Territory Records (Records Disposal Schedule – Student Services Records) Approval 2013 (No 1)

Notifiable instrument NI2013—372

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Student Services Records) Approval 2013 (No 1)

2. Approval

I approve the Records Disposal Schedule – Student Services Records.

3. Commencement

This instrument commences on the day after notification.

1. Revocation

I revoke Notifiable Instrument:

NI2009-451 notified 11 September 2009.

Danielle Wickman Director of Territory Records 27 August 2013



Records Disposal Schedule

Student Services Records

Table of Contents

INTRODUCTION	5
PURPOSE	5
SCOPE	5
AUTHORITY	
STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF	
KEYWORD AAA	
Whole of Government Thesaurus	
GUIDELINES FOR USE	
Coverage of authorityLayout of the schedule	
FORMAT OF RECORD	
Electronic records	
DESTRUCTION OF RECORDS	
UPDATING THE RECORDS DISPOSAL SCHEDULE	
ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE	8
RELATED LEGISLATION	9
Evidence Act 2011	9
DEFINITIONS	10
Agency	
Appraisal	
Business Classification Scheme	
Principal Officer	
Records	10
Records of an Agency	
Records Disposal Schedule	
Records Management Program	
Recordkeeping Systems	
Scope Note	
Territory Archives	
BUSINESS CLASSIFICATION SCHEME	
STUDENT SERVICES	
RECORDS DISPOSAL SCHEDULE	
STUDENT SERVICES	
Accidents	
Advice	
Agreements	
AuthorisationCase Management	
Chaplaincy	
Child Care Provision	
Committees	

	Compliance	23
	Conferences	
	Conferences (Continued)	24
	Counselling	24
	Discipline	25
	Enquiries	25
	Evaluation	26
	Grant Administration	26
	Grant Funding	27
	Grievances	27
	Health Promotion	28
	Implementation	28
	Liaison	28
	Meetings	29
	Planning	29
	<i>Policy</i>	30
	Procedures	30
	Public Reaction	31
	Reporting	31
	Representatives	31
	Research	32
	Reviewing	32
	Special Education	
	Special Needs Support	<i>33</i>
	Student Careers Advice	34
	Student Graduation	34
	Student Graduation (Continued)	35
	Submissions	35
	Submissions (Continued)	
	Suggestions	37
	Visits	37
RI	ETAIN AS TERRITORY ARCHIVES	38
	Advice	39
	Committees	
	Evaluation	
	Planning	
	Policy	
	Reporting	
	Research	
	Reviewing	
	Student Graduation	
	Submissions	
	Submissions (Continued)	
SI	CHEDULE OF AMENDMENTS – this information is provided for the assistance of	
	sers but does not form part of the Notifiable Instrument	
13	2. 2 2 2. 2. 2. 2. 2. 100 Joint part of the Horitage and American mineral mine	TO

INTRODUCTION

The *Records Disposal Schedule – Student Services Records* is the official authority for the disposal of these ACT Government records.

It is one of a series of Whole of Government Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act* 2002. It is used in conjunction with other Territory Records Disposal Schedules.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. An agency must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence or if there is a current records disposal freeze in effect.

The *Records Disposal Schedule - Student Services Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all records regardless of titling conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

Whole of Government Thesaurus

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA) (2010), a thesaurus incorporating 16 common Functions. All other Functions within the Whole of Government Thesaurus are considered Functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the Director of Territory Records for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 - Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The Records Disposal Schedule - Student Services Records:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Records Disposal Schedules;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

Function.

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

Activity.

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

Description of Records.

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

Disposal Action.

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

Electronic records

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

DESTRUCTION OF RECORDS

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

UPDATING THE RECORDS DISPOSAL SCHEDULE

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.

RELATED LEGISLATION

The following legislation is related to the records classes covered by this Records Disposal Schedule:

Board of Senior Secondary Studies Act 1997

Canberra Institute of Technology Act 1987

Education Act 2004

Education Services for Overseas Students Act 2000 (Cwlth)

Epidemiological Studies (Confidentiality) Act 1992

Evidence Act 2011

Food Act 2001

Freedom of Information Act 1989

Mental Health (Treatment and Care) (Interstate Application of Mental Health Laws)

Agreement 2002

Public Health Risk (Centre for Opioid Detoxification using Opioid Antagonists) Declaration 2001

Schools Assistance (Learning Together - Achievement Through Choice and Opportunity) Act 2004 (Cwlth)

