

# Territory Records (Records Disposal Schedule – Student Management Records) Approval 2022 (No 1)

Notifiable instrument NI2022—544

made under the

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

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## 1 Name of instrument

This instrument is the Territory Records (Records Disposal Schedule – Student Management Records) Approval 2022 (No 1)

## 2 Commencement

This instrument commences on 25 November 2022.

## 3 Approval

I approve the Records Disposal Schedule – Student Management Records.

## 4 Revocation

I revoke Territory Records (Records Disposal Schedule - Student Management Records) Approval 2016 (No 1) NI2016-568.

Danielle Wickman  
Director of Territory Records  
26 October 2022



# **Records Disposal Schedule**

## **Student Management Records**

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## **INTRODUCTION**

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

It is one of a series of 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 Agencies. It also applies to consultants, contractors and other third parties undertaking functions on behalf of 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.

Officers using this Records Disposal Schedule should apply it with caution. 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 under the *Territory Records Act 2002*, including any other applicable Records Disposal Schedule or approved Records Management Program.

**An Agency must take appropriate steps to meet the prerequisites for disposal in this and other applicable Records Disposal Schedules, including to ascertain whether disposal is prohibited, for example where the Records relate to any reasonably foreseeable legal action or current Records Disposal Freeze.**

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

## **GUIDELINES FOR USE**

### ***Coverage of authority***

The *Records Disposal Schedule – Student Management Records*:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Whole of Government 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.

### ***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/microfilm/microfiche;
- files;
- digital records, including various electronic media, and
- any other formats.

## **DESTRUCTION OF RECORDS**

Once an Agency is authorised to dispose of Records, 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 applicable 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 Territory Records Office.

## **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 Territory Records Office.

## RELATED LEGISLATION

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

*ACT Civil and Administrative Tribunal Act 2008*  
*Administrative Decisions (Judicial Review) Act 1989*  
*Associations Incorporation Act 1991*  
*Board of Senior Secondary Studies Act 1997*  
*Canberra Institute of Technology Act 1987*  
*Discrimination Act 1991*  
*Drugs of Dependence Act 1989*  
*Education Act 2004*  
*Education Services for Overseas Students Act 2000 (Cwlth)*  
*Epidemiological Studies (Confidentiality) Act 1992*  
*Evidence (Miscellaneous Provisions) Act 1991*  
*Evidence Act 2011*  
*Food Act 2001*  
*Freedom of Information Act 2016*  
*Health Practitioner Regulation National Law (ACT) Act 2010*  
*Health Records (Privacy and Access) Act 1997*  
*Higher Education Funding Act 1988 (Cwlth)*  
*Information Privacy Act 2014*  
*Limitation Act 1985*  
*Medical Treatment (Health Directions) Act 2006*  
*Mental Act 2015*  
*Mental Health (Treatment and Care) (Interstate Application of Mental Health Laws) Agreement 2002 (No 1)*  
*Mental Health (Treatment and Care) (Interstate Application of Mental Health Laws) Agreement 2002 (No 2)*  
*Mental Health (Treatment and Care) (Interstate Application of Mental Health Laws) Agreement 2003*  
*Mental Health (Treatment and Care) (Interstate Application of Mental Health Laws) Agreement 2004*  
*Mental Health (Treatment and Care) Interstate Application of Mental Health Laws Agreement 2011*  
*National Vocational Education and Training Regulator Act 2011 (Cwlth)*  
*Ombudsman Act 1989*  
*Medicines, Poisons and Therapeutic Goods Act 2008*  
*Privacy Act 1988 (Cwlth)*  
*Public Health Risk (Centre for Opioid Detoxification using Opioid Antagonists) Declaration 2001*  
*Residential Tenancies Act 1997*  
*Schools Assistance (Learning Together - Achievement Through Choice and Opportunity) Act 2004 (Cwlth)*  
*Standards for NVR Registered Training Organisations 2012 (Cwlth)*  
*Territory Records Act 2002*  
*Training and Tertiary Education Act 2003*  
*University of Canberra Act 1989*  
*Work Health and Safety Act 2011*

