

# Retention and Disposal Authority – Detailed Schedule

The following schedule provides the detailed descriptions, examples and minimum retention period after which the records may disposed of.

Unless otherwise explicitly stated, all retention periods refers to the minimum number of years record must be retained for based on last administrative use, i.e. this could be date last referenced, published, superseded, or modified whichever is appropriate as determine by the business.

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## 1. Engagement and Communications

Class	Activities	Description	Notes and Examples	Retention Rule
COM.01A	Alumni Relations	Summary records of registered University alumni members	Summary records of all registered alumni of the University	Retain Permanently
COM.01B	Alumni Relations	Relations with former students and staff of the institution	Records documenting the maintenance of alumni registers and databases. Includes: updating contact or other details of current members, applications to join the University's alumni association and any eligibility checks undertaken.	Destroy after last administrative use
COM.02A	Branding	University marketing or branding including campaigns, logos and form designs.	Records documenting the planning, final product branding and review of major/minor marketing campaigns relating to the University's core education and research mission.	Retain Permanently
COM.02B	Branding	Development, implementation and administration of designs	Records documenting the development, approval, implementation and administration of designs for University logos, letterhead, stationery and publications incorporating the corporate image.	Destroy after last administrative use
COM.03A	Community Recognition	Recognition of excellence, service or contributions to the institution and society at large.	Includes the presentation of honorary degrees and the maintenance of honour rolls, walls/halls of fame or similar. Records documenting the nomination and deliberation process to determine recipients of all forms of recognition. Summary of all honorary degrees issued by the University and individuals inducted into the University's Halls of Fame, Walls of Fame, honour rolls or similar.	Retain Permanently
COM.03B	Community Recognition	Nomination and deliberation process to determine recipients of all forms of recognition	Records documenting the nomination and deliberation process to determine recipients of all forms of recognition, which are not done through an institution committee or board. Includes calls for nominations and deliberations to determine the recipient.	Destroy 2 year(s) after last administrative use
COM.04	Companies & Joint Ventures	Managing joint operations between departments, either within the University or with other organisations, or with the interstate governments where there is a contract, joint contribution of funds and / or time.	Final signed version of joint venture agreements. Memorandums of Understanding.	Retain Permanently

Class	Activities	Description	Notes and Examples	Retention Rule
COM.05	Consultancy to External Organisations	Activities associated with University staff undertaking consultancy projects on behalf of the University for external organisations for commercial gain.	Summary reports and outcomes from consultancies Delivery of projects involving provision of professional advice or services for commercial gain. Facilitation of the consultancy process. Includes records of meeting arrangements, monitoring, working papers, analysis, surveys, market intelligence reports and background advice.	Retain Permanently
COM.06A	Exchange Programs & Study Tours	Application, selection, and management of students participating in an exchange program	Includes formal exchange programs between institutions and individually negotiated study abroad programs. The successful application, selection and management of students participating in an exchange or study abroad program Management of study tours conducted at the University	Destroy 7 year(s) after last administrative use
COM.06B	Exchange Programs & Study Tours	Unsuccessful applications to participate in an exchange or study abroad program.		Destroy 1 year(s) after last administrative use
COM.07	Fundraising & Grants	Activities carried out by the University to receive money or a benefit through donations.	The records associated with investigating possible fundraising activities. Planning and organising of fundraising events by the University. Allocation of financial assistance provided by the University for various grants and funding programs. Application for and receipt of grants by the University from a government or non-government source. Working papers for fund distribution. Includes closing dates, lists of granting bodies and available grants.	Destroy 7 year(s) after last administrative use
COM.08A	Internal and External Grants	Summary record of grant applications.	Identifies the nature of the application and reasons for acceptance or rejection	Retain Permanently
COM.08B	Internal and External Grants	Grant allocation procedures and successful applications for grants including monitoring of allocated grants	Includes selection criteria and records of the ongoing monitoring of the allocated grant.	Destroy 7 year(s) after last administrative use
COM.08C	Internal and External Grants	Records of unsuccessful applications for grants.		Destroy 2 year(s) after last administrative use
COM.08D	Internal and External Grants	External grants	Records documenting the identification and selection of grant funding opportunities. Records documenting successful/unsuccessful applications made by the University for grant funding received from a government or non-government	Destroy 7 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention Rule
			source.	
COM.09A	Media Relations	Master set of University media releases representing the University and associated bodies.		Retain Permanently
COM.09B	Media Relations	Administrative arrangements with the media	Includes copies of news cuttings and transcripts and items from media monitor services, including those specifically relating to the University's operations.	Destroy 7 year(s) after last administrative use
COM.09C	Media Relations	Items collected from external media sources and media releases received from other organisations.	Items collected from external media sources. Includes copies of news cuttings and transcripts and items from media monitor services, including those specifically relating to the University's operations.	Destroy after last administrative use
COM.10A	Marketing	Records documenting the planning and final products of major marketing campaigns	Includes activities such as re-branding after mergers or restructuring or major awareness campaigns.	Retain Permanently
COM.10B	Marketing	Records of a facilitative nature used for the preparation of all marketing campaigns and administrative arrangements.	Records documenting changes to content on University websites. Includes records of the approval process. Records of a facilitative nature used for the preparation of all marketing campaigns and administrative arrangements. Records relating to subject-matter experts at the institution providing unpaid expert commentary to a specific group or the public at large (for example, to the media). Includes expert-matching registers maintained by the institution to assist external parties in finding the correct expert to contact.	Destroy 7 year(s) after last administrative use
COM.11	Memberships & Professional Associations	Maintaining regular general contact between the University and professional associations	Professionals in related fields, private sector organisations and community groups. Includes sharing informal advice and discussions; membership of professional associations and collaborating on projects. Records documenting liaison activities undertaken with professional associations; private sector organisations and community groups. Includes the provision of membership benefits to these individuals or Universities such as the provision of a journal, conference registration discounts and professional development activities.	Destroy 7 year(s) after last administrative use
COM.12	University Trusts & Donations	Records of donations of both money, items and services by the University	Records documenting donations of money, items and services by the University to public organisations and groups, including charities. Records documenting the refusal of donations.	Destroy 7 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention Rule
			Includes the return of items not accepted by the University	
COM.13	Visits & Tours	Arranging visits by other organisations, the public and students to the University.	Records documenting arrangements for visits or tours to the University Records documenting comments, suggestions, or expressions of gratitude provided by visitors Security records documenting visitor attendance to the University Visits by University representatives to community organisations to promote the image or services of the University.	Destroy 7 year(s) after last administrative use
COM.15A	Presentation, Conferences and Forums	Conferences, seminars and forums convened by the University and celebrations, ceremonies or events of major significance to the University.	Master copies of transcripts and speeches, proceedings and reports presented at conferences convened by the University. Papers presented by University staff to conferences convened by other organisations and which address the University's policy, strategic direction or new services, products or partnerships. Records relating to celebrations, ceremonies, forums or events of major significance to the University such as events of an historic nature, University milestones and anniversaries. May include addresses on policy, strategic direction or new services, products or partnerships.	Retain Permanently
COM.15B	Presentation, Conferences and Forums	Records relating to addresses, celebrations, ceremonies, forums or events of minor significance to the University	e.g. funerals, memorials, farewells, luncheons, dinners and non-University celebrations and ceremonies. Records relating to other administrative arrangements for events including catering and venue bookings. Records documenting the preparation, dispatch and receipt of letters of introduction, appreciation, condolence and greeting cards. Includes mailing lists. Final version of addresses delivered or intended to be delivered on the routine promotion of the University's service or products. Working papers documenting the development of all addresses. Papers presented by staff to conferences convened by other organisations and which address the University's policy, strategic direction or new services, products or partnerships.	Destroy 7 year(s) after last administrative use
COM.16A	Publications	Master copy of University publications.	Master set of commissioned photographs and moving images on University activities. One copy of each of the University's primary publications (including web	Retain Permanently

