authorisation	Records relating to delegations of authority to officers to enter into agreements or arrangements that bind the University where the delegations are not high level delegations, i.e. are not delegations to the Vice-Chancellor or to officers occupying executive positions.
STRATEGIC MANAGEMENT - Compliance	Records relating to initiatives at a University-wide or program-specific level to measure and improve the University's operations in order to be compliant with mandatory or optional standards. Records include: * records of assessments of requirements with which the University needs to comply * background research into existing levels of compliance and breaches * records of development of initiatives to improve compliance.
STRATEGIC MANAGEMENT - Compliance	Records relating to the registration of business names by the University.
STRATEGIC MANAGEMENT - Compliance	Records relating to the University's compliance with mandatory or optional standards or with statutory requirements. Note: Retention period is provided as a guide only. Any records providing evidence of compliance with standards or requirements must be kept as long as the University has to account for its actions.
STRATEGIC MANAGEMENT - Corruption	Records relating to the management of gifts and benefits made to the University such as from visiting dignitaries, e.g. gifts and benefits registers. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
STRATEGIC MANAGEMENT - Corruption	Records relating to the University's compliance with mandatory statutory reporting requirements. Includes reporting corrupt, suspected corrupt or inappropriate behaviour.

CATEGORY	DESCRIPTION
STRATEGIC MANAGEMENT - Evaluation	Records relating to the evaluation of potential and existing programs, services and systems that cross functions or relate to the strategic management of the University, e.g. evaluations and modelling for quality management, business cases for new programs etc, or major/significant new initiatives.
STRATEGIC MANAGEMENT - Grant funding	Records relating to the investigation of potential or alternative sources of grant funding.
STRATEGIC MANAGEMENT - Grant funding	Records relating to successful applications for grants or funds which lead to the establishment of new and significant programs, events and outcomes. Includes business cases.
STRATEGIC MANAGEMENT - Grant funding	Records relating to successful applications for grants or funds which do not lead to the establishment of new and significant programs, events and outcomes.
STRATEGIC MANAGEMENT - Implementation	Records relating to the implementation of University-wide policies, key direction statements and initiatives concerning important or innovative programs, e.g. Code of Conduct and anti-discrimination or equal employment opportunity programs.
STRATEGIC MANAGEMENT - Implementation	Records relating to the implementation of counter disaster plans/business continuity plans after disasters have occurred. Records include: * photographs and records of assessment of damage * correspondence between relevant parties * documentation of action taken to implement plans.
STRATEGIC MANAGEMENT - Intellectual property	Records relating to the establishment, registration and documentation of the University's intellectual property, including patents, trademarks, designs such as logos, plant breeders rights, circuit layouts and all forms of copyright. Includes intellectual property registers. Note: With paper-based registers, retain minimum of 5 years after the expiry of intellectual property for all entries in the register. With electronic registers, retain minimum of 5 years after intellectual property rights lapse relating to each entry, or after data has become obsolete, then destroy.
STRATEGIC MANAGEMENT - Intellectual property	Records relating to unsuccessful or abandoned attempts to establish intellectual property rights.
STRATEGIC MANAGEMENT - Joint ventures	Records relating to the establishment and monitoring of significant strategic alliances with other organisations (government or non-government) regarding the core functional activities of the University that are of significance to the State. Includes those with implications for the performance of statutory functions or major liabilities or obligations for the University. Records include: * correspondence and records of negotiations regarding the establishment of joint venture agreements * drafts of agreements containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements * correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants * records of monitoring of arrangements * records of reporting on arrangements.
STRATEGIC MANAGEMENT - Joint ventures	Records relating to the establishment and monitoring of joint ventures with other organisations (government or non-government) regarding the core functional activities of the University that are not of significance to the State. Includes negotiations for joint ventures that do not proceed. Records include: * correspondence and records of negotiations regarding the establishment of joint venture agreements * drafts of agreements containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements * correspondence and liaison concerning arrangements, including minutes or notes of meetings with main stakeholders or joint venture participants * records of monitoring of arrangements * records of reporting on arrangements. Note: Specialty contracts include contracts under seal and deeds to property. Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions. Note: Limitation periods for contractual agreements or arrangements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.
STRATEGIC MANAGEMENT - Legislation	Records relating to the development, implementation and review of legislation and regulations concerning the operations and functional responsibilities of the University. Records include: * preliminary drafting instructions * draft legislation or regulations * amendments * submissions to the University's executive or governing body * reports * submissions received * records documenting the outcomes of consultation with relevant organisations and stakeholders * development and gazettal of regulations.