## **RECORDS DISPOSAL SCHEDULE**



## **STUDENT MANAGEMENT**

The function of managing students by supporting them throughout their attendance at schools and tertiary educational institutions and assisting them to undertake and successfully complete their studies. Includes matters affecting the safety, health and general welfare of students such as domestic violence (child abuse), drug abuse, and support services and programs such as immunisations, counselling, medical assessment and distance education arrangements provided by the agency to meet the needs of students. Also includes admissions, enrolment, exchange programs, misconduct processes, graduation, prizes and scholarships, and the provision of residential facilities or placements.

### **Advice**

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

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.005.001	Records documenting the development and provision of advice or the receipt of advice relating to the management of students that resulted in major changes to the agency's policies, procedures or caused considerable controversy. Includes advice provided by consultants and working papers.	Retain as Territory Archives
024.005.002	Records documenting the development and provision of advice or the receipt of advice relating to the management of students that did <b>not</b> result in major changes to the agency's policies, procedures or caused considerable controversy. Includes advice provided by consultants and working papers.	Destroy 7 years after last action

### **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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.006.001	Agreements and supporting documents. Includes contracts and project scope documents.	Destroy 7 years after agreement expires or is terminated

### ***Appeals (decisions)***

The activities involved in the process of appeals against decisions by application to a higher authority.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.009.001	Records documenting appeals made against decisions affecting students, (e.g. applications for admissions, disputed entry, including Summer School, examination/assessment results and special consideration requests).	Destroy 12 years after last action

### ***Audit***

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.013.001	Final report of an external audit report (e.g. conducted by an external authority such as the ACT Auditor General's Office) where: <ul style="list-style-type: none"><li>• the audit report is qualified by the auditor; or</li><li>• there are major or significant changes to practices.</li></ul>	Retain as Territory Archives
024.013.002	Final report of an internal or external audit (e.g. conducted by an external authority such as the ACT Auditor General's Office) where: <ul style="list-style-type: none"><li>• the audit report has been accepted by the auditor; or</li><li>• there are no changes, or only minor or routine changes to practices. Includes recommendations and implementation plans.</li></ul>	Destroy 10 years after last action
024.013.003	Records documenting the planning and conduct of internal and external audits.	Destroy 10 years after last 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 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.

*[For appeals of decisions, use STUDENT MANAGEMENT – Appeals (decisions).*

*For examination and test results of apprentices and trainees, use STUDENT MANAGEMENT – Training.*

*For student work placements, use STUDENT MANAGEMENT – Training*

*For applications for Recognition of Prior Studies/Learning by apprentices and trainees, use STUDENT MANAGEMENT – Training.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.016.001	Records documenting individual students and home schooling/tuition students enrolment, examination results, including academic transcripts/final results, and aggregate examination assessment returns or results sheets where no individual record is kept. Also includes copies of theses or other significant works of higher degree students (e.g. Masters and PhD level students). Excludes copies retained on student files.	Retain as Territory Archives
024.016.002	Records relating to significant ongoing or perpetual awards,(e.g. the Herbert Burton Medal, the Jessie Mary Vasey Scholarship, the Chancellor's Commendation, Institute Medals or the ACT and Region Chamber of Commerce and Industry Prize). Includes records of donors/sponsors, successful applications, nominations and supporting documents as well as records of the decision making process.	Retain as Territory Archives
024.016.003	Non-collected or returned Year 10 & 12 certificates	Destroy 50 years after date of birth, or 7 years after last action, whichever is later

### **Case Management (Continued)**

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.