Class	Activities	Description	Notes and Examples	Retention Rule
			publications but excluding websites) which have not been lodged with the State Library of Victoria in compliance with the Libraries Act 1988.	
COM.16B	Publications	Records documenting the production process.	Includes graphic design, printing, binding, indexing, layout, typesetting, printing requisitions (departmental copy of).	Destroy 7 year(s) after last administrative use
COM.16C	Publications	Duplicate copies, drafts and distribution activities.	Duplicate copies of commissioned photographs and moving images on activities, publications intended to publicise or promote University activities. Includes pamphlets and brochures. Records documenting the development, approval, implementation and administration of designs for forms. Records documenting rejected designs regarding corporate style. Records documenting the distribution activity for publications. Includes records of the monitoring of distribution, stock lists and address lists. Records relating to all aspects of the drafting of publications. Includes drafts, background information, and unused material (such as duplicate photographs etc.).	Destroy after last administrative use

## 2. Financial Management

Class	Activities	Description	Notes and Examples	Retention
FM.01A	Asset Register	Summary record listing an University's assets such as an asset register.		Retain Permanently
FM.01B	Asset Register Management	Records documenting asset valuation and asset management processes, including requests for inclusion on the asset register.	Includes records associated with listing and preparing lists of items and assets in the possession of the University.	Destroy 7 year(s) after last administrative use
FM.02A	Annual Financial Statements	Annual financial statements and associated background documentation.	Includes balance sheets, operating statements, cash flow statements and accompanying notes.	Retain Permanently
FM.02B	Annual Financial Statements	Interim financial statements including balance sheets and operating	Includes mid-year and quarterly financial reporting statements. Working papers and calculations relating to the preparation of all financial	Destroy 7 year(s) after end of relevant

Class	Activities	Description	Notes and Examples	Retention
		statements.	statements.	financial year
FM.03	Manuals, Handbooks and Procedures	Master set of University manuals, handbooks, directives etc. detailing procedures supporting the financial management function.	Including: Records documenting the development of University procedures supporting the financial management function.	Retain Permanently
FM.04	Donations	Receipt and management of all donations of money, items, artefacts or objects, including approaches for donations or bequests and acknowledgements.		Retain Permanently
FM.05A	Accounting Records	The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the University.	Principal accounting records and associated supporting records related to managing the University's revenue and expenditure. Sales and purchase invoices, receipts, orders for the payment of money, bills of exchange, cheques, promissory notes, credit notices, petty cash records, cash books, journals, ledgers and other records of prime entry. Establishment and closure of University bank accounts. Management of banking activities including deposit records, bank statements, bank reconciliation statements, investment and dividend statements, and records documenting use of credit cards. Management of debt recovery. Management of incidental benefits received by University personnel, e.g. frequent flyer points. Administrative process in handling money and financial records, i.e. records which do not document University revenue and expenditure. Management of surplus, obsolete or damaged accountable forms. Chart of accounts.	Destroy 7 year(s) after end of relevant financial year
FM.05B	Accounting Records	Cardholder data	Records containing cardholder data captured as part of an electronic financial transaction including information printed, processed, transmitted or stored in any form on a payment card.	Destroy 3 month(s) after last business, legal and/or regulatory action.
FM.06	Financial	Delegations authorising financial		Destroy 7 year(s) after

Class	Activities	Description	Notes and Examples	Retention
	Delegations	activities and transactions		end of relevant financial year
FM.07	Payment of Salaries	Records documenting the processing of payment of salaries to personnel.		Destroy 7 year(s) after end of relevant financial year
FM.08	Budgeting	Activities associated with planning the use of expected income and expenditure over a specified period.	Budget estimates and associated records prepared for external approval, produced for internal use by the University, and ad hoc funding submissions (i.e. funding requests that fall outside core budget). Background records used for the production of whole of University budget estimates including the input by individual departments within an agency to the whole of University budget estimates. Records documenting spending progress or revenue collection against allocations within budget estimates.	Destroy 7 year(s) after end of relevant financial year
FM.09	Loans	Records relating to the borrowing of money by the University.	Includes, loan agreements, repayment records, interest rate agreements and other associated records.	Destroy 7 year(s) after finalisation of loan
FM.10	Statutory Registrations	Records relating to the University's compliance with mandatory or optional standards or with statutory requirements regarding financial management.	Registration of Australian Business Number (ABN), Australian Company Number (ACN), Data Universal Numbering System Number (DUNS), accounting standards.	Destroy 7 year(s) after end of relevant financial year
FM.11	Taxation	The activities involved with administering taxation matters.	Records documenting the taxation matters of the University e.g. administration of Goods & Services Tax (GST). Records relating to organisational income taxation records including records relating to the payment of payroll taxes.	Destroy 7 year(s) after end of relevant financial year
FM.12	Fundraising	Money received through fundraising events and activities.	Records documenting the receipt and disbursement of money received through fundraising events and activities.	Destroy 7 year(s) after last administrative use



### 3. Governance

Class	Activities	Description	Notes and Examples	Retention
GV.01	Audits	All records associated with audit activities both internal and external	Final financial audits (including final report of an internal or external financial audit resulting in major/significant changes to University). Audits against with recordkeeping policies, procedures and systems (and associated breaches). Audit activities carried out on systems to ensure they have been kept and maintained in accordance with agreed or legislated standards (including routine checking and review of location of files, documents and other information resources). Audits relating to OH&S functions	Destroy 15 year(s) after last administrative use
GV.02A	Committees & Boards	Records of advisory committees, boards, external committees convened by the University, and internal strategic committees.	Definitions: a) Boards - elected or appointed management bodies established as a requirement of, or under legislation. b) Advisory committees - committees that perform an advisory role and consisting of external stakeholders. c) Internal strategic committees - committees that are established with the purpose to determine University policy direction or strategic planning. Includes records relating to establishment of the committee, including the appointment of members. Master set of minutes, terms of reference, agenda, reports, resolutions, submissions and other meeting papers. Industry Advisory Committee, University Council, VCE, Academic Board, Faculty Board and ad hoc Advisory/Working Group papers.	Retain Permanently
GV.02B	Committees & Boards	Records relating to unsuccessful nominations or applications, and records and minutes of external committees not convened by the University.	Includes records documenting successful and unsuccessful nominations. Records relating to the establishment of the external committees (not convened by the University), including the appointment of members, copies of minutes, agenda, reports, submissions and other meeting papers.	Destroy 2 year(s) after last administrative use
GV.02C	Committees & Boards	Internal committees established for operational purposes, and duplicate or reference copies of minutes, agenda and related papers		Destroy after last administrative use

Class	Activities	Description	Notes and Examples	Retention
GV.03A	Establishments & Restructures	The reassessment of the activities, goals and structure of the University.	Includes consideration of the number of staff, their position descriptions, equipment, and other resources required by the University. Establishment restructure and amendments of the University's staffing structure or functional sections; the administrative arrangements that result from University restructures.	Retain Permanently
GV.03B	Establishments & Restructures	Administrative arrangements resulting from restructures	Records documenting the administrative arrangements that result from University restructures. Includes transfer of equipment, corporate files etc.	Destroy 7 year(s) after last administrative use
GV.04	Fraudulent Activities	Disclosure of fraud. Includes fraudulent activities carried out by those within and outside of the University. Including both internal and external investigations.		Destroy 15 year(s) after last administrative use
GV.05	Policies	Versions of University-wide policy prescribing the way the University operates.	Records relating to the formulation of policies that refer to administrative functions. University procedures and processes, and records of their development. Includes manuals and handbooks.	Retain Permanently
GV.06	Registration as Education Provider / RTO	The development, final submission and outcomes of The University's application to become, or continue to be, an approved registered education or training provider by a State or Australian regulatory authority.	Includes, but is not limited to, registrations with the Tertiary Education Standards Quality Agency (TESQA), Australian Skills Quality Authority (ASQA), Victorian Registration and Qualifications Authority (VRQA) The Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS). Records created during the development of a submission by the University to either become or continue to be an Education Provider/RTO. Includes but not limited to: CRICOS, TESQA, ASQA and VRQA.	Retain Permanently
GV.07A	Reporting and Planning	University wide, College and Portfolio reports and plans	Final version of University-wide strategic or corporate plans. Summary documentation of projects. Includes project registers. University Annual reports Reports of the University's functions that detail performance against objectives, including legislated objectives.	Retain Permanently

