

PROS 16/07

**Retention and Disposal Authority for Records of  
the Higher and Further Education Functions**

Issued Date: 19/12/2016

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## Retention and Disposal Authority for Records of Records of the Higher and Further Education Functions

<b>Retention and Disposal Authority No</b>	PROS 16/07
<b>Scope</b>	Applies to higher and further education institutions. The research function can be used by public offices conducting research in collaboration with institutions or for the equivalent level of research.
<b>Status</b>	Issued by Keeper
<b>Issue Date</b>	19/12/2016

## Retention and Disposal Authority for Records of the Higher and Further Education Functions

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# Retention and Disposal Authority for Records of the Higher and Further Education Functions

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## Introduction

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### Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*. The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

### Context of this Authority

#### Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from [www.prov.vic.gov.au](http://www.prov.vic.gov.au). These documents set out the procedures that must be followed by Victorian public offices.

#### Disposal of records identified in the Authority

Disposal of public records identified in this Authority must be undertaken in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

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For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

## Normal Administrative Practice

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

## Transfer of records to Public Record Office Victoria

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

## Use of Other Authorities

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

## Explanation of Authority Headings

### Class Number

The class number or entry reference number provides citation and ease of reference.

### Description

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or



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subject and require the same disposal action.

### Status

This entry provides the archival status of each class - either permanent or temporary.

### Custody

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria. Permanent electronic records are to be transferred in VERS Encapsulated Object (VEO) format according to PROS 99/007 - Management of Electronic Records (Version 2). The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 11/01 *Storage*

### Establishment of Standard

Pursuant to Section 12 of the *Public Records Act 1973*, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to Higher and Further Education Sector. This standard as varied or amended from time to time, shall have effect from the date of issue unless revoked prior to that date.

**Justine Heazlewood**, Keeper of Public Records

Date of Issue: 19/12/2016

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## INTRODUCTION

### Administrative Context

#### Scope and Context

This Retention and Disposal Authority covers the functions associated with the provision of higher and further education in Victoria.

Providers of higher and further education are referred to as institutions throughout the RDA (instead of agency). At time of issue in December 2016 providers include the universities (Monash University, University of Melbourne, La Trobe University and Deakin University), dual sector universities (RMIT, Swinburne, Victoria and Federation Universities) and Victorian TAFE Institutes.

Although developed primarily for use by the high and further education institutions, all public offices that conduct research in collaboration with educational institutions, or the equivalent level of research, may use PROS 16/07 to authorise the disposal of records created in the conduct and management of research.

While every effort has been made to align retention periods in this RDA with the relevant legislation, frameworks and guidelines, institutions are advised to familiarise themselves with the records retention requirements in the frameworks relevant to them, to ensure compliance both with this RDA and the external instrument.

These frameworks and organisations include the Australian Qualifications Framework; standards issued by the Tertiary Education Quality Standards Agency (TEQSA) and the Australian Skills Quality Authority (ASQA); the requirements in the *Higher Education Support Act 2003* (Cth) and the *Education Services for Overseas Students Act 2000* (Cth); legislation and codes regarding the conducting of research, in particular the Australian Code for the Responsible Conduct of Research; and any requirements articulated in agreements established between the institution and external bodies of all kinds.

In the case of a University or TAFE ceasing to exist, it is expected that its records will be transferred to the relevant inheriting institution or agency, in line with the retention periods set out within this RDA.

As well as this RDA, higher and further education institutions are authorised to use the following other Disposal Authorities (as amended or superseded). Cross references are also provided within the RDA:

# Retention and Disposal Authority for Records of the Higher and Further Education Functions

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- PROS 07/01 *General Retention and Disposal Authority for Records of Common Administrative Functions*: for administrative functions common to all agencies
- PROS 09/05 *General Retention and Disposal Authority for Local Government Functions*: for records relating to the provision of childcare services and compliance administration and enforcement.
- PROS 11/06 *General Retention and Disposal Authority for Patient Information*: for records relating to the provision of a healthcare service including patient management and care.
- PROS 16/02 *Retention and Disposal Authority for Records of the Non-Accredited Training Function*: for records of non-accredited training including learning and development opportunities for staff.

## Glossary Terms

### Academic progress

Refers to the standards, measures and policies set by the institution to gauge successful completion of a course of study. The academic progress process is used to identify students at risk of not making successful academic progress and to put measures in place to assist them in achieving successful academic progress. Also used to refer to the process of excluding students from the institution for unsatisfactory academic progress, and the associated hearings, policies and processes.

**Australian Higher Education Graduation Statement (AHEGS)** The statement provided to all graduating higher education students, as required by the Australian Department of Education and Training. The AHEGS provides standardised information about a student's higher education qualification, the institution at which the qualification was obtained and general information about the Australian higher education system.

### Australian Qualifications Framework (AQF)

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The framework which establishes regulated and accredited qualifications in Australia. It defines what knowledge, skills and learning outcomes are expected at each level and ensures comparable courses have comparable learning outcomes. The AQF covers Certificate I Doctoral degrees, and each qualification is assigned a numerical level within the Framework.

## **Australian Skills Quality Authority (ASQA)**

Australian Skills Quality Authority. Regulates the vocational education and training sector including registering institutions as Registered Training Organisations and overseeing the accreditation of relevant courses. ASQA maintains the Standards for Registered Training Organisations and the Standards for VET Accredited Courses, which institutions must maintain compliance with in order to remain Registered Training Organisations.

## **Award course**

In this RDA, used to refer to any course where, upon successful completion, the student is awarded a qualification which is part of the Australian Qualifications Framework (ie, Certificate I to Doctoral Degree).

## **Cohort**

Used in this RDA to refer to an identifiable group of students with particular characteristics, for example, all students in a particular course or discipline; all students between particular age ranges; or all students identified by their method of study (on-campus or off-campus).

## **Course**

Used in this RDA to refer to any educational offering provided by the institution, regardless of length, award status or level. A course is usually made up of components (such as units or subjects) which must be successfully completed. Where this RDA relates to specific units or subjects rather than courses or programs of study, this is specified in the class description.

## **Further education**

Refers to post-compulsory education which is not at certificate, diploma or degree level, and may or may not result in a qualification recognised by the Australian Qualifications Framework. This includes courses for industry and those aimed at specific community cohorts, such as foundation courses (including English as a second language). If recognised by the Australian Qualifications Framework, will be at a similar level to vocational education courses.

## **Higher education**

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Post-compulsory education at diploma level and above. In the Australian Qualifications Framework, higher education courses are those leading to the award of Diploma or above (AQF levels 5-10).

## **Homestay**

A service or experience for international students, where an individual stays with a local family rather than in student accommodation or in rental arrangements. Each homestay host and location is vetted prior to accepting any students, and are responsible for the students meals and board while the student stays with them. There are many commercial homestay providers who match students with hosts; however, some institutions are also registered homestay providers who undertake this service themselves.

## **Institution**

Generic term used to mean any higher, further or technical education provider subject to this RDA. Used as a substitute for the generic term agency used in other RDAs.

## **Non award course**

Any course which does not result in the awarding of a qualification which is part of the Australian Qualifications Framework (ie Certificate I to Doctoral Degree) upon completion. For example, short courses which may be completed for leisure or recreation purposes, or to fulfil specific professions licensing and work requirements, but are not part of the AQF.

## **Registered Training Organisation (RTO)**

An institution registered by the Australian Skills Quality Authority (ASQA) and/or the Victorian Registration and Qualifications Authority (VRQA) to teach vocational education and training courses. Institutions must be registered as RTOs in order to deliver AQF recognised national training packages.