*[For appeals of decisions, use STUDENT MANAGEMENT – Appeals (decisions).*

*For examination and test results of apprentices and trainees, use STUDENT MANAGEMENT – Training.*

*For student work placements, use STUDENT MANAGEMENT – Training*

*For applications for Recognition of Prior Studies/Learning by apprentices and trainees, use STUDENT MANAGEMENT – Training.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.016.005	<p>Records documenting individual students and home schooling/tuition students schooling history, including:</p> <ul style="list-style-type: none"><li>• personal details;</li><li>• student Application for Award;</li><li>• copies of certificates, statements of achievement (e.g. Year 10, Year 12 certificates and similar);</li><li>• reports about student progress;</li><li>• correspondence to/from parents;</li><li>• copies of accident reports;</li><li>• administration forms;</li><li>• absence notes and correspondence relating to absenteeism;</li><li>• copies of incident reports;</li><li>• records of suspension;</li><li>• disciplinary records;</li><li>• religious instruction forms;</li><li>• health records;</li><li>• transfer notes;</li><li>• notification of students of their eligibility to graduate;</li><li>• Obligation Certificates;</li><li>• receipt/delivery or non-collection of testamurs.</li></ul>	<p>Destroy 50 years after date of birth, or 7 years after last action, whichever is later</p>

*Note: Individual student records do not necessarily have to contain all of the above nor is the above list exhaustive of the types of information student records may contain.*

### **Case Management (Continued)**

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.

*[For appeals of decisions, use STUDENT MANAGEMENT – Appeals (decisions).*

*For examination and test results of apprentices and trainees, use STUDENT MANAGEMENT – Training.*

*For student work placements, use STUDENT MANAGEMENT – Training*

*For applications for Recognition of Prior Studies/Learning by apprentices and trainees, use STUDENT MANAGEMENT – Training.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.016.006	Records relating to student applications/requests for and/or approval of or credit/status for Recognition of Prior Studies/Learning. Includes: <ul style="list-style-type: none"><li>• application forms and supporting documents;</li><li>• interview records;</li><li>• correspondence.</li></ul> Also includes records relating to approving completion of a course of studies, including compliance reports.	Destroy 7 years after last action
024.016.008	Non-collected or returned testamurs	Destroy 1 year after last action

## 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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.020.001	Records relating to high-level external and internal committees formed to manage or advise on major decisions affecting the management of students. Includes final versions of documents: <ul style="list-style-type: none"><li>• establishing the committee;</li><li>• terms of reference;</li><li>• appointment of members;</li><li>• minutes;</li><li>• reports;</li><li>• recommendations; and</li><li>• supporting documents such as briefing and discussion papers.</li></ul>	Retain as Territory Archives
024.020.002	Records documenting declarations of members' private interests.	Destroy 7 years after termination of appointment
024.020.003	Records documenting routine or minor external or internal committees formed to consider specific matters related to academic policy and practices or day-to-day administration of students. Includes final versions of: <ul style="list-style-type: none"><li>• documents establishing the committee;</li><li>• terms of reference;</li><li>• appointment of members;</li><li>• minutes;</li><li>• reports;</li><li>• recommendations;</li><li>• supporting documents such as briefing and discussion papers;</li><li>• agenda;</li><li>• notice of meetings;</li><li>• draft minutes;</li><li>• room bookings;</li><li>• working papers;</li><li>• records documenting administration of committees.</li></ul>	Destroy 7 years after last action

***Committees (Continued)***

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

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.020.003	<p>Records documenting routine or minor external or internal committees formed to consider specific matters related to academic policy and practices or day-to-day administration of students. Includes final versions of:</p> <ul style="list-style-type: none"><li>• documents establishing the committee;</li><li>• terms of reference;</li><li>• appointment of members;</li><li>• minutes;</li><li>• reports;</li><li>• recommendations;</li><li>• supporting documents such as briefing and discussion papers;</li><li>• agenda;</li><li>• notice of meetings;</li><li>• draft minutes;</li><li>• room bookings;</li><li>• working papers;</li><li>• records documenting administration of committees.</li></ul>	Destroy 7 years after last action