Class	Activities	Description	Notes and Examples	Retention
GV.07B	Reporting and Planning	Functional and business unit reports and plans	Reports produced about the day to day internal administrative functions that support providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of an examination or investigation.	Destroy 7 year(s) after last administrative use
GV.08	Strategic Management & Benchmarking	The planning, monitoring and evaluation of services provided by the University Evaluation of the institution by measuring processes, programs and services against like institutions or professional or industry standards.	The development of customer service strategies including strategies and service charters. Final version of business unit level strategic work plans and their development Project management methodology and systems for reporting and monitoring of projects. Risk assessments, treatment schedules and action plans. Includes benchmarking, surveys, analysis and reporting on evaluation activities. Also includes records used for facilitation of evaluation activities and working papers as well as records used to develop benchmarks and compare current benchmarks with professional or industry standards and to those used by other institutions.	Destroy 7 year(s) after last administrative use
GV.09	Whistle-blower's Protection	Activities associated with investigations into disclosures made under the Protected Disclosure Act 2012 (Vic).	Includes Ombudsman's reports.	Retain Permanently
GV.10	Formal Submissions to Government Bodies	Preparation and submission of a formal statement (e.g. reports, statistics, etc.) supporting a case or opinion to government bodies	Issues directly relating to the University's functions, concerning controversial issues, social, economic and interstate implications relating to the functional responsibilities of the University	Retain Permanently
GV.11	Procedures	University procedures and processes, and records of their development, including manuals and handbooks.	Includes processes and procedures for handling enquiries and complaints from members of the public or clients (Excludes financial procedures, see FM.03) (Excludes records documenting the management of specific customer services provided to the public. See SS.07B)	Destroy 7 year(s) after superseded

#### 4. Human Resources

Class	Activities	Description	Notes and Examples	Retention
HR.01A	Employment Details and Conditions	Consolidated/summary employment details and history (ongoing and non-ingoing).	Types of summary data include name of employee, date of birth, date of appointment, date of separation from the University, rates of salary and allowances, position titles and the dates positions were held.	Retain Permanently
HR.01B	Employment Details and Conditions	Records documenting personnel who have had exposure to hazardous substances	Including asbestos and biohazards, or who were located at places identified as containing hazardous substances (including volunteers, contractors, honorary appoints, students etc.).	Retain Permanently
HR.02	Industrial Relations	All activities associated with industrial relations	Industrial relations advice Enterprise bargaining and workplace agreements / awards Industrial action Processes associated with the establishment, maintenance, review and negotiation of workplace agreements and awards Workplace disputes Appeals against industrial relations decisions by application to a higher authority Workplace agreements applying to the University. Records relating to situations where enterprise bargaining has not resulted in a workplace agreement.	Retain Permanently
HR.03	Employee Grievances	The activities associated with issues or complaints raised by employees in relation to any workplace action or decision which directly affects them and which they perceive to be unfair or unreasonable.		Retain Permanently

Class	Activities	Description	Notes and Examples	Retention
HR.04	Employee Misconduct	Activities and actions associated with the handling of misconduct by the University. Includes investigation, charges, formal inquiries, punishment and appeals. Includes misconduct handled by an external body and records documenting allegations where no misconduct is proven.		Destroy 15 year(s) after last administrative use
HR.05A	Training & Development	Activities related to developing staff skills and abilities to maximise their potential and productivity. Includes identifying and implementing all aspects of training needs and programs (internal and external) available to staff	Training material for staff development courses and programs (e.g. induction courses, graduate training and training of volunteers) Administrative arrangements supporting the conduct of training courses Receipt and provision of advice on trends relating to staff development, and advice of available training. Attending and participants' reports on conferences or seminars held by other organisations. The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. Staff social clubs including support given by the University The activities associated with all aspects of training (external / internal) available to staff for their development.	Destroy 7 year(s) after last administrative use
HR.05B	Training & Development	Evaluations of training courses and publication of available training courses.	Records documenting evaluations of internally and externally conducted training courses. Includes course evaluations made by staff after attending courses. Records documenting available training courses. Includes publicity material and testimonials collected about training courses.	Destroy after last administrative use
HR.06	Performance Management	Records documenting the development and management of performance management schemes.	Individual employee Work Plans, notes from meetings with employees and assessment and review reports.	Destroy 7 year(s) after last administrative use
HR.07	Coaching & Counselling	Refer to SS.10		
HR.09	Position Classification	Records documenting the creation, variation, abolition, transfer or reclassification of positions and assigned duties.	Includes applications to vary and establish positions and assigned duties not approved or proceeded with.	Retain Permanently

Class	Activities	Description	Notes and Examples	Retention
HR.10A	Recruitment	Records relating to recruitment activities	Including interview notes for successful applicants, make-up of interview panels, and referee questions. Includes records relating to recruitment campaigns and graduate employment programs.	Destroy 7 year(s) after last administrative use
HR.10B	Recruitment	Records relating to unsuccessful applications, unsolicited applications and employment checks.	Unsuccessful applications for vacancies including unsuccessful feedback/interview notes. Records documenting the management of unsolicited applications. Records documenting security checks pre-engagement/ employment or periodic reviews (e.g. police check, reference checks, Working with Children Check). Note In alignment with GDPR requirements, records relating to unsuccessful applications of recruitment activities within the European Union are required to be destroyed immediately following finalisation of the recruitment decision.	Destroy 6 month(s) after receipt or decision finalised. See additional note for GDPR requirements.
HR.11	Evaluation of Programs and Services	The process of determining the suitability of potential or existing programs, systems or services in relation to meeting the needs of a given situation.	Evaluation of staff development programs Evaluation of existing and potential programs and services supporting the personnel function	Destroy 7 year(s) after last administrative use
HR.12	Contractors & Honorary Appointments	Engagement and management of independent contractors and honorary appointments.	Includes personal details and agreed undertakings relating to conditions of engagement and details of work performed. Includes independent contractor agreements, Honorary Fellows, Visiting Professors, Professors Emeritus and University visitors. Excludes individuals who have been exposed to hazardous materials, refer to class HR.01B.	Destroy 7 year(s) after placement has ended providing the individual has by then reached the age of 25 years
HR.13	Salaries, Leave Authorisation and Employment Conditions	Consolidated leave history records, salaries including promotions and higher duties.	Records documenting the consolidated employment history of all ongoing and non-ongoing employees from initial appointment to subsequent promotions and details of higher duties undertaken. Consolidated leave history records and records documenting the authorisation of long service leave, parental leave, military leave and leave without pay exceeding 5 days in any one calendar year (i.e. leave used to calculate entitlements for superannuation or long service leave). Records documenting employees' salaries. Includes taxation	Destroy 50 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention
			declaration records, group certificates, payroll deduction authorities, records relating to the recovery of overpayments, and employee pay history records. (For records documenting the process of payment of salaries to personnel, see Financial Management: Payment of Salaries FM.05)	
HR.14	Allowances, Administrative Leave, Rosters and Attendance	Payment of allowances, employee leave, management of rosters, attendance records and general employment conditions not part of consolidated employment history	Records documenting the payment of allowances to employees. Includes overtime, first aid, clothing and travelling allowances. Records documenting the employment conditions of ongoing and non-ongoing employees, including heads of agencies, that are not part of the consolidated employment history. Records supporting taking of leave records (e.g. sick leave certificates) Management of rosters Attendance records (including overtime, clock on/off, attendance books) Work funded relocations Other employment conditions not part of the consolidated employment history	Destroy 7 year(s) after last administrative use
HR.15	Requests for Expunging of Personal Information Under FOI	Records in relation to cases where a request has been made under Section 39 of the Freedom of Information Act 1982 for the expunging of personal information	Records in relation to cases where a request has been made under Section 39 of the Freedom of Information Act 1982 for the expunging of personal information. This class authorises destruction of information under Section 49 of the Freedom of Information Act 1982. This class relates to information stored on an individual's consolidated employment record only. Separate applications must be made to Public Record Office Victoria for expunging of personal information not related to an individual's consolidated employment record, or records classified in this section of the authority as Permanent.	Destroy after authorisation from Chief People Officer to destroy
HR.16	Pecuniary interests	Records documenting an individual's company, trust and property holdings as well as any other pecuniary interests.	Includes pecuniary returns made upon appointment as well as any regular updates.	Destroy 3 year(s) after an individual ceases to hold office