States Grants (Primary and Secondary Education Assistance) Act 2000 (Cwlth)

Territory Records Act 2002

Training and Tertiary Education Act 2003

University of Canberra Act 1989

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document that complies with Section 16 of the *Territory Records Act* 2002 by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

STUDENT SERVICES

The function of supporting individual students throughout their attendance, and assisting them to undertake and successfully complete their studies, at preschool, primary, secondary and college schools. Includes matters affecting the safety, health and general welfare of school students such as domestic violence (child abuse), drug abuse, and support services and programs such as immunisations, counselling, medical assessment, special education programs and distance education arrangements provided by the agency to meet the health and welfare needs of students.

Accidents

The activities involved in dealing with mishaps causing injury or damage. Includes damage or injury to the organisation's property or member of staff incurred while coming to, at, or leaving work, or to the general public or visitors whilst on the organisation's premises. Also includes measures to prevent accidents occurring.

Advice

The activities associated with offering opinions as to an action or judgement. Includes the process of advising.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing agreements/contracts and settling those agreements/contracts. Includes contracts, memoranda of understanding (MOU), deeds, leases, licences and mortgages.

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Case Management

The activity of managing an incident, person, organisation or client on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

Chaplaincy

The provision of chaplaincy services.

Child Care Provision

The enrolment and/or attendance of children at the child care facility.

Committees

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Conferences

The activities involved in arranging or attending conferences held either by the agency or by other agencies or organisations. Includes registrations, publicity, and reports of participants, etc.

Counselling

The activities associated with giving advice or guidance to an employee or client for various reasons.

Discipline

The activities and actions associated with the disciplinary process. Includes investigation, charges, formal inquiries, and punishment.

Enquiries

The activities associated with handling requests for information about the agency and its services, programs and activities.

Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

Grant Administration

The processes involved with managing and acquittal of grant funding. Includes the records documenting and reporting on decisions relating to the possible and actual allocations of funds.

Grant Funding

The activities associated with the application for and receipt of grants.

Grievances

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion, or higher duties.

Health Promotion

The process of promotion of programs which encourage the establishment and maintenance of a healthy environment and which encourage healthy lifestyles. Includes workplace environments.

Implementation

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

Procedures

Standard methods of operating laid down by the agency according to formulated policy.

Public Reaction

The process of handling public reaction to an agency's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity, e.g. inspection reports, form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co- workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Special Education

The arrangement of services to provide education tailored to the needs of individuals who differ intellectually, physically, emotionally, or socially from those who can be taught by the usual methods. May include arrangements for additional resources or specialised programs.

Special Needs Support

Provision of services such as assistance to disabled students, foreign students, etc. This may include the provision of special needs services during examinations such as interpreters, reading assistance for sight impaired students, disabled access, etc.

Student Careers Advice

Advice on student career and course options.

Student Graduation

Admission to degree, diploma, certificate, statement of attainment or other qualification.

Submissions

The preparation and submission of a formal statement (e.g. a business case, statistics, etc.) supporting a case or opinion held by the agency which is submitted to another agency or organisation, or within the agency, for the purpose of either gain or support.

Suggestions

The process of using suggestions from personnel and the public to improve the services and processes of the agency.

Visits

The activities involved in arranging visits by other agencies, the public and students to the agency, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by staff to other agencies, organisations, etc.

RECORDS DISPOSAL SCHEDULE

STUDENT SERVICES

The function of supporting individual students throughout their attendance, and assisting them to undertake and successfully complete their studies, at preschool, primary, secondary and college schools. Includes matters affecting the safety, health and general welfare of school students such as domestic violence (child abuse), drug abuse, and support services and programs such as immunisations, counselling, medical assessment, special education programs and distance education arrangements provided by the agency to meet the health and welfare needs of students.

Accidents

The activities involved in dealing with mishaps causing injury or damage. Includes damage or injury to the organisation's property or member of staff incurred while coming to, at, or leaving work, or to the general public or visitors whilst on the organisation's premises. Also includes measures to prevent accidents occurring.

Entry No. 172.001.001

Description of Records

Records relating to accidents.

[For accident reports submitted where an employee also submits a compensation claim, use COMPENSATION – Case Management.

For accident reports submitted by an employee but where there is no compensation claim submitted, use PERSONNEL – Accidents.

