



ARCHIVES OFFICE OF TASMANIA

DISPOSAL SCHEDULE NO. 32

for

Student Administration Records

of the

University of Tasmania

77 Murray St Hobart Tasmania 7000

ARCHIVES OFFICE OF TASMANIA

DISPOSAL SCHEDULE NO. 32

TITLE

STUDENT ADMINISTRATION RECORDS

ADMINISTERING AGENCY

UNIVERSITY OF TASMANIA

AUTHORISATION

Under Section 20 (2) (b) of the *Archives Act* 1983 I hereby authorise the Vice Chancellor, to manage the disposal of the records described in this Schedule in accordance with the procedures specified herein.

Ian Pearce
STATE ARCHIVIST

7 March 2003

INTRODUCTION

1. *Archives Act*

The *Archives Act 1983* stipulates that agencies must not dispose of **records of any type or format** (including electronic records, microfilm, sound recordings, films etc.) without the written approval of the State Archivist. Disposal of records involves their destruction, their removal from the custody of their creating Agency, or their transfer to the Archives Office. Any enquiries relating to these matters should be directed, in writing to the Archives Office of Tasmania, 77 Murray Street, Hobart, (fax - 6233 7471; e-mail - archives.tasmania@education.tas.gov.au), or by phoning 03 6233 7488 or 03 6249 9013.

2. Disposal Schedules

In order to facilitate the prompt and efficient disposal of functional records of the University of Tasmania this Disposal Schedule has been approved by the State Archivist under Section 20(2)(b) of the *Archives Act 1983*.

Functional records are those records created by the agency, which provide evidence of the agency's performance of their primary duties and responsibilities, that is, their mandated functions.

The Schedule identifies and describes the:

- **Disposal Classes** - groups of records that document, and are derived from, the performance of defined agency functions.
- **Status** - ie. permanent or temporary retention.
- **Disposal Action** - date for transfer or destruction.

It should be noted that where possible Disposal Classes have been identified and described in functional terms irrespective of the format or medium in which the records were created.

3. Records Covered by Schedules

- This Schedule covers the functional records created by the Agency relating to Student Administration and student services.
- The *Disposal Schedule No 1 for General Administrative Records* covers a range of common administrative records, which are created by most State Service agencies and authorities.
- Records not covered by the above or by other authorised agency schedules should be disposed of according to the procedures for unscheduled records (see Archives Office *State Records Management Policies Procedures & Guidelines No 3* - available on AOT web site – www.archives.tas.gov.au)
- The Schedule **does not cover pre-1950 records**. The disposal of these records should also be managed according to the procedures for unscheduled records.

4. Disposal Action

The disposal actions identified in this schedule specify minimum retention periods. The Agency may keep records longer if it so desires. However, records with PERMANENT status which have been in existence more than 25 years must be transferred to the Archives Office unless a written exemption has been obtained from the State Archivist (*Archives Act* 1983 Section 11). Records with TEMPORARY status can be kept as long as the Agency wishes following the expiration of the specified period, but the provisions of the *Archives Act* regarding their proper care and custody still apply.

Frequently the retention period descriptions will refer to "**after action completed**" which means after the date of the last addition or amendment to the record.

5. Transfer of Records to the Archives Office

All records designated as PERMANENT should be transferred to the Archives Office unless it is specified in the Schedule that they be retained by the Agency. The transfer should be arranged as soon as possible after the specified time. However, in order to avoid frequent small transfers of records, the Agency should develop a regular program of transferring records to the Archive Office. For practical purposes it is often preferable to delay the transfer of records until a convenient volume of records has accumulated (eg. about one linear metre or more).

Under no circumstances should records more than 25 years old be kept by the Agency without written approval from the State Archivist.

Records with PERMANENT status may be transferred before the specified date if administrative reference has ceased or is infrequent. Arrangements for this may be made with the Archives Office.

Please note that records will not be accepted by the Archives Office unless specific prior arrangements have been made for their receipt and they have been arranged and described in accordance with any instruction provided by the Archives Office.