## **Student**

Used in this RDA to refer to anyone who is participating in the institution for the purposes of study, regardless of age, study undertaken, place of study (onshore, offshore), method of study (online, face-to-face) or length of enrolment time. Students are usually, but not always, enrolled at the institution (for example, not all short course students may be enrolled). In this RDA the term is used to cover all students, regardless of their enrolment status.

## **Student exchange**

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Refers to the process of spending part of a course studying at an institution which is not the home institution (generally, but not always, overseas). At the successful completion of the semester or year, credit is granted towards the course at the home institution. In this RDA, student exchange used to refer to both students going on exchange *from* Victorian institutions, and those coming *to* Victorian institutions (inbound and outbound exchanges). Note this is separate from international students coming to study at a Victorian institution for their course.

### **Tertiary Education Quality Standards Agency (TEQSA)**

Tertiary Education Quality Standards Agency. Regulates higher education institutions, including overseeing their registration and the maintenance of the National Register of Higher Education Providers. TEQSA also oversees the Higher Education Threshold Standards and institutional compliance with the Standards, which institutions are required to maintain in order to remain registered as higher education providers.

### **Testamur**

The official document issued to the student on successful completion of a course, confirming that a qualification has been awarded. It is issued by the Council, Chancellor and/or Vice Chancellor, President or Chief Executive Officer of an institution. The testamur includes the name of the qualification being awarded, the date of the award and is sealed by the institution seal. Specific information to be included on the testamur is regulated by the Higher Education Standards Framework and the Standards for Registered Training Organisations.

### **Unit**

Used in this RDA to refer to a single component of a course or qualification, which may otherwise be referred to as subjects, modules or units of competencies.

### **Victorian Registration and Qualifications Authority (VRQA)**

The statutory authority responsible for regulation of vocational education and training in Victoria, including the regulation and registration of apprentices and trainees. Institutions may be registered with both ASQA and the VRQA, depending on what courses they are teaching and the locations of those courses.

### **Vocational education**

Post-compulsory education aimed at imparting skills needed to work in a specific trade or industry. Vocational education is based on a set of national standards and training packages which are overseen by Industry Skills Councils, ensuring the training packages cover the skills

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required by industry. In the Australian Qualifications Framework, vocational education courses are those leading to the award of qualifications at AQF levels 1-6 (Certificate I to Associate Degrees.) Includes study via apprenticeship or traineeship.

### **Work placement**

A period of time spent in a specific workplace by a student, as part of their course. Work placements are part of specific course requirements and generally students cannot complete their course without completing the required placements and/or specific practical requirements. Some courses (eg, Education, Nursing), require multiple work placements, and students are assessed as part of the placement. Note this is different to an apprenticeship, where an agreement is made between an employer and employee in which the employee learns the skills required for a particular occupation or trade while on the job, in conjunction with formal training at a TAFE.

## **Re-Sentencing Requirement**

### **Records Sentenced under PROS 02/01**

PROS 16/07 completely replaces PROS 02/01. After December 2016, PROS 02/01 may no longer be used to sentence any additional records.

Generally, records that have been sentenced previously under PROS 02/01 do not need to be re-sentenced. However records sentenced as permanent under PROS 02/01, and proposed for transfer to PROV, may require re-sentencing before transfer to confirm their permanent status.

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No	Function/Activity	Description	Status	Disposal Action
1	<b>STUDENT MANAGEMENT</b>	<p>The administration and management of students, irrespective of course of study or delivery method, from application for admission to completion or discontinuation.</p> <p>Includes students in non-award programs and students studying Australian Qualifications Framework (AQF) level courses, units and subjects.</p> <p>Includes admission, enrolment, monitoring and review of student academic progress, management of exchange programs, management of student awards, prizes and scholarships, student grievances and misconduct and course completions and graduations.</p> <p>See <b>TEACHING AND LEARNING</b> for assessment/results</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - FINANCIAL MANAGEMENT</i> for the activities of establishing and administering fees and charges applied to students throughout their enrolment in a course of study</p>		
1.1	<b>Applications and Enrolments</b>	<p>Receipt and evaluation of applications for admission and enrolment in a course offered by the institution, regardless of delivery method or course undertaken.</p> <p>Includes variations to enrolments, re-enrolment, student transfers, credit transfer, deferment,</p>		



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No	Function/Activity	Description	Status	Disposal Action
<i>STUDENT MANAGEMENT - Applications and Enrolments</i>				
		<p>withdrawals and leave of absence.</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - POLICY</i> for student admissions selection criteria</p>		
1.1.1		<p>Admissions, applications and selection to a course or program of study, regardless of outcome.</p> <p>Includes application forms, entrance exams, prior results, portfolios, immigration clearances, police clearances, working with children or other checks where the clearance is required as part of application, and records created during the selection process including interview records, selection tests, shortlisting, assessment of the application against stated criteria and offer letters sent to applicants.</p>	Temporary	Destroy 1 year after final decision made.
1.1.2		<p>Records documenting the enrolment or re-enrolment of individual students.</p> <p>Includes records relating to international and domestic students' administrative progress through the institution, covering matters such as leave of absence, deferment, cross institutional enrolment, withdrawals, enrolment variations and issues with eligibility for enrolment such as visa breaches.</p> <p>Also includes records specific to the enrolment of particular student cohorts, such as apprentices' and trainees' employer agreements, work contracts and sponsorships.</p>	Temporary	Destroy 7 years after completion, withdrawal or abandonment by student.

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No	Function/Activity	Description	Status	Disposal Action
<i>STUDENT MANAGEMENT - Applications and Enrolments</i>				
1.1.3		<p>Successful applications for and assessment of recognition of prior learning or advanced standing requests, where a student is given subject or unit credit based on prior studies, employment or other experience.</p> <p>Includes application forms and evidence of prior learning provided (such as portfolios, resumes or transcripts), any assessment undertaken, and outcomes of the application (i.e. what units are credited).</p> <p>For unsuccessful applications for recognition of prior learning/advanced standing, use class 1.1.1.</p>	Temporary	Destroy 7 years after completion, withdrawal or abandonment by student.
1.1.4		Updating of student personal details including current name and contact details.	Temporary	Destroy after reference use ceases.
1.1.5		<p>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.</p> <p>Includes reporting of health information by guardians of individuals who are under 18, and where needed, consent for individuals under 18 to participate in activities such as work placements, excursions or study tours.</p>	Temporary	Destroy 7 years after date of last action or attendance, or access by or on behalf of the individual, provided the individual has reached 25 years of age.
1.2	<b>Prizes and Scholarships</b>	The establishment, application, nomination, selection and management of internal prizes and scholarships		

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<i>STUDENT MANAGEMENT - Prizes and Scholarships</i>				
		<p>for students, whether academic or non-academic.</p> <p>See <b>EXTERNAL ENGAGEMENT - Recognition</b> for Honorary Awards including degrees and awards given to members of the community to acknowledge their contribution to society</p> <p>See <b>STUDENT MANAGEMENT - Completions and Graduations</b> for the conferring of academic awards</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - COMMUNITY RELATIONS</i> for sponsorship of prizes and scholarships, or events to celebrate the award of prizes or scholarships</p>		
1.2.1		Development and establishment of internal prizes and scholarships. Includes establishment of eligibility criteria for the prize/scholarship and any conditions attached.	Permanent	Retain as State Archives, Transfer to PROV
1.2.2		Summary record of recipients of prizes and scholarships. Includes name of prize/scholarship, year and successful recipient(s).	Permanent	Retain as State Archives, Transfer to PROV
1.2.3		Successful applications for prizes/scholarships; and the delivery of the prize/scholarship to successful recipients.	Temporary	Destroy 7 years after delivery of prize / scholarship.
1.2.4		Unsuccessful applications and nominations for prizes and scholarships.	Temporary	Destroy 1 year after final decision made.

