

**General Retention and Disposal Authority
– University records
GDA23**

Approved: 9 December 2005

General Disposal
Authority

23

Issued
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GENERAL RETENTION AND DISPOSAL AUTHORITY – UNIVERSITY RECORDS

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General Retention and Disposal Authority

GDA no **GDA23**

Public office

All New South Wales universities which fall within the definition of a public office in the *State Records Act 1998*.

Scope

This authority applies to both the functional records of universities and those administrative records which are not adequately covered by existing general retention and disposal authorities due to the nature of university administration.

Authority

This general retention and disposal authority is issued under section 21(2)(c) of the State Records Act. It has been approved by the Board of the State Records Authority in accordance with section 21(3) of the State Records Act.

Authorised

David Roberts
Director
State Records Authority of New South Wales

12/12/2005

Date

TABLE OF CONTENTS

23	1	
		Table of Contents 2
		Part 1: General Retention and Disposal Authority – University Records 3
1.1		List of functions and activities covered..... 3
1.2		Records authorised for disposal 3

PART 1: GENERAL RETENTION AND DISPOSAL AUTHORITY – UNIVERSITY RECORDS

1.1 List of functions and activities covered

Function	Activity	Reference
GOVERNANCE AND GENERAL ADMINISTRATION		
Collections Management		
	Access	1.1.0
	Acquisitions	1.2.0
	Collection control	1.3.0
	Conservation and preservation	1.4.0
	Disposal	1.5.0
	Donations	1.6.0
	Exhibition management	1.7.0
	Loans – in	1.8.0
	Loans – out	1.9.0
STUDENT ADMINISTRATION AND SERVICES		
Childcare services		
	Agreements	10.1.0
	Compliance	10.2.0
	Policy and procedure	10.3.0
	Provision of service	10.4.0
Health services		
	Drugs	14.1.0
	Patients	14.2.0
	Research data	23.6.0

1.2 Records authorised for disposal

The following table contains the authorised minimum retention periods and disposal actions applying to the classes of records created and maintained by universities.

No	Function/ Activity	Description	Disposal Action
Governance and General Administration			
1.0.0	COLLECTIONS MANAGEMENT	See FA402 Cultural, recreational and sporting institutions.	
2.0.0	COMMUNITY RELATIONS	See the <i>General retention and disposal authority: higher and further education records</i> SUPPORT SERVICES – Alumni relations for alumni relations. See the <i>General Retention and Disposal Authority: Administrative Records – COMMUNITY RELATIONS</i> – for fundraising and public lectures.	
3.0.0	GOVERNANCE	See the <i>General Retention and Disposal Authority: Administrative Records</i> GOVERNING & CORPORATE BODIES for records relating to the establishment of the University and controlled entities, and meetings of Senates, councils and similar bodies. See the <i>General Retention and Disposal Authority: Administrative Records</i> STRATEGIC MANAGEMENT – for records relating to audits and strategic planning. See the <i>General retention and disposal authority: higher and further education records</i> STUDENT ADMINISTRATION – for breaches of by-laws and rules. See the <i>General retention and disposal authority: higher and further education records</i> GOVERNANCE for records relating to by-laws and rules, elections, accreditation and policies & procedures. See the <i>General retention and disposal authority: higher and further education records</i> TEACHING for records relating to transfers of courses.	
4.0.0	GRANT ADMINISTRATION	See the <i>General retention and disposal authority: higher and further education records</i> RESEARCH for grant administration. <i>General Retention and Disposal Authority: Administrative Records – FINANCIAL MANAGEMENT</i> – Accounting for records relating to grants applied for by the university.	

