DA 2012-045

Sector Disposal Authority for State Training Providers

DA Type: Sector

Sector Disposal Authority for State Training Providers

Disposal Authority No	2012-045

Disposal Authority Type	Sector

Organisation/s	[All TAFE Colleges]

Disposal Authority Scope	This Sector Disposal Authority applies to all State Training Providers (TAFE Colleges) in Western Australia, metropolitan and regional.

Disposal Authority Status	Approved by SRC

Status Date	6/12/2013

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INTRODUCTION

1. ABOUT THIS DISPOSAL AUTHORITY

1.1 Background

The legislative basis for the operation of the State Training Providers as statutory authorities is the *Vocational Education and Training Act 1996*. This Act replaced the *Colleges' Act 1978*, the *Industrial Training Act 1975* and the *State Employment and Skills Development Act 1990*, and enables delegation of some of the powers of the Minister for Training to State Training Providers' Governing Councils and Managing Directors.

State Training Providers listed below deliver both full time and part time training using their own premises and at other locations as required.

- Central Institute of Technology

- Challenger Institute of Technology

- C Y O'Connor Institute

- Durack Institute of Technology

- Goldfields Institute of Technology

- Great Southern Institute of Technology

- Kimberley Training Institute (KTI)

- Pilbara Institute

- Polytechnic West

- South West Institute of Technology

- West Coast Institute of Training

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This disposal authority is to apply to all State Training Providers. It has been developed using a combination of workshops and circulation of drafts to every State Training Provider for comment.

The State Training Providers have a primary role in providing vocational education and training programs and services to support the growth and strengthening of a skilled workforce for Western Australian industry, and producing graduates who are ready to fill jobs or to enhance their career prospects. All State Training Providers are focused on enhancing community development by providing opportunities for individuals and groups to access skills, training and employment opportunities.

The historical background and specific mission statement for each State Training Provider is listed in Principle 1 of the Record Keeping Plan.

The State Training Providers are authorised by the Training Accreditation Council (TAC) to deliver courses. Those courses are registered with TAC and often are national courses owned by the Commonwealth of Australia. Course delivery standards are audited by representatives of TAC using the Australian Quality Training Framework (AQTF).

1.2 Scope of this Disposal Authority

This schedule covers all State Training Providers functional records received and created during all activities at all State Training Provider Campuses. It is to cover records in all formats.

1.3 Purpose of this Disposal Authority

This disposal authority provides a management tool for identifying and determining the retention and disposal of functional records created by State Training Providers. It contains valuable information and guidance to the organisations in respect to the major categories of records they create. It is therefore an important business tool and assists to guide compliance with legal obligations. This disposal authority has been created to form part of the Recordkeeping Plan of the State Training Providers, as required under section 16(3)(a-c)of the *State Records Act 2000*.

The aims of the disposal authority are to:

- Identify records which are worth preserving permanently as State archives and which will be transferred to the State Records Office of Western Australia (SRO) for permanent storage;

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- Prevent the premature destruction of records which need to be retained for a specific period to satisfy legal, financial and other requirements of public administration; and

- Authorise the destruction of those records not required for permanent retention.

This disposal authority supersedes RD 2005023 and all previous schedules for State Training Providers (Refer to RKP 2012012 (State Training Providers) and RKP 201202 (Polytechnic West) for a complete listing of previous schedules).

Where appropriate the schedule provides directions to general disposal authorities.

1.4 Structure of this Disposal Authority

The disposal authority is presented by record series using the existing keywords with the maximum retention period applied and final disposition (Required as State archives, Retain in Agency or Destroy).

Preceding the keyword series is a schedule covering common sub-series, and after the keyword series is a section for ephemeral and short term records not included in the General Disposal Authority for State Government Information (GDASG).

The trigger date for the commencement of the retention period is noted with each series and will depend on the format of the records. For paper documents held within a file it is the date of last action. This will be when a volume of a file is closed and made inactive or a matter is finalised, a policy or plan is superseded or when a notation is made on the file, whichever is later. For those documents that are kept loose e.g. enrolment forms, the trigger will be an audit - financial or other, or other clearly stated trigger.