For further information regarding the procedures relating to records covered by this Schedule see *State Records Management Policies Procedures & Guidelines No.2*. Details of procedures for unscheduled records are covered in *Policies Procedures & Guidelines No.3*. Copies of relevant forms are included in these Policies Procedures & Guidelines and electronic copies can be downloaded from the Archives Office web site at www.archives.tas.gov.au/govservice/policies.htm

6. Destruction of Records

Hard copy records which have been approved for destruction (either in the Disposal Schedule or by a specific Destruction Authority) should be shredded, pulped or incinerated after the specified period has elapsed. Electronic records should be deleted from the relevant system.

The Agency may make arrangements for the collection and destruction of hard copy records with an appropriate contractor. **Please note** that it remains the responsibility of

the Agency to ensure that the identified records are actually destroyed, and that this process is confidential and secure. If the records are in the Schedule, the appropriate entry must be made in the *Register of Records Destroyed*.

Electronic records identified for destruction should be deleted from the relevant system. Care must be taken when deleting these records to establish whether or not any of the 'meta-data' embedded with the record in the system needs to be kept longer than the record itself. For example it is often the case that registers of correspondence must be kept longer than the correspondence itself; some of the index and registration details may be 'tags' within the record, not information stored in a separate registration system as would have been the case in traditional registry procedure. Most record management packages are likely to address this problem but it is necessary to be sure this is the case before deletion.

7. Register of Records Destroyed

The Agency is obliged to maintain a register of all records destroyed under relevant Schedules. The register is to be made available to the State Archivist (or nominee) on request. The register should not be used to list unscheduled records as these will be covered by a specific Destruction Authority issued by the State Archivist. The Register must be clearly identified as the *Register of Records Destroyed (under Section 20(2)(b) of the Archives Act 1983)* and should include the name of the Agency. This identification should appear on each loose sheet or on the cover if the register is kept in book format. The register can be the same used for registering destructions under the *Disposal Schedule N°1 for General Administrative Records for State Government Agencies and Authorities*. A sample format is available on the Archives Office website at www.archives.tas.gov.au/govservice/forms.htm and details of this procedure are included in *State Records Management Policies Procedures & Guidelines No. 2*.

8. Samples and/or Examples of Records Destroyed

Occasionally samples and/or examples of records being destroyed under the Schedule will be selected by the Archives Office for transfer. The State Archivist will initiate this procedure where appropriate.

9. Review of the Schedule

If the description in the Schedule no longer accurately reflects the nature and function of the records these procedures should not be used. The State Archivist should be informed of the need to revise the Schedule and, if necessary, the procedure for transferring unscheduled records can be used in the interim.

Reference	Disposal Class	Status and Disposal Action
01.00.00	STUDENT ADMINISTRATION AND STUDENT SERVICES Records of student admission, enrolment, examinations and achievement. Records of student counselling, career counselling, disability services and financial services to students.	
01.01.00	Student Administration	
01.01.01	Student records contained in the student database which record details of student enrolment and achievement including: <ul style="list-style-type: none"> • personal details • enrolment details • examination results • confirmation of graduation. <p>NB. Records of all students who have studied at the University since 01888 are now recorded in the student database (including pre-amalgamation information from the former Tasmanian State Institute of Technology (TSIT) and the former Tasmanian College of Education back to 1973). The system was introduced in 1972 to record student details.</p>	PERMANENT Transfer 25 years after action completed.
01.01.02	Student records contained in the student database which are not described in 01.01.01 including: <ul style="list-style-type: none"> • details of applications for places • records of merge letters sent to students (eg request for payment of fees, notifications of results) 	TEMPORARY Destroy 7 years after last enrolment.
01.01.03	Record books recording details of students who attended the University from 1888 to 1972.	PERMANENT Transfer to Archives Office.

NB All entries cover records in any format unless otherwise specified. Electronic records scheduled for TEMPORARY retention should be maintained in a readily accessible format for the specified retention period. Electronic records for PERMANENT retention should be maintained in the Agency - when planning to discontinue or change the systems in ways which may affect the accessibility or validity of the records, approval should be obtained from the State Archivist.