For accident reports submitted by members of the public where a compensation claim is lodged, use COMPENSATION – Claims.

For accident reports submitted by members of the public where there is no claim made for compensation, use OCCUPATIONAL HEALTH & SAFETY (OH&S) – Accidents.]

Disposal Action

Destroy after person reaches 25 years of age, or 7 years after last action, whichever is later

Advice

The activities associated with offering opinions as to an action or judgement. Includes the process of advising.

Entry No.	Description of Records	Disposal Action
172.005.001	Receipt and provision of advice that resulted in major changes. Includes advice provided by consultants.	Retain as Territory Archives
172.005.002	Receipt and provision of all other advice. Includes advice provided by consultants.	Destroy 5 years after action completed
172.005.003	Working papers documenting the development of advice.	Destroy 2 years after action completed

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing agreements/contracts and settling those agreements/contracts. Includes contracts, memoranda of understanding (MOU), deeds, leases, licences and mortgages.

Entry No.	Description of Records	Disposal Action
172.006.001	Agreements and supporting documents. Includes contracts and project scope documents.	Destroy 7 years after action completed

Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Entry No.	Description of Records	Disposal Action
172.014.001	Delegations of power to agency staff to authorise administrative action.	Destroy 7 years after delegation expires
172.014.002	Authorisations for administrative action.	Destroy 7 years after action completed

Case Management

The activity of managing an incident, person, organisation or client, on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing of applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

Entry No.	Description of Records	Disposal Action
172.016.001	Case files holding student records.	Destroy 25 years after action completed

Chaplaincy

The provision of chaplaincy services.

Entry No.	Description of Records	Disposal Action
172.195.001	Records relating to the appointment of chaplains. Includes accepting a recommendation or nomination by a religious body.	Destroy 5 years after appointment lapses

Child Care Provision

The enrolment and/or attendance of children at the child care facility.

Entry No. 172.196.001	Description of Records Records relating to the provision of places for child care. Includes:	Disposal Action Destroy 2 years after action completed
	applications;interviews;acceptance of places;standard agreements.	
	[For records relating to financial agreements, use FINANCIAL MANAGEMENT – Agreements.]	
172.196.002	Enrolment waiting lists.	Destroy 2 years after action completed

Committees

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

Entry No. 172.020.001	Description of Records Records of high-level external and internal committees formed to manage or advise on major decisions. Includes final versions of documents: • establishing the committee; • terms of reference; • appointment of members; • minutes; • reports; • recommendations; • supporting documents such as briefing and discussion papers.	Disposal Action Retain as Territory Archives
172.020.002	Records documenting declarations of members' private interests.	Destroy 7 years after termination of appointment
172.020.003	Records relating to other external or internal committees formed to consider specific matters. Includes: • establishing the committee; • terms of reference; • appointment of members; • minutes; • reports; • recommendations; • Supporting documents such as briefing and discussion papers.	Destroy 5 years after action completed
172.020.004	Records of working papers and administration of committees. Includes: • agendas; • notice of meetings; • draft minutes; • room bookings.	Destroy 6 months after action completed

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Entry No.	Description of Records	Disposal Action
172.021.001	Compliance with mandatory or optional standards with statutory requirements.	Destroy 7 years after action completed

Conferences

The activities involved in arranging or attending conferences held either by the agency or by other agencies or organisations. Includes registrations, publicity, and reports of participants, etc.

[For speeches and addresses given at conferences, use STUDENT SERVICES – Addresses (presentations).]

Entry No.	Description of Records	Disposal Action
172.022.001	Conferences arranged by the agency. Includes:	Destroy 3 years after action completed
	 program development; invitations to speakers; promotion activities; registrations; venue bookings. 	
172.022.002	Reports commenting on and assessing conferences.	Destroy 3 years after action completed
172.022.003	Master copies of unpublished proceedings and reports, speeches and papers from conferences.	Destroy 3 years after action completed
	[For publishing agency-arranged conference proceedings, use PUBLICATIONS - Production.]	
172.022.004	Published proceedings from conferences.	Destroy 6 months after action completed
	[For master copies of published agency- arranged conference proceedings, use PUBLICATIONS - Production.]	

Conferences (Continued)

The activities involved in arranging or attending conferences held either by the agency or by other agencies or organisations. Includes registrations, publicity, and reports of participants,

[For speeches and addresses given at conferences, use STUDENT SERVICES – Addresses (presentations).]

Entry No.