For electronic documents within virtual files the trigger will be the last action date, closure or other recorded action on the file, whichever is the later.

1.5 Revision of this Disposal Authority

Members of the Records Management Network (sector-wide representation) will review the purpose, structure and use of this schedule not less than every five years.

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2. RECORDKEEPING ENVIRONMENT

2.1 Legislative Compliance

Legislative Acts relevant to State Training Providers' functions and with which they comply include but are not limited to:

State Government

- *Building and Construction Industry Levy Fund Act 1990*

- *Building and Construction Industry Training Fund and Levy Collection Act 1990*

- *Criminal Code Act 1913;*

- *Electronic Transactions Act 2011;*

- *Evidence Act 1906;*

- *Financial Management Act 2006;*

- *Freedom of Information Act 1992;*

- *Limitation Act 1935 and 2005;*

- *Public Sector Management Act 1994;*

- *Public Interest Disclosure Act 2003;*

- *State Records Act 2000;*

- *State Records (Consequential Provisions) Act 2000;*

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- *State Supply Commission Act 1991;*

- *Vocational Education and Training Act 1996;*

- *Vocational Education and Training (Colleges) Regulations 1996;*

- *Vocational Education and Training (General) Regulations 2009.*

- *Appropriate legislation relating to specific courses, e.g. WA Liquor Licensing Act 1988.*

Commonwealth Government

- *Education Services for Overseas Students (Registration charges) Act 1997*

- *Education Services for Overseas Students Act 2000*

- *Privacy Act 1988*

- *Skilling Australia's Workforce Act 2005*

2.2 General Disposal Authority

The General Disposal Authority for State Government Information (GDASG) produced by the State Records Office will be used for administrative records, financial and accounting records and human resource management records.

2.3 Destruction of Source Records

Section 16(5) of the *State Records Act 2000* provides that a Recordkeeping Plan may provide for a government record to be reproduced in another form, and for the destruction of a government record if a reproduction of it is being kept, even though the destruction occurs at a time when the record would otherwise not be able to be lawfully destroyed.

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Should a State Training Provider digitize hard copy records with the intention to retain the reproductions as the official records and to destroy the original hard copy source records (following successful digitization) before the minimum retention period applicable to those records, the process must be conducted in accordance with the Overarching Digitisation Procedures which are currently being developed in accordance with the requirements of the General Disposal Authority for Source Records.

The hard copy source records must be retained for a minimum period of six (6) months following successful digitization before they can be authorized for destruction.

2.4 The Record Keeping System

The record keeping system of each State Training Provider is at a different stage of development but is progressing toward a common, sector-wide platform based on the TRIM EDMS system. This schedule is to assist in the improvement of all State Training Providers' record keeping by permitting the legal disposal of state records in accordance with this schedule.

The Business Classification System emphasises the function and intellectual content of documents, with lesser importance being placed on the activity level of the function or form of the record. For example records for course delivery and courses are not divided into fee for service, adult community education, flexible delivery, on-line learning or other methods of delivery.

It also results in some terms being common across keywords, eg Projects and Research, these terms are covered in the Common Categories section of the disposal authority.

The date in electronic format may be contained in either a single database or file.

2.5 New Record Series

If any record categories are found, for example arising from a new function or new record type, and are not referred to in this disposal authority, they must not be destroyed. In such a situation the SRO must be contacted with a request to amend the disposal authority.

No records in such a category are to be destroyed until approval is obtained from the State Records Commission to amend this disposal authority. Any unauthorised destruction of records is an offence under s78 of the *State Records Act 2000*.

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2.5 Storage of Inactive Records

When hard copy records become inactive they will be housed to ensure they are not damaged or destroyed until after appraisal at the end of the nominated retention period.

For State Training Providers this may be onsite or offsite using commercial providers that meet the requirements of the 'whole of government' contract for the offsite storage of records.