STRATEGIC MANAGEMENT - Meetings	Diaries/appointment books of the Vice-Chancellor and members of the Senior Executive recording detailed information regarding significant matters, e.g. decisions and actions agreed upon, *that are not recorded elsewhere.*
STRATEGIC MANAGEMENT - Planning	Final, approved versions of strategic, corporate or business plans applying to the University as a whole, and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
STRATEGIC MANAGEMENT - Planning	Records relating to the development and review of the University's strategic, corporate or business plans. Records include: * background research * draft versions of plans containing significant changes/alterations or formally circulated for comment * notes of meetings or reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.
STRATEGIC MANAGEMENT - Planning	Final, approved versions of high level plans and strategies for providing ongoing administrative or operational support, e.g. program plans relating to divisions, business units and projects within the University, business continuity or counter disaster plans, procurement plans, fraud control strategies, quality management plans, risk managements plans, ethnic affairs priority statements, equal employment opportunity management plans, total asset management plans etc, and associated correspondence indicating who the plans apply to and responsibilities for their implementation. Excludes strategic, corporate or business plans. Note: In some cases these may be records of major significance to the University, e.g. business plans for particularly significant areas of the University. Consideration may need to be given to keeping these for a longer period.
STRATEGIC MANAGEMENT - Policy	Final, approved versions of the University's policies on cross-functional or University-wide matters, e.g. equal employment opportunity policies, fraud control policies, internal circulars, code of conduct, and associated correspondence indicating who the policies apply to and responsibilities for their implementation.

CATEGORY	DESCRIPTION
STRATEGIC MANAGEMENT - Procedures	Final, approved versions of manuals, handbooks, directives etc detailing the University's procedures on cross-functional or University-wide matters, e.g. equal employment opportunity, fraud control, quality assurance, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation.
STRATEGIC MANAGEMENT - Reporting	Final, approved versions of reports regarding incidents/disasters that result in or have the potential to result in significant damage to government assets or the operating capabilities of the University, including those that significantly damage records required as State archives. Records include reports detailing: * plans that had been in place prior to the disaster * action taken to manage disasters * damage sustained, e.g. to records or property * effectiveness of plans * remedial action identified and taken.
STRATEGIC MANAGEMENT - Reporting	Final, approved versions of reports relating to the performance of the University in meeting corporate goals, objectives and performance indicators.
STRATEGIC MANAGEMENT - Reporting	Final, approved versions of reports relating to strategic management programs, services and systems that do not relate to: * incidents/disasters that result in or have the potential to result in significant damage to government assets or the operating capabilities of the University, or * the performance of the University in meeting corporate goals, objectives and performance indicators. Includes periodic reports that span multiple functions, e.g. routine monthly reports on the activities of a business unit.
STRATEGIC MANAGEMENT - Reviewing	Records relating to the review of strategic programs and services. Records include: * documents establishing the review * background research * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * project or action plans.
STRATEGIC MANAGEMENT - Risk management	Records relating to the identification and assessment of operational risks, in order to assist planning, and the implementation of strategies to minimise their impact. Records include risk registers. Note: With paper-based registers, retain minimum of 6 years after last entry in the register. With electronic registers, retain minimum of 6 years after last update or amendment to an entry, or after data has become obsolete, then destroy.
STRATEGIC MANAGEMENT - Standards	Records relating to the development and implementation of standards or benchmarks that provide a framework for the conduct of the University's operations or assessment of its performance. Records include: * background research * records of consultations * draft versions of proposed standards or benchmarks containing significant changes/alterations or formally circulated for comment * reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc. Note: Copies of final versions of standards or benchmarks may be retained in the University's library.
TECHNOLOGY & TELECOMMUNICATIONS - Acquisition	Records relating to the acquisition of services for the development of systems or the acquisition of off-the-shelf systems where the system is proceeded with and is acquired through a tendering or contracting-out process. Includes systems acquired through period contracts that involve tendering.
TECHNOLOGY & TELECOMMUNICATIONS - Acquisition	Records relating to the acquisition of technology and telecommunications equipment or systems through any means (purchase, acquisition, requisition etc) where there is no tender or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include: * requests for quotes * orders * correspondence and records of negotiations * minutes or notes of meetings.