## 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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.021.001	Records relating to primary and secondary school student attendance. Includes class roll but excludes aggregate reports.  <i>[For aggregate reports see class 024.021.003]</i>	75 years from date of roll
024.021.002	Records documenting agency or service provider’s compliance with mandatory or optional standards or with statutory requirements.	Destroy 7 years after last action
024.021.003	Data and aggregate reporting generated from the student attendance records presented by any sub-category such as key learning area, school, school district and Territory-wide etc. including: <ul style="list-style-type: none"> <li>• all students;</li> <li>• disabilities;</li> <li>• gender;</li> <li>• country or rural areas;</li> <li>• backgrounds of poverty or low social status;</li> <li>• Aboriginal or Torres Strait Islander heritage;</li> <li>• language background is other than English;</li> <li>• gifted / talented students;</li> <li>• similarly specified groupings.</li> </ul>	Destroy 7 years after action completed
024.021.004	Attendance lists for examinations, rollbooks, events, tertiary classes & tutorials.	Destroy 2 years 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 TREATMENT & CARE.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.029.001	Records documenting the provision of assistance for students to deal with behavioural, 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: <ul style="list-style-type: none"><li>• special assistance case files;</li><li>• student special needs reports;</li><li>• principal/teacher/student records.</li></ul>	Destroy 75 years after date of birth, or 7 years after last action, whichever is later
024.029.002	Records documenting the provision of assistance for students to deal with behavioural, relationship, study and adjustment issues where the person was 18 years or older at the date of last entry in the record. <ul style="list-style-type: none"><li>• special assistance case files;</li><li>• student special needs reports;</li><li>• sensitive or in-confidence principal/teacher/student records.</li></ul>	Destroy 50 years after date of birth or 7 years after last action, whichever is later

### ***Discipline***

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

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.033.001	Records documenting allegations 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 requested the retention of the records.	Destroy 75 years after date of birth or 7 years after last action, whichever is the later
024.033.002	Records documenting allegations of misconduct which are investigated, either by the agency or an external authority where allegations are proven to be either founded or unfounded and the person has <b>not</b> requested the retention of the records <b>and</b> where no follow-up investigation is made (i.e. where allegations are proved to be minor, frivolous or vexatious).	Destroy 25 years after date of birth or 7 years after last action, whichever is later

### ***Enquiries***

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

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.040.001	Records handling public enquiries relating to student and education services, including enquiries about accommodation, student admissions and childcare.	Destroy 7 years after last action

### ***Examination & Assessment***

The process of testing knowledge and understanding of students by examination and other techniques, such as ongoing assessment. Includes arrangements for subject and university entrance examinations.

*For records documenting arrangements for visits made to ACT Government educational institutions by important community representatives, organisations & general public, other than for Examination & Assessment, use STUDENT MANAGEMENT RECORDS - Visits*

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.186.001	Examination assessment returns or results sheets, and amendments to examination returns.	Destroy 50 years after last action
024.186.002	Records relating to administrative arrangements for assessment which may include: <ul style="list-style-type: none"><li>• venue bookings</li><li>• equipment bookings;</li><li>• timetabling;</li><li>• notices of assessment;</li><li>• arrangements for invigilators.</li></ul>	Destroy 7 years after last action
024.186.003	Records relating to the grading/marking of individual assessment components of a subject or course. Including test booklets examination scripts/script books, essays, assignments, presentations submitted or completed by students for the purposes of overall assessment or evaluation i.e. work which contributes to the final grade for a subject or course and examiners/assessors' reports and related records.	Destroy 2 years after last action

## **Grant Funding**

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

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.049.001	Records documenting successful and unsuccessful applications made by the agency or students for grant funding from a government or non-government sources. Includes scholarships.  <i>[For the management of grant money received by the agency, use FINANCE &amp; TREASURY MANAGEMENT - Funding Administration.]</i>	Destroy 7 years after last action