2.6 Freedom of Information

The *Freedom of Information Act 1992* (FOI Act) prescribes rights and procedures for access to documents held by Government organisations. If a request for access under the FOI Act has been lodged, all records relevant to the request must be identified and preserved until action on the request and on any subsequent reviews by the Information Commissioner or the relevant Court are completed. This applies regardless of whether the records in question are due for destruction.

FOI requests that have been identified as State archives must contain copies of the records that were the subject of the requests.

2.7 Investigations and Inquiries

If an Investigation or Inquiry is in progress (or likely or imminent), all records relevant to the Investigation or Inquiry must be identified and preserved until the action and any subsequent actions are completed.

3. ORGANISATION'S RECORDS

3.1 Records Relating to Aboriginal People

Should any State Training Provider identify any records relating to people removed from their families as identified in the Human Rights and Equal Opportunity Commission Report "Bringing Them Home : Report of the National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from Their Families, April 1997" all necessary steps will be taken to preserve such records is in accordance with the Premier's Circular 2003/02. (Bringing Them Home "the stolen children" report, recommendation 21 "That no records relating to Indigenous individuals, families or communities or to any children, Indigenous or otherwise, removed from their families for any reason, whether held by government or non-government agencies, be destroyed".

Premier's Circular 2003/02 requires:

"Records relating to indigenous individuals, families or communities which concern children, indigenous or otherwise, removed from their families for any reason, whether held by government or non-government agencies, be brought to the attention or the Family Information Records Bureau (FIRB) and reflected in the agency Recordkeeping Plans."

Records that fall within the scope of this policy are to be brought to the attention of the Department for Child Protection and Family Support for advice on their significance. The State Records Office will be consulted should the advice given by the Department be inconsistent with this approved retention and disposal schedule.

State Training Providers hold no records applicable to section 76 of the *State Records Act 2000*. Should this situation change the State Training Provider concerned will consult with the SRO.

3.10 Ephemeral and Short Term Records

Ephemeral records only have short term value for State Training Providers, with little or no ongoing administrative, legal, fiscal, evidential or historical value. In most instances these records will have value for a few hours or a few days and will not be captured in the official record keeping system. Details are included in the attached schedule for Ephemeral Records.

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3.2 Legal Deposit of Publications

Premier's Circular No. 2003/17

Requirements for Western Australian Government Publications and Library Collections requires that: "Copies of all publications produced by public sector agencies and statutory authorities are to be deposited with the State Library of Western Australia and the National Library of Australia". Four (4) copies should be sent to the State Library and one (1) copy should be sent to the National Library.

3.3 Formats - Electronic Records

Electronic records are subject to the provisions of this disposal authority in the same way as hard copy records. Where they are not printed and attached to a hard copy file they will be managed in electronic form to remain accessible for as long as they are required in accordance with this disposal authority and SRC Standard 8, Digital Recordkeeping. Electronic records which are of continuing value will be migrated through successive upgrades of hardware and software for the required retention period, in accordance with State Records Policy Number 8, *Policy for the Ongoing Management of Electronic Records Designated as Having Archival Value.*

3.4 Formats - Databases

For disposal decisions and retention periods for databases utilised by State Training Providers (STPs), refer to Section 9 in the body of this Schedule.

A number of databases used by the STPs are hosted by the Department of Training and Workforce Development (DTWD), however the information in the database is owned by the STPs. DTWD provides data administration services to the STPs and is responsible for maintaining the databases to ensure that the information is accessible and readable for as long as required under an approved disposal authority. Where there is a need for data to be migrated to another application/platform/system etc, the DTWD will migrate the data under the direction of the STPs.

Databases hosted by DTWD include:

- Academic Record Archive

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- Blackboard

- Data Warehouse

- Equella

- Moodle

- Training Delivery Systems (TDS) includes: ASRI (Assessments Structures and Results Interface); UE (Unified Enrolments).

3.5 Formats - Websites

Electronic records held on the website will be managed in accordance with the Department of Finance Website Governance Framework, State Records Office Policy No 8 Policy for the Ongoing Management of Electronic Records Designated as Having Archival Value and SRC Standard 8, Digital Recordkeeping.