TECHNOLOGY & TELECOMMUNICATIONS - Agreements	Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision or use of technology and telecommunications services that do not form part of contracting-out or tendering arrangements, e.g. software licences. Records include: * correspondence and records of negotiations, including minutes or notes of meetings * drafts containing significant changes/alterations or formally circulated for comment * final, approved versions of agreements * reviews of agreements.
TECHNOLOGY & TELECOMMUNICATIONS - Application development & management	Records relating to the design and development of systems which are proceeded with. Records include: * background research * project proposals * project management records * notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc * systems documentation * information regarding the source code and the source code itself * information regarding the interrelationship between systems * system specific data dictionaries * records of establishment of system logs * records of application and allocation of metadata * records of business rules * records of user requirements * records of system specifications and configurations * records of rectification of developmental problems * records of requests for system changes during development * records of final signoff by parties.
TECHNOLOGY & TELECOMMUNICATIONS - Application development & management	Records relating to testing of applications. Records include: * records of testing strategies, e.g. user testing * result forms * test reports.
TECHNOLOGY & TELECOMMUNICATIONS - Application development & management	Records relating to the configuration or customisation of off-the-shelf packages to meet the needs of the University.
TECHNOLOGY & TELECOMMUNICATIONS - Application development & management	Records relating to enhancements and upgrades to systems, and system-changing maintenance and problem management.
TECHNOLOGY & TELECOMMUNICATIONS - Audit	Records relating to audits of technology and telecommunications services, programs and systems, e.g. audits of licensing, equipment. Records include: * records of audit planning or liaison with auditing body * minutes or notes of meetings * notes taken at interviews * correspondence * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * records of remedial action.
TECHNOLOGY & TELECOMMUNICATIONS - Compliance	Records relating to the University's compliance with mandatory or optional standards or statutory requirements regarding technology and telecommunications, e.g. AS/NZS ISO/IEC 17799: 2001, Information Technology: Code of practice for information security management. Includes records of assessment and certification of compliance with standards. Note: Retention period is provided as a guide only. Any records providing evidence of compliance with statutory or operational requirements must be kept as long as the University has to account for its actions.

CATEGORY	DESCRIPTION
TECHNOLOGY & TELECOMMUNICATIONS - Data administration	Records relating to the recovery of data, e.g. data lost during disasters, data corrupted by viruses etc. Records include records of testing for data recovery and post-incident reviews.
TECHNOLOGY & TELECOMMUNICATIONS - **Disposal**	Records relating to the disposal of technology and telecommunications equipment through any means including sale, transfer, auction, exchange, return or destruction. Records include for leased equipment: * written notices and related correspondence, e.g. to and from leasing companies * handover reports. Records include for purchased equipment: * independent valuation certificates verifying work undertaken on assets prior to valuation * written quotes * auction records * related correspondence.
TECHNOLOGY & TELECOMMUNICATIONS - **Implementation**	Records relating to the implementation of technology and telecommunications strategies, projects, equipment and systems. Systems can include off-the-shelf products or internally developed applications. Records include: * notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc * project management documentation * records of implementation strategies and pilots * records of implementation testing * records of migration strategies and quality assurance checks for migration * records of allocation of technology and telecommunications equipment to individuals or business units as part of implementation roll-outs * records of monitoring of implementation.
TECHNOLOGY & TELECOMMUNICATIONS - **Intellectual property**	Records relating to managing applications: * made by the University to use portions of software developed by another University or individual, or * from the public or other organisations for permission to reproduce portions of software developed by the University where permission has been granted.
TECHNOLOGY & TELECOMMUNICATIONS - **Leasing-out**	Records relating to arrangements for leasing-out the University's technology and telecommunications equipment, systems or services to other organisations.
TECHNOLOGY & TELECOMMUNICATIONS - **Maintenance**	Records relating to the maintenance of technology and telecommunications equipment. Records include: * project management documentation * notes of meetings or reports analysing issues and the outcomes of consultation with employees, stakeholders etc * correspondence and records of advice from vendors, suppliers, consultants etc * records of maintenance inspections * records of requests for maintenance * documentation of minor maintenance action.
TECHNOLOGY & TELECOMMUNICATIONS - **Planning**	Final, approved versions of plans for technology and telecommunications projects, systems and activities within an University, e.g. plans for quality control and for acquisition and implementation projects, systems security plans, information system security plans, information management and technology strategic plans, access control plans, telecommunications plans and associated correspondence indicating who the plans apply to and responsibilities for their implementation.