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No	Function/Activity	Description	Status	Disposal Action
<i>STUDENT MANAGEMENT - Exchange Programs and Study Tours</i>				
1.3	<b>Exchange Programs and Study Tours</b>	<p>The application, selection, and management of students participating in an exchange program, where credit is given for the overseas study undertaken; and participation in study tours organised by the institution.</p> <p>Includes formal exchange programs between institutions and individually negotiated study abroad programs. Includes students of the institution who study elsewhere (outbound) and students from other institutions who come to study at the institution (inbound).</p> <p>See <b>TEACHING AND LEARNING - Delivery</b> for student assessments</p> <p>See <b>TEACHING AND LEARNING - Delivery</b> for work placement arrangements rather than formal exchange programs</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - CONTRACTING OUT - Contracts</i> for exchange agreements between institutions</p>		
1.3.1		<p>The successful application, selection and management of students participating in an exchange or study abroad program.</p> <p>Includes administrative arrangements for managing the student while on exchange, including any pre-checks required, arranging or confirming flights and</p>	Temporary	Destroy 7 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>STUDENT MANAGEMENT - Exchange Programs and Study Tours</i>				
		accommodation, insurance arrangements, approved study plans and any changes to the exchange.		
1.3.2		Unsuccessful applications to participate in an exchange or study abroad program.	Temporary	Destroy 1 year after final decision made.
1.3.3		Management of study tours conducted at the institution. Includes student selection for tours, administrative arrangements, insurance arrangements and any changes to the tour.	Temporary	Destroy 7 years after action completed.
1.4	<b>Academic Progress</b>	<p>Monitoring and assessment of student academic progress against academic standards to identify students who are either not achieving acceptable academic progress, at risk of poor academic progress.</p> <p>See <b>STUDENT MANAGEMENT - Student Grievances and Misconduct</b> for appeals</p> <p>See <b>SUPPORT SERVICES MANAGEMENT</b> for provision of academic support</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - COMMITTEES</i> for progress outcomes determined by panel or committee</p>		
1.4.1		Formal and informal review records of a student's academic progress that are not included in the committee records of the institution, where it is determined to permanently exclude or expel the	Temporary	Destroy 15 years after date of decision.

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<i>STUDENT MANAGEMENT - Academic Progress</i>				
		<p>student from the institution.</p> <p>Includes any academic performance improvement plans, records of advice and strategies to alleviate issues, and any other support documentation.</p>		
1.4.2		<p>Formal and informal review records of a student's academic progress that are not included in the committee records of the institution, where the student is permitted to continue in their course, with or without penalties or sanctions (including temporary suspension) applied (other than permanent exclusion or expulsion).</p> <p>Includes any academic performance improvement plans and records of advice and strategies to alleviate issues and other support documentation.</p>	Temporary	Destroy 7 years after completion, withdrawal or abandonment by student.
1.5	<b>Student Grievances, Complaints and Misconduct</b>	<p>The management of grievances and complaints against students and the management of student misconduct, either academic or general misconduct. Includes breaches of legislation, the student code of conduct, institutional statutes, regulations, policies or procedures.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i> <b>PERSONNEL MANAGEMENT</b> for staff grievances and misconduct</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i> <b>COMMITTEES</b> for cases that have gone to</p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>STUDENT MANAGEMENT - Student Grievances, Complaints and Misconduct</i>				
		committee  See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - <b>COMMUNITY RELATIONS - Complaints</b></i> for complaints by students about the Institution		
1.5.1		Grievances and misconduct allegations where the allegations are proven and the student is permanently excluded or expelled from the course or institution.  Includes records of the investigation undertaken and outcome documentation.	Temporary	Destroy 15 years after final decision.
1.5.2		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.	Temporary	Destroy 7 years after final decision.
1.5.3		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.	Temporary	Destroy 2 years after final decision.
1.6	<b>Completions and</b>	The conferring of degrees or qualifications on students. Includes activities undertaken to process		

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*STUDENT MANAGEMENT - Completions and Graduations*

	<p><b>Graduations</b></p>	<p>applications to graduate, including notifying students of their eligibility, as well as the finalised summaries of graduates. Includes activities to provide academic award verifications, statements of completion, Australian Higher Education Graduation Statements (AHEGS), replacement testamurs and academic transcripts.</p> <p>See <b>EXTERNAL ENGAGEMENT - Recognition</b> for honorary degrees or other forms of recognition of excellence, service or contributions to the institution and society at large</p>		
1.6.1		<p>Summary record confirming details of all students who are awarded a qualification in AQF Levels 5-10. Includes courses from:</p> <ul style="list-style-type: none"> <li>• Level 5 - Diploma</li> <li>• Level 6 - Advanced Diploma, Associate Degree</li> <li>• Level 7 - Bachelor Degree</li> <li>• Level 8 - Bachelor Honours Degree, Graduate Certificate, Graduate Diploma</li> <li>• Level 9 - Masters Degree</li> <li>• Level 10 - Doctoral Degree</li> </ul> <p>Includes graduation ceremony programs, in the absence of any other master record.</p>	Permanent	Retain as State Archives, Transfer to PROV



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<i>STUDENT MANAGEMENT - Completions and Graduations</i>				
		For graduation programs which do not form the master record of graduates, use <i>General Retention &amp; Disposal Authority for Records of Common Administrative Functions</i> .		
1.6.2		Summary record confirming details of all students who are awarded a qualification in AQF Levels 1-4. Includes courses from: <ul style="list-style-type: none"><li>• Level 1 Certificate I</li><li>• Level 2 Certificate II</li><li>• Level 3 Certificate III</li><li>• Level 4 Certificate IV</li></ul> Includes graduation ceremony programs, in the absence of any other master record.	Temporary	Transfer to successor institution after action completed
1.6.3		Summary record confirming details of all students who have completed a non-award course.	Temporary	Destroy 7 years after action completed and once regulatory requirements have ceased.
1.6.4		Records of determination of a student's eligibility to graduate, notification of approval to the student and graduation arrangements.	Temporary	Destroy 2 years after action completed.
1.6.5		Uncollected or unclaimed testamurs and certificates of completion.	Temporary	Destroy 7 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>STUDENT MANAGEMENT - Completions and Graduations</i>				
1.6.6		Records associated with the reissue of testamurs and requests for replacements and copies of academic transcripts, verification of qualifications, Australian Higher Education Graduation Statements (AHEGS) and statements of academic completion / letters of completion.	Temporary	Destroy 7 years after action completed.
1.6.7		Final versions of templates used to produce testamurs, transcripts, AHEGS and other statements of completion over time.	Temporary	Transfer to successor institution after action completed
2	<b>TEACHING AND LEARNING</b>	Development and delivery of educational programs to students. Includes course and curriculum development, accreditation and approval for all courses, programs, subjects, units and modules, for all courses taught by the institution (both award and non-award). Includes courses and programs delivered in collaboration with other education institutions, organisations or industry partners.  Includes assessment of student learning.		
2.1	<b>Course and Curriculum Development, Accreditation, Approval and Review</b>	The accreditation and approval of courses, subjects and units, both internally by the institution and by relevant external professional and regulatory bodies.  Includes records which document the development, accreditation, maintenance and review of courses, programs, subjects and units.		