172.022.005

Description of Records

Records documenting attendance of staff at conferences. Includes conference promotion material, programs and registration forms.

[For travel and accommodation arrangements made for staff to attend conferences, use PERSONNEL -Arrangements.]

Disposal Action

Destroy 6 months after action completed

Counselling

The activities associated with giving advice or guidance to an employee or client for various reasons.

[For student medical and dental records, including psychological records, use HEALTH CARE & TREATMENT.]

Entry No.

172.199.001

Description of Records

Records documenting the provision of assistance for students to deal with personal, relationship, study and adjustment issues where the person was less than 18 years at the date of the last entry in the record including sensitive or in-confidence school records. Includes:

- special assistance case files;
- student special needs reports;
- principal/teacher/student records.

172.199.002

Records documenting the provision of assistance for students to deal with relationship, study and adjustment issues where the person was 18 years or older at the date of last entry in the record.

- special assistance case files;
- student special needs reports;
- sensitive or in-confidence principal/teacher/student records.

Disposal Action

Destroy after person reaches 25 years of age, or 7 years after last action, whichever is later

Destroy 7 years after action completed

Discipline

The activities and actions associated with the disciplinary process. Includes investigation, charges, formal inquiries and punishment.

Entry No.	Description of Records	Disposal Action
172.033.001	Records documenting allegations into misconduct which are investigated, either by the agency or an external authority, and where allegations are proved to be unfounded and the person has requested the retention of the records.	Destroy 7 years after action completed
172.033.002	Records documenting investigations of misconduct.	Destroy 5 years after action completed
172.033.003	Records documenting allegations into misconduct where no follow-up investigation is made (i.e. where allegations are proved to be frivolous or vexatious).	Destroy 2 years after action completed
172.033.004	Records documenting investigations of misconduct which are investigated, either by the agency or an external authority, and where allegations are proved to be unfounded and the person has not requested the retention of the records.	Destroy 2 years after action completed

Enquiries

The activities associated with handling requests for information about the agency and its services, programs and activities.

Description of Records	Disposal Action
Records handling public enquiries.	Destroy 2 years after action completed
	•

Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

Entry No.	Description of Records	Disposal Action
172.042.001	External and internal reports evaluating potential or existing services and systems.	Retain as Territory Archives
172.042.002	Records documenting the evaluation and ongoing monitoring of the student services function.	Destroy 3 years after action completed
172.042.003	Working papers supporting external or internal reports evaluating the student services function.	Destroy 6 months after action completed

Grant Administration

The processes involved with managing and acquittal of grant funding. Includes the records documenting and reporting on decisions relating to the possible and actual allocations of funds.

Entry No.	Description of Records	Disposal Action
172.366.001	Records relating to the management of grant funds. Includes:	Destroy 7 years after action completed
	proposals;decisions;	

justifications.

Grant Funding

The activities associated with the application for and receipt of grants.

[For the overall management of grant applications made by the agency, use STRATEGIC MANAGEMENT - Grant Funding.

For grant applications made for non-government funding, use COMMUNITY RELATIONS - Grant Funding.

For records documenting the financial arrangements of grant funds, use FINANCIAL MANAGEMENT - Grant Funding.

For the development of strategies for managing processes associated with the agency applying for grants, use STRATEGIC MANAGEMENT - Grant Funding.]

Entry No.	Description of Records	Disposal Action
172.049.001	Records documenting successful applications made by the agency for grant funding from a non-government source.	Destroy 7 years after action completed
	[For the management of grant money received by the agency, use FINANCIAL MANAGEMENT - Grant Funding.]	
172.049.002	Records documenting unsuccessful applications made by the agency for grant funding from a non-government source.	Destroy 2 years after action completed

Grievances

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion, or higher duties.

Entry No.
172.051.001

Description of Records

Records documenting formal grievances lodged by a student and considered either internally within the organisation or by an external body. Includes:

- notes of meetings;
- reports;
- recommendations.

[For records covering disciplinary action against a student resulting from a grievance, use STUDENT ADMINISTRATION – Student Misconduct.

For records covering disciplinary action against a staff member resulting from a grievance, use PERSONNEL – Discipline.]

Disposal Action

Destroy 5 years after action completed

Health Promotion

The process of promotion programs which encourage the establishment and maintenance of a healthy work environment and which encourage healthy lifestyles. Includes workplace environments.