Both interactive and static information is displayed on State Training Providers' websites. Static information, such as course information, awards won, general publicity items etc, will be captured as shown in the body of this disposal authority. Any interactive transactions, such as enrolment details, fees payment etc, are already captured into the appropriate business system, eg UE and Finance.

3.6 Formats - Photographs and Audiovisual

Audiovisual records (including photographs, videotapes, films and audiotapes) are to be treated in the same manner as any other record format, and are to be sentenced in accordance with the subject matter to which they relate.

The content of photographs must be identifiable, that is, the people, places, events and dates depicted in them must be identified. If the content cannot be identified, the relevant State Training Provider will consult with the State Records Office.

The sentencing of audiovisual records must be considered in relation to:

- Their subject matter; and

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- Documentary material that relates to their creation and use.

A photograph, cassette tape or other audiovisual record should be viewed as part of a larger set of records, that is, those records that document why it was taken and how it was used. Disposition of audiovisual material must be consistent with these records.

3.7 Restricted Access Archives

A restricted access archive is "a State Archive that is a government record and to which access is restricted until it is of a certain age". (State Records Act 2000 s.3). Part 6 of the *State Records Act 2000* provides for the restriction of certain categories of State archives.

State Training Providers do not have any archives which will require restrictions on access.

3.8 Archives Not Transferred to the SRO

Section 32 of the *State Records Act 2000* provides that State archives older than 25 years will be transferred to the custody of the State Records Office.

At present the SRO does not have storage space to accept transfers of State archives, however this situation will change in the future and this section deals with that scenario.

The State Training Providers do not have any State archives that will not be transferred to the State Records Office.

3.9 Duplicates and Copies of Records

For the purpose of this disposal authority a duplicate or copy of a record is an exact copy of the original record, where no annotations have been made, and where the original record forms part of a State Training Provider's official record keeping system. In accordance with this disposal authority once the original has been captured into the recordkeeping system copies or duplicates may be destroyed as an ephemeral record, when they are no longer needed for reference purposes.

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4. ORGANISATION'S RECORDKEEPING PRACTICES

4.1 Responsibility for Disposal of State Records

Before records are destroyed or transferred to the State Records Office under the authority of this schedule final authorisation will be given by a Manager (or senior officer) with responsibility for record keeping. A record of destroyed records and, where destruction is performed by an external contractor, certificates of destruction, provided by the contractor to the agency's authorised officer, will be retained.

4.2 Significance of Records

In this disposal authority, each records category has usually been assigned one Disposal Action (for example "Required as State archives" or "Destroy"). However, in one/several cases in this schedule it has been considered appropriate to split a category of records into two, such that some of the records within the category are "Required as State archives" and some are "Destroy".

In these categories the term "Significant" has been used to identify records of archival value, and the term "Other" has been used to identify records that may be destroyed.

The criteria for determining which records are "Significant" records within a category of records are:

- affect the whole-of-government or portfolio function; or

- concern or affect Corporate Executive activity; or

- concern major liabilities or obligations of the organisation and/or the State; or

- relate to the development of legislation, regulations, or policy; or

- otherwise (significantly) impact or affect the organisation's functions or structure eg proposed changes to organisational functions; or

- were precedent setting; or

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- involved substantial public debate or controversy; or

- generated wide community interest; or

- caused major changes to organisation policy; or

- involved items or property considered to have cultural heritage significance.

The value of records may change over time. In assessing records that have reached their minimum retention period and are due for destruction, officers should consider those that may have potential business or historical value, for possible further retention or archiving. Records that appear to be of interest as archival records should be referred to the State Records Office for review and evaluation.

4.3 Recommended Methods of Destruction

When State records are due for destruction it must be done completely so that no information is retrievable.

Hard copy (paper) records are to be destroyed by shredding, pulping or trammelling. Burning or burying of State records are not acceptable methods of destruction.

