

RECORDS SERVICES

UNIVERSITY OF MELBOURNE

RECORDS DISPOSAL SCHEDULE NO. 15

COMMON ADMINISTRATIVE RECORDS

Custodian

University Archivist

Registrar

**Originally issued in 1995
Revised in 1999**

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INTRODUCTION

The Common Administrative Records Disposal Schedule was first issued in 1995 and has been revised in 1998.

1. ACCOUNTABILITY AND EVIDENCE

Established under Statute, The University of Melbourne is a public institution and accountable to Parliament for its actions.

Documenting business activity by making transactional records, and capturing them into recordkeeping systems, provides a basis of organisational accountability. A record comprises recorded information in any form, including data in computer systems, created, received and maintained by the University in the **transaction of business activities** or the conduct of affairs and retained as **evidence** of such activity. Inadequate records and recordkeeping can contribute to failures to meet accountability and other organisational requirements.

Recordkeeping encompasses :

- the creation of records in the course of business activity; and
- the design, implementation and operation of records systems; and
- the management of records as current records and as archives.

2. WHAT IS A RECORDS DISPOSAL SCHEDULE?

A records disposal schedule is a document issued by the University listing various classes of records and specifying periods of retention, from short term through to permanent retention. It is not a list of file titles. It is designed to cater for the needs of all parties with an interest in the records, as a source of information for administrative practice, decision making or historical research. Legal, administrative, financial and accountability requirements and purposes are taken into consideration when determining the retention periods for records. Disposal may be either immediate destruction, temporary retention in Records Services' intermediate records storage or transfer to University Archives.

The aim of the Common Administrative Records Disposal Schedule is to provide continuing instruction to all staff on which:

- records have been identified as having continuing value;
- records are considered to be of temporary value and therefore can be destroyed as soon as there is no longer any administrative use;
- records to transfer to Records Services when they are no longer required by staff.

This ensures:

- consistent, lawful and timely disposal of records;
- that papers retained in the office environment are kept to a necessary efficient minimum by discarding periodically those deemed temporary;
- records are retained for administrative, legal, financial and archival requirements.

The Common Administrative Records Disposal Schedule has been developed in consultation with the:

Department of Financial Operations
Department of Human Resources
Department of Property Services
Internal Audit
Registrar
University Archivist

3. SCOPE

The Common Administrative Records Disposal Schedule is applicable only to work unit records which relate to routine administrative matters such as personnel, finance and other matters which are common to all work units. The recordkeeping requirements cover electronic records as well as paper records.

This records disposal schedule is intended to be used by departments for whom a functional records disposal schedule has not been developed. The Common Administrative Records Disposal Schedule enables these departments to dispose of records covered in the records disposal schedule without reference to Records Services.

This records disposal schedule should not be used by departments to dispose of records which document their responsibilities in providing services to the University. For example the Department of Financial Operations cannot use this records disposal schedule to dispose of financial records and the Department of Human Resources cannot use this records disposal schedule to dispose of staff records. In these circumstances the following records disposal schedules must be used:

Records Disposal Schedule No. 12	Human Resources
Records Disposal Schedule No. 13	Risk Management Office
Records Disposal Schedule No. 14	Property & Buildings
Records Disposal Schedule No. 17	Student Records
Records Disposal Schedule No. 19	Financial Records

Faculties and academic departments should use the following records disposal schedules.

Records Disposal Schedule No. 8	Faculty Administrative Records
Records Disposal Schedule No. 18	Academic Department & School Records

4. PROGRAMMING OF PLANNED DISPOSAL

To ensure effective control of non-current records and to facilitate effective use of storage space, disposal action should be programmed as an annual activity. It should be conducted at a time when staff resources are available to undertake either destruction or transfer of records to Records Services intermediate records storage.

5. HOW TO USE THE COMMON ADMINISTRATIVE RECORDS DISPOSAL SCHEDULE

The entries on the Common Administrative Records Disposal Schedule are arranged by function. Within each function records are described and the disposal action that can be taken is specified, that is how long records are to be retained by the department before being destroyed or transferred to Records Services' intermediate records storage or University Archives. The retention period specified is the minimum requirement and can be extended with sufficient reason by staff of any department.