Entry No. 172.052.001	Description of Records Records documenting management of sick bays and first aid programs.	Disposal Action Destroy 5 years after action completed
172.052.002	Records documenting the promotion of health in educational facilities. Includes the development and distribution of:	Destroy 5 years after action completed
	notices;instructions;posters;other promotional material.	

Implementation

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met.

Description of Records	Disposal Action
Records documenting the implementation of plans, policies and procedures developed to support the function	Destroy 3 years after action completed
	Records documenting the implementation

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other agencies, private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Entry No.	Description of Records	Disposal Action
172.067.001	Liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects and exchanges of information.	Destroy 3 years after action completed

Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Entry No.	Description of Records	Disposal Action
172.072.001	Final version of minutes and supporting documents tabled at meetings. Includes meetings with external agencies.	Destroy 3 years after action completed
172.072.002	Working papers documenting the conduct and administration of meetings. Includes:	Destroy 6 months after action completed
	agendas;notices of meetings;draft minutes.	

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Entry No. 172.079.001	Description of Records Final version of plans for major projects.	Disposal Action Retain as Territory Archives
172.079.002	Final version of plans for other projects.	Destroy 5 years after plan is superseded
172.079.003	Working papers used to develop plans for projects. Includes: • draft plans; • reports analysing issues; • comments on draft plans.	Destroy 1 year after adoption of the final plan

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

Entry No. 172.080.001	Description of Records Final version of policies.	Disposal Action Retain as Territory Archives
172.080.002	Development and establishment of agency's policies. Includes: • policy proposals; • research papers; • results of consultations; • supporting reports; • major drafts.	Destroy 5 years after policy expires or is superseded
172.080.003	Comments made on the development of policies.	Destroy 3 years after promulgation of new policy
172.080.004	Policy documents and supporting papers.	Destroy 6 months after action completed

Procedures

Standard methods of operating laid down by the agency according to formulated policy.

Entry No.	Description of Records	Disposal Action
172.082.001	Master set of agency manuals, handbooks, and directives etc. detailing procedures.	Destroy 7 years after procedures are superseded
172.082.002	Records documenting the development of agency procedures.	Destroy 2 years after procedures are superseded

Public Reaction

The process of handling public reaction to an agency's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

Entry No.	Description of Records	Disposal Action
172.084.001	Records documenting public reaction and agency responses.	Destroy 6 years after action completed
	[For suggestions received from the public, use STUDENT SERVICES – Suggestions.]	

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Entry No. 172.088.001	Description of Records Final version of formal reports and reports made to external agencies.	Disposal Action Retain as Territory Archives
172.088.002	Final versions of periodic reports used to monitor and document recurring activities. Includes the collection and reporting of statistical information.	Destroy 3 years after action completed
172.088.003	Responses to surveys.	Destroy 3 years after action completed
172.088.004	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 6 months after action completed

Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

Entry No.	Description of Records	Disposal Action
172.090.001	Records documenting the nomination,	Destroy 3 years after
	appointment and resignation and/or	end of appointment
	termination of staff members on external	
	committees and government boards.	

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

Entry No.	Description of Records	Disposal Action
172.091.001	Records documenting detailed research carried out to support the student services function.	Retain as Territory Archives
172.091.002	Records documenting routine research carried out to support the student services function.	Destroy 7 years after action completed

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Entry No.	Description of Records	Disposal Action
172.093.001	Final reports and action plans.	Retain as Territory Archives
172.093.002	Other records documenting a review of agency programs and operations. Includes documents establishing the review.	Destroy 5 years after action completed
172.093.003	Working papers documenting a review of agency programs and operations.	Destroy 2 years after action completed

Special Education

The arrangement of services to provide education tailored to the needs of individuals who differ intellectually, physically, emotionally, or socially from those who can be taught by the usual methods. May include arrangements for additional resources or specialised programs.

Entry No.	Description of Records	Disposal Action
172.378.001	Records relating to the management of individual students with learning difficulties or physical disabilities. Includes student work plans and referrals.	Destroy after person reaches 25 years of age, or 7 years after last action, whichever is later
172.378.002	Records relating to the observation of students for the purposes of their education.	Destroy after person reaches 25 years of age, or 7 years after last action, whichever is later
172.378.003	Records relating to the provision of off-site care including the use of respite accommodation.	Destroy after person reaches 25 years of age, or 7 years after last action, whichever is later
172.378.004	Records relating to the provision of transportation services for students with special needs.	Destroy 7 years after action completed

Special Needs Support

Provision of services such as assistance to disabled students, foreign students, etc. This may include the provision of special needs services during examinations such as interpreters, reading assistance for sight impaired students, disabled access, etc.