Electronic records should be destroyed either by physical destruction of the storage medium (eg cutting, smashing, or pulverising) or by such methods as digital file shredding. Destruction methods must ensure that information is unrecoverable. Rewriting, degaussing and reformatting can be used to scramble data which makes recovery more difficult, but be aware that data can still be retrieved after applying these methods. The use of the "delete" function in software packages is not sufficient to destroy electronic records stored on media such as floppy disks, hard disks and rewritable optical disks, as the information may still be recovered.

If records are stored on microform or tape (audio or video), the storage medium should be physically destroyed, or the information overwritten, so that no information is retrievable. Shredding, cutting or chemical recycling are appropriate methods of destroying such records.

In terms of Digital records (eg Hard Discs, Magnetic Media and other types of digital media), State Training Providers will follow the SRO Guideline "Sanitizing Digital Media and Devices".

5. DEFINITION OF TERMS IN THIS DISPOSAL AUTHORITY

5.1 Definitions

Custody = specifies the minimum retention period for which records are to be retained, onsite or offsite, prior to destruction or transfer to the State Records Office for permanent retention as State archives. Includes the action or trigger that begins the retention period.

Destroy = a record category identified as having temporary value, and which ultimately will be destroyed.

Disposal Action = the final disposition will be Required as State archives, Destroy or Retain in agency.

Disposal Trigger = includes "after last action", which refers to the last date that a matter was noted on the records. Other disposal triggers include "after date of application", "after award issued", "after report completed", "after year of enrolment", etc.

No = the reference number within the Disposal Authority.

Required as State archives = a record category identified as having archival value, that is to be transferred to the State Records Office for permanent retention as State archives OR which the State Records Commission has approved to be retained permanently within the organisation.

Retain in agency = a record category which has been identified as not having archival value, but will be retained permanently within the State Training Provider. In the case of the State Training Provider ceasing to exist and no successor agency identified, the State Records Office will be consulted.

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No	Function/Activity	Description	Disposal Action	Custody
1	**[COMMON CATEGORIES]**	Common categories or sub-series for State Training Providers. *Refer also to GDASG.*		
1.1	**Projects**	The activities involved in a planned undertaking with stated objectives and time frames, that incorporates more than a single activity. The name of the project is to be added as free text.		
1.1.1	**Significant**	Projects – Significant. *Refer to section 4.2 for the definition of 'Significant'.*	Required as State archives	Retain 5 years after last action, then transfer to the SRO.
1.1.2	**Other**	Projects – Other.	Destroy	Retain 7 years after last action, then destroy.
1.2	**Research**	Records relating to research undertaken to investigate or enquire into a subject area and used to support the development of projects, products, standards, guidelines etc and/or the STPs business activities in general. *Refer also to GDASG.*		

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No	Function/Activity	Description	Disposal Action	Custody
[COMMON CATEGORIES] - Research				
1.2.1	**Core Business**	Research – Into core business activities, undertaken solely by the STP or in conjunction with other organisations. For example, research into technologies that promote access or delivery of courses.	Destroy	Retain 7 years after last action, then destroy.
1.2.2	**Innovative**	Research – Innovative research and development undertaken solely by the STP or in conjunction with other organisations, resulting in a new (or improved existing) product or process owned (wholly or partly) by the STP that is of importance to more than one organisation or to the State.	Required as State archives	Retain 5 years after last action, then transfer to the SRO.
1.2.3	**Innovative - Other**	Research – Innovative research and development undertaken solely by the STP or in conjunction with other organisations other than the research covered by 1.2.2.	Destroy	Retain 7 years after last action, then destroy.
2	**ACADEMIC AWARDS (STATE TRAINING PROVIDERS)**	Covers those activities commencing with the successful completion of a program of study. It includes the verification of evidence that the study program has been completed, the receival of an Application for Award, the preparation of the document – including Certificates, Diplomas, Statements of Attainment etc. *See also 9.1 Academic Record Archive and 9.12 Training Delivery Systems*		
2.1	**Arrangements**	Activities associated with arrangements for Academic Awards.		

