

State Archives and Records Authority of New South Wales

General Retention and Disposal Authority: GA47

This authority covers records documenting the function of higher and further education

This general retention and disposal authority is approved under section 21(2)c of the *State Records Act 1998* following prior approval by the Board of the State Archives and Records Authority of New South Wales in accordance with section 21(3) of the Act.

**General Retention and Disposal Authority
Higher and further education**

Authority number: GA47

Dates of coverage: Open

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3.0.0 RESEARCH

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc.

See **COMMERCIAL ACTIVITIES AND SERVICES** for records relating to commercialisation of research products, provision of research services on consultancy basis etc

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** for records relating to licences required for research activities.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Joint ventures** for records relating to agreements/contractual records of joint ventures such as agreements with external bodies (including other educational institutions).

3.1.0 Anatomy management

The management and use of bodies, body parts or specimens for research or teaching purposes.

3.1.1	Records relating to the acquisition, storage, management, maintenance and disposal of bodies, body parts, specimens, human tissue, etc. Includes agreements for the use and disposal of body parts.	Retain in accordance with legislative or compliance requirements, then destroy
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3.2.0 Animal management

Management of animals for use in teaching and research.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT** for records relating to the management of agricultural areas

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Flora and fauna management** 16.10.3 for records relating to the management and care of farm or other animals.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Compliance** 19.4.4 for records relating to licences and accreditation to conduct research with animals, and reporting to external bodies.

3.2.1	Records relating to the treatment of animals in the organisation's custody. Includes records relating to the operation and provision of veterinary clinics and services.	Retain minimum of 7 years after action completed, then destroy
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3.3.0 Grant administration

The activity of administering grants that are funded or otherwise controlled by the institution.

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RESEARCH - Grant administration

See **RESEARCH MANAGEMENT** for records relating to internal research and administration of externally funded research grants.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Enquiries** for records relating to general enquiries about grants.

See General Retention and Disposal Authority *Administrative records* **COMMUNITY RELATIONS - Marketing** for records relating to promotion and advertising of grants.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT - Grant funding** for records relating to applying for and receiving grants.

3.3.1	Records relating to routine administration of grant programs. Includes unsuccessful applications and routine associated correspondence.	Retain minimum of 2 years after action completed, then destroy
3.3.2	Records relating to successful applications for grants. Includes applications, agreements, project monitoring, acquittals and reports.	Retain minimum of 7 years after all conditions of the grant have been satisfied, then destroy
3.3.3	Records relating to the establishment of the grant, including grant conditions. Includes records relating to the establishment of grants, including standard grant conditions which establish the expectations, boundaries and protocols in relation to the grant.	Retain until discontinuation of the program and acquittal of all grants under the program, then destroy

3.4.0 Research management

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc.

See **COMMERCIAL ACTIVITIES AND SERVICES** for records relating to the commercialisation of research outcomes.

See **STUDENT MISCONDUCT** for records relating to disciplinary action against a student.

See General Retention and Disposal Authority *Administrative records* **PERSONNEL** for records relating to disciplinary action against a staff member.

See General Retention and Disposal Authority *Administrative records* **PROPERTY MANAGEMENT - Maintenance** 16.16.6 for records relating to the management of radioactive materials and devices.

See General Retention and Disposal Authority *Administrative records* **STRATEGIC MANAGEMENT** for records relating to registration of the university as a premise to manage, possess and sell radioactive materials and devices.

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<i>RESEARCH - Research management</i>		
3.4.1	<p>Records relating to assessment of the appropriateness of research on ethical grounds in relation to human based research. Includes:</p> <ul style="list-style-type: none"> • applications, assessment and approval of research • grievances and investigations into misconduct • records of ethics committees • progress reports, inspection reports and reports on expenditure. 	Retain minimum of 15 years after action completed, then destroy
3.4.2	<p>Records relating to the assessment of the appropriateness of research on ethical grounds in relation to animals. Includes:</p> <ul style="list-style-type: none"> • applications, assessment and approval of research • progress reports, inspection reports and reports on expenditure • grievances and investigations into misconduct • records of ethics committees • applications for approvals for lethality tests to determine whether and/or how many animals will die • applications for animal research authorities. 	Retain minimum of 7 years after action completed, then destroy
3.4.3	<p>Records relating to the assessment of the appropriateness of research on ethical grounds in relation to biosafety, including genetically modified plants and organisms. Includes:</p> <ul style="list-style-type: none"> • applications, assessment and approval of research • progress reports, inspection reports and reports on expenditure • grievances and investigations into misconduct • records of ethics committees. 	Retain minimum of 10 years after action completed, then destroy
3.4.4	Final reports on individual research projects that include outcomes of the research project.	Required as State archives
3.4.5	Records relating to research projects or proposals that are not approved or do not proceed.	Retain minimum of 2 years after action completed, then destroy
3.4.6	Records relating to the handling and investigation of complaints concerning research projects that are not subject to the research ethics or approval committee	Retain minimum of 7 years after action completed or expiry

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<i>RESEARCH - Research data</i>		
	processes or oversight.	of appeal period, then destroy

3.5.0 Research data

Records generated in the conduct of the research project where the university is entitled to control or ownership of research data. For research involving human subjects this includes de-identification records, subject consent forms, and participant information letters specifying conditions of research.

See General Retention and Disposal Authority *Administrative records* **COMPENSATION** for records that may be relevant to compensation claims.

3.5.1	<p>Data and datasets created as part of research activities within the institution, which are of regulatory or community significance. Includes data created that is:</p> <ul style="list-style-type: none"> • part of genetic research, including gene therapy • controversial or of high public interest, or has influence in the research domain • costly or impossible to reproduce or substitute (ie with an alternative data set of acceptable quality and useability) if the primary data is not available • relates to the use of an innovative technique for the first time • of significant community or heritage value to the state or nation • required by funding or other agreements to be retained permanently. 	Required as State archives
3.5.2	<p>Data and datasets created from clinical trials, or research with potential long term effects on humans, as part of research activities within the institution, which are not of regulatory or community significance.</p> <p>Includes animal testing for human products.</p>	Retain minimum of 15 years after completion of research activity or until subject reaches or would have reached the age of 25 years, whichever is longer, then destroy
3.5.3	<p>Data and datasets created as part of research activities within the institution which do not involve clinical trials, research with potential long term effects on humans, gene therapy or which are not of regulatory or community significance.</p>	Retain minimum of 5 years after project completed, then destroy