

School Records Disposal Guide

School Records Disposal Guide

Records Disposal - Overview



UNSW
AUSTRALIA

Records and Archives Office

About

This Guide aims to assist UNSW staff with the retention and disposal of school records. It provides an overview of staff responsibilities and UNSW procedures and requirements.

Disposal is the process by which records are either destroyed because they are no longer required, retained for a set period of time because of administrative or legal requirements or transferred to UNSW Archives to be kept on a permanent basis.

This **Overview** provides the background to the recordkeeping responsibilities by UNSW staff and the legislation from which they derive. The attachments to the overview consist of

- a **School Records Disposal Schedule** which identifies the records most commonly found in schools and provides details on the disposal requirements for these records and on the action that is required to be taken by staff;
- a copy of the **UNSW Records Disposal Form RAO02** for use by staff to obtain authorisation from the Records and Archives Office to dispose of school records which can not be disposed of under Normal Administrative Practice (NAP);
- a copy of the **UNSW Archives Transfer Form RAO03** for the transfer of official university records to UNSW Archives.

This document is intended to serve as a guide only. For detailed advice, please contact the staff of the Records and Archives Office who will be happy to provide guidance and visit your office to assist in the disposal process if required.

Contact Details:

Tel: 52858 (Records specialists)
52906/ 52908 (Archives specialists)
Fax: 52000
E-mail: records.admin@unsw.edu.au
archives@unsw.edu.au
Web: <http://www.recordkeeping.unsw.edu.au/>

This Guide is also available online

at: https://www.recordkeeping.unsw.edu.au/documents/School_Records_Disposal_Guide_v1.3.pdf

Contents

ABOUT	1
CONTENTS	1
RECORDKEEPING RESPONSIBILITIES	2
1. NORMAL ADMINISTRATIVE PRACTICE (NAP)	2
2. GENERAL DISPOSAL AUTHORITIES (GDAS)	2
UNSW RECORDS RETENTION AND DISPOSAL FORMS	3
UNSW RECORDS DISPOSAL FORM	3
UNSW ARCHIVES TRANSFER FORM	3
THIS DOCUMENT	3

■ Recordkeeping Responsibilities

Recordkeeping responsibilities of UNSW and its staff are defined by the *NSW State Records Act 1998* and the *UNSW Recordkeeping Policy*. For the purposes of the Act a university is a "public office". This means that all university records are also State records.

It is the responsibility of staff to make and keep full and accurate records of the activities of their office and to ensure the safe custody and proper preservation of the State records under their control. Under the Act a public office, which includes all UNSW staff, may not dispose of State records, transfer their possession or ownership, take or send them out of New South Wales, or alter them, without the approval of the State Records Authority of NSW.

At UNSW the authority to dispose of records lawfully through destruction originates from two sources:

1. Normal Administrative Practice (NAP)

These are guidelines on the destruction of records under the normal administrative practice ('NAP') provisions of the *State Records Act 1998*. They apply to records that may be destroyed routinely in the course of business, records of *short-term value* such as duplicates and rough drafts. Destruction of these records requires no further authorisation and staff may destroy these records without prior approval from the UNSW Records and Archives Office.

There is further information available on our website at:

<https://www.recordkeeping.unsw.edu.au/Procedures/disposal.html>

When deciding whether destruction as a NAP is appropriate, the question should be asked whether unique or valuable information will be lost. NAP should not be applied to records which may be required as evidence of an action.

2. General Disposal Authorities (GDAs)

The other authority to dispose of records through destruction is provided through retention and disposal authorities provided by NSW State Records under the *State Records Act 1998*.

These General Disposal Authorities (GDAs) define records according to the business function they document and specify for how long these records must be kept and whether at the end of their retention period the records can be destroyed or must be kept as State archives. Records that are defined as State archives are required to be transferred to the UNSW Archives for permanent retention.

The Records and Archives Office administers the authorised disposal of records under the GDAs on behalf of UNSW. To dispose of university records lawfully UNSW staff members are required to complete and forward the *UNSW Records Disposal Form [RAO02]* to the Records and Archives Office. Their staff will assess and sentence the records by applying the GDAs as required. After the assessment the Manager, Records and Archives will provide school staff with the authority to dispose of the records either by destruction or transfer to University Archives.