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No	Function/Activity	Description	Disposal Action	Custody

ACADEMIC AWARDS (STATE TRAINING PROVIDERS) - Arrangements

No	Function/Activity	Description	Disposal Action	Custody
2.1.1		Records relating to arrangements for all activities involved in managing the Academic Award process.	Destroy	Retain 3 years after action completed, then destroy.
2.2	**Ceremonies**	Academic Awards ceremonies and events.		
2.2.1		Records relating to Academic Awards ceremonies and events.	Destroy	Retain 5 years after date of last action, then destroy.
2.3	**Compliance**	Records relating to compliance with the verification procedure in the "application for award" process and compliance with meeting the required benchmarks for passing a module or course.		
2.3.1	**Successful Awards**	Compliance – Applications for awards successful/eligible.	Destroy	Retain 5 years after date of application, then destroy.
2.3.2	**Maritime Certificates**	Compliance – Maritime Completion Certificates.	Destroy	Retain 15 years after completion of course, then destroy.
2.3.3	**Nursing Certificates**	Compliance – Nursing Certificates (Diploma Students).	Destroy	Retain 10 years after completion of course, then destroy.
2.3.4	**Unsuccessful Awards**	Compliance – Applications for awards unsuccessful/ineligible.	Destroy	Retain 2 years after date of application, then destroy.

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No	Function/Activity	Description	Disposal Action	Custody
ACADEMIC AWARDS (STATE TRAINING PROVIDERS) - Compliance				
2.3.5	**Unclaimed Certificates**	Compliance – Unclaimed certificates, statements of attainment, etc.	Destroy	Retain 1 year after issue of certificate, then destroy.
2.4	**Donations**	Records relating to the donation of money, sponsorship etc to the student or STP for expenses. *Refer to GDASG.*		
2.5	**Registration**	Registration of academic awards		
2.5.1		Records of the registration of awards as completed by students.	Destroy	Retain 5 years after date of last action, then destroy.
2.6	**Security**	Security of the academic award process.		
2.6.1		Records relating to measures taken to prevent unauthorised access to academic award process or fraudulent reproduction of certificates etc.	Destroy	Retain 5 years after date of last action, then destroy.

No	Function/Activity	Description	Disposal Action	Custody

COURSE DELIVERY (STATE TRAINING PROVIDERS)

No	Function/Activity	Description	Disposal Action	Custody
3	**COURSE DELIVERY (STATE TRAINING PROVIDERS)**	The function of delivering established courses and qualifications (which includes training packages) and the enrolment process. Includes the on-going and final assessment of student progress, and activities that are part of delivery e.g. excursions and live work. Covers all modes of delivery including: E-learning, distance learning, open learning, full time, part time, flexible, on-line and combinations of these modes, and fee for service delivery. This term also includes the evaluation of delivery and utilisation of technology within the teaching and learning process.		
3.1	**Assessment**	Records relating to assessing students during a course and for placement in a course.		
3.1.1	**Results**	Assessment – Results *For Assessment data held in UE (or equivalent system) refer to Section 9 - Databases.* • Results and attendance rolls • Maritime exam results and attendance • Recreational Skippers Tickets (RST) – including	Destroy	Retain 10 years after last action, then destroy.

No	Function/Activity	Description	Disposal Action	Custody

COURSE DELIVERY (STATE TRAINING PROVIDERS) - Assessment

| | | skills recognition

• Appeals for review

• Maritime exam results

• Maritime question papers

• Nursing assessment results

• Fraud (not leading to prosecution)

• Skills Recognition - applications for skills recognition, notifications, exemptions, transfer of credits, recognition of prior learning, recognition of current competencies, marks/assessment records)

Structures - includes assessment details, delivery schedule, training and assessment plans, training program outlines, assessment tools and instruments, etc).

Exemptions from course modules based of equivalent achievement gained in another State Training Provider.

Transfer of academic credit for students who have changes courses.