## **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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.051.001	Records documenting formal grievances lodged by a student or parent/guardian and considered either internally within the organisation or by an external body. Includes: <ul style="list-style-type: none"><li>• notes of meetings;</li><li>• reports;</li><li>• recommendations.</li></ul> <i>[For records covering disciplinary action against a student resulting from a grievance, use STUDENT MANAGEMENT - Discipline.</i>  <i>For records covering disciplinary action against a staff member resulting from a grievance, use HUMAN RESOURCES - Performance management.]</i>	Destroy 75 years after last action

### **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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.052.001	Records documenting the promotion of health, first aid programs and the management of sick bay's in educational facilities. Includes the development and distribution of: <ul style="list-style-type: none"><li>• notices;</li><li>• instructions;</li><li>• posters;</li><li>• other promotional material.</li></ul>	Destroy 5 years after last action

### **Incidents**

The activities associated with management, control, investigation and reporting of incidents. Includes notifiable, critical and other incidents relating to the safety, health or wellbeing of students or staff. 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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.001.001	Records relating to incidents, injury, trauma, bullying and illness involving students.  <i>[For an accident involving an employee who submits a compensation claim, use HUMAN RESOURCES - Workers Compensation.</i>  <i>For an accident involving an employee where there is no compensation claim submitted, use HUMAN RESOURCES - Health &amp; Safety.]</i>	Destroy 75 years after date of birth, or 7 years after last action, whichever is later
024.001.002	Records documenting minor sick bay attendances that do not warrant an incident report.	Destroy 7 years after last action

### ***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.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.067.001	Records documenting liaison activities undertaken with professional associations, private sector organisations, community groups and student groups. Includes collaboration on projects and exchanges of information.	Destroy 7 years after last action

### ***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.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.072.001	Final version of minutes and supporting documents tabled at meetings. Includes meetings with external agencies, working papers documenting the conduct and administration of meetings including: <ul style="list-style-type: none"><li>• agendas;</li><li>• notices of meetings; and</li><li>• draft minutes.</li></ul>	Destroy 7 years after last action

## ***Payments***

The activities involved in the preparation and payment of money.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.077.001	<p>Records documenting payments of fees and educational charges, including:</p> <ul style="list-style-type: none"><li>• statutory declarations completed by students;</li><li>• applications for concessions;</li><li>• concessions agreements;</li><li>• refunds (completed by student);</li><li>• student sponsorship authority</li><li>• bad debt investigations;</li><li>• payments by instalment, (e.g. Payment by Instalment forms; and Payment Plan for Academy of Interactive Entertainment (AIE) and Degree students);</li><li>• amenities and service fees, including options, waivers or extensions; and</li><li>• HECS/PELS schemes including options or exemptions.</li></ul>	Destroy 7 years after last action

*[For records relating to invoices, payments/receipts, credit notes, debt recovery, etc., use FINANCE & TREASURY MANAGEMENT – Accounting.]*

## **Planning**

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

[For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use *STRATEGY & GOVERNANCE – Strategy & Planning*.]

*Note: Use the relevant activity where strategies and plans are developed to support a more specific process, (e.g. use School management for administrative and curriculum plans, or Risk Management & Insurance for risk management plans and strategies.*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.079.001	<p>Records documenting planning for the management of students to meet strategic and operational goals and objectives, including strategies relating to controversial issues with far reaching social, economic or national implications.</p> <p>Includes final version of plans for major projects relating to the management of students.</p>	Retain as Territory Archives
024.079.002	<p>Records documenting the development and implementation of minor or routine student management plans, and records documenting the evaluation and review of plans relating to existing and potential student management programs and services, including internal and external committees and meetings established to help formulate plans and liaison activities undertaken with professional associations, private sector organisations and community groups in support of planning for managing students. Also includes:</p> <ul style="list-style-type: none"><li>• Working papers;</li><li>• draft plans;</li><li>• reports analysing issues;</li><li>• comments on draft plans;</li><li>• recommendations;</li><li>• evaluation reports;</li><li>• supporting documents such as briefing papers and discussion papers;</li></ul>	Destroy 7 years after last action



## ***Policy & Procedure***

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

[For policy proposals and guidelines which form legislative instruments, use *STRATEGY & GOVERNANCE – Legislation*.]