The attached School Records Disposal Schedule has been provided as a reference tool to help school staff to determine whether records can be disposed of immediately under NAP, or whether they need to be retained for a longer period and approval is required for their disposal.

For those records which are required as State archives staff members should also complete the *UNSW Archives Transfer Form [RAO03]* and forward it to the Records and Archives Office.

For detailed disposal advice, please contact staff at the Records and Archives Office.

■ UNSW Records Retention and Disposal Forms

UNSW Records Disposal Form (Attachment 2)

UNSW uses the *UNSW Records Disposal Authorisation Form RAO02* to authorise the disposal of records under GDAs. Staff members who wish to dispose of records are required to complete this form and forward it to the Records and Archives Office. Staff members who are unsure whether they can destroy records as NAP should also complete and forward this form to the Records and Archives Office for assessment.

Staff at the Records and Archives Office endeavour to process all received disposal authorisation forms within 24 working hours to allow for swift resolution of records disposal.

UNSW Archives Transfer Form (Attachment 3)

Please use the *UNSW Archives Transfer Form RAO03* to transfer official university records to UNSW Archives for permanent retention.

The forms can also be accessed online at: <https://www.recordkeeping.unsw.edu.au/Forms/forms.html>

■ This Document

Date Created:	4 th May 2007
Date Amended:	28 th April 2015
Version:	1.3
Created by:	Records and Archives Office

School Records Disposal Guide

Attachment 1: Disposal Schedule

School Records Disposal Guide

Attachment 1: Disposal Schedule

Function	Type of Record	Disposal Requirements	Staff Action
Assessment	Examination Papers - <i>Master set of questions - Papers already held by Student Records</i>	Duplicates - Destroy when ceases to be of reference use	Destroy as part of Normal Administrative Practice (NAP)
	Examination Papers - <i>Master set of questions - Papers only held by School</i>	Required as State archives	Records & Archives Office (RAO) approval then transfer to UNSW Archives
	Examinations - <i>Administrative arrangements for the conduct of examinations and other assessment activities.</i>	Retain until no longer needed for reference, then destroy	RAO approval required
	Practicums – <i>administrative records for arrangements and liaison with placement providers</i>	Retain for minimum of 1 year after action completed, then destroy	RAO approval required
	Results - <i>Records of determination of final results/grades</i>	Retain for minimum of 1 year after appeal period, then destroy	RAO approval required
	Results - <i>Records relating to appeals of grades</i>	Retain for a minimum of 1 year after action completed, then destroy	RAO approval required
	Results - <i>Records relating to changes to assessment results</i>	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy	RAO approval required
	Special Consideration Requests	Retain for a minimum of 3 years after action complete, then destroy	RAO approval required
	Student Examination / Assessment scripts (eg examination papers completed by students). <i>Includes any work, with the exception of theses, submitted or completed by students for the purposes of assessment or evaluation by:</i> <ul style="list-style-type: none"> • examinations (written or oral); • assignments; • practicum reports (see also below); • field work reports; • presentations; • works of art. <i>Examples of records:</i> <ul style="list-style-type: none"> • examination manuscripts; and • assignments. 	Retain at least 6 months, then destroy OR Return to student in compliance with university policy	RAO approval required
	Theses - <i>submitted by higher degree students where the student is awarded the higher degree</i>	Retain until no longer required for reference use, then destroy OR Return to student in compliance with university policy	RAO approval required
	Theses - <i>submitted by higher degree students where the student is not awarded the higher degree</i>	Retain for minimum of 1 year after end of appeal period, then destroy OR Return to student in compliance with university policy	RAO approval required
	Theses- <i>Undergraduate and honours theses submitted or completed by students for the purposes of assessment or evaluation.</i>	Retain for minimum of 3 years after date of submission, then destroy OR Return to student in compliance with university policy	RAO approval required
Conferences <i>sponsored or arranged by the School (for non-School conferences see Staff Development)</i>	Arrangements - <i>including draft programs, topics, speakers, publicity, invitations, participants, venue, accommodation and catering</i>	Destroy 2 years after action completed	RAO approval required
	Reports - <i>Master copies of speeches, proceedings and reports</i>	Transfer as State archives 5 years after action completed	RAO approval required, then transfer to UNSW Archives
	Copies of <i>speeches, proceedings and reports</i>	Destroy when ceases to be of reference use	Destroy as part of normal administrative practice NAP
Course Delivery	Subject resources and material used in course delivery. <i>Examples of records: subject outlines; study guides; readings; self assessment exercises; audio/visual teaching aides; reading lists; assignment lists; and lecture notes.</i>	Retain at least until no longer required for teaching or other purposes, then destroy.	RAO approval required
	Records relating to the assessment of data/feedback on course delivery. <i>For example assessment/evaluation; findings of surveys; reporting and recommendations; action taken, eg CATEI Evaluations</i>	Retain until no longer required for reference or administrative use, then destroy	RAO approval required
	Records relating to administrative arrangements for course delivery, such as timetables, rosters, organising venues, teaching allocations.	Retain until no longer required for administrative purposes, then destroy.	RAO approval required