Learning Outcomes and competencies relating to a course. | | |

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No	Function/Activity	Description	Disposal Action	Custody

COURSE DELIVERY (STATE TRAINING PROVIDERS) - Assessment

No	Function/Activity	Description	Disposal Action	Custody
3.1.2	**Completed Qualifications**	Assessment – Data showing names and completed qualifications e.g. certificates and diplomas – Extracted from the UE database.	Retain in agency	Retain in agency - retain permanently with State Training Provider
3.1.3	**Student Papers**	Assessment – Examination questions (not Master copies) , test banks, worked scripts, tests, folios, field placement manuals, on the job checklists, training record books etc. N.B. Some log books may fall under the requirements of other regulatory agencies, resulting in a longer retention period (e.g. Nursing Board, Dental Board). N.B. Representative sample of Worked Assessments – completed examination papers/assessments – required for AQTF auditing and moderation.	Destroy	Retain 6 months after assessment or semester of assessment completed, then destroy.
3.1.4	**Maritime Exam Papers**	Assessment – Maritime Exam papers - completed and submitted by students (AMSA requirement).	Destroy	Retain 5 years after assessment completed, then destroy.
3.1.5	**Nursing Documentation**	Assessment – Nursing (Diploma Students) – Documentation required by Australian Nursing and Midwifery Accreditation Council (ANMAC) and Australian Health Practitioners Regulation Agency (AHPRA). Includes mandatory checks, health clearance, assessment and work experience book, RPL evidence and certificates.	Destroy	Retain 10 years after assessment completed, then destroy.

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No	Function/Activity	Description	Disposal Action	Custody

COURSE DELIVERY (STATE TRAINING PROVIDERS) - Assessment

No	Function/Activity	Description	Disposal Action	Custody
3.1.6	**Exam Papers**	Assessment - Master copies of examination question papers (representative papers from each program area of the State Training Provider).	Retain in agency	Retain in agency - retain for life of State Training Provider
3.1.7	**Course Variation**	Assessment - Course variation documentation – includes approval.	Destroy	Retain 30 years after approval, then destroy.
3.1.8	**Cases**	Cases files relating to behavioural issues etc for individual students.	Destroy	Retain 7 years after date of last action, then destroy.
3.2	**Enrolments**	Records relating to the process of enrolling students into a course.		
3.2.1	**AVETMISS**	Enrolments – AVETMISS (Australian Vocational Education and Training Management Information and Statistical Standards) forms. (These forms collect data that is recorded in UE).	Destroy	Retain until Commonwealth government audit for year of collection is completed
3.2.2	**Folios/Artwork Submission**	Enrolments – folios submitted for admission to a course. (Folios include artwork, plans or any type of work).	Destroy	Retain 6 months after commencement of course to which the folio was submitted, then destroy.
3.2.3	**Registers**	Enrolments – registers and receipts of folios.	Destroy	Retain 1 year after receipt of folio, then destroy.

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No	Function/Activity	Description	Disposal Action	Custody

COURSE DELIVERY (STATE TRAINING PROVIDERS) - Enrolments

No	Function/Activity	Description	Disposal Action	Custody
3.2.4	**Testing**	Enrolments – applications for testing and results of testing.	Destroy	Retain 2 years after test completed, then destroy.
3.2.5	**Student Enrolment**	Enrolments – Records documenting enrolment of students – includes: • Original student application to enrol (i.e application forms, supporting documents, copies of previous achievements, correspondence). • Application for combining academic records for the same course from other State Training Providers and authorisation to download information from other State Training Providers, including course related documentation • Enrolment amendments containing information relating to subject transfer, withdrawal or addition of a student to or from a student roll and amendment of personal details. Includes student application forms detailing subjects withdrawn, refund of any fees due and relating correspondence. • Application forms and related documents concerning payment of enrolment fees by instalments • Applications, approvals and relating	Destroy	Retain 10 years after last action, then destroy.