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.080.001	Records documenting the development and establishment of government-wide and high level agency specific policies, procedures & guidelines relating to the management of students. Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• action plans;</li><li>• working papers;</li><li>• results of consultations;</li><li>• comments from other agencies, &amp; external entities;</li><li>• research papers;</li><li>• supporting reports;</li><li>• major drafts;</li><li>• the policy documents.</li></ul>	Retain as Territory Archives
024.080.002	Records documenting the development and establishment of an agency's student management policies, procedures & guidelines, Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• manuals;</li><li>• handbooks;</li><li>• directives;</li><li>• results of consultations with staff, unions, students &amp; community representatives;</li><li>• input from other areas of the agency;</li><li>• working papers;</li><li>• research papers;</li><li>• supporting reports;</li><li>• major drafts;</li><li>• the final document.</li></ul>	Destroy 7 years after policy or procedure is 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.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.084.001	Records documenting public reaction to agency programs and operations relating to the management of students and agency responses.	Destroy 7 years after last action

### ***Registration***

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.155.001	Register of graduates. Master list of students who graduate (including those who graduate in absentia).	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.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.088.001	Final versions of internal reports and reports made to external agencies relating to the management of students that provided a formal response to a situation or request.	Retain as Territory Archives
024.088.002	Working papers documenting the development of all reports including final versions of periodic internal reports used to monitor and document recurring activities relating to the management of students. Includes the collection and reporting of statistical information, responses to surveys and HECS/PELS schemes annual reports, drafts and comments received.	Destroy 2 years after last action

### **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.

*[For legal advice furnished to the organisation by internal or external sources, use SOLICITOR & LEGAL SERVICES - Advice.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.090.001	Records documenting the nomination, appointment, resignation and/or termination of representatives on external committees and government boards. Includes records documenting student appointments to: <ul style="list-style-type: none"><li>• school captaincy;</li><li>• representative committees;</li><li>• school councils;</li><li>• student councils;</li><li>• prefect boards; and</li><li>• election results.</li></ul>	Destroy 7 years after end of appointment

### **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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.091.001	Records documenting detailed significant research carried out to support the management of students.	Retain as Territory Archives
024.091.002	Records documenting routine research carried out to support the management of students.	Destroy 7 years after last action

### **Reviewing**

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

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.093.001	Final reports and action plans of reviews of agency programs and operations relating to the management of students.	Retain as Territory Archives
024.093.002	Records documenting a review of agency programs and operations relating to the management of students. Includes documents establishing the review and working papers.	Destroy 7 years after last action

### **Service Provision**

The activities relating to services provided by an agency on a long term basis or by other agencies. Includes requests and applications for services, assessment of eligibility and entitlements, liaison with other agencies regarding the provision of services. Also includes activities to lobby for services and to increase service provision. Also includes the installation, operation and removal of temporary facilities in parks and reserves, such as water, electricity, temporary toilets, etc. for special outdoor events.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.169.001	Records documenting applications for the provision of accommodation services to students through halls of residence or residential facilities where the application was successful, including accommodation contracts with students, administrative issues such as unauthorised tenancy or noise abatement.	Destroy 7 years after completion or other termination of agreement or contract
024.169.002	Records documenting the provision of chaplaincy services, including appointment of chaplains and recommendations or nominations by religious bodies.	Destroy 45 years after appointment terminated
024.169.003	Records relating to withdrawn or unsuccessful applications for the provision of accommodation services to students and other residents.	Destroy 7 years after last action