School Records Disposal Guide

Attachment 1: Disposal Schedule

Function	Type of Record	Disposal Requirements	Staff Action
Curriculum Approval	Accreditation - <i>Records relating to successful external accreditation of courses by professional or registration bodies. Examples of records: letter/notification of successful accreditation.</i>	Retain for minimum of 10 years after accreditation expires, then destroy.	RAO approval required
	Accreditation - <i>Records relating to the process of gaining accreditation</i>	Retain for minimum of 5 years after action completed, then destroy.	RAO approval required
	Accreditation - <i>Records relating to unsuccessful external accreditation. Examples of records: reports; criteria; correspondence</i>	Retain for minimum of 3 years after action completed, then destroy.	RAO approval required
	Approval Working Papers - <i>Note: This does not include committee records or the master set of approved curricula. Examples of records: correspondence; and notes.</i>	Retain for minimum of 3 years after curricula superseded, then destroy.	RAO approval required
	Approved curricula – master set. <i>Note: Copies of curricula which are not approved can be disposed of under Working papers above.</i>	Required as State archives	RAO approval required, then transfer to UNSW Archives
	Records of the approval process, including committee records.	Retain for a minimum of 10 years after curriculum superseded.	RAO approval required
Equipment and Stores (including computer equipment and telecommunications)	Acquisition - <i>Records relating to the acquisition of equipment through any means including purchase, donations, requisitions and lease</i>	Destroy 7 years after action completed	RAO approval required
	Acquisition - <i>Records relating to the acquisition of unique items of plant/ plant used for unique purposes</i>	Transfer as State archives 7 years after action completed	RAO approval required, then transfer to UNSW Archives
	Loans - <i>Records relating to the usage of equipment, including bookings, plant logbooks etc.</i>	Destroy 7 years after action completed	RAO approval required
	Maintenance - <i>Repairs, maintenance and servicing records of equipment (excluding maintenance contracts/servicing agreements)</i>	Destroy 2 years after action completed	RAO approval required
	Stocktake - <i>Records relating to stocktaking including the examining, counting and valuing of equipment</i>	Destroy 2 years after action completed	RAO approval required

School Records Disposal Guide

Attachment 1: Disposal Schedule

Function	Type of Record	Disposal Requirements	Staff Action
Financial Management <i>(All records already captured in NSS are duplicates and may be destroyed under NAP)</i>	Budgeting	Retain minimum of 2 years after preparation, then destroy	RAO approval required
	Invoicing	Retain for a minimum of 6 years after audit and then destroy	RAO approval required
	Payments - APO1s	Original Records with FSD - school copy only. [Advice - Keep for 1-2 years]	Destroy as part of normal administrative practice NAP
	Payments - Petty Cash	Original Records with FSD - school copy only.	Destroy as part of normal administrative practice NAP
	Payments - Travel	Original Records with FSD - Ephemeral copy only.	Destroy as part of normal administrative practice NAP
Meetings	Faculty Committee Meetings - <i>Some, but not all of these records may be required as University Archives</i>	Destroy 2 Years after action complete.	RAO approval required, who will advise if required by Archives
	School Meetings	For Operational Internal Committees - destroy 5 years after action completed	RAO approval required
		For Internal Strategic Committees -transfer as State archives 10 years after action completed	RAO approval required, then transfer to UNSW Archives
Occupational Health and Safety	Audits	Destroy 6 years after action completed	RAO approval required
	Communications - <i>Records providing proof of notification of an accident or hazardous situation (eg hazard report forms, incident registers)</i>	Originals held by OHS & Workers Compensation Unit, copies may be destroyed when no longer administratively useful. If you are unsure if record held by OHS & Workers Compensation Unit, please check prior to destruction.	Originals - RAO approval required; Copies - Destroy as part of normal administrative practice NAP
	First-Aid - <i>First aid registers of injuries and treatment</i>	Destroy 5 years after date of last entry	RAO approval required
	Inspections - <i>records of inspections and investigations and relating to remedial action undertaken as a result of inspections, audits or other action</i>	Destroy 7 years after action completed	RAO approval required
	Risk Register	Copies of risk assessments maintained on the school OHS Intranet site.	Destroy as part of normal administrative practice NAP
	Training	Non-OHS Committee members' training - destroy 5 years after action completed; OHS Committee members' training - RTO Certificate provided to individual, copy retained by OHS & Workers Compensation Unit.	Originals - RAO Approval; Copies - Destroy as part of normal administrative practice NAP