Entry No.	Description of Records	Disposal Action
172.197.001	Records relating to administrative	Destroy 7 years after
	arrangements for the provision of special	action completed
	needs support services.	

Student Careers Advice

Advice on student career and course options.

Entry No. 172.198.001	Description of Records Records relating to arrangements for employers to conduct recruitment	Disposal Action Destroy 2 years after action completed
172.198.002	Records relating to vacation work, cadetship's, scholarships, internships, coop year programs, work experience and direct placements, including graduate programs.	Destroy 2 years after action completed
172.198.003	Records relating to advertisement of, and opportunities for students to undertake work experience.	Destroy 2 years after action completed
172.198.004	Records of arrangements for, and the conduct of workshops, seminars and courses of training for student careers advice.	Destroy 2 years after action completed
172.198.005	Records relating to the collection of statistics relating to student careers advice.	Destroy 1 year after action completed

Student Graduation

Admission to degree, diploma, certificate, statement of attainment or other qualification.

Entry No. 172.191.001	Description of Records Register of graduates.	Disposal Action Retain as Territory Archives
172.191.002	Records documenting administrative arrangements for graduation ceremonies. Includes: • invitations; • guest lists; • catering; • venue bookings;	Destroy 2 years after action completed
	• entertainment.	

Student Graduation (Continued)

Admission to degree, diploma, certificate, statement of attainment or other qualification.

Entry No.	Description of Records	Disposal Action
172.191.003	Records relating to the notification of students of their eligibility to graduate. Includes outstanding financial obligations, etc.	Destroy 1 year after action completed
172.191.004	Records relating to the acceptance of students of the offer to graduate (e.g. graduation responses).	Destroy 6 months after action completed

Submissions

The preparation and submission of a formal statement (e.g. business case, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency or organisation, or within the agency, for the purpose of either gain or support.

Entry No.	Description of Records	Disposal Action
172.102.001	Submissions (other than Cabinet submissions) made to the Chief Minister, Minister, and government bodies on issues directly relating to the agency's functions, concerning controversial issues with far reaching social, economic and international implications relating to the functional responsibilities of the agency.	Retain as Territory Archives
	[For Cabinet submissions regarding controversial issues, use GOVERNMENT RELATIONS – Submissions.]	
172.102.002	Working papers documenting the development of submissions (other than Cabinet submissions) relating to significant issues.	Retain as Territory Archives
	[For working papers developing Cabinet submissions relating to significant issues, use GOVERNMENT RELATIONS – Submissions.]	

Submissions (Continued)

The preparation and submission of a formal statement (e.g. business case, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency or organisation, or within the agency, for the purpose of either gain or support.

Entry No. 172.102.003	Development of submissions (other than Cabinet submissions) made to other non-government organisations, bodies, groups, etc. relating to issues of significance to the Territory.	Disposal Action Retain as Territory Archives
172.102.004	Final successful agency submissions made to community organisations.	Destroy 7 years after action completed
172.102.005	Final unsuccessful agency submissions made to community organisation.	Destroy 7 years after action completed
172.102.006	Submissions (other than Cabinet submissions) made to the Chief Minister, Minister, and government bodies on issues directly relating to the agency's functions, concerning other matters of lesser importance with no far reaching impact on the social, economic and international standing of the Territory or country. Includes submissions concerning administrative matters.	Destroy 2 years after action completed
	[For Cabinet submissions concerning matters of lesser importance, use GOVERNMENT RELATIONS – Submissions.]	
172.102.007	Working papers documenting the development of submissions (other than Cabinet submissions) relating to other matters of lesser importance.	Destroy 6 months after action completed
	[For working papers developing Cabinet submissions relating to matters of lesser importance, use GOVERNMENT RELATIONS – Submissions.]	

Suggestions

The process of using suggestions from personnel and the public to improve the services and processes of the agency.

Entry No.	Description of Records	Disposal Action
172.103.001	Suggestions received from the public relating to the student services function.	Destroy 3 years after action completed
	[For feedback received from the public, use STUDENT SERVICES - Public Reaction.]	

Visits

The activities involved in arranging visits by other agencies, the public and students to the agency, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by staff to other agencies, organisations, etc.