Reference	Disposal Class	Status and Disposal Action
01.01.04	Request forms for changes to personal information contained in the student database.	TEMPORARY Destroy when the information has been updated in the database.
01.01.05	Student files that establish precedent. Includes admission supporting documentation, copies of correspondence not included in 01.01.02, and records of decisions made in relation to academic progress reviews.	PERMANENT Transfer 25 years after action completed.
01.01.06	Student files not included in 01.01.05. Includes admission supporting documentation, copies of correspondence not included in 01.01.02, and records of decisions made in relation to academic progress reviews.	TEMPORARY Destroy 7 years after last enrolment.
01.01.07	Copies of completed up-front and exempt payment HECS (Higher Education Contribution Scheme) forms for enrolled students.	TEMPORARY Destroy at the end of the relevant calendar year.
01.02.00	Admission and Enrolment Persons wishing to attend the University must complete an application for admission. If an offer of a place is made and accepted by the applicant, an enrolment form is completed.	
01.02.01	Records relating to the formulation of policy.	PERMANENT Transfer 25 years after action completed.
01.02.02	Routine enquiries relating to admission received in various formats (including hardcopy, e-mail, internet and verbal) and the provision of routine information. Includes forms used to record telephone enquiries.	TEMPORARY Destroy after information has been entered into enquires database (01.01.02).

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Reference	Disposal Class	Status and Disposal Action
01.02.03	Enquiry details contained in the enquires database. Includes names, addresses and type of course for all persons making admission enquiries.	TEMPORARY Destroy 1 year after date of enquiry.
01.02.04	Applications for admission and associated correspondence. <i>See 01.02.05 for supporting documentation.</i>	TEMPORARY Destroy 15 months after the relevant date of offer.
01.02.05	Supporting documentation for students who were not made or did not accept an offer. <i>See 01.01.05 or 01.01.06 for supporting documentation for students who accepted an offer.</i>	TEMPORARY Destroy 15 months after the relevant date of offer.
01.02.06	Applications for enrolment or variation of enrolment and associated correspondence.	TEMPORARY Destroy 15 months after the end of the relevant enrolment period and after information has been entered into the student database (01.01.01).
01.03.00	Examinations Includes ordinary, deferred ordinary and supplementary examinations.	
01.03.01	Examination results for individual students.	PERMANENT Transfer 25 years after the examination.
01.03.02	Examination result changes (changes made to individual student records as a result of the Assessors meeting).	PERMANENT Transfer 25 years after action completed.
01.03.03	Examination schedules (used in Assessors meetings to notify changes of results).	TEMPORARY Destroy 1 year after action completed.

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Reference	Disposal Class	Status and Disposal Action
01.03.04	Master copies of examination question papers.	PERMANENT Transfer 25 years after the relevant examination period.
01.03.05	Examination question papers (originals used in examinations).	TEMPORARY Destroy when master copies have been transferred.
01.03.06	Applications for deferred examinations.	TEMPORARY Destroy 5 years after the relevant examination period.
01.03.07	Attendance rolls for examinations.	TEMPORARY Destroy 6 months after the relevant examination period.
01.03.08	Examination scripts.	TEMPORARY Destroy 1 year after the relevant examination period.
01.4.00	Graduation Graduation details of individual students are contained in the student database <u>See 01.01.01</u>	
01.04.01	Master copies of printed graduation programme listing names of all graduates for the relevant year.	PERMANENT Transfer 25 years after the relevant graduation ceremonies.
01.05.00	Student Counselling Students may request the provision of counselling services provided by professional counselling staff.	

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Reference	Disposal Class	Status and Disposal Action
01.05.01	Records documenting the provision of personal counselling services to individual students.	TEMPORARY Destroy 7 years after end of enrolment or last access on behalf of student.

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Reference	Disposal Class	Status and Disposal Action
01.06.00	Career Counselling	
01.06.01	Records documenting the provision of career counselling to individual students.	TEMPORARY Destroy 7 years after end of enrolment or last access on behalf of student.
01.07.00	Disability Services Provision of assistance to disabled students. This may include the provision of special needs services during lectures and examinations such as reading assistance for sight impaired students, disabled access, etc.	
01.07.01	Records documenting the provision of disability services to individual students.	TEMPORARY Destroy 7 years after end of enrolment or last access on behalf of student.
01.08.00	Financial Services The provision of financial assistance to students in the form of one-off grants.	
01.08.01	Applications forms and associated documentation.	TEMPORARY Destroy 7 years after end of enrolment or last access on behalf of student.

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