## 5. Information Management, Access and Protection

Class	Activities	Description	Notes and Examples	Retention
IM.01A	Freedom of Information (FOI) Requests	Records documenting FOI requests that set a precedent in how FOI requests are handled (e.g. changes in university processes/policies)		Retain Permanently
IM.01B	Freedom of Information (FOI) Requests	All other records documenting FOI requests		Destroy 7 year(s) after last administrative use
IM.01C	Privacy Complaints & Breaches	Records documenting complaints made concerning privacy breaches	Includes breaches of internal privacy policies, Privacy and Data Protection Act 2014 (Vic) and any other relevant privacy legislation Includes breaches internally and/or referred to the relevant privacy commissioner	Destroy 15 year(s) after last administrative use
IM.04	Records Conservation & Archiving	The preservation, protection, maintenance, restoration and enhancement of information resources and artefacts.	Routine preservation activities undertaken on University records and library and information resources. Records documenting very specific or prescribed preservation activities undertaken on records, library and information resources.	Destroy 7 year(s) after last administrative use
IM.05A	Records Disposal	The activities involved in the destruction, migrations or transfer of records to archives	Internal University business rules or procedures regarding the use of retention and disposal authorities. The program of activities to facilitate the orderly transfer of records between systems	Destroy 7 year(s) after last administrative use
IM.05B	Records Disposal	Record of disposed documentation using RDA or the transfer of permanent records to Public Record Office Victoria (PROV).	Records documenting public records that have been disposed of by means of an authorised disposal authority or by normal administrative practice. Records documenting the transfer of permanent records to Public Record Office Victoria (PROV).	Retain Permanently
IM.08	Selection and use of storage solutions	Activities involved in selection and use of on-premise, off-site and cloud storage solutions (including security arrangements).	Records relating to the use of on-site storage areas. Records relating to the selection and use of off-site storage areas. Records relating to security arrangements for records storage areas. The retrieval of records held by PROV and secondary storage providers including both physical and online retrieval.	Destroy 7 year(s) after last administrative use



IM.09	Master control records for information systems	Master control records, procedures for systems holding university records and library collections.	Includes registers, indexes, data classification schemas and configuration manuals, database configuration and schemas. Records management procedures such as document titling protocols. Control records documenting library collections, e.g. library catalogue.	Retain Permanently
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## 6. Information Technology and Applications

Class	Activities	Description	Notes and Examples	Retention
IT.01	Data migration	Migration of data between electronic systems and from one electronic medium to another.	Migration plans/strategies Quality assurance checks to confirm accuracy of the migration process	Destroy 7 year(s) after last administrative use
IT.02	Database management	Records documenting database management	Includes requests for changes to schemas, views and configuration management.	Destroy 7 year(s) after last administrative use
IT.03	Development of control mechanisms	Development of control mechanisms to ensure record authenticity	The development of control mechanisms ensuring e.g. authenticity and version control. The allocation and maintenance of metadata in electronic systems. Maintenance of system usernames, email address lists (internal and external) and / or telephone lists, to individuals or business units. For master control records (see IM.09)	Destroy 7 year(s) after last administrative use
IT.04	Helpdesk Services	Records relating to the provision of help desk services.	Minor maintenance and advice Technical assistance to an individual Requests to reset passwords Requests to recover data from backup tapes; and Ad-hoc requests for information from databases.	Destroy 7 year(s) after last administrative use
IT.05	Information Security Controls and Response	Measures taken to protect information or equipment from unauthorised access, accidental or intentional damage.	Responses to any security breaches and the security of systems. The setting up of remote access to University networks at individual's homes. The use of filters in systems to control SPAM and viruses. The setting and management of digital signatures. Establishing and assigning security levels and caveats within records management systems. Records associated with establishing and assigning security levels and caveats within records management systems. Physical security arrangements for records management systems.	Destroy 7 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention
IT.06	Leasing & Licenses	Establishing a formal relationship to use software or a system, as well as leasing technology and telecommunications from another organisation	<p>The administration and management of leased technology and telecommunications equipment. Includes reports received from leasing companies.</p> <p>The acquisition of licenses for software and systems from vendors. Includes negotiations relating to the terms and conditions of the license.</p> <p>The monitoring and renegotiations of license agreements. Includes responses to any licensing infringements.</p> <p>Records documenting the allocation of software to individuals or organisational units.</p>	Destroy 7 year(s) after last administrative use
IT.07	Maintenance	Upkeep, repair and servicing of technology and telecommunications assets to ensure compliance with agreed standards and objectives	<p>System logs which are not used to show a history of access or changes to data. Includes backup logs, tapes.</p> <p>Software maintenance records, scheduled software updates etc.</p> <p>Records relating to the maintenance and upkeep of applications, software and information systems, e.g. updates, patches.</p> <p>Backup copies of records and information used for the purpose of system recovery.</p> <p>Routine inspection of technology and telecommunications systems and facilities,</p>	Destroy 7 year(s) after last administrative use
IT.08	Evaluation, development, implementation and ongoing management of applications	Evaluation of suitability of existing systems or services, development/modification/testing, implementation and ongoing management of applications	<p>For audits carried out on systems (refer to GV.01)</p> <p>Evaluation of potential or existing technology and telecommunications services and systems.</p> <p>Investigations into the feasibility of contracting out technology and telecommunications activities.</p> <p>Systems analysis</p> <p>Business process analysis</p> <p>Feasibility studies; pilot studies; final versions of all system documentation, user and technical manuals; business rules; user requirements; system specifications; final sign-off.</p> <p>Testing strategies, result forms, and test reports.</p> <p>Implementation plans</p> <p>Implementation, installation, configuration and relocation of technology equipment and facilities.</p> <p>Includes applications which do not go into production.</p>	Destroy 7 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention
IT.09	System access and change logs	System logs which are used to show a history of access or change to data.	Includes system access logs; system change logs; audit trails.	Destroy after business requirements have ceased.