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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Course and Curriculum Development, Accreditation, Approval and Review</i>				
		<p>See <b>GOVERNANCE</b> for an institution's registration or audit with an accrediting regulatory body such as the Australian Skills Quality Authority (ASQA) or the Tertiary Education Quality and Standards Agency (TEQSA)</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i></p> <p><b>COMMITTEES</b> for course approvals which go through an institutions' Academic Board ,Board of Studies or equivalent</p>		
2.1.1		<p>Master record of accredited or approved courses, programs, training packages, modules and their units for courses delivered for AQF levels 5-10.</p> <p>Includes material developed for:</p> <ul style="list-style-type: none"> <li>• Level 5 - Diploma</li> <li>• Level 6 - Advanced Diploma, Associate Degree</li> <li>• Level 7 - Bachelor Degree</li> <li>• Level 8 - Bachelor Honours Degree, Graduate Certificate, Graduate Diploma</li> <li>• Level 9 - Masters Degree</li> <li>• Level 10 - Doctoral Degree</li> </ul> <p>Includes: approved curriculum content - syllabus,</p>	Permanent	Retain as State Archives, Transfer to PROV

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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Course and Curriculum Development, Accreditation, Approval and Review</i>				
		<p>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.</p> <p>Also includes 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. Includes tracking changes to approved courses over time.</p> <p>Includes master set of approved examination papers, if no other course material is available.</p>		
2.1.2		<p>Master record of accredited or approved courses, programs, training packages, modules and their units for courses delivered for AQF levels 1-4.</p> <p>Includes material developed for:</p> <ul style="list-style-type: none"> <li>• Level 1 Certificate I</li> <li>• Level 2 Certificate II</li> <li>• Level 3 Certificate III</li> <li>• Level 4 Certificate IV</li> </ul> <p>Includes summary of approved curriculum content - syllabus, teaching objectives, assessment methods and course, subject or unit descriptions and delivery</p>	Temporary	Transfer to successor institution after action completed

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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Course and Curriculum Development, Accreditation, Approval and Review</i>				
		<p>methods, capability outcomes and any specific criteria for successfully completing the course/subject/unit.</p> <p>Also includes 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. Includes tracking changes to approved courses over time.</p> <p>Includes master set of approved examination papers, if no other course material is available.</p>		
2.1.3		<p>Master record of accredited or approved courses, programs, training packages, modules and their units for non-award courses.</p> <p>Includes summary of approved curriculum content - syllabus, teaching objectives, assessment methods and course, subject or unit descriptions and delivery methods, capability outcomes and any specific criteria for successfully completing the course/subject/unit.</p> <p>Also includes 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. Includes tracking changes to approved courses over time.</p>	Temporary	Destroy 7 years after accreditation expires or is revoked.

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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Course and Curriculum Development, Accreditation, Approval and Review</i>				
2.1.4		<p>Records of submissions to external organisations for registration, accreditation, evaluation and approval of courses, subjects and units by relevant professional regulatory and/or licensing bodies.</p> <p>Also includes amendments to existing courses, subjects and units approved by the external body, and confirmation of continuing accreditation over time.</p>	Temporary	Destroy 7 years after accreditation expires or is revoked.
2.1.5		Course proposals and curriculum content which are not approved or did not proceed to approval stage.	Temporary	Destroy 7 years after final decision made.
2.2	<b>Curriculum Delivery</b>	<p>The delivery of course content to all students via all methods.</p> <p>See <b>RESEARCH - Animal and Specimen Management</b> For management of specimens used in teaching such as anatomical specimens</p> <p>See <b>STUDENT MANAGEMENT - Academic Progress</b> For academic progress</p>		
2.2.1		<p>Student attendance records. Includes class lists, rolls and attendance registers.</p> <p>Does not include records of students attending work placements or practicums.</p> <p>Does not include records of apprentices or trainees</p>	Temporary	Destroy 2 years after last entry.

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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Curriculum Delivery</i>				
		attending their place of employment.		
2.2.2		Administrative arrangements for course delivery. Includes records relating to timetabling, room booking, session creation and allocation of staff to specific sessions.	Temporary	Destroy after reference use ceases.
2.2.3		<p>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.</p> <p>Includes administrative arrangements and liaison with placement providers, records relating to individual students placements and records relating to students attendance at placements, practicums and excursions.</p> <p>Does not include records relating to apprentices and trainees attending their places of employment.</p> <p>Does not include records of student exchange or study tours see STUDENT ADMINISTRATION.</p> <p>[See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - CONTRACTING OUT</i> for work placement agreements with external organisations.]</p>	Temporary	Destroy 7 years after action completed.
2.2.4		Training plans developed for individual apprentices and trainees. Includes commencement checklists and	Temporary	Destroy 2 years after completion or

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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Curriculum Delivery</i>				
		contact record sheets.		withdrawal from course.
2.2.5		Curriculum, teaching and student resources designed to assist teachers and students during the learning process. Includes delivery notes and schedules, class outlines and presentation materials, manuals, induction material, study guides, readings and sample assignments that assist teachers in the delivery and enhancement of the learning process. Includes course outlines, delivery notes and annotated work.	Temporary	Destroy 1 year after superseded.
2.2.6		The evaluation and review of courses, subjects and units by students. Includes student evaluation of unit and student evaluation of teaching surveys.	Temporary	Destroy 7 years after action completed.
2.3	<b>Assessment</b>	<p>Assessment of students' knowledge and skills, including development and marking of examination papers and assessment tools and the management of results.</p> <p>Includes results obtained for individual assessments, assignments or examinations as part of a subject or unit, group assessment tasks results, as well as finalised results.</p> <p>Also includes theses submitted for examination for Honours, Masters and Doctorate qualifications, marking moderation and development of assessment tools.</p>		



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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Assessment</i>				
		See <b>STUDENT MANAGEMENT - Completions and Graduations</b> for the summary record of all graduates of the institution		
2.3.1		<p>Summary record of finalised results obtained by students at the institution, for courses in AQF levels 5-10. Includes results for specific subjects, units or modules, as well as final course results.</p> <p>Includes results obtained in:</p> <ul style="list-style-type: none"><li>• Level 5 - Diploma</li><li>• Level 6 - Advanced Diploma, Associate Degree</li><li>• Level 7 - Bachelor Degree</li><li>• Level 8 - Bachelor Honours Degree, Graduate Certificate, Graduate Diploma</li><li>• Level 9 - Masters Degree</li><li>• Level 10 - Doctoral Degree</li></ul>	Permanent	Retain as State Archives, Transfer to PROV
2.3.2		<p>Summary record of finalised results obtained by students at the institution, for courses in AQF levels 1-4. Includes results for specific subjects, units or modules, as well as final course results.</p> <p>Includes results obtained in:</p> <ul style="list-style-type: none"><li>• Level 1 Certificate I</li></ul>	Temporary	Destroy 30 years after action completed and once regulatory requirements have ceased.