5.1 Terminology Used in the Common Administrative Records Disposal Schedule

Entry No.

The entry number provides citation and ease of reference.

Class / Activity

This entry describes records which are created in the conduct of the function.

Disposal Action

Within this entry there are references to '*after action completed*' and '*last action*' which refer to the completion of the task, action or administrative process. '*When administrative use has ceased*' means when there is no longer any need to refer to the document.

Custody

This entry indicates the department(s) responsible for storing the records.

Prime Source

This entry specifies the department responsible for maintaining the prime record of the function and activity. That department will retain the prime record in accordance with legislative, financial, administrative and archival recordkeeping requirements. If there is an entry in this column the user of this records disposal schedule can be assured that their work unit holds a duplicate record or copy and that the prime record is held elsewhere.

This does not mean that the prime record will be retained by that department permanently. The recordkeeping requirement for prime records will have been identified and specified in a records disposal schedule e.g. the Human Resources Records Disposal Schedule, Financial Records Disposal Schedule, Property and Buildings Records Disposal Schedule or the Risk Management Office Records Disposal Schedule.

5.2 To Identify The Retention Period:

1. Check the table of contents for the function or the index for the activity or subject;
2. Turn to the appropriate disposal class and identify the appropriate activity or record;
3. Identify the disposal action;
4. Carry out the disposal action.

It is important not to try to make a file or record fit a disposal class if there is not an appropriate class listed in the disposal schedule. A list should be made of these types of records as the Common Administrative Records Disposal Schedule may need updating or alteration. If you are unable to find an appropriate disposal class for specific records you should seek assistance from Records Services.

6. DESTRUCTION AS 'NORMAL ADMINISTRATIVE PRACTICE

Certain types of records and information can be destroyed as a 'normal administrative practice' without reference to a disposal authority issued by Records Services. Destruction as 'normal administrative practice' usually occurs because the information is:

- duplicated elsewhere (e.g. a handwritten draft or information copy, spare copies of minutes & agendas);
- unimportant (eg. telephone message slips);
- of short term facilitative value (eg. compliments slips, reference materials, address lists);
- publications, superseded manuals, catalogues, trade journals held for informational purposes;
- unsolicited advertising material.

7. DESTRUCTION AUTHORISATION, NOTIFICATION AND METHODS

There are three types of records authorised for destruction which require different methods of disposal:

- sensitive
- confidential
- normal routine

Sensitive records contain information about individuals (e.g. staff, students, donors), tender bids, financial reports, information given in confidence or records related to investigations. Sensitive records should be shredded. The security provided by the shredding of records depends on how fine the paper is shredded. For highly sensitive records, cross shredding may be necessary.

A contractor can be used to destroy records on your behalf. Contractors providing secure destruction services can collect records from your department for destruction, or you can deliver records to them. For sensitive and confidential records the use of lockable 'wheelie' bins is appropriate. These bins are collected by the contractor and the contents destroyed in a secure manner. Records Services can provide details of contractors providing secure document destruction services.

Confidential records are those which do not contain sensitive information but also need to be disposed of in a secure manner due to their confidential nature. Confidential records can be placed into Confidential Waste Bags (also known as Wetbags) available from Stationery Store. Bags should be securely sealed with tape. Building Supervisors should be contacted to have the bags removed. The bags are collected from the University once a week and taken off site for pulping.

Normal routine records which are neither confidential or sensitive can be destroyed using the usual methods of recycling or waste disposal methods.

Note - Pins, staples, clips and folders should be extracted from all records prior to destruction.

8. TRANSFER OF RECORDS TO STORAGE

Records identified for permanent or temporary retention in Records Services' intermediate records storage should be listed (including retention period), boxed and transferred to Records Services in accordance with the **Guidelines for the Transfer of Records to Intermediate Storage**. Records Services should be contacted prior to the transfer of records to obtain a records transfer number and archives boxes (if required). The Records Transfer List should be forwarded to Records Services prior to the transfer of records.