TECHNOLOGY & TELECOMMUNICATIONS - **Policy**	Final, approved versions of policies for the use or management of technology and telecommunications systems, e.g. information system security policies, information technology security policies, mobile telephone policies and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: There may be some policies relating to the acquisition or disposal of technology and telecommunications equipment that need to be kept for longer retention periods than that specified because they may impact on accountability with respect to the management of assets.
TECHNOLOGY & TELECOMMUNICATIONS - **Procedures**	Final, approved versions of manuals, handbooks, directives etc detailing technology and telecommunications procedures, e.g. system usage procedures, and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: Operating manuals for technology and telecommunications equipment, facilities or software not developed or customised by the University can be destroyed under normal administrative practice (NAP). Note: There may be some procedures relating to the acquisition or disposal of technology and telecommunications equipment that need to be kept for longer retention periods than that specified because they may impact on the University's accountability with respect to the management of assets.
TECHNOLOGY & TELECOMMUNICATIONS - **Reporting**	Records relating to the development and review of formal reports regarding technology and telecommunications programs, services and systems, e.g. reports on systems development and implementation and reports on risk management processes. Records include: * background research * records relating to the outcomes of consultation with employees, unions, other stakeholders etc * draft versions of reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports.
TECHNOLOGY & TELECOMMUNICATIONS - **Restructuring**	Records relating to arrangements, e.g. project management documentation, for the transfer or integration of technology and telecommunications systems/assets to or from other organisations, e.g. after administrative change.
TECHNOLOGY & TELECOMMUNICATIONS - **Reviewing**	Records relating to the review of technology and telecommunications programs and services, including post implementation reviews. Records include: * documents establishing the review * records of development of methodologies for review * background research * records of testing activities undertaken as part of reviews, e.g. user acceptance testing * draft versions of review reports containing significant changes/alterations or formally circulated for comment * final, approved versions of reports * project or action plans * certificates of compliance/completion.
TECHNOLOGY & TELECOMMUNICATIONS - **Security**	Records relating to security arrangements made for the protection of technology and telecommunications systems. Records include: * minutes or notes of meetings * records of authentication measures * records of encryption measures * records of advice/approval from other organisations regarding security issues * records of maintenance of firewalls * records of security testing and audit * records of sanitisation of technology equipment prior to disposal, e.g. wiping of hard disks. Note: Disposal of backups is covered by normal administrative practice (NAP) as they are facilitative records. It is not good practice to rely on backups as official records of business as they are not considered to be reliable recordkeeping systems. There should be established and documented routines for the destruction of backups in accordance with NAP.
TECHNOLOGY & TELECOMMUNICATIONS - **Security**	Records relating to suspected or proven breaches of security arrangements for technology and telecommunications systems. Records include: * reports on security leaks * records of investigations into alleged security breaches * records of referral of breaches to law enforcement authorities.

CATEGORY	DESCRIPTION
TENDERING	Records relating to the development, issue, evaluation and review of tenders. Records include: * records of planning for the tender * minutes or notes of meetings * Statements of Requirements * Requests for Proposals * Expressions of Interest * Requests for Tender (RFT) * draft contracts * records of arrangements for carrying out the evaluation process * evaluation reports * recommendations * final reports * public notices * records of post offer negotiations * records of due diligence checks.
TENDERING	Records relating to contracts resulting from tenders and supporting records. Records include: * correspondence and records of negotiations including minutes or notes of meetings * draft versions of contracts or agreements containing significant changes/alterations or formally circulated for comment * final, approved and signed versions of contracts or agreements * records of variation or review of contracts or agreements. Note: Specialty contracts include contracts under seal and deeds to property. Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions. Note: Limitation periods for contractual agreements or arrangements may be longer in other States. These may need to be taken into account when assessing retention requirements for intrastate agreements or arrangements.
TENDERING	Summary records created to facilitate the management of contracts or tenders, e.g. contract registers, tender registers. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.

University Specific Records

CATEGORY	DESCRIPTION
Admission, enrolment and progression	Records relating to the admission, enrolment and subsequent progress of students. Includes show cause for progression purposes, special considerations affecting enrolment and progression, variations of program, advanced standing, withdrawals, etc. Includes records relating to working with children checks for students undertaking studies involving contact with children.