No	Function/Activity	Description	Disposal Action	Custody
COURSE DELIVERY (STATE TRAINING PROVIDERS) - Evaluation				
		correspondence for waiver of fees • Enrolment register – record name, address, personal details and courses applied for • Selection of students into a course • Enrolment data held in electronic format in UE • Amalgamation of student identifications – where student is issued with more than one ID number, and verification of which number to be used. • Roll Creation • Absentee reports where not on student file.		
3.3	**Evaluation**	Records relating to evaluation of courses delivered.		
3.3.1	**Forms/Comments**	Evaluation – forms, student comments, etc.	Destroy	Retain 1 year after collection, then destroy.
3.4	**Reporting**	*Refer to GDASG.*		
3.5	**Tenders**	*Refer to GDASG.*		

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No	Function/Activity	Description	Disposal Action	Custody
COURSE MANAGEMENT (STATE TRAINING PROVIDERS)				
4	**COURSE MANAGEMENT (STATE TRAINING PROVIDERS)**	The function of managing the development, accreditation, registration and maintenance of courses and qualifications. Includes documents relating to the maintenance of scope of registration with the Training Accreditation Council (TAC), documents for the registration of new courses with TAC, training package interaction with a relevant Commonwealth government department or industry skills council, plus supporting documentation with other Registered Training Organisations (RTOs), industry representatives and advisory groups.		
4.1	**Articulation**	Records relating to formal linkage between different levels or different fields of study. Articulation arrangements allow the horizontal or vertical movement between education and employment. *See also 5.3 CROSS SECTORAL RELATIONS - Articulation.*		
4.1.1		Records relating articulation arrangements. Includes articulation arrangements between State Training Providers' courses and between schools and private providers and universities.	Destroy	Retain 7 years after date of last action, then destroy.
4.2	**Cases**	Courses owned by other authorities. Includes Commonwealth of Australia learning guides, Commonwealth of Australia training packages		
4.2.1		Cases (by Course Name)	Destroy	Until reference ceases

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No	Function/Activity	Description	Disposal Action	Custody

COURSE MANAGEMENT (STATE TRAINING PROVIDERS) - Compliance

No	Function/Activity	Description	Disposal Action	Custody
4.3	**Compliance**	Records relating to compliance requirements for the accreditation of courses.		
4.3.1	**Compliance (AQTF)**	Compliance – AQTF (Australian Quality Training Framework) documentation, reports, etc.	Destroy	Retain 5 years after the date of last action, then destroy.
4.4	**Development**	Records relating to the development of a course, such as curriculum development and identifying the resources required (including development of course material).		
4.4.1		Development (where the course is owned by the developing State Training Provider) curriculum and courses. 4 copies to Battye Library on publication and 1 copy to the National Library.	Destroy	Retain 7 years after delivery ceases, then destroy.
4.5	**Evaluation**	Records relating to determining the suitability of potential or existing courses. Includes ongoing monitoring. *Refer to GDASG.*		
4.6	**Intellectual Property**	Records relating to intellectual property held or maintained by the organization, including copyright, patents and trademarks. *Refer to GDASG.*		

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No	Function/Activity	Description	Disposal Action	Custody

COURSE MANAGEMENT (STATE TRAINING PROVIDERS) - Registration

No	Function/Activity	Description	Disposal Action	Custody
4.7	**Registration**	Records relating to State Training Provider registration as an RTO.		
4.7.1	**Accreditation**	Registration – Accreditation TAC and AQTF (Australian Quality Training Framework) reports etc.	Destroy	Retain 7 years after date of last action, then destroy.
5	**CROSS SECTORAL RELATIONS**	The function of administering the formal relationship between the State Training Provider (STP) and other education and training delivery organisations. Includes the STPs relationship with other training providers, educational institutions in other sectors, universities, Registered Training Organisations, schools and VET in schools (VETIS) activities.		
5.1	**Agreements – contracts etc**	*Refer to GDASG.*		
5.2	**Arrangements**	Records relating to arrangements made with other educational organisations involving basic matters of operational or administrative requirements.		
5.2.1		Arrangements - made with Overseas Education Organisations to establish, develop and sustain business interests in terms of developing courses, delivering courses, or auspicing for courses etc.	Destroy	Retain 2 years after action completed, then destroy.

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No	Function/Activity	Description	Disposal Action	Custody
CROSS SECTORAL RELATIONS - Articulation