## 7. Learning and Teaching

Class	Activities	Description	Notes and Examples	Retention
LT.01	Summary finalised student results	Summary record of finalised results obtained by students for all courses delivered by the University (i.e. AQF levels 5-10, 1-4 and non-award courses).	Includes results for specific subjects, units or modules, as well as final course results. Includes master set of approved examination papers, if no other course material is available.	Retain Permanently
LT.02A	Course development	Master record of accredited or approved courses, programs, training packages, modules and their units for all courses delivered by the University (i.e. AQF levels 5-10, 1-4 and non-award courses).	Syllabus, teaching objectives, learning outcomes, assessment methods and course, subject or unit descriptions and delivery methods, capability outcomes and any specific criteria for successfully completing the course/subject/unit. Governance information such as course proposal, rationale for course, business case, approval date, responsible officer and any external professional accreditations or registrations which apply to the course or program.	Retain Permanently
LT.02B	Course development	Course proposals and curriculum content which are not approved or did not proceed to approval stage.		Destroy 7 year(s) after last administrative use
LT.03A	Prizes and Scholarships	Development and establishment of internal prizes and scholarships.	Includes establishment of eligibility criteria for the prize/scholarship and any conditions attached. Summary record of recipients of prizes and scholarships. Includes name of prize/scholarship, year and successful recipient(s).	Retain Permanently
LT.03B	Prizes and Scholarships	Records documenting successful applicants for prizes, scholarship and award funding.		Destroy 7 year(s) after last administrative use
LT.03C	Prizes and Scholarships	Unsuccessful applications and nominations for prizes and scholarships.		Destroy 1 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention
LT.04	Assessment Material	Master copy and drafting of approved assessment and examination material.	Includes assignments, workbooks, tests, class presentation tasks, practical assessments and any other assessment tools. (excludes assessment material where this is the only course or unit material available, refer to SM.01)	Destroy 7 year(s) after last administrative use
LT.05A	Assessment, Examination and Results	Final approved theses, compilations and/or creative equivalents for assessment for Doctorate and Masters by Research qualifications.		Retain Permanently
LT.05B	Assessment, Examination and Results	Amendments to students' results made as a result of moderation, re-marking or appeal by the student including authorisation to amend the result.	Where amendments are the result of appeals, includes records documenting moderation of student assessment tasks, and any evaluation undertaken of the suitability of the assessment task.	Destroy 7 year(s) after last administrative use
LT.05C	Assessment, Examination and Results	Assessment of applications for special consideration. Theses and other outputs submitted for assessment for Masters and Honours qualifications.	Excludes Masters by Research (see to LT.05A)	Destroy 7 year(s) after last administrative use
LT.05D	Assessment, Examination and Results	Completed examination and assessment material submitted by students for the purpose of assessment or evaluation of competencies	Includes completed assignments, exams, portfolios, works of art, software, photographs and videos. Please note – longer retention may be applicable due to other secondary requirements arising from funding contracts and accreditation etc.	Destroy 6 month(s) after date of grading and appeal period ends, if not returned to student. Exceptions may apply, see further notes.
LT.06	Graduation event booklets	Graduation event booklets that list qualification recipients.		Retain Permanently
LT.07	Testamur and graduation management	Records associated with the issue of testamurs,	Requests for replacements, uncollected testamurs and administrative arrangements for graduation ceremonies.	Destroy 7 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention
LT.08	Course Delivery	The delivery of course content to all students via all methods. Student attendance records.	Includes class lists, rolls and attendance registers. Records that support the management of work integrated learning or other off-campus activities conducted as part of a subject or unit for which students receive credit towards their final result. Includes records relating to industry and work placements, practicums and excursions. Curriculum, teaching and student resources designed to assist teachers and students during the learning process. Commencement checklists and contact record sheets. Training plans developed for individual apprentices and trainees. Administrative arrangements for course delivery. Includes records relating to timetabling, room booking, session creation and allocation of staff to specific sessions. The evaluation and review of courses, subjects and units by students. Includes student evaluation of unit and student evaluation of teaching surveys.	Destroy 7 year(s) after last administrative use

## 8. Legal Services

Class	Activities	Description	Notes and Examples	Retention
LS.01	Advice received (internal and external)	Legal advice received relating to matters of public interest, controversy, industrial issues, new/amended legislation applicable to university		Retain Permanently
LS.02A	Agreements and contracts	Summary record of all contracts, and records associated with formation and execution of significant contracts and smaller scale contracts under seal	(Excludes tender records: see PS.14) Summary records for all contracts managed by the University. Includes contract registers and systems. Records that document the formulation and execution of contracts for significant government commitments, such as large-scale infrastructure projects and public private partnerships (PPPs). Records of contracts for smaller-scale activities which are under seal (specialty contracts). Includes records associated with the negotiation process, excluding tender records.	Retain Permanently

Class	Activities	Description	Notes and Examples	Retention
LS.02B	Smaller scale or standard contracts	Records of agreements and contracts for smaller-scale activities which are not under seal (simple contracts).	Records relating to the engagement and use of consultants. Includes copies of the specification, quotations, copies of contract and summaries of consultant evaluations. Records of contracts for smaller-scale activities which are not under seal (simple contracts). Includes records associated with the negotiation process, excluding tender records. Records documenting the preliminary drafting process for contracts. Used for internal purposes only and not subject to formal negotiations. Includes records documenting the acquisition of records documenting the acquisition of property equipment and stores, technology and telecommunication equipment, goods and services library, information and records management materials and/or services where there is no tender or contracting-out process. Includes orders and subscriptions.	Destroy 7 year(s) after last administrative use
LS.03	Compensation	Compensation to personnel and visitors for damage to property where such damage is claimed as the University's responsibility:	Records of claims for damage to property made by employees or members of the public.	Destroy 7 year(s) after last administrative use
LS.04	Insurance	Taking out insurance policies to cover loss or damage to property and to cover the University against damage to another organisation's property as well as injury to members of the public visiting the University property or using University facilities:	Insurance policies including property insurance and public liability insurance. Annual renewal of insurance policies. Records documenting insurance claims.	Destroy 7 year(s) after last administrative use
LS.05	Intellectual Property	Managing the University's copyright and intellectual property, both published and unpublished, and the use of material held by the University in which another party owns the intellectual property.	Includes copyright, design, patents and trademarks, royalties and matters of confidentiality Successful and unsuccessful attempts to establish intellectual property rights. Infringements, breaches and requests to reproduce material	Destroy 7 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention
LS.06A	Litigation	Lawsuits or legal proceedings between the University and other parties in a court or other tribunal.	Includes briefs for counsel, copies of documents required by or lodged with a court, consultation with the Attorney-General's department and other agencies Records documenting compliance with court instructions, e.g. subpoenas and discovery orders.	Retain Permanently
LS.06B	Litigation	Records created and received during legal discovery processes. Includes subpoenas and discovery orders.		Destroy 7 year(s) after last administrative use
LS.07	Legal Research	Investigating or enquiring into a legal or legislative subject or area of interest in order to discover facts, principles etc.	Used to support the development of projects, standards, guidelines etc. and the business activities of the University in general. Research of legislation and regulations Documenting routine research carried out to support the legal services function.	Destroy 7 year(s) after last administrative use
LS.08	University Legislation	Records relating to the development of legislation and regulations concerning the operations and functions of the University.	Includes drafting instructions, draft legislation, regulation and amendments, submissions to the Minister, reports, comments received from other agencies and any other papers containing substantial input from the University.	Retain Permanently

## 9. Occupational Health & Safety

Class	Activities	Description	Notes and Examples	Retention
OHS.01	OH&S Advice	The offering of opinions by or to the University	The receipt and provision of advice on the OH&S function. Includes copy of final report and records documenting changes made to procedures as a result of an audit.	Destroy 7 year(s) after last administrative use
OHS.02	Awareness Programs	Promotions by the University which encourage the establishment and maintenance of a healthy work environment:	The promotion of safe work practices in the workplace. Includes the development and distribution of notices, instructions, posters and other promotional material.	Destroy 7 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention
OHS.03A	Compensation Claims	Claims for compensation for personnel and visitors injured while proceeding to or from work, during work hours or on the University's premises.	Claims for compensation submitted when a person has died or for personal injury of an employee, and the liability is with the University or its subsidiaries. Records documenting an appeal made by the University against an investigator (e.g. WorkCover Victoria) decision on a health and safety matter.	Retain Permanently
OHS.03B	Compensation Claims	Claims for compensation submitted when a member of the public has been injured and liability is with the University.		Destroy 7 year(s) after last administrative use
OHS.04A	Compliance	Complying with mandatory or optional accountability, fiscal, regulatory or quality standards or requirements to which the University is subject in relation to OH&S	Environmental monitoring of hazardous substances listed in relevant Occupational Health and Safety legislation. Compliance with provisions of the Occupational Health and Safety Acts and Regulations.	Destroy 15 year(s) after last administrative use
OHS.04B	Compliance	Material safety data sheets (MSDS) prepared by the manufacturers of a hazardous substance which describe the properties and uses of the substance.		Destroy after last administrative use
OHS.05	Risk Identification & Management	Records documenting the risk management of all OH&S hazards.	The process involving the identification of risks, the likelihood and consequences of those risks, and the implementation of appropriate practices and procedures to treat the risks. Records documenting the risk management of all OHS&S hazards, including hazardous substances detailed in OH&S regulations. Includes both risk assessments that indicate a risk to the employees where health surveillance and/or monitoring of the employees is necessary and where risk assessments indicate no risk to the employees with no health surveillance and/or monitoring is required.	Retain Permanently
OHS.06A	Incident Management	Incidents resulting in major injury, incapacity or death on University premises or while travelling for the purposes of employment	Includes injury or death to an employee travelling for the purposes of employment (while on duty or official business), or to visitors or the general public while on the University's premises. Also includes hazards that may impact upon a number of people. Accident registers, minor incidents and incidents not resulting in compensation.	Retain Permanently
OHS.06B	Incident Management	All incidents not resulting in major injury or compensation claims	Includes employees, contractors and members of the public. Includes first-aid registers of injuries and treatment.	Destroy 7 year(s) after last administrative use