No	Function/ Activity	Description	Disposal Action
5.0.0	LIBRARY MANAGEMENT	<p>See the <i>General retention and disposal authority: higher and further education records</i> SUPPORT SERVICES for library services.</p> <p>See the <i>General Retention and Disposal Authority: Administrative Records</i> for Library Service records.</p> <p>See COLLECTIONS MANAGEMENT for records relating to the management of non-library collections.</p>	
6.0.0	PERSONNEL	See the <i>General Retention and Disposal Authority: Administrative records – PERSONNEL</i> .	
7.0.0	PROPERTY & FACILITIES MANAGEMENT	See the <i>General Retention and Disposal Authority: Administrative Records</i> PROPERTY MANAGEMENT for records relating to property, premises and traffic management.	
Student Administration and Services			
8.0.0	ACCOMMODATION SERVICES	See the <i>General retention and disposal authority: higher and further education records</i> SUPPORT SERVICES for accommodation services.	
9.0.0	ADMISSION	See the <i>General retention and disposal authority: higher and further education records</i> STUDENT ADMINISTRATION.	
10.0.0	CHILDCARE SERVICES	<p>The provision of childcare services or centres where the service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records</p> <p>See <i>General Retention and Disposal Authority: administrative records – PERSONNEL</i> for records relating to complaints or allegations involving staff members of childcare services.</p> <p>Note: Records of child care services should be created and maintained in accordance with the requirements of any National or NSW laws and regulations applying to early childhood education and care providers.</p>	
10.1.0	Agreements	Processes associated with the establishment, maintenance, review and negotiation of agreements.	

No	Function/ Activity	Description	Disposal Action
10.1.1		Records relating to the establishment, maintenance, review and negotiation of contracts and agreements for the provision of child care services	Retain for minimum of 7 years after the agreement expires or last action, whichever is the longer, then destroy.
10.2.0	Compliance	Activities associated with complying with legal, regulatory or quality etc standards or requirements	
10.2.1		Records relating to the licensing of childcare centres or services operated by or within the university and compliance with licence requirements.	Retain for minimum of 7 years after licence expires, then destroy.
10.3.0	Policy & procedure	Activities relating to the development of policies and procedures by the childcare centre/s in relation to childcare services (including health, safety and developmental matters) Note: In instances of accidents, injuries or incidents evidence of policies and procedures in place at the time can be of significance in legal action subsequently arising and longer retention periods may be appropriate.	
10.3.1		Policies and procedures relating to the health, safety and protection of children whilst in the care of the service	Retain minimum of 7 years after policy or procedure is superseded, then destroy.
10.3.2		Policies and procedures relating to routine operational or administrative matters	Retain until superseded and no longer required for administrative, accreditation or reference purposes, then destroy.
10.4.0	Provision of service	Activities relating to the provision of services for each child including enrolment, programs of development etc. Note: records relating to allegations of child sexual abuse should be retained for at least 45 years. See also National and NSW laws and regulations applying to early childhood education and care providers for complete details of records required to be created and maintained by childcare services.	

No	Function/ Activity	Description	Disposal Action
10.4.1		<p>Personal records of each child. This includes records relating to the child's personal information, attendance, parental authorisations, approvals and permissions, contact details, special requirements, particulars of treatment to be given child or any medication administered to a child by a member of staff of the service, the nature and circumstances of any injury to or illness of a child whilst in the care of the service, complaints etc.</p> <p>See National and NSW laws and regulations applying to early childhood education and care providers for details of records required to be created and maintained for each child.</p>	Retain until the child reaches the age of 25 or 7 years after last action, whichever is the longer, then destroy.
10.4.2		<p>Learning and developmental plans for individual children. This includes records of documented observations concerning a child's interactions and developmental progress and learning and developmental plans for individual children.</p> <p>Note: Records created and maintained by childcare providers subject to the National Quality Framework for Early Childhood Education and Care must be kept in accordance with the requirements of the <i>Education and Care Services National Law and Education and Care Services National Regulations</i>.</p>	Retain for minimum of 1 year after child ceases to attend the service, then destroy.
10.4.3		<p>Records of daily or weekly routines and programs of activity.</p> <p>Note: Records created and maintained by childcare providers subject to the National Quality Framework for Early Childhood Education and Care must be kept in accordance with the requirements of the <i>Education and Care Services National Law and Education and Care Services National Regulations</i>.</p>	Retain for minimum of 1 year after superseded, then destroy.
10.4.4		Records relating to the provision of places for childcare. Includes applications, records of interviews, acceptances of places, waiting lists etc.	Retain for minimum of 1 year after placement is made or application withdrawn, then destroy.