Admission, enrolment and progression	Records relating to applications for admission, regardless of decision and outcome, including offers which have or have not been accepted or have lapsed, and unsuccessful, incomplete, withdrawn applications, etc. Includes: • application forms and supporting documents • offers of places • interview records • entry examinations • correspondence. **Note**: action completed may include existing appeals or any subsequent appeal rights.
Admission, enrolment and progression	Record that a working with children check has been completed for students undertaking studies involving contact with children.
Results and graduation	Records relating to changes to assessment results as a result of moderation, re-marking or appeal by the student. **Note:** action completed includes the end of appeal processes and any subsequent appeal rights.
Results and graduation	**Records confirming the award/receipt of a qualification of diploma or above. Includes honorary doctorates.**
Results and graduation	Finalised results obtained by students, where the results are generated as an outcome of some form of assessment. Note: does not include courses which only define whether a Student attended or not.
Results and graduation	Finalised results obtained by students for externally accredited courses, such as those delivered by a Registered Training Organisation.
Results and graduation	Finalised results obtained by students for non-award courses including continuing education programs and community courses.
Scholarships/Prizes/ Fellowships/Awards	Records relating to the management and delivery of scholarships, prizes, fellowships, awards and honorary awards. Includes applications, nominations, acceptances, unsuccessful candidates, rejected or lapsed offers.
Scholarships/Prizes/ Fellowships/Awards	**Summary records of recipients of scholarships, prizes, fellowships or awards.**
Scholarships/Prizes/ Fellowships/Awards	Records relating to the establishment and conditions of scholarships, prizes, fellowships and awards. This can include terms and conditions for both internal and external scholarships, prizes, and fellowships.
Student grievances, complaints and misconduct	Records relating to the management of proven and unproven cases involving allegations of abuse or neglect of children. Includes inquiries and investigations, outcomes, and matters referred to external bodies for investigation.

CATEGORY	DESCRIPTION
Student grievances, complaints and misconduct	Records relating to the management of proven and unproven student grievance, misconduct and disciplinary cases. Includes inquiries and investigations, outcomes, and matters referred to external bodies for investigation. Includes handling complaints over perceived discrimination, the work/study environment, assessment/assignment organisation or distribution, peers, lecturers, tutors or supervisors, access to equipment, facilities (such as laboratories), tutorials, or other services. Includes disciplinary processes for breaches of by-laws and rules and other student disciplinary matters.
Student grievances, complaints and misconduct	Meeting papers, including master set of minutes and agenda of student discipline and conduct committees.
Assessment	Assessment committee records and records of appeals of individual assessments. **Note:** action completed may include escalation to formal grievance / complaint processes.
Assessment	Records relating to the assessment of courses of study such as practicums and/or professional placements where the number of hours completed and proof of satisfactory performance may be required for accreditation purposes (for example nursing and teaching practicums). **Note:** For certification/accreditation purposes the information required will usually include the number of hours/days completed, dates, locations worked and the result/grade.
Attendance	Records relating to the management of student attendance for teaching and assessment activities at mandatory residential schools e.g. attendance lists, sick leave forms and medical certificates.
Course delivery	Master set of examination question papers. **Note:** if no other course material is available these should be retained as State archives
Curriculum development & approval	**Final approved versions of curricula. Includes master/authoritative set of descriptions of course requirements, prerequisites, content and outcomes, calendars, faculty handbooks and course guides.** **Includes master set of approved examination papers if no other course material is available.**
Curriculum development & approval	Records relating to the development, review and/or approval of the curriculum. Includes correspondence, reference/advisory/industry groups, records of working parties and notes, and committee records. Note: Where these records are batched a careful estimation will need to be made on the likelihood all relevant courses have been superseded.
Curriculum development & approval	Records relating to successful or unsuccessful external accreditation of courses by professional or registration bodies. Includes letter/notification of outcome of accreditation processes.
Curriculum development & approval	Records generated to support compliance with agreed accreditation obligations. Includes: • samples of output and results • reports and portfolios created for accreditation body.
Transfer of courses	Records relating to the transfer of responsibilities and ownership of courses to another institution. Includes agreements.
Anatomy management	Records relating to the acquisition, storage, management, maintenance and disposal of bodies, body parts, specimens, human tissue, etc. Includes agreements for the use and disposal of body parts.
Animal management	Records relating to the treatment of animals in the organisation's custody. Includes records relating to the operation and provision of veterinary clinics and services.
Grant administration	Records relating to routine administration of grant programs. Includes unsuccessful applications and routine associated correspondence.