Class	Activities	Description	Notes and Examples	Retention
OHS.07	Inspections following major accident	Records documenting an OH&S inspection resulting from a major accident in the workplace	Dangerous occurrences or accidents causing fatalities or serious injuries).Records documenting an Occupational Health and Safety workplace inspection resulting from an accident in the workplace; inspections of hazardous substances; routine inspections of work sites.	Retain Permanently
OHS.08	Planning, Review and Monitoring	University wide OH&S plans and records documenting review and monitoring of OH&S programs and operations.	Final versions of University-wide OH&S plans. Includes records that document substantial input or decisions made regarding the plans and those that document the implementation of the plans. Records documenting the review and monitoring of OH&S programs and operations. Documents establishing the review, final report and action plan.	Destroy 15 year(s) after last administrative use
OHS.09	OH&S Representation	Activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed as OH&S representatives.	Including the appointment of first aid officers, fire wardens and safety officers etc.	Destroy 7 year(s) after last administrative use
OHS.10	Rehabilitation	Rehabilitation of workers to full employment (not related to a compensation case).	Includes return to work plans.	Retain Permanently
OHS.11	Appeals against investigators decisions	Records documenting an appeal made by the University against an investigators (e.g. WorkCover Victoria) decision on a health and safety matter.		Destroy 15 year(s) after last administrative use

## 10. Procurement and Property Services

Class	Activities	Description	Notes and Examples	Retention
PS.01A	Property Acquisitions	Records relating to the acquisition of property	Includes legal documents relating to a purchase / sale; Particulars of sale documents; board of survey; licenses & rental revision; tender documents; conditions of contracts; certificates of approval.	Retain Permanently
PS.02A	Property Equipment & Stores	Maintenance, security/protection, allocation to employees and stocktake	Records documenting the maintenance of equipment and stores. Includes service and maintenance records. Records documenting the activities undertaken to protect equipment and stores. Includes investigations into theft or intentional damage and referral of an alleged incident to law enforcement authorities. Records relating to the allocation of equipment or stores to employees within the University. Includes records documenting requests for equipment or stores. Records documenting the stocktake of equipment and stores.	Destroy 7 year(s) after last administrative use
PS.02B	Property Equipment & Stores	Delivery arrangements, information from vendors, acquisitions not proceeded with, key registers, storage of equipment and manuals/operating instructions	Research into acquisitions of equipment and stores not proceeded with. Information provided by vendors relating to equipment and stores. Records documenting arrangements for the delivery of equipment and stores to the University. Records documenting lock combinations and/or keys for equipment or plant such as safes and filing cabinets. Includes key registers. Records documenting the storage of equipment and stores (excluding hazardous materials) within the University. Includes records documenting location management and stock control. Instructions for the use of equipment and stores. Includes equipment manuals and operating instructions.	Destroy after last administrative use
PS.03	Leases and bookings of University assets	The hire or bookings of University buildings, gardens, equipment, vehicles or other infrastructure. Leasing accommodation, premises or real estate	Records documenting ongoing administrative matters regarding the leasing arrangements for a property. Includes space and accommodation assessments; negotiations; cost-benefit analysis; assessments; signed leases. The leasing-out of premises belonging to the University. Includes negotiations and signed leases.	Destroy 7 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention
PS.04A	Conservation & Restoration	The preservation, protection, restoration and enhancement of properties, including buildings and land.	The preservation, protection, restoration and enhancement of properties.	Retain Permanently
PS.04B	Conservation & Restoration	Records documenting the identification and restoration of contaminated land.		Retain Permanently
PS.05A	Construction, renovation, fit-outs and installations	Construction, fit-outs and renovation on University owned properties and installations of equipment intended for extensive public use.	Includes "as built" construction plans, landscaping, erection of monuments and memorials on University grounds and modification of properties Work orders and the engagement of subcontractors. Records documenting fit-outs of properties (including where asbestos was present). Includes refurbishing, painting, floor coverings, furnishings, furniture, partitions, wall fittings and equipment. Records documenting the installation of equipment intended for exclusive or extensive use by the public.	Retain Permanently
PS.05B	Construction, renovation, fit-outs and installations	Construction and renovations on non-University owned properties and activities which did not proceed or fit-outs of properties	Records documenting construction and renovation activities for properties which are not proceeded with. Records documenting construction and renovation activities carried out on non-University owned properties. Includes "as built" construction plans. Records documenting fit-outs of properties (excluding where asbestos was present - see PS.05A). Records documenting installation of equipment (e.g. heating, plumbing, air-conditioning, security equipment and cabling) in properties. Includes arranging installations and location details.	Destroy 15 year(s) after last administrative use
PS.06A	Hazardous material and waste	Removal, storage and disposal of hazardous materials and waste	Records documenting the removal, storage and disposal of hazardous materials, including: asbestos, chemicals or pesticides. Hazardous substance register (including asbestos register) identifying substance properties and details of their condition.	Retain Permanently

Class	Activities	Description	Notes and Examples	Retention
PS.06B	Non-toxic waste	Removal of non-toxic waste		Destroy 7 year(s) after last administrative use
PS.08	Fleet Management	Records relating to University owned fleet or vehicles	Warranty, servicing and guarantee records. Licences, policies, reports, repairs, ticketing. Vehicle running sheets/log books. Includes records generated by global positioning systems.	Destroy 7 year(s) after last administrative use
PS.10A	Repairs, Maintenance & Planning	Routine upkeep, repair and maintenance	Cleaning, painting, grounds maintenance and electrical maintenance. Includes operating and maintenance manuals, test results and service log sheets for cooling towers. Records documenting the structural maintenance of property or equipment intended for exclusive or extensive use by the public. Records relating to pest and infestation control.	Destroy 7 year(s) after last administrative use
PS.10B	Repairs, Maintenance & Planning	Major repairs made to properties after a disaster, e.g. fire, floods etc.		Destroy after property is disposed of
PS.10C	Repairs, Maintenance & Planning	Structural maintenance and records documenting devising of plans associated with property management	Records documenting the devising of disaster plans for disasters such as fire and floods to property both leased and owned. Records documenting the devising of other plans relating to property management. Includes plans devised for the management of worksites during renovation and other maintenance activities.	Destroy 7 year(s) after last administrative use
PS.10D	Repairs, Maintenance & Planning	Moving of business activities from one property to another.	Includes inventories, costings, and removalist records.	Destroy 7 year(s) after last administrative use
PS.11	Permit Management	Registration of institutional compliance with licensing or other bodies to enable the institution to manage and hold specific facilities, services and materials.	Includes records of initial licensing, permits or registration as well as renewal or re-registration. Includes licences and permits relating to the institution's compliance with regulations surrounding research activities including laboratories and animal housing, collections, the provision of alcohol, beauty services, food services and other institutional services designed to support teaching and learning activities.	Destroy 7 year(s) after last administrative use