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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Assessment</i>				
		<ul style="list-style-type: none"> <li>• Level 2 Certificate II</li> <li>• Level 3 Certificate III</li> <li>• Level 4 Certificate IV</li> </ul>		
2.3.3		Summary record of finalised results obtained by students at the institution, for non-award courses.	Temporary	Destroy 7 years after action completed and once regulatory requirements have ceased.
2.3.4		<p>Master copy of approved assessment and examination material. Includes examinations, assignments, workbooks, tests, class presentation tasks, practical assessments and any other assessment tools.</p> <p>Does not include assessment and examination material completed by students.</p> <p>Does not include master examination and assessment material where this is the only course or unit material available - use class 2.1.1.</p>	Temporary	Destroy 7 years after action completed.
2.3.5		Drafting and development of all assessment material, including development of exam and assignment questions, and the development of all other assessment tools.	Temporary	Destroy 1 year after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Assessment</i>				
2.3.6		<p>Moderation of student assessment tasks, and any evaluation undertaken of the suitability of the assessment task.</p> <p>Includes examiners' reports, marking sheets, moderation reports, and marking guidance provided to staff.</p> <p>Includes moderation or examination of theses submitted for the award of AQF levels 8-10 (ie Honours, Masters and Doctorate theses).</p>	Temporary	Destroy 2 years after end of appeal period.
2.3.7		<p>Completed examination and assessment material submitted by students for the purpose of assessment or evaluation of competencies. Includes, but is not limited to, completed assignments, exams, portfolios, works of art, software, photographs and videos.</p> <p>Does not include theses submitted for the award of Honours, Masters and Doctorate qualifications.</p>	Temporary	Destroy 6 months after grading and appeal period ends, if not returned to student.
2.3.8		Amendments to students' results made as a result of moderation, re-marking or appeal by the student, including authorisation to amend the result, where the summary of results is updated with the new mark.	Temporary	Destroy 7 years after action completed.
2.3.9		<p>Theses and other outputs submitted for assessment for Doctorate qualifications.</p> <p>Other outputs includes dissertations, exegeses, creative works or other major works arising from a</p>	Permanent	Retain as State Archives, Transfer to PROV

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No	Function/Activity	Description	Status	Disposal Action
<i>TEACHING AND LEARNING - Assessment</i>				
		candidates research		
2.3.10		Theses and other outputs submitted for assessment for Masters and Honours qualifications.	Temporary	Destroy after no longer required by institutional research collection.
2.3.11		Assessment of applications for special consideration.  Includes applications, supporting documentation and outcomes.	Temporary	Destroy 7 years after completion, withdrawal or abandonment by student.
3	<b>RESEARCH</b>	<p>Systematic program of examination and analysis to further knowledge and current understanding. Includes administration of specific institutional research projects as well as management of the overall research program of the institution. Also includes the collection and management of research data and specimens held at the institution, as well as the publication and dissemination of research outcomes.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - <b>CONTRACTING-OUT</b> for research agreements</i></p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - <b>REPORTING</b> for research reporting</i></p> <p><i>See General Retention and Disposal Authority for</i></p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Administration</i>				
		<p><i>Records of Common Administrative Functions -</i>  <b>COMMUNITY RELATIONS - Grant funding received</b> for research funding including grant applications</p> <p>See <b>TEACHING AND LEARNING - Assessment</b> for theses submitted for evaluation for the award of qualifications</p>		
3.1	<b>Research Administration</b>	<p>The administration of research operations of an institution. Includes registration of all research projects undertaken by the institution as well as the management of specific research projects.</p> <p>See <b>GOVERNANCE</b> for internal or external audits of research activities</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i>  <b>EQUIPMENT &amp; STORES</b> for the supply or purchase of materials for research purposes</p>		
3.1.1		<p>Summary records of research undertaken by the institution.</p> <p>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.</p>	Permanent	Retain as State Archives, Transfer to PROV

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No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Administration</i>				
		Does not include research undertaken by students.		
3.1.2		<p>Records relating to the management and administration of specific individual research projects.</p> <p>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.</p>	Temporary	Destroy 7 years after conclusion of research project.
3.1.3		<p>Summary record of supervisors of Higher Degree by Research candidates.</p> <p>Includes information about the supervisor, their areas of supervision, students, topics and qualifications they have supervised.</p> <p>For records relating to honorariums paid to supervisors, use <i>General Retention &amp; Disposal Authority for Records of Common Administrative Functions - FINANCIAL MANAGEMENT</i>.</p>	Temporary	Destroy 7 years after last act of student supervision.
3.1.4		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.	Permanent	Retain as State Archives, Transfer to PROV

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No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Project Outputs Management</i>				
3.2	<b>Research Project Outputs Management</b>	<p>Management of outputs from research undertaken by the institution.</p> <p>Research outputs include, but are not limited to: publications including books, book chapters, journal articles and reports; conference papers or proceedings; audiovisual material; computer software; design works; and creative works and exhibitions.</p> <p>See <b>TEACHING AND LEARNING</b> for outputs submitted by students which forms part of an assessment for the award of a qualification, including Masters and Doctorate theses</p> <p>See <b>COMMERCIALISATION</b> for records relating to the commercialisation of research</p>		
3.2.1		<p>Research outputs that disseminate the findings of institutional research where the research outcomes:</p> <ul style="list-style-type: none"> <li>• Report on projects having potential major or long term impact on the environment, heritage, society, the economy or human health;</li> <li>• Have major national or international significance;</li> <li>• Are controversial, of high public interest or the subject of widespread debate in the public arena;</li> </ul>	Permanent	Retain as State Archives, Transfer to PROV

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No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Project Outputs Management</i>				
		<ul style="list-style-type: none"> <li>• Report on using innovative and/or experimental research techniques for the first time; or</li> <li>• Are required by legislation or research project agreements to be retained permanently.</li> </ul>		
3.2.2		<p>Research outputs that disseminate the findings of institutional research where the research outcomes:</p> <ul style="list-style-type: none"> <li>• Do NOT report on projects having potential major or long term impact on the environment, heritage, society or human health;</li> <li>• Do NOT have major national or international significance;</li> <li>• Are NOT controversial, of high public interest or the subject of widespread debate in the public arena;</li> <li>• Do NOT report on using innovative and/or experimental research techniques for the first time; or</li> <li>• Are NOT required by legislation or research project agreements to be retained permanently.</li> </ul>	Temporary	Destroy 7 years after date of publication or dissemination of output.
3.3	<b>Research Data Management</b>	The activities associated with the creation and management of data and materials, in any format, created as part of the research process.		



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No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Data Management</i>				
		<p>Includes data created or collected by both staff and students of the institution.</p> <p>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.</p> <p><i>See Records of Common Administrative Functions</i>  <b>19. TECHNOLOGY &amp; TELECOMMUNICATIONS</b> For records related to the migration of data from one system to another</p>		
3.3.1		<p>Summary record of data created as part of research activities within the institution.</p> <p>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.</p>	Permanent	Retain as State Archives, Transfer to PROV
3.3.2		<p>Data and datasets created as part of research activities within the institution, which are of regulatory or community significance.</p> <p>Includes data created that is:</p>	Permanent	Retain as State Archives, Transfer to PROV

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No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Data Management</i>				
		<ul style="list-style-type: none"> <li>• part of genetic research, including gene therapy;</li> <li>• controversial or of high public interest;</li> <li>• costly or impossible to reproduce;</li> <li>• relates to the use of an innovative technique for the first time;</li> <li>• of significant community or heritage value to the state or nation; or</li> <li>• required by funding or other agreements to be retained permanently.</li> </ul>		
3.3.3		Data and datasets created from clinical trials as part of research activities within the institution. Excludes data and datasets included in class 3.3.2.	Temporary	Destroy 15 years after completion of research activity.
3.3.4		Data and datasets created as part of research activities within the institution which involve minors. Excludes data and datasets included in class 3.3.2.	Temporary	Destroy 15 years after child reaches the age of 18.
3.3.5		Data and datasets created as part of research activities within the institution. Does NOT include data created for specific research activities for which additional regulatory requirements apply, including: clinical trials, gene therapy and research involving children. Excludes data and datasets included in class 3.3.2.	Temporary	Destroy 5 years after completion of research activity.