Grant administration	Records relating to successful applications for grants. Includes applications, agreements, project monitoring, acquittals and reports.
Grant administration	Records relating to the establishment of the grant, including grant conditions. Includes records relating to the establishment of grants, including standard grant conditions which establish the expectations, boundaries and protocols in relation to the grant.
Research management	Records relating to assessment of the appropriateness of research on ethical grounds in relation to human based research. Includes: • applications, assessment and approval of research • grievances and investigations into misconduct • records of ethics committees • progress reports, inspection reports and reports on expenditure.

CATEGORY	DESCRIPTION
Research management	Records relating to the assessment of the appropriateness of research on ethical grounds in relation to animals. Includes: • applications, assessment and approval of research • progress reports, inspection reports and reports on expenditure • grievances and investigations into misconduct • records of ethics committees • applications for approvals for lethality tests to determine whether and/or how many animals will die • applications for animal research authorities.
Research management	Records relating to the assessment of the appropriateness of research on ethical grounds in relation to biosafety, including genetically modified plants and organisms. Includes: • applications, assessment and approval of research • progress reports, inspection reports and reports on expenditure • grievances and investigations into misconduct • records of ethics committees.
Research management	**Final reports on individual research projects that include outcomes of the research project.**
Research management	Records relating to research projects or proposals that are not approved or do not proceed.
Research management	Records relating to the handling and investigation of complaints concerning research projects that are not subject to the research ethics or approval committee processes or oversight.
Research data	**Data and datasets created as part of research activities within the institution, which are of regulatory or community significance. Includes data created that is:** • **part of genetic research, including gene therapy** • **controversial or of high public interest, or has influence in the research domain** • **costly or impossible to reproduce or substitute (ie with an alternative data set of acceptable quality and useability) if the primary data is not available.** • **related to the use of an innovative technique for the first time** • **of significant community or heritage value to the state or nation** • **required by funding or other agreements to be retained permanently.**
Research data	Data and datasets created from clinical trials, or other research with potential long term effects on humans, as part of research activities within the institution, which are not of regulatory or community significance. Includes animal testing for human products.
Research data	Data and datasets created as part of research activities within the institution which do not involve clinical trials, research with potential long term effects on humans, gene therapy, or which are not of regulatory or community significance.
By laws, policies and procedures	**Final, approved versions of by laws, rules and whole of organisation policies relating to core functions.**
By laws, policies and procedures	Records relating to the development and review of by-laws, rules and whole of university policies and procedures. Includes final approved procedures.
Licencing/accreditation	**Records relating to the accreditation of the institution as an education provider.**
Licencing/accreditation	Records of accreditation to deliver externally accredited short or non-award courses.
Student support services	Records relating to the establishment, negotiation, maintenance and review of agreements to provide and operate services to students, etc. Records include: • correspondence and records of negotiations • final, approved versions and significant drafts of agreements • reviews of agreements.

CATEGORY	DESCRIPTION
Student support services	Records relating to the provision of financial assistance services (loans, bursaries, etc.), special needs and accessibility services (e.g. interpreters, reading assistance for sight impaired students, disabled access, etc.,) and other tailored advisory or study support services and assistance to individual students. Note: for financial assistance services, action completed is when the loan is repaid.
Student support services	Records relating to the provision and administration of residential accommodation and placement services for students; careers, employment and general services; mentoring, peer networking services, etc.
Student support services	Records relating to the interaction between the university and student associations such as the students' union, sporting clubs, special interest groups etc.
Student support services	Records relating to liaison between the university and service providers where the service is not provided directly by the university. For example, child care services, religious services, student accommodation, medical and dental services.
Student support services	Records relating to the provision of counselling by a professional counsellor. Includes case files. **Note:** Case files may be destroyed prior to the expiry of the minimum retention period in certain circumstances e.g. agreement between counsellor and client.
Library services	Records relating to the provision of library borrowing and usage rights (including the imposition of fines or other penalties).
Commercial Activities & Services	Records relating to the management of commercial ventures and services. Includes the provision of consultancies and other professional services. Includes: • expressions of interest and tenders • negotiations, contracts, agreements and other formal arrangements regarding provision of services, commercial ventures, use of intellectual property, etc. • records relating to provision of products and services.
Commercial Activities & Services	Records relating to commercial ventures and services that did not proceed or where the tender/expression of interest, etc., was unsuccessful.
Commercial Activities & Services	Register of commercial activities.