Entry No.	Description of Records	Disposal Action
172.109.001	Records documenting arrangements for visits made to the agency by important community representatives.	Destroy 5 years after action completed
172.109.002	Public visitor books.	Destroy 5 years after last entry
172.109.003	Records documenting arrangements for visits or tours to the agency by the general public.	Destroy 2 years after action completed
172.109.004	Records documenting visits by staff to community organisations to promote the image or services of the function. Includes visit reports.	Destroy 2 years after action completed

RETAIN AS TERRITORY ARCHIVES

Advice

The activities associated with offering opinions as to an action or judgement. Includes the process of advising.

Description of Records	Disposal Action
Receipt and provision of advice that resulted in major changes. Includes advice provided by consultants.	Retain as Territory Archives
	Receipt and provision of advice that resulted in major changes. Includes advice

Committees

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

Entry No. 172.020.001	Description of Records Records of high-level external and internal committees formed to manage or advise on major decisions. Includes final versions of documents:	Disposal Action Retain as Territory Archives
	 establishing the committee; terms of reference; appointment of members; 	

- minutes;
- reports;
- recommendations;
- supporting documents such as briefing and discussion papers.

Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

Entry No.	Description of Records	Disposal Action
172.042.001	External and internal reports evaluating	Retain as Territory
	potential or existing services and systems.	Archives

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Entry No.	Description of Records	Disposal Action
172.079.001	Final version of plans for major projects.	Retain as Territory Archives

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

Entry No.	Description of Records	Disposal Action
172.080.001	Final version of policies.	Retain as Territory
		Archives

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Entry No.	Description of Records	Disposal Action
172.088.001	Final version of formal reports and reports	Retain as Territory
	made to external agencies.	Archives

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

Entry No.	Description of Records	Disposal Action
172.091.001	Records documenting detailed research carried out to support the student services	Retain as Territory Archives
	function.	

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Entry No.	Description of Records	Disposal Action
172.093.001	Final reports and action plans.	Retain as Territory
		Archives

Student Graduation

Admission to degree, diploma, certificate, statement of attainment or other qualification.

Entry No.	Description of Records	Disposal Action
172.191.001	Register of graduates.	Retain as Territory
		Archives

Submissions

The preparation and submission of a formal statement (e.g. business case, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency or organisation, or within the agency, for the purpose of either gain or support.

Entry No.	Description of Records	Disposal Action
172.102.001	Submissions (other than Cabinet submissions) made to the Chief Minister, Minister, and government bodies on issues directly relating to the agency's functions, concerning controversial issues with far reaching social, economic and international implications relating to the functional responsibilities of the agency.	Retain as Territory Archives
	[For Cabinet submissions regarding controversial issues, use GOVERNMENT RELATIONS – Submissions.]	
172.102.002	Working papers documenting the development of submissions (other than Cabinet submissions) relating to significant issues.	Retain as Territory Archives
	[For working papers developing Cabinet submissions relating to significant issues, use GOVERNMENT RELATIONS – Submissions.]	

Submissions (Continued)

The preparation and submission of a formal statement (e.g. business case, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency or organisation, or within the agency, for the purpose of either gain or support.

Entry No. 172.102.003

Description of Records

Development of submissions (other than Cabinet submissions) made to other nongovernment organisations, bodies, groups, etc. relating to issues of significance to the Territory.

Disposal Action

Retain as Territory Archives

SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.

Amendments to the Student Services Records Disposal Schedule Dated ## August 2013

Function (Amendments)	

New Features (Insertions) Activity Entry no. Description Counselling New activity.

Enhancements (Changes)			
Activity	Entry no.	Description	
Early Intervention Programs		Activity removed and now included with the activity Case Management.	
Early Intervention Programs	172.388.001	Class removed.	
Early Intervention Programs	172.388.002	Class removed	
Early Intervention Programs	172.388.003	Class removed	
Student Grievances		Activity removed and included with the activity Grievances.	
Student Grievances	172.326.001	Class removed.	
Student Health and Counselling Services		Activity removed and replaced with the activity Counselling.	
Student Health and Counselling Services	172.199.001 172.199.002	Class descriptions changed to remove reference to medical and dental records.	
Student Health and Counselling Services	172.199.003	Class removed.	
Student Health and Counselling Services	172.199.004	Class removed.	
Student Health and Counselling Services	172.199.005	Class removed.	