School Records Disposal Guide

Attachment 1: Disposal Schedule

Function	Type of Record	Disposal Requirements	Staff Action
Policies, Procedures, and Guidelines	Internal/facilitative procedures relating to core and administrative functions, including master set and records relating to the development and maintenance of procedures. <i>This includes procedures, manuals, etc developed by business units to facilitate day-to-day operations</i>	Retain until no longer required for administrative purpose, then destroy.	RAO approval required
	School copies of UNSW policies, procedure manuals, circulars relating to procedures	Destroy when superseded or have ceased to be of reference use.	Destroy as part of normal administrative practice NAP
Personnel	School internal staff records (UNSW official records are held in HR)	Destroy when no longer of reference use.	Destroy as part of normal administrative practice NAP
	School internal staff records (UNSW official records are held in HR) for eminent staff members	Contact UNSW Archives for the records of eminent staff members	Contact UNSW Archives for advice
	School internal records relating to recruitment	Destroy when ceased to be of reference use.	Destroy as part of normal administrative practice NAP
	Time sheets	Keep for 7 years and then destroy	RAO approval required
Property Management	Maintenance	Original records are kept by Facilities.	Destroy as part of normal administrative practice NAP
	Records relating to the use of the space, including booking registers ... etc.	Destroy 1 year after action completed	RAO approval required
	Records of security arrangements for premises including electronic security systems, surveillance, security procedures etc.	Destroy 5 years after premises vacated or system / procedures updated	RAO approval required
Publications	Records relating to all aspects of the drafting of UNSW /school publications.	Destroy 1 year after action completed.	RAO approval required
	Copies of publications intended to publicise or promote some aspect of the school's activities. <i>These publications are generally in the form of pamphlets, small brochures etc.</i>	May be destroyed when superseded. Please consult UNSW Archives prior to disposal as some, but not all, may be required as University Archives. In any instance you need only retain one copy.	RAO approval required, please consult UNSW Archives
	School publications, including the school's Annual Report, which contain a variety of detailed information or may relate to some specific activity of the school.	Considered by UNSW university archives.	Transfer to UNSW Archives
Scholarships/ Prizes/ Bursaries/ Fellowships	Administrative arrangements - <i>Records relating to administrative arrangements for the delivery of scholarships, bursaries, prizes or fellowships</i> If originals held by Scholarships and Financial Support Office	Duplicates - Destroy when no longer of reference use.	Destroy as part of normal administrative practice NAP
	Administrative arrangements - <i>Records relating to administrative arrangements for the delivery of scholarships, bursaries, prizes or fellowships,</i> If originals <u>not</u> held by Scholarships and Financial Support Office	Retain for minimum of 6 years after action completed, then destroy	RAO approval required
	Applications and nominations - <i>Records relating to applications and nominations to receive scholarships, bursaries, prizes or fellowships including records relating to the decision making process</i>	Retain for minimum of 1 year after action completed, then destroy	RAO approval required
	Establishment - <i>Records relating to the establishments and conditions</i>	Retain for minimum of 10 years after scholarship, prize, bursary or fellowship is discontinued, then destroy.	RAO approval required
	Establishment - <i>Records relating to the management of scholarships, prizes, bursaries and fellowships. Includes funds management.</i>	Retain for minimum of 6 years after action completed, then destroy.	RAO approval required
	Registers of recipients of scholarships, bursaries, prizes or fellowships	Required as State Archives	RAO approval required, then transfer to UNSW Archives
	Conferences sponsored or arranged by the school	See "Conferences"	See "Conferences"
Staff Development	For conferences held by other organisations: <i>records relating to attendance arrangements, programs, reports of participants, copies of transcripts of speeches, reports and proceedings, invitations and publicity</i>	Destroy when ceases to be of reference use.	RAO approval required
	Functions - <i>Records relating to arrangements for addresses, presentations and information sessions</i>	Destroy 2 years after action completed.	RAO approval required
	Training - <i>Records relating to the training of School staff either through the use of internal training resources or external service providers or to the development of competency based training and standards within the University</i>	Destroy 5 years after action completed	RAO approval required