The **Guidelines for the Transfer of Records to Intermediate Storage** are also available on CWIS from <http://www.unimelb.edu.au/CSD/image/execserv/transfer.htm>

9. AMENDMENT AND UPDATING

The Common Administrative Records Disposal Schedule is a reflection of current practice and procedures and will need to be updated on a regular basis as the types of records being created by the University will alter over time. The Common Administrative Records Disposal Schedule will be regularly reviewed to ensure that it complies with current recordkeeping practices. Retention periods may need to be altered due to legislative change and additions to the Common Administrative Records Disposal Schedule may need to be made due to new activities or changes which effect the types of records created and their retention periods.

Suggested inclusions, amendments and reviews of retention periods should be referred to the Manager Records Services or Records Analysts.

10. CONTACTS

Manager Records Services	Jenni Davidson	x46996
Records Analysts	Kit Grady	x44225
	Donna Mc Rostie	x46405

Entry	Class / Activity	Disposal Action	Custody	Prime Source
1.	BUILDINGS This section does not cover records created and maintained by Property and Buildings			
1.1	Records concerning arrangements for movement of staff and equipment to new accommodation	Destroy 2 years after action completed	Retain in office until destroyed	
1.2	Records concerning arrangements for cleaning, waste removal, pest control, indoor plants	Destroy 2 years after action completed	Retain in office until destroyed	Property Services
1.3	Records relating to minor works	Destroy 2 years after file closed	Retain in office until destroyed	
2.	COMPLAINTS			
2.1	Routine letters of complaint received concerning activities of the office	Destroy 1 year after action completed	Retain in office until destroyed	
2.2	Complaints involving substantial research and/or the preparation of extensive briefs and reports	Retain Permanently	Retain in office for 2 years and then transfer to Records Services	
3.	COMMITTEES AND MEETINGS			
3.1	Information copies of minutes, agendas and supporting papers received from central administration and faculties	Destroy when administrative use has ceased	Retain in office until destroyed	
4.	CONFERENCES			
4.1	Records relating to arrangements for attendance at conferences, seminars, conventions	Destroy 2 years after action has ceased	Retain in office until destroyed	
4.2	Brochures and promotional material	Destroy when administrative use has ceased	Retain in office until destroyed	
4.3	Papers received at conferences and seminars	Destroy when administrative use has	Retain in office until destroyed	

Entry	Class / Activity	Disposal Action	Custody	Prime Source
4.4	Papers presented by senior University staff at conferences and seminars	ceased Retain Permanently	Transfer to Records Services	
5.	ENQUIRIES			
5.1	Enquiries received which result in the provision of a routine reply or printed material	Destroy 6 months after action completed	Retain in office until destroyed	
6.	EQUIPMENT			
	This section does not cover records created and maintained by Financial Operations			
6.1	Records relating to the purchase, hire, lease, maintenance and sale of equipment	Destroy 7 years after date of documentation	Retain in office until destroyed	
6.2	Maintenance contracts and service agreements	Destroy when superseded or equipment disposed of	Retain in office until destroyed	
6.3	Attractive Items Register	Destroy when superseded	Retain in office until destroyed	
6.4	Register of Equipment on Loan	Destroy when superseded	Retain in office until destroyed	
6.5	Equipment Write Off Form (department copy)	Destroy 1 year after write off	Retain in office until destroyed	Financial Operations
6.6	Equipment guarantees and warranties	Destroy when administrative use has ceased	Retain in office until destroyed	
6.7	Brochures, product and trade catalogues	Destroy when administrative use has ceased	Retain in office until destroyed	
6.8	Unsolicited correspondence offering goods or services	Destroy when administrative use has ceased	Retain in office until destroyed	
7.	FINANCE			

Entry	Class / Activity	Disposal Action	Custody	Prime Source
7.1	<p>This section does not cover records created and maintained by Financial Operations</p> <p>Records concerning the departmental budget planning process</p>	Destroy 2 years after file closed	Retain in office until destroyed	Financial Operations / Central Records
7.2	Accounting Memoranda	Destroy when administrative use has ceased	Retain in office until destroyed	Financial Operations / Central Records
7.3	MUFAS Statements	Destroy when superseded	Retain in office until destroyed	Financial Operations
7.4	Receipt Books	Destroy 7 years after date of last entry	Retain in office for 2 years then transfer to Records Services	
7.5	Reports generated from DAS	Destroy when administrative use has ceased	Retain in office until destroyed	
7.6	Purchase Orders DAS generated Non DAS generated	Destroy 7 years after action completed Destroy 2 years after action completed	Retain in office until destroyed Retain in office until destroyed	Financial Operations
7.7	Internal Orders, Requests for Payment, Delivery Receiving Vouchers, Part Delivery Receiving Vouchers (Departmental Copy)	Destroy 2 years after action completed	Retain in office until destroyed	Financial Operations
7.8	Petty Cash Claim Form (Departmental Copy)	Destroy 2 years after action completed	Retain in office until destroyed	Financial Operations
7.9	Departmental Pay In Forms (Departmental Copy)	Destroy 2 years after action completed	Retain in office until destroyed	Financial Operations
8.	<p>FUNCTIONS</p> <p>This section does not cover records created and maintained by the Protocol Office or the Venue and Conference Management Section</p>			
8.1				