***Service Provision (Continued)***

The activities relating to services provided by an agency on a long term basis or by other agencies. Includes requests and applications for services, assessment of eligibility and entitlements, liaison with other agencies regarding the provision of services. Also includes activities to lobby for services and to increase service provision. Also includes the installation, operation and removal of temporary facilities in parks and reserves, such as water, electricity, temporary toilets, etc. for special outdoor events.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
024.169.004	Records relating to the provision of child care places. Includes: <ul style="list-style-type: none"><li>• applications;</li><li>• enrolment waiting lists;</li><li>• interviews;</li><li>• acceptance of places; or</li><li>• standard agreements.</li></ul> <p><i>[For records relating to financial agreements, use FINANCE &amp; TREASURY MANAGEMENT – Acquisition or FINANCE &amp; TREASURY MANAGEMENT - Contract Management.]</i></p>	Destroy 7 years after last action
024.169.005	Records relating to requests for and the administration of academic transcripts. Includes: <ul style="list-style-type: none"><li>• authority to release results;</li><li>• applications for official transcripts;</li><li>• unofficial transcripts;</li><li>• results notice.</li></ul>	Destroy 2 years after last action

## 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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.102.001	<p>Submissions (other than Cabinet submissions) made to the Chief Minister, Minister, government bodies on issues directly relating to management of students, concerning controversial issues with far reaching social, economic, national or international implications relating to the functional responsibilities of the agency, includes submissions to non-government organisations, bodies, groups, etc. Also includes working papers.</p> <p><i>[For Cabinet submissions regarding controversial issues, use GOVERNMENT &amp; STAKEHOLDER RELATIONS - Government &amp; Parliamentary Matters.</i></p> <p><i>For working papers developing Cabinet submissions relating to significant issues, use GOVERNMENT &amp; STAKEHOLDER RELATIONS - Government &amp; Parliamentary Matters.]</i></p>	Retain as Territory Archives
024.102.002	<p>Submissions (other than Cabinet submissions) made to the Chief Minister, Minister, and government bodies on issues directly relating to management of students, concerning other matters of lesser importance with no far reaching impact on the social, economic, national or international standing of the Territory, includes submissions to non-government organisations, bodies, groups, etc. Also includes working papers.</p> <p><i>[For Cabinet submissions concerning matters of lesser importance, use GOVERNMENT &amp; STAKEHOLDER RELATIONS - Government &amp; Parliamentary Matters.]</i></p>	Destroy 7 years after last action

## **Training**

The activities associated with all aspects of the provision of training and development (external/internal).

*[For records relating to arranging, completing and assessing student training programs, use TRAINING & TERTIARY EDUCATION – Training.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.105.001	Records documenting successful completion of Certificate III in Electrotechnology Electrician ‘Capstone’ assessment.	Retain as Territory Archives
024.105.002	Records documenting commencement, completion or partial completion of traineeships and apprenticeships. Includes: <ul style="list-style-type: none"><li>• ability to offer on-the-job training;</li><li>• absenteeism;</li><li>• industry visits;</li><li>• apprentice/trainee training program plans;</li><li>• certificates of competence;</li><li>• certification process;</li><li>• declared vocations;</li><li>• document transcript requests;</li><li>• employer sign-off letter releasing apprentice;</li><li>• industry contacts;</li><li>• industry visits;</li><li>• log book copies;</li><li>• notifications of absences;</li><li>• notifications of business;</li><li>• pre-training package validation of apprenticeship qualifications;</li><li>• qualifications;</li><li>• statements of attainment;</li><li>• training contracts/agreements;</li><li>• variations to traineeship or apprenticeship contracts/agreements;</li><li>• reports and surveys relating to traineeships and apprenticeships.</li></ul>	Destroy 30 years after completion of apprenticeship or traineeship

### **Training (Continued)**

The activities associated with all aspects of the provision of training and development (external/internal).