School Records Disposal Guide

Attachment 1: Disposal Schedule

Function	Type of Record	Disposal Requirements	Staff Action
Strategic Management	Audits - Records relating to audits of functions or operations carried out by the agency	Destroy 6 years after action completed	RAO approval required
	Compliance - Copies of guidelines, acts, memoranda, by-laws, regulations, standards and any compliance information retained for reference purposes	Destroy when ceases to be of administrative use.	RAO approval required
	Performance Management - Records relating to the implementation of performance management	Destroy 5 years after action completed	RAO approval required
	Planning - Routine administrative records relating to the planning process	Destroy 5 years after action completed	RAO approval required
	Plans - Individual action or business plans	Destroy when superseded	RAO approval required
	Reports - Records relating to the development of internal reports resulting from evaluation and analysis of core university functions, eg projections, statistics, reports from information systems.	Retain for minimum of 1 year after action completed and then destroy.	RAO approval required
	Reviews - Records relating to reviews and restructures	Destroy 5 years after action completed	RAO approval required
	Statistical analysis - Records created for the purpose of carrying out statistical analysis for planning and reporting purposes (including surveys of students).	Retain until no longer required for administrative or reference purposes, then destroy.	RAO approval required

School Records Disposal Guide

Attachment 1: Disposal Schedule

Function	Type of Record	Disposal Requirements	Staff Action
Student Management and Services	Admissions - <i>Records relating to offers and applications</i>	Original Records with Direct Admissions - school copy only - destroy as part of normal administrative practice, but see also <i>Advice to students</i> .	Destroy as part of normal administrative practice NAP
	Advice to students - <i>eg in response to enquiries relating to teaching, enrolment, progression, assessments, disputes, course delivery, complaints, etc.</i>	Retain for minimum of 6 years after completion or discontinuation of course or program of study by student, then destroy.	RAO approval required
	Counselling - <i>Records relating to the provision of counselling services to individuals</i>	Where the person was 18 years or older - Retain for a minimum of 7 years after last entry in the record, then destroy; where the person was less than 18 years old - Retain at least until the person attains or would have attained the age of 25 years, then destroy.	RAO approval required
	Enrolment - <i>Administrative arrangements for enrolments. This includes the preparations for and management of the enrolment process.</i>	Retain until no longer required for administrative purposes and then destroy.	RAO approval required
	Graduation Ceremonies - <i>Records relating to administrative arrangements for the graduation ceremony. This can include arranging for venue, speakers, catering, seating, special access, etc.</i>	Original Records with Protocol Office, destroy as part of normal administrative practice.	Destroy as part of normal administrative practice NAP
	Grievances - <i>Records relating to grievances and complaints raised by a student (proven and not proven).</i>	Retain for a minimum of 6 years after action completed and then destroy.	RAO approval required
	Misconduct - Academic - Original Records Held by the School - <i>Records relating to student disciplinary proceedings</i>	Where a student is found to have committed a breach and serious disciplinary action is taken, retain for a minimum of 6 years after action completed and then destroy.	RAO approval required
		Where a student is found to have committed a breach but minor or no disciplinary action is taken (eg. caution or reprimand), retain for minimum of 2 years after action completed, then destroy.	
		Where a student is found not to have committed a breach (i.e. the allegations have been found to be false, vexatious or misconceived or could not be proven), retain for minimum of 1 year after action completed, then destroy.	
	Misconduct - Academic - Original Records Not Held by the School - <i>Records relating to student disciplinary proceedings</i>	Original Records with Student Services - school copy only.	Destroy as part of normal administrative practice NAP
	Misconduct - Non-Academic - <i>Records relating to student disciplinary proceedings</i>	Original Records with Student Services - school copy only.	Destroy as part of normal administrative practice NAP
	Student associations/clubs/societies - <i>Records relating to the interaction between the school and student associations.</i>	Retain for a minimum of 6 years after action completed and then destroy.	RAO approval required
	Student Files (<i>where each student has their own individual file</i>)	Assess records within the file in reference to the relevant sections of this guide and determine the longest period a document in the file needs to be retained. The whole file should then be retained for this period.	RAO approval required
	Student Recruitment - <i>Marketing of services and courses offered by the university in order to encourage prospective students and researchers to apply.</i>	Retain for minimum of 1 year after action completed and then destroy.	RAO approval required
Supervision of higher degree students - <i>Includes advice and liaison between a supervisor and student and postgraduate reviews</i>	Retain for a minimum of 6 years after action completed and then destroy.	RAO approval required	
Variation of program - <i>Records relating to advanced standing, course transfers, deferment, discontinuation, exemptions or credit transfer</i>	Original Records with Student Services - school copy only - destroy as part of normal administrative practice, but see also <i>Advice to students</i> .	Destroy as part of normal administrative practice NAP	
Technology	Database/webCT/Website Management - <i>Records relating to the provision of services</i>	Destroy 2 years after action completed	RAO approval required