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No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Specimen and Animal Management</i>				
3.4	<b>Research Specimen and Animal Management</b>	<p>Activities associated with managing human, animal and plant specimens and live animals held by the institution for research and teaching purposes. Includes records associated with acquiring, monitoring, use and disposal of specimens and animals, and tracking of consent obtained to use the sample.</p> <p>See <b>GOVERNANCE - Licencing</b> For records relating to the licensing of the institution as a premises for undertaking scientific procedures or breeding animals</p> <p>See <i>Records of Common Administrative Functions</i> <b>1.COMMITTEES</b> For records of ethics committees responsible for approving research projects involving specimens and animals including the Human Research Ethics, Animal Ethics and Institutional Biosafety Committees</p> <p>See <i>Records of Common Administrative Functions</i> <b>16.REPORTING</b> For mandatory reporting required relating to specimens or animals held by the institution</p> <p>See <i>Records of Common Administrative Functions</i> <b>11.OCCUPATIONAL HEALTH &amp; SAFETY (OH&amp;S)</b> For personnel exposure to hazardous substances</p> <p>See <i>Records of Common Administrative Functions</i> <b>14.PROPERTY MANAGEMENT</b> For the maintenance of the biosafety facility and laboratories</p>		

**Authority number: PROS 16/07**

No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Specimen and Animal Management</i>				
3.4.1		<p>Records relating to the coordination, management and control of human cadavers by institutions with Body Donor Programs.</p> <p>Includes records of the consent obtained from participants for the use of their cadaver in anatomy teaching, including any scope or limits of consent; records documenting and tracking the chain of custody for all bodies or body parts obtained under the Human Tissue Act and associated Regulations; identification and labelling of bodies and body parts; return, cremation or disposal of specimens from prescribed Schools of Anatomy; and tracking and maintenance of specimens on loan to other organisations.</p> <p>Includes records of plastinated body parts which are permanently retained and will not be cremated.</p> <p>Includes the above records held by prescribed Schools of Anatomy where cadavers have been obtained from interstate Body Donor Programs, where Victorian Body Donor Programs are not used.</p> <p>Does not include records about the use of cadavers for teaching and research purposes by prescribed Schools of Anatomy - use class 3.4.2.</p>	Permanent	Retain as State Archives, Transfer to PROV
3.4.2		Records relating to the management and administration of specimens obtained from humans for teaching or research purposes. Includes records documenting the use of human cadavers and body	Temporary	Transfer with specimen to new custodian or destroy 15 years after disposal of specimen

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No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Specimen and Animal Management</i>				
		<p>parts by prescribed Schools of Anatomy, and all biospecimens including (but not limited to) tissue, blood, genes and organs.</p> <p>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 transfer and removal from the institution.</p> <p>Also includes records of the consent obtained from the participant for the use of their biospecimens including duration and types of consent (eg, specific, extended or unspecified), and any access restrictions applied.</p>		
3.4.3		<p>Records relating to managing Genetically Modified Organisms (GMO) or other material requiring biosafety provisions, which do not go through the Institutional Biosafety Committee or equivalent, while being used in specific research projects.</p> <p>Includes applications and assessments of Notifiable Low Risk Dealings (NLRDs), ongoing management of biosafety material and records of inspections of certified GMO facilities.</p>	Temporary	Destroy 8 years after final action completed.
3.4.4		<p>Records documenting the management and care of animals in the institution's custody, as required under the Australian Code for the Care and Use of Animals for Scientific Purposes, the Prevention of Cruelty to Animals Act and Regulations and</p>	Temporary	Destroy 7 years after last treatment or action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>RESEARCH - Research Specimen and Animal Management</i>				
		<p>associated codes of practice.</p> <p>Includes information about the acquisition of animals, scientific procedures or research projects using animals, number and species of animals held, number and species of animals removed from the premises or destroyed, and records of any breeding conducted.</p>		
3.4.5		<p>Records relating to the management and administration of organic and inorganic specimens, which are <u>not</u> derived from humans or animals, and which do <u>not</u> have any biosafety provisions, held by the institution.</p> <p>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 institution.</p>	Temporary	Transfer with specimen to new custodian or destroy 7 years after disposal of specimen
4	<b>GOVERNANCE</b>	<p>The oversight of an institution's registration, licensing and performance to ensure it is compliant with regulatory requirements; and the measuring of an institution against other like institutions.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i>  <b>COMMITTEES</b> for records of governing committees such as Council, or Governing Board, Academic Boards and other committee records, including</p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>GOVERNANCE - Audit</i>				
		<p>elections to these governing committees</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - <b>LEGAL SERVICES - Intellectual property</b> for intellectual property including the registration and management of patents</i></p>		
4.1	<b>Audit</b>	<p>Activities associated with monitoring institutions, work performance and projects to ensure they are effective and comply with internal and external requirements and expectations. Includes audits and other compliance monitoring.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions for records of financial, information management, occupational health &amp; safety or technology &amp; telecommunications audits</i></p>		
4.1.1		<p>Final report of audit or other compliance monitoring of an institution's activities.</p> <p>Includes both internal and external audits.</p>	Temporary	Destroy 7 years after action completed.
4.1.2		<p>Records documenting the planning and conduct of audits or other compliance monitoring into an institution's activities.</p> <p>Includes both internal and external audits.</p>	Temporary	Destroy 2 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>GOVERNANCE - Benchmarking</i>				
4.2	<b>Benchmarking</b>	<p>Activities associated with evaluating and benchmarking the institution against like organisations or industry standards.</p> <p>Includes collection of benchmarking data via surveys or feedback, and analysis and reporting on evaluation activities.</p>		
4.2.1		<p>Records documenting the evaluation of the institution by measuring processes, programs and services against like institutions or professional or industry standards.</p> <p>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.</p> <p>Does not include surveys used to test student or staff satisfaction with the institution, courses, subjects or units - use class 2.2.6.</p>	Temporary	Destroy 7 years after action completed.
4.3	<b>Licencing</b>	<p>Activities associated with ensuring the institution holds the correct licences and permits to run its operations, undertake specific services or hold restricted materials.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i></p>		



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No	Function/Activity	Description	Status	Disposal Action
<i>GOVERNANCE - Licencing</i>				
		<p><b>LEGAL SERVICES</b> for records relating to Intellectual Property</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i></p> <p><b>TECHNOLOGY &amp; TELECOMMUNICATIONS - Licenses</b> for records relating to software licensing</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i></p> <p><b>OCCUPATIONAL HEALTH &amp; SAFTY (OH&amp;S)</b> for related occupational health and safety records</p>		
4.3.1		<p>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.</p> <p>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.</p> <p>Does not include building permits obtained during construction or renovation of property - use <i>General Retention and Disposal Authority for Records of Common Administrative Functions - PROPERTY MANAGEMENT.</i></p>	Temporary	Destroy 7 years after expiry or termination of license.