Entry	Class / Activity	Disposal Action	Custody	Prime Source
8.2	Records concerning the hiring/booking of venues within the University	Destroy when administrative use has ceased	Retain in office until destroyed	Property Services
8.3	Records concerning routine administrative arrangements for functions including catering, acceptances, guest lists: <ul style="list-style-type: none"> ■ significant functions e.g. memorials, commemorations or those organised to mark major anniversaries or events ■ less significant functions e.g. Christmas celebrations, launches Invitations received	Retain Permanently Destroy when administrative use has ceased Destroy when administrative use has ceased	Retain in office for 2 years and then transfer to Records Services Retain in office until destroyed Retain in office until destroyed	
9.	GREETINGS			
9.1	Letters of appreciation, condolence, congratulations, seasonal greetings	Destroy when administrative use has ceased	Retain in office until destroyed	
10.	HUMAN RESOURCES			
10.1	This section does not cover records created and maintained by Human Resources Staff files maintained in work unit	Destroy 1 year after termination or transfer of employment. Ensure that any original documents have been forwarded to Human Resources	Retain in office until destroyed	Human Resources
10.2	General Staff Appraisal Reports	Destroy 3 years after the appraisal is completed	Place on a separate file to the staff file and retain in office until destroyed	
10.3	Attendance Records	Destroy 1 year after date of record	Retain in office until destroyed	

Entry	Class / Activity	Disposal Action	Custody	Prime Source
10.4	Unsolicited letters and applications seeking employment or placement of persons	Destroy when administrative use has ceased	Retain in office until destroyed	
10.5	Unsuccessful applications where the recruitment has not been handled by Human Resources	Destroy six months after the date of appointment.	Retain in office until destroyed	
10.6	Position Descriptions	Destroy when superseded	Retain in office until destroyed	
10.7	Staff Diaries and Appointment Books	Destroy when administrative use has ceased	Retain in office until destroyed	
10.8	Payment to Casual Staff (department copy)	Destroy 1 year after action completed	Retain in office until destroyed	Human Resources
10.9	Contract of Employment for Casual Staff	Destroy 7 years after the date of the contract	Retain in office until destroyed	Human Resources
10.10	Genesys Reports	Destroy at the end of the calendar year	Retain in office until destroyed	Human Resources
11.	MAIL			
11.1	Address Lists	Destroy when superseded	Retain in office until destroyed	
11.2	Books provided by the mail service e.g. couriers to record each pickup and delivery of mail	Destroy 2 years after action completed	Retain in office until destroyed	
11.3	Customer copies of other records relating to mail delivery and dispatch	Destroy 2 years after action completed	Retain in office until destroyed	
11.4	Mailing Lists	Destroy when administrative use has ceased	Retain in office until destroyed	
12.	MARKETING			
121	Master set of publications including newsletters and brochures	Retain Permanently	Transfer to University Archives	
12.2	Records relating to the design, artwork, printing, copying, binding, production, storage and distribution of promotional material	Destroy 2 years after action completed	Retain in office until destroyed	