*[For records relating to arranging, completing and assessing student training programs, use TRAINING & TERTIARY EDUCATION – Training.]*

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.105.004	Records relating to student work experience placements for people over the age of 18 years at commencement of placement. Includes: <ul style="list-style-type: none"><li>• registration of placements;</li><li>• work experience agreement forms;</li><li>• work placement offers;</li><li>• workplace responses;</li><li>• work experience applications;</li><li>• teacher evaluation forms;</li><li>• employers reports.</li></ul>	Destroy 15 years after end of placement
024.105.006	Records relating to student work experience placements for people under the age of 18 years at commencement of placement. Includes: <ul style="list-style-type: none"><li>• registration of placements;</li><li>• work experience agreement forms;</li><li>• work placement offers;</li><li>• workplace responses;</li><li>• work experience applications;</li><li>• teacher evaluation forms; employers reports.</li></ul>	Destroy 45 years after end of placement
024.105.005	Records relating to applications/requests for and/or approval of or credit/status for Recognition of Prior Studies/Learning. Includes: <ul style="list-style-type: none"><li>• application forms and supporting documents;</li><li>• interview records;</li><li>• correspondence.</li></ul>	Destroy 7 years after action completed



## 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. Also includes arranging student camps and excursions to other destinations.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
024.109.001	Records relating to primary and secondary school excursions and camps, including excursions overseas, by both students and teachers that proceed. Includes: <ul style="list-style-type: none"> <li>• applications;</li> <li>• costs;</li> <li>• supporting documentation;</li> <li>• advice to parents/caregivers;</li> <li>• approval letters;</li> <li>• permission forms including student details;</li> <li>• movement requisitions for teachers;</li> <li>• travel details;</li> <li>• requests for financial assistance.</li> </ul>	Destroy 75 years after end of excursion
024.109.002	Records documenting arrangements for visits made to ACT Government educational institutions by community representatives. Includes Public visitor books.  <i>[For visitor books signed by Royalty, Heads of State or other dignitaries, use GOVERNMENT &amp; STAKEHOLDER RELATIONS - Events.]</i>	Destroy 7 years after last action
024.109.003	Records documenting arrangements for visits or tours to ACT Government educational institutions by the general public.	Destroy 7 years after last action
024.109.004	Records documenting visits by staff to community groups or organisations to promote the services provided to students. Includes visit reports.	Destroy 7 years after last action
024.109.005	Records relating to excursions or camps by both students and teachers that do not proceed. Includes: <ul style="list-style-type: none"> <li>• applications;</li> <li>• supporting documentation;</li> <li>• requests for financial assistance.</li> </ul>	Destroy 7 years after last action

024.109.006	Records documenting arrangements for ceremonies of a routine nature, (e.g. graduation ceremonies) or ceremonies of lesser significance, including acceptance by students of the offer to graduate e.g. Graduation Ticket Responses.	Destroy 7 years after last action
024.109.007	Records relating to university excursions and camps, including excursions overseas, by both students and accompanying staff that proceed. Includes: <ul style="list-style-type: none"><li>• applications;</li><li>• costs;</li><li>• supporting documentation;</li><li>• advice to students;</li><li>• approval letters;</li><li>• supporting forms including student details;</li><li>• movement requisitions for staff;</li><li>• travel details;</li><li>• requests for financial assistance.</li></ul>	Destroy 50 years after end of excursion

## **FOR EXPLANATORY NOTES**

### ***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.

## **DEFINITIONS**

### ***Agency***

The Executive, the ACT Public Service, Officers of the Legislative Assembly, an ACT Court, 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 created and 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 transaction 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.

### ***Significance***

Significance is determined according to the context, the government activity being undertaken and the level of impact on the government or the community<sup>1</sup>. Significant records may document an activity, event or decision that:

- sets a precedent;
- had considerable economic, environmental or social impact;
- lead to a change in government policy;
- implemented an innovative or important project or program;
- aroused wide scale controversy, public interest or external scrutiny; or
- represents a unique and notable event in the Territory's history.

### ***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.

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<sup>1</sup> Queensland State Archives, *Identify records with permanent archival, enduring or intrinsic value*, <https://www.forgov.qld.gov.au/identify-records-permanent-archival-enduring-or-intrinsic-value#significant> (accessed on 4 January 2019)