School Records Disposal Guide

Attachment 1: Disposal Schedule

Function	Type of Record	Disposal Requirements	Staff Action
----------	----------------	-----------------------	--------------

What if I can't find the Record type listed here?

This document is intended only as a guide to assist staff, it is not comprehensive and aims to identify only those records most commonly found in Schools. Please contact the Records and Archives Office.

***About This Document:**

This document forms part of the *School Records Disposal Guide* and is intended to provide a guide to assist UNSW School staff in assessing records disposal requirements. It is not intended to replace assistance provided by the Records and Archives Office, or the authority to proceed and destroy records requiring approval. Please contact the Records and Archives Office for all recordkeeping queries.
Web: <http://www.recordkeeping.unsw.edu.au>

It was originally created by staff of the School of Photovoltaic and Renewable Energy Engineering and our thanks to SPREE, specifically Trichelle Burns and Lisa Saifoloi, for allowing us to use and adapt this guide.

School Records Disposal Guide

Attachment 2: UNSW Records Disposal Form RAO02

UNSW Records Disposal Form

RAO02: Records Disposal Authorisation



UNSW
AUSTRALIA

Records and Archives Office

For the disposal of records that are not registered in the corporate recordkeeping system, TRIM

1. Contact Information:

School/Department/Unit:		
Contact Person:		Phone:
Email:		Fax:

2: Records to be disposed of

2.1 Title / description / format of all records to be disposed of: If the records are student exam papers, do they include master set of student exam questions? Yes / No (Use a separate sheet if necessary – click here to download template)	
2.2 Date range of records to be disposed of:	2.3 Quantity of records to be disposed of (in shelf metres for paper records)

3. Internal Authorisation:

I hereby state that the records described above are no longer required by the unit and that the records are not required for any current, known or anticipated investigation or litigation.		
_____ Unit Head or Executive Officer	_____ Signature	_____ Date

4. Records Disposal Approval (to be completed by the Records and Archives Office)

4.1 State Records General Disposal Authority GDA schedule number(s) used to authorise destruction	4.2 Disposal Action <input type="checkbox"/> Destruction <input type="checkbox"/> Transfer to University Archives _____ <input type="checkbox"/> Other _____
Approved by Manager, Records & Archives (or delegate):	Date of approval:

5. Records Disposal – UNSW Confidential Waste Service



Phone Ext 55111 to contact the Day Gang, General Services – Campus Services

Note:

- Complete Section 1 to 3 and send this form to the Manager, Records and Archives Office (RAO) for authorisation.
- The UNSW Records Manager (or delegate) will apply the relevant State Records General Disposal Authority (GDA) and advise of the disposal action to be taken.
- RAO will retain the original of the Disposal Authorisation, and will return a copy to the school/department/unit for further action.
- Upon return of the authorisation form the business unit can dispose of the records. For records containing confidential information use the UNSW Confidential Waste service supplied by the Campus Services Day Gang.
- For records requiring permanent retention complete the Archive Transfer Advice Form [RAO03] and contact the Archives prior to arranging transfer.

How to complete the sections of this form:

Background:

Under the State Records Act 1998 s21 (2), the University is required to dispose of its records in accordance with approved State Records General Disposal Authorities (GDAs). To ensure the records of all University business units are properly disposed of, approval must be obtained from the Manager, Records and Archives (RAO) prior to any disposal action.

All university administrative/ academic units need to complete this form to apply for authorisation to dispose of records for business records under their custody, but not captured into the University's recordkeeping system, TRIM.

1. Unit Name and Contact

Insert the name and contact details of the person in the unit that RAO staff can contact if there are any queries about the information provided on the form.

2.1 Title/description of records to be disposed of

If the records to be disposed of form part of a larger group of records, provide a clear and easily understood description of the records. For example:

- Student Records – Class attendance lists, Session 1 2004 (you must list the type of student records you are disposing of), or
- Financial records – Unit Budget & Budget Working papers 1995

Indicate any title and unique identifier (number) allocated to each record, write it down for this entry. List the type of records – e.g. Paper, or Email. You may send a detailed list in electronic form – preferably in excel format - to records.admin@unsw.edu.au .

2.2. Date range of records to be disposed of

Provide here the approximate date range, from the oldest to the most recent, for the records to be disposed of.

2.3 Quantity of records to be disposed of (in shelf metres for paper records)

For paper records, estimate roughly how many metres of space all the records you are going to dispose of would have occupied if they were packed loosely together and lined up along a shelf. For the disposal of electronic records, indicate the number of files/records and/or the disk size in megabytes (mb) that are going to be deleted from the system.

3. Internal Authorization

The Unit Head or Executive Officer should sign here to verify that these records are no longer required for on-going activities.

4. Records Disposal Approval

For approval by the Manager, Records and Archives (or delegate) authorizing the disposal and providing specific disposal instructions.

For further information on all aspects of Recordkeeping, visit us at:
<http://www.recordkeeping.unsw.edu.au>

School Records Disposal Guide

Attachment 3: UNSW Archives Transfer Form RAO03

UNSW Archives Transfer Form

RAO03: Archives Transfer Advice



Documentation for the transfer of official university records to UNSW Archives

Archives Use Only

Accession or Consignment Number:

1. Contact Information:

School/Department/Unit:		
Contact Person:		Phone:
Email:		Fax:

2: Records to be transferred:

2.1 Brief description of records being transferred. Include what the records are called, who used them and why, and list the records.

(Use a separate sheet if necessary)

2.2 Format and Condition of Records

2.3 Amount transferred

Total number of boxes
or
Total number of items

2.4 Date of Transfer

Notes:

- UNSW Archives only accepts records which are to be kept permanently. Contact Archives staff for advice and to confirm the transfer prior to sending any records to the Archives.
- Provide a listing of the records for the material/ boxes you are transferring to the Archives.
- For further advice on Archives and UNSW Recordkeeping please refer to <http://www.recordkeeping.unsw.edu.au>

How to complete the sections of this form:

Background

The University Archives is the repository for UNSW's archival records.

Archival records are those records which are no longer required for current use, have been appraised as having continuing value and must be kept permanently.

Contact the Records and Archives Office if you need assistance with the appraisal of your records and to arrange transfer to the Archives.

1. Unit Name and Contact

Insert the name and contact details of the person in the unit that RAO staff can contact if there are any queries about the information provided on the form.

2.1 Records to be transferred

Include what the records are called, who generated and used them and their function, why they were created, and provide a list of the records including date ranges, i.e. from the oldest to the most recent records to be transferred.

2.2 Format and Condition of Records.

Enter here the format of the records, i.e. whether paper, maps or plans, drawings, photographs, audio-visual or other material. Add format and the size for electronic files in megabytes (MB).

And also note the general condition of the material, whether the records are in good condition or dirty, mouldy, folded, rolled, fragile, contain adhesive tape, staples, paper clips, etc.

2.3 Amount transferred

Enter here the number of boxes or items to be transferred to UNSW Archives.

2.4 Date of transfer

Enter here the date on which the records are to be transferred to UNSW Archives.