Class	Activities	Description	Notes and Examples	Retention
PS.12	Disposal of Properties	Records of the disposal of property no longer required by the University.	Disposal by sale, transfer, auction, donation or destruction. Deeds and certificates for property owned by the University (transfer to new owner as required as required)	Retain Permanently
PS.13A	Property Security	Managing protection of property from accidental or intentional damage or from unauthorised access.	Issue of security passes to employees, including registers. Property guarding, surveillance and patrol operations. Includes records of electronic security systems, security reports and rosters. Records of accidents and damage occurring to property. Records relating to illegal entry. Includes incidents of illegal entry resulting in damage and/or theft.	Destroy 7 year(s) after last administrative use
PS.13B	Property Security	Surveillance camera footage		Destroy after last administrative use
PS.14	Tendering	Receiving and assessing tenders for the supply, sale or purchase of goods and services.	Includes statement of requirements, request for proposals, requests for expressions of interest, request for tender (RFT), draft contracts, specifications and quotations. Also includes records documenting the development of the evaluation and selection criteria for the tender. Routine enquiries and arrangements for the advertising of tenders. Copies of tender specifications produced by the University for distribution.	Destroy 7 year(s) after last administrative use
PS.15	Property Equipment & Stores	Acquisition of property equipment and stores, technology and telecommunication equipment, goods and services	Includes information provided by vendors relating to products and services. Includes formal requests for quotations, orders, handover reports, and correspondence relating to the acquisition. (For acquisitions requiring tenders or contracts, see PS.14)	Destroy 7 year(s) after last administrative use

## 11. Research

Class	Activities	Description	Notes and Examples	Retention
RS.01A	Commercialisation	High level activities relating to feasibility studies or consolidated plans towards the development of commercial enterprises.	Includes records that define criteria and processes for commercialisation.	Retain Permanently
RS.01B	Commercialisation	Establishment of companies, associations or projects owned by the University or established in partnership with other organisations.	Includes certificates of company registration, memoranda and articles of association and records regarding appointment of Directors.	Retain Permanently
RS.01C	Commercialisation	Identification and investigation of commercial opportunities that was either unsuccessful or did not proceed.	Identification and investigation of commercial opportunities where the commercial activity did not proceed. Records facilitating the business development process. Includes facilitative records for both successful and unsuccessful commercial enterprises. Planning and development of companies, associations, trusts or partnerships that were abandoned or did not proceed. Facilitative and administrative working papers supporting the establishment and development of companies, associations, trusts and partnerships. Includes papers from successful and unsuccessful commercial ventures.	Destroy 7 year(s) after last administrative use
RS.02A	Research Data Management	Summary records of data created as part of research activities.	Includes information about the nature and type of data, principal researchers or investigators, how long the data is to be retained, location and format of data and any conditions around access or reuse of the data.	Retain Permanently
RS.02B	Research Data Management	Data and datasets created as part of research activities that are of regulatory or community significance.	Includes data created or collected by both staff and students of the institution. Research data and materials include, but are not limited to: questionnaires, recordings, specimen samples, biological material, test results, transcripts, laboratory notes, field notes, digital collections or datasets, or other primary or secondary data and materials.	Retain Permanently

Class	Activities	Description	Notes and Examples	Retention
RS.02C	Research Data Management	Data and datasets created as part of research activities of clinical trials that are not of regulatory or community significance		Destroy 15 year(s) after last administrative use
RS.02D	Research Data Management	Data and datasets created as part of research activities that involve minors that are not of regulatory or community significance.		Destroy 15 year(s) after child reaches the age of 18 years
RS.02E	Research Data Management	All other data and datasets created as part of research activities		Destroy 5 year(s) after last administrative use
RS.03	Establishment of companies & trusts	Facilitative and administrative working papers supporting the establishment and development of companies, associations, trusts and partnerships.	<p>Includes papers from successful, unsuccessful commercial ventures and/or planning and development of companies, associations, trusts or partnerships that were abandoned or did not proceed.</p> <p>Excludes final versions of joint venture agreements or Memorandums of Understanding, including records documenting the development of these agreements (refer to COM.04)</p> <p>(For consulting activities to other organisations for commercial gain, refer to COM.05)</p>	Destroy 7 year(s) after last administrative use
RS.04A	Research Administration	Summary records of research undertaken by the institution.	Includes title and type of research, names of the Chief Investigator and other researchers, funding details, and citations of outputs and publications related to the research. Does not include research undertaken by students.	Retain Permanently
RS.04B	Research Administration	Records of ethics proposals, approvals and amendments relating to research projects.	Includes records of formal bodies established to consider ethics issues as required under the Australian Code for Responsible Conduct of Research and associated National Statements, Guidelines and Codes.	Retain Permanently

Class	Activities	Description	Notes and Examples	Retention
RS.04C	Research Administration	Records relating to the management and administration of specific individual research projects.	Includes the development of research methodologies and protocols, resourcing, development and reporting on ethics applications, results of experiments, progress reporting to internal or external bodies and arrangements for informal collaborative research links with outside organisations.  Includes summary record of supervisors of Higher Degree by Research candidates covering information about the supervisor, their areas of supervision, students, topics and qualifications they have supervised.	Destroy 7 year(s) after last administrative use
RS.05	Research Project Outputs Management	Research outputs that disseminate the findings of institutional research	Research outputs that disseminate the findings of institutional research	Retain Permanently
RS.06	Specimen & Animal Management	Activities associated with managing human, animal and plant specimens and live animals held by the institution for research and teaching purposes.	Includes acquisition records, records relating to a specimen's condition and use in research projects, interventions undertaken on the specimen and destruction of the specimen or removal from the University. Includes records documenting the use of human cadavers and body parts and all biospecimens	Retain Permanently

## 12. Student Management

Class	Activities	Description	Notes and Examples	Retention
SM.01	Applications and Enrolments	Records documenting the enrolment (or re-enrolment) and evaluation of applications for admission and enrolment in a course regardless of delivery method or course undertaken	Enrolment and all enrolment transactions, re-enrolment, student transfers, credit transfer, recognition of prior learning, deferment, exemptions, withdrawals, leave of absence, HECS-HELP, FEE-HELP and OS-HELP declarations.	Destroy 7 year(s) after last administrative use
SM.02	Academic Progress	Review records (formal and informal) of a student's academic progress	Where it is determined to permanently exclude, expel the student, or where student is permitted to continue in their course (with or without penalties or sanctions including temporary suspension applied).	Destroy 15 year(s) after last administrative use
SM.03A	Student Grievances and	Grievances and misconduct allegations where the allegations are proven, and	Includes records of the investigation undertaken and outcome documentation.	Destroy 15 year(s) after final decision



Class	Activities	Description	Notes and Examples	Retention
	Misconduct	the student is permanently excluded or expelled from the course or institution.	Excludes complaints submitted by students (refer to SS.07)	
SM.03B	Student Grievances and Misconduct	Grievances and misconduct allegations where the allegations are proven and the student is penalised or sanctioned (including temporary suspension) but is not excluded or expelled.	Includes records of the investigation undertaken and documentation of the outcome. Excludes complaints submitted by students (refer to SS.07)	Destroy 7 year(s) after final decision
SM.03C	Student Grievances and Misconduct	Grievance and misconduct allegations where the allegations are not proven. Includes allegations that are proven to be frivolous or vexatious, or unfounded.	Includes records of the investigation undertaken and outcome documentation. Excludes complaints submitted by students (refer to SS.07)	Destroy 2 year(s) after final decision
SM.04	Student Details	Updating of student personal details including current name and contact details.	Log of change of details	Destroy 7 year(s) after last administrative use
SM.05	Student Health Information	Disclosure of health information to the institution, other than information provided to a health service.	Includes health information provided prior to attending work placements, excursions or study tours.	Destroy 7 year(s) after last administrative use

### 13. Support and Other Services

Class	Activities	Description	Notes and Examples	Retention
SS.01	Access & Equity	Support to current students to ensure they can complete their studies.	Includes academic support, financial support and disability / special needs support. Includes checking of individual assignments and dissertations for language issues, and any editorial assistance provided. Provision of reasonable adjustments via Equitable Learning Plan (or equivalent) to students with disabilities, long-term illnesses and/or mental health conditions which may impact on their studies. Provision of financial support to successful and unsuccessful applicants.	Destroy 7 year(s) after last administrative use