Entry	Class / Activity	Disposal Action	Custody	Prime Source
12.3	production, storage and distribution of promotional material Galley proofs, bromides, camera ready copies, mock ups etc	Destroy when administrative use has ceased	Retain in office until destroyed	
12.4	Records concerning allocation and placement of advertising	Destroy when administrative use has ceased	Retain in office until destroyed	
13.	OCCUPATIONAL HEALTH AND SAFETY This section does not cover records created and maintained by the Risk Management Office			
13.1	Records related to the notification of incidents [S3 form]	Destroy 2 years after notification is completed	Retain in office until destroyed	Risk Management Office
13.2	Accident investigations and first aid records	Destroy 2 years after notification is completed	Retain in office until destroyed	Risk Management Office
14.	PLANNING			
14.1	Records relating to work unit planning	Destroy when administrative use has ceased	Retain in office until destroyed	
14.2	Records relating to contributions to University strategic plans	Destroy when administrative use has ceased	Retain in office until destroyed	
15.	PRINTING			
15.1	Design Print Centre Requisitions (departmental copy)	Destroy when administrative use has ceased	Retain in office until destroyed	Design Print Centre
16.	PUBLICATIONS			
16.1	Contributions to the University Annual Report	Destroy when administrative use has ceased	Retain in office until destroyed	
16.2	Publications received from other University departments or from external organisations	Destroy when administrative use has ceased	Retain in office until destroyed	

Entry	Class / Activity	Disposal Action	Custody	Prime Source
16.3	Master set of publications produced by the work unit (including brochures, newsletters)	Retain Permanently	Transfer to University Archives	
16.4	Records relating to the amendment and updating of entries in internal and external publications	Destroy when administrative use has ceased	Retain in office until destroyed	
16.5	Requisitions for Desktop Publishing (departmental copy)	Destroy when administrative use has ceased	Retain in office until destroyed	
17.	RECORDS MANAGEMENT			
17.1	Circulars Reference ® Circulars	Destroy when superseded	Retain in office until destroyed	Central Records
17.2	Routine Circulars Records Transfer Documentation	Destroy when administrative use has ceased	Retain in office until destroyed	Central Records
17.2		Retain Permanently	Retain in office	Records Services
18.	SECURITY			
18.1	Register of Keys and Control Cards	Destroy when superseded	Retain in office	
18.2	Key Requests	Destroy when action has been completed and Key Register updated	Retain in office until destroyed	
19.	SERVICES			
	This section does not cover records created and maintained by Property Services			
19.1	Telephone Account Code Details Reports	Destroy when administrative use has ceased	Retain in office until destroyed	Telephone Systems
19.2	Documentation relating to stationery supplies	Destroy 1 year after date of	Retain in office until destroyed	

Entry	Class / Activity	Disposal Action	Custody	Prime Source
		documentation		
20.	STAFF DEVELOPMENT This section does not cover records created and maintained by Staff Development and Training			
20.1	Records relating to attendance/participation at training activities such as seminars, conferences, workshops, residential programs (<i>refer to Transport and Travel for records associated with Partially & Fully Funded Travel</i>)	Destroy when administrative use has ceased	Retain in department until destroyed	
20.2	Brochures, leaflets, booklets containing details of conferences, workshops, training programs	Destroy when administrative use has ceased	Retain in department until destroyed	
21.	TRANSPORT AND TRAVEL This section does not cover records created and maintained by Property Services			
21.1	Vehicle Log Books	Return completed log books or those from vehicles which have been traded, or those which have run into multiple books to Property Services		
21.2	Parking Charge Reports	Destroy when administrative use has ceased	Retain in department until destroyed	
21.3	Records relating to Fully Funded Staff Travel	Departments must retrieve travel diaries and receipts from staff and retain those documents for a period of seven years in the case of travel undertaken before 1 April 1995, or five years in the case of travel undertaken after 1 April 1995	Retain in department until destroyed	
21.4	Records relating to Partially Funded Staff Travel	Staff whose travel is partially funded must: keep their own receipts for a period of five years; keep their own travel diary	Individual staff member to retain records until destroyed. Departments authorising travel	

Entry	Class / Activity	Disposal Action	Custody	Prime Source
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		for a period of five years (if the period of travel exceeds five days); have the University's payment to cover their travel expenses recorded on their Group Certificate; substantiate their tax claims if asked to do so by the ATO	allowances or reimbursements for partially funded travel must not keep the individual's travel diary	
22. 22.1	VISITS AND VISITORS Records relating to routine visit requests, proposals, arrangements, itineraries, visit or visitor briefs	Destroy 2 years after visit conducted	Retain in department until destroyed	

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