No	Function/ Activity	Description	Disposal Action
10.4.5		Records of routine administrative and support matters.	Retain until no longer required for administrative use, then destroy.
11.0.0	COUNSELLING SERVICES	See the <i>General retention and disposal authority: higher and further education records</i> SUPPORT SERVICES.	
12.0.0	ENROLMENT	See the <i>General retention and disposal authority: higher and further education records</i> STUDENT ADMINISTRATION and SUPPORT SERVICES.	
13.0.0	GRADUATION	See the <i>General retention and disposal authority: higher and further education records</i> STUDENT ADMINISTRATION – Results and Graduation.	
14.0.0	HEALTH SERVICES	<p>The provision of health services where the service is provided directly by the university or where, for other reasons (such as contractual agreements), the university has a right to control of the records.</p> <p>Health services can include medical services, dental services, speech pathology, physiotherapy, podiatry, etc.</p> <p>Health Services can include services (as outlined above) which are provided by university students in the course of their studies and under the supervision of professions and teaching staff.</p> <p>See GOVERNANCE – Policy and Procedure for records relating to policy and procedure.</p>	
14.1.0	Drugs	The provision of prescriptions for drugs and the use/storage of drugs.	
14.1.1		<p>Drugs registers and prescriptions.</p> <p>See also <i>Poisons and Therapeutic Goods Regulation 1994</i> Sections 40, 59, 60, 84, 113, 114 and 119 for further details on drugs registers and prescriptions.</p>	Retain for minimum of 7 years after date of last entry, then destroy
14.2.0	Patients	See also <i>Medical Practice Regulation 2003</i> for further information on recordkeeping requirements relating to patient records.	

No	Function/ Activity	Description	Disposal Action
14.2.1		<i>Patient records</i> – where the patient was 18 years or older at the date of last entry in the record.	Retain for minimum of 7 years after patient's last attendance or last action, then destroy. Note: last action could include medical/legal action or access by or on behalf of the patient
14.2.2		<i>Patient records</i> – where the patient was less than 18 years old at the date of last entry in the record.	Retain for minimum of 7 years after patient's last attendance or last action ¹ , or at least until the patient attains or would have attained the age of 25 years, whichever is longer, then destroy. Note: last action could include medical/legal action or access by or on behalf of the patient
14.2.3		Appointment registers.	Retain for minimum of 1 year after last entry, then destroy.
15.0.0	SCHOLARSHIPS/ PRIZES/ BURSARIES/ FELLOWSHIPS	See the <i>General retention and disposal authority: higher and further education records</i> STUDENT ADMINISTRATION Scholarships, prizes, fellowships and awards.	
16.0.0	STUDENT EXCHANGE	See the <i>General retention and disposal authority: higher and further education records</i> STUDENT ADMINISTRATION – Student exchange.	
17.0.0	STUDENT GRIEVANCES	See the <i>General retention and disposal authority: higher and further education records</i> STUDENT ADMINISTRATION.	
18.0.0	STUDENT RECRUITMENT	See the <i>General retention and disposal authority: administrative records</i> COMMUNITY RELATIONS – Marketing.	Community
19.0.0	STUDENT SERVICES	See the <i>General retention and disposal authority: higher and further education records</i> SUPPORT SERVICES.	

No	Function/ Activity	Description	Disposal Action
Teaching and Research			
20.0.0	ANATOMY MANAGEMENT	See the <i>General retention and disposal authority: higher and further education records</i> RESEARCH.	
21.0.0	ANIMAL MANAGEMENT	See the <i>General retention and disposal authority: higher and further education records</i> RESEARCH.	
22.0.0	COMMERCIAL ACTIVITIES	See the <i>General retention and disposal authority: higher and further education records</i> COMMERCIAL ACTIVITIES AND SERVICES.	
23.0.0	RESEARCH MANAGEMENT	See the <i>General retention and disposal authority: higher and further education records</i> RESEARCH.	
24.0.0	SHORT/NON- AWARD COURSES	See the <i>General retention and disposal authority: higher and further education records</i>	
25.0.0	TEACHING	See the <i>General retention and disposal authority: higher and further education records</i>	