SS.01A	Access, Equity & Transition	Support to current students to ensure they can complete their studies including financial support, students with specific needs.	Includes the establishment and monitoring of support mechanisms, registration, development and ongoing review of plans for students with specific needs, including Equitable Learning Plan (or equivalent), and notifications of any reasonable adjustments required. (For assessment of special consideration applications, see LT.05C) Records documenting the provision of financial support to successful applicants. Includes the provision of loans, fee waivers and other fee reduction methods, such as partial payments. Parental permission records for attendees of orientation and transition activities where the participants are under 18. Note retention period starts once participants reach 18.	Destroy 7 year(s) after last administrative use
SS.01B	Access, Equity & Transition	Orientation and transition activities/programs, ad-hoc individual academic support, implementation of disability support plans, and records of unsuccessful applications for financial support	Records documenting transition and orientation activities and programs designed to provide new and existing students with the opportunity to become familiar with the institution, meet other students, and prepare for study. Includes induction material prepared by specific areas of the institution. Records documenting the provision of ad hoc individual academic support to students. Includes checking of individual assignments and dissertations for language issues, and any editorial assistance provided. Implementation of the Equitable Learning Plan (or equivalent), through the provision of reasonable adjustments made for students with disabilities, long-term illnesses and/or mental health. Includes timetabling of resources, equipment and staff required to make these adjustments. Unsuccessful applications for financial support. Includes, supporting documentation and any applicant checks required.	Destroy 2 year(s) after last administrative use
SS.02A	Accommodation for students, staff and visitors	Establishment/maintenance of individual homestay agreements, and the registration of residents	Records documenting the establishment and maintenance of individual homestay agreements, when the institution acts as the homestay agent. Records documenting the registration of residents in accommodation managed by the institution. Includes registration of both ongoing and short-term residents, such as for conferences and residential camps. Note destruction to occur once retention period has been met provide past resident has reached 30 years of age.	Destroy 15 year(s) after last administrative use

SS.02B	Accommodation for students, staff and visitors	Daily operational records including management of guests/visitors, allocation of rooms, and applications for accommodation.	Records documenting the management of the daily operations of accommodation managed by the institution, including the management of guests or visitors and the allocation of rooms, facilities or services to individuals. Applications for accommodation managed by the institution. Includes records of successful and unsuccessful applicants, including any checks required to aid the decision making process. Also includes associated records such as waiting lists.	Destroy 2 year(s) after last administrative use
SS.03	Associations & Clubs	The University's relationship with student or staff associations and clubs.	Registration and formal affiliation of clubs and societies with the University. Documenting the management of the relationship between the institution and student or staff associations, societies and clubs.	Destroy 7 year(s) after last administrative use
SS.04	Career Advice	Advice to current students regarding academic progress, potential career paths, wellbeing, financial options and course options.	The provision of tailored advice to individual students regarding both academic and non-academic options available. Development and provision of general advice provided in a group or generic setting. Intermediary services provided by the institution, where the institution acts as a link between the student and external opportunities but has no further role. Includes employment databases, registers and job listings and external housing	Destroy 7 year(s) after last administrative use
SS.05	Sport & Recreation	Sport and recreation programs and facilities to students, staff and the general public.	Group activities and programs provided to users of sports and recreation facilities and the scheduling of events and classes at facilities. Participation by an institution in international, national and state-wide sporting and recreation events and competitions not organised by the University.	Destroy 15 year(s) after last administrative use
SS.06	Travel	Arrangements for an employee or staff member to undertake a journey or trip for work or study-related reasons.	Arrangements for an employee to undertake a journey or trip for work related reasons. Includes arrangements for obtaining official passports and visas.	Destroy 7 year(s) after last administrative use

SS.07A	Customer Service Management	Receipt and response to complaints, feedback or to enquiries on any matter which results in changes to University policies or procedures.		Retain Permanently
SS.07B	Customer Service Management	All other routine receipt and response to feedback or enquiries and records documenting the management of specific customer services provided to the public.	Including managing an enquiry desk, a telephone information service or interpreter service. Includes planning, monitoring and evaluation of services, e.g. carrying out customer surveys.	Destroy 7 year(s) after last administrative use
SS.08A	Childcare & Early Education Services	Summary records of the placement of children		Destroy 25 year(s) after date of initial placement
SS.08B	Childcare & Early Education Services	Records relating to an incident, illness, injury or trauma suffered by a child.	Excludes incidents involving serious injury or death (refer to OHS.06A)	Destroy after the child is 25 years of age
SS.08C	Childcare & Early Education Services	Curriculum development and individual enrolment and development of children	Records of individual enrolment and development of children within childcare and early education services. Includes registration of child, reporting on child progress and attendance records. Records relating to curriculum development for children attending childcare and early education services.	Destroy 7 year(s) after last administrative use

SS.09A	Galleries, Exhibitions and Collections Management	Significant records of exhibition management, collection development and commercial operations	<p>Records of continuing value that document:</p> <p>The approval or establishment, and review of fundraising, sponsorship and membership campaigns.</p> <p>Final versions relating to the design or redesign, development and layout of exhibitions in the galleries and exhibition spaces, development of exhibition concept briefs and their approval final approved exhibition planning, development, and installation final Approved marketing strategy, including event calendars, official promotional material and artwork designs.</p> <p>Master control records for the collection, including databases and management systems for audio-visual material, registers, indexes, and lists, and associated data dictionaries supporting these systems and databases documentation establishing rights to the management of items in the collection, including the right to copy, distribute and provide access, as well as important contextual information about the provenance of individual collection items</p>	Retain Permanently
SS.09B	Galleries, exhibitions and collections management	Operational development and management of collections and exhibitions	<p>Records documenting: implementing preventative conservation strategies and techniques. Includes creating preservation copies of collection items, condition assessment reports and log books remedial conservation treatment to damaged or deteriorated collection items.</p> <p>Records documenting: preliminary versions relating to the design or redesign, development and layout of exhibitions in the galleries and exhibition spaces negotiations and agreements to host travelling exhibitions developed by external institutions, or to arrange external venues to host an in-house developed travelling exhibition working drawings and notes for the construction of exhibitory frameworks and displays development of educational content for tours, seminars and other explanatory events planning, development, and management of mobile outreach programs which take mini-exhibits out to rural areas or to visit customers who are unable to travel.</p>	Destroy 15 year(s) after last administrative use

SS.09C	Galleries, exhibitions and collections management	Records relating to design, setup and upkeep, opening and publicising of exhibitions and operational records of commercial operations	<p>Records relating to the design, setting up and ongoing upkeep of exhibitions. Includes drafts, background information, unused material, (e.g. reproductions of photographs, etc.).</p> <p>Records relating to the administrative arrangements for the opening and publicising of exhibitions.</p> <p>Records of the day to day monitoring and management of collection items including instructions for mounting/demounting specific items within the collection environmental control readings and adjustments calibration of collection equipment arrangements for transportation, including quarantine services and permits surveys of collection items to ascertain the need for maintenance.</p> <p>Records of the day to day management of commercial operations, including: collection of data regarding funds raised (and other campaign success indicators) for fundraising campaign evaluation purposes coordination and processing of fundraising and sponsorship mail-outs; advertising in the media.</p> <p>Records of short-term value to the completion of a particular transaction including requests for venue hire, correspondence, bookings, short-term use agreements, bond or other surety arrangements specific requests for venue layout or equipment to be provided associated catering and other support services membership applications, decisions, and correspondence.</p>	Destroy 7 year(s) after last administrative use
SS.10	Counselling and coaching	Records documenting the provision of counselling or professional coaching to staff and students.	Includes trauma counselling.	Destroy 7 year(s) after last administrative use
SS.11	Clinical health services	Records relating to patients of health clinics including staff, students and members of the public.	Excludes any health treatment or care under the Mental Health Act 2014 (Vic)	Destroy 12 year(s) after last administrative use provided the patient have reached 30 years of age.