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No	Function/Activity	Description	Status	Disposal Action
<i>GOVERNANCE - Registration</i>				
4.4	<b>Registration</b>	Activities involved in the development, final submission and outcomes of an institution'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) and the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS).		
4.4.1		Final submission to an Education Authority / Regulator to either become or continue to be a Registered Education Provider / RTO. Includes records of the approval/certification by the Authority (eg. CRICOS, TESQA, ASQA and VRQA) and records documenting any terms or conditions imposed by the regulator.	Temporary	Destroy 30 years after action completed.
4.4.2		Records created during the development of a submission by the institution to either become or continue to be an Education Provider/RTO. Includes but not limited to: CRICOS, TESQA, ASQA and VRQA.	Temporary	Destroy 15 years after action completed.
5	<b>SUPPORT SERVICES MANAGEMENT</b>	Provision of support services to the institution. Includes the provision of accommodation and; financial and disability support; orientation and transition support; provision of advice to students about their academic and social rights and responsibilities; management of sport and recreation activities; and the relationship between the		

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No	Function/Activity	Description	Status	Disposal Action
<i>SUPPORT SERVICES MANAGEMENT - Accommodation</i>				
		<p>institution and allied associations such as student unions, clubs and societies.</p> <p>See <b>GOVERNANCE - Licencing</b> for licences to operate facilities or services</p> <p>See <i>Patient Information Records</i> for health services to students and staff of the institution</p> <p>See <i>Records of Local Government Functions</i>  <b>CHILDCARE AND EARLY EDUCATION PROVISION</b> for the provision of childcare and early education services by the institution</p> <p>See <i>Records of Local Government Functions</i>  <b>COMPLIANCE ADMINISTRATION AND ENFORCEMENT</b> for the administration of parking, enforcement of penalties, and issuing of permits by the institution</p>		
5.1	<b>Accommodation</b>	<p>The provision of accommodation by the institution for students, staff and visitors.</p> <p>See <b>SUPPORT SERVICES MANAGEMENT - Student Advice Provision</b> for external housing matching registers</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions</i>  <b>STRATEGIC MANAGEMENT</b> for the establishment of accommodation managed by the institution</p> <p>See <i>General Retention and Disposal Authority for</i></p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>SUPPORT SERVICES MANAGEMENT - Accommodation</i>				
		<p><i>Records of Common Administrative Functions</i>  <b>PROPERTY MANAGEMENT</b> for property management of the accommodation facility</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions</i>  <b>CONTRACTING-OUT</b> for agreements with accommodation providers to manage the facility</p>		
5.1.1		Records documenting the establishment and maintenance of individual homestay agreements, when the institution acts as the homestay agent.	Temporary	Destroy 15 years after expiry or termination of agreement.
5.1.2		<p>Records documenting the registration of residents in accommodation managed by the institution.</p> <p>Includes registration of both ongoing and short-term residents, such as for conferences and residential camps.</p>	Temporary	Destroy 12 years after last action, provided person accommodated has reached 30 years of age.
5.1.3		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.	Temporary	Destroy 2 years after action completed.
5.1.4		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.	Temporary	Destroy 1 year after final decision made.

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No	Function/Activity	Description	Status	Disposal Action
<i>SUPPORT SERVICES MANAGEMENT - Student Advice Provision</i>				
5.2	<b>Student Advice Provision</b>	<p>The provision of information and advice to current students regarding academic progress, potential career paths, wellbeing, financial options and course options.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i>  <b>LEGAL SERVICES</b> for legal advice or advice to staff</p>		
5.2.1		<p>Records documenting the provision of tailored advice to individual students regarding both academic and non-academic options available. Includes services such as resume checking, specific course or career planning advice, student advocacy assistance, financial advice, student and staff mentoring programs, chaplaincy services, and advocacy on behalf of individual students.</p>	Temporary	Destroy 5 years after action completed.
5.2.2		<p>Records documenting the development and provision of general advice provided in a group or generic setting. Includes group workshops, seminars and events designed to increase student knowledge about services offered and options available, for both academic and non-academic issues.</p> <p>Includes advice provided by student service centres and answers to frequently asked questions.</p>	Temporary	Destroy after superseded.

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No	Function/Activity	Description	Status	Disposal Action
<i>SUPPORT SERVICES MANAGEMENT - Student Advice Provision</i>				
5.2.3		Records documenting 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 opportunities.	Temporary	Destroy after superseded.
5.3	<b>Orientation and Transition Support</b>	<p>The provision of support to students so they learn about the institution, meet other students, and prepare for study.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - <b>COMMUNITY RELATIONS</b> for student recruitment activities, orientation events and grants provided to student clubs and societies for orientation activities</i></p>		
5.3.1		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.	Temporary	Destroy 2 years after action completed.
5.3.2		Parental permission records for attendees of orientation and transition activities where the participants are under 18.	Temporary	Destroy 7 years after participant reaches 18 years of age.

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No	Function/Activity	Description	Status	Disposal Action
<i>SUPPORT SERVICES MANAGEMENT - Sport and Recreation</i>				
5.4	<b>Sport and Recreation</b>	<p>The provision of sport and recreation programs and facilities to students, staff and the general public. Sport and recreation includes any sport or recreation activities not part of a student's assessment or coursework, including cultural events.</p> <p>See <b>EXTERNAL ENGAGEMENT - Recognition</b> for sports walls of fame or halls of fame</p> <p>See <b>SUPPORT SERVICES MANAGEMENT - Associations and Clubs</b> for institution sporting clubs</p> <p>See <i>Patient Information Records</i> for disclosures of health information provided by students as part of participating in sport and recreation activities</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - CONTRACTING-OUT</i> for agreements between the institution and external sports providers</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - PROPERTY MANAGEMENT</i> for management of sports and recreation facilities</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - COMMUNITY RELATIONS</i> for sports and recreation events organised by the institution</p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>SUPPORT SERVICES MANAGEMENT - Sport and Recreation</i>				
5.4.1		Records documenting sports and recreation facility membership registration and management. Includes pre-membership health checks, new member applications, and membership renewals. Includes records documenting specific fitness / training programs developed for individual members of the facility.	Temporary	Destroy 12 years after last action, provided person has reached 30 years of age.
5.4.2		Records documenting group activities and programs provided to users of sports and recreation facilities and the scheduling of events and classes at facilities. Includes development, administration, delivery and evaluation of programs, class timetables and bookings for use of the facility.	Temporary	Destroy 2 years after action completed.
5.4.3		Records documenting participation by an institution in international, national and state-wide sporting and recreation events and competitions not organised by the institution.  Includes team registration, provision of gear and uniforms, any travel support or funding provided, and competition results.	Temporary	Destroy 7 years after action completed.
5.5	<b>Student Access and Equity Support</b>	The provision of support to current students to ensure they can complete their studies. Includes academic support, financial support and disability / special needs support.  See <b>STUDENT MANAGEMENT</b> for records of		



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No	Function/Activity	Description	Status	Disposal Action
<i>SUPPORT SERVICES MANAGEMENT - Student Access and Equity Support</i>				
		<p>financial assistance provided by government assistance schemes such as HECS and FEE-HELP</p> <p>See <i>General Retention and Disposal Authority for Records of Common Administrative Functions - FINANCIAL MANAGEMENT</i> for financial records documenting the support provided</p>		
5.5.1		<p>Records documenting the provision of ad hoc individual academic support to students.</p> <p>Includes checking of individual assignments and dissertations for language issues, and any editorial assistance provided.</p>	Temporary	Destroy 2 years after action completed.
5.5.2		<p>Targeted support to students with disabilities or conditions which may impact on their studies.</p> <p>Includes the establishment and monitoring of support mechanisms, registration and development of plans for students with specific needs, including disability support plans or similar, and notifications of any reasonable adjustments required.</p> <p>For assessment of special consideration applications, use class 2.3.11.</p>	Temporary	Destroy 7 years after completion, withdrawal or abandonment by student.
5.5.3		<p>Implementation of the disability support plan or similar, through the provision of reasonable adjustments made for students with disabilities or specific needs.</p> <p>Includes timetabling of resources, equipment and</p>	Temporary	Destroy 2 years after action completed.

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No	Function/Activity	Description	Status	Disposal Action
<i>SUPPORT SERVICES MANAGEMENT - Student Access and Equity Support</i>				
		staff required to make these adjustments.		
5.5.4		<p>Records documenting the provision of financial support to successful applicants.</p> <p>Includes the provision of loans, fee waivers and other fee reduction methods, such as partial payments.</p>	Temporary	Destroy 7 years after delivery of financial support completed.
5.5.5		<p>Unsuccessful applications for financial support. Includes, supporting documentation and any applicant checks required.</p>	Temporary	Destroy 1 year after final decision made.
5.6	<b>Associations and Clubs</b>	<p>The management of the institution's relationship with student or staff associations and clubs. Includes the institution's relationship with student and staff unions, which are independently constituted legal entities and not part of the institutional structure, as well as recreational clubs and societies.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - <b>STAFF DEVELOPMENT</b> for staff social clubs</i></p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - <b>INDUSTRIAL RELATIONS</b> for staff industrial relations, including industrial relations, industrial actions, disputes, industrial agreements and negotiations with staff unions</i></p> <p><i>See General Retention and Disposal Authority for</i></p>		

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No	Function/Activity	Description	Status	Disposal Action
<i>SUPPORT SERVICES MANAGEMENT - Associations and Clubs</i>				
		<p><i>Records of Common Administrative Functions -</i>  <b>CONTRACTING-OUT</b> for affiliation agreements between the institution and local clubs and societies</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i>  <b>FINANCIAL MANAGEMENT</b> for financial records documenting support</p>		
5.6.1		<p>Records documenting the registration and formal affiliation of clubs and societies with the institution, when affiliated directly with the institution.</p> <p>Includes summary of clubs and societies affiliated with the institution over time, period of time they were affiliated with the institution and aims/objectives of the club or society.</p> <p>Does not include records of clubs and societies who are affiliated with the student union rather than the institution direct.</p>	Temporary	Destroy 7 years after affiliation ceases.
5.6.2		Records documenting the management of the relationship between the institution and student or staff associations, societies and clubs. Includes support to clubs and societies provided by the institution.	Temporary	Destroy 7 years after action completed.
5.6.3		Records documenting the election process for student associations / unions, where the institution provides the Returning Officer. Includes ballots and declarations of result, and any protests or appeals	Temporary	Transfer to student association/union after election is concluded

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No	Function/Activity	Description	Status	Disposal Action
<i>EXTERNAL ENGAGEMENT</i>				
6	<b>EXTERNAL ENGAGEMENT</b>	<p>regarding the result.</p> <p>The development, maintenance and management of relationships between the institution and its external stakeholders. Includes the institution's relationship with past students and staff and recognition of achievements by members of the university community.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - <b>COMMUNITY RELATIONS - Marketing</b> for potential or future student recruitment activities</i></p>		
6.1	<b>Alumni Relations</b>	<p>The management of relations with former students and staff of the institution.</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - <b>COMMUNITY RELATIONS - Donations</b> for records relating to donations or bequests provided by Alumni</i></p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions - <b>COMMUNITY RELATIONS</b> for events organised for Alumni, including reunions</i></p>		
6.1.1		<p>Summary record of all registered alumni of an institution. Includes the registration of individuals as well as alumni groups or chapters. Includes alumni personal information, when and what they studied, what alumni chapters or groups they are part of, and</p>	Temporary	Destroy 7 years after reference use ceases.

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No	Function/Activity	Description	Status	Disposal Action
<i>EXTERNAL ENGAGEMENT - Alumni Relations</i>				
		membership status.		
6.1.2		Records documenting the maintenance of alumni registers and databases. Includes updating contact or other details of current members, applications to join an institution's alumni association and any eligibility checks undertaken.	Temporary	Destroy after reference use ceases.
6.2	<b>Expert Commentary</b>	Provision of expert commentary by subject matter experts.  See <b>COMMERCIALISATION - Consultancy</b> for paid consultancies		
6.2.1		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.	Temporary	Destroy 2 years after reference use ceases.
6.3	<b>Recognition</b>	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.  See <b>STUDENT MANAGEMENT - Prizes and Scholarships</b> for prizes presented to current students  <i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i>		

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No	Function/Activity	Description	Status	Disposal Action
<i>EXTERNAL ENGAGEMENT - Recognition</i>				
		<p><b>COMMUNITY RELATIONS</b> for organising events at which prizes or awards are presented</p> <p><i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i></p> <p><b>COMMITTEES</b> for records where the recipient of the prize or honour is determined by committee or board</p>		
6.3.1		<p>Summary of all honorary degrees issued by the institution and individuals inducted into the institution's Halls of Fame, Walls of Fame, honour rolls or similar. Includes recipient, award given and citation or reasons for the degree awarded or inclusion in the Hall of Fame.</p> <p>Includes specific Halls of Fame, such as a Sports Hall of Fame.</p>	Permanent	Retain as State Archives, Transfer to PROV
6.3.2		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.	Temporary	Destroy 2 years after final decision made.
7	<b>COMMERCIALISATION</b>	The use of institution resources for commercial gain. Includes the formation and management of commercial enterprises, either controlled either solely by the institution, or in a partnership with external organisations, including establishment of companies, associations and trusts; and paid consultancies undertaken by staff of the institution.		

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No	Function/Activity	Description	Status	Disposal Action
<i>COMMERCIALISATION - Business Development</i>				
7.1	<b>Business Development</b>	The investigation and development of commercial opportunities by the institution. Includes initial business planning.		
7.1.1		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.  For successful establishment of companies, associations and trusts, use 7.3.1.	Permanent	Retain as State Archives, Transfer to PROV
7.1.2		Identification and investigation of commercial opportunities where the commercial activity did not proceed.	Temporary	Destroy 7 years after action completed.
7.1.3		Records facilitating the business development process. Includes facilitative records for both successful and unsuccessful commercial enterprises.	Temporary	Destroy 2 years after reference use ceases.
7.2	<b>Consultancy</b>	Activities associated with institution staff undertaking consultancy projects on behalf of the institution for external organisations for commercial gain.		
7.2.1		Summary reports and outcomes from significant consultancies involving controversial or major projects undertaken for commercial gain.  Includes records of consultancies involving controversial or major projects - for instance, where the institution assists government or industry with major infrastructure, new technology or products, or	Permanent	Retain as State Archives, Transfer to PROV

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No	Function/Activity	Description	Status	Disposal Action
<i>COMMERCIALISATION - Consultancy</i>				
		economic improvements.		
7.2.2		Delivery of routine or minor projects involving provision of professional advice or services for commercial gain.	Temporary	Destroy 7 years after action completed.
7.2.3		Facilitation of the consultancy process.  Includes records of meeting arrangements, monitoring, working papers, analysis, surveys, market intelligence reports and background advice.	Temporary	Destroy 2 years after action completed.
7.3	<b>Establishment of Companies and Trusts</b>	The planning and establishment of companies, associations, trusts and partnerships wholly owned by the institution or in collaboration with external parties. Includes records relating to company registration and successful and unsuccessful ventures.  <i>See General Retention and Disposal Authority for Records of Common Administrative Functions -</i> <b>COMMITTEES</b> for membership or management of committees and boards; and for company strategic plans, restructures or reviews		
7.3.1		Establishment of companies, associations or trusts owned by the institution or established in partnership with other organisations. Includes certificates of company registration, memoranda and articles of association and records regarding appointment of Directors.  Includes records relating to the ongoing	Permanent	Retain as State Archives, Transfer to PROV



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No	Function/Activity	Description	Status	Disposal Action
<i>COMMERCIALISATION - Establishment of Companies and Trusts</i>				
		management and modification of trusts over time.		
7.3.2		Planning and development of companies, associations, trusts or partnerships that were abandoned or did not proceed.	Temporary	Destroy 7 years after action completed.
7.3.3		Facilitative and administrative working papers supporting the establishment and development of companies, associations, trusts and partnerships. Includes papers from successful and unsuccessful commercial ventures.	Temporary	Destroy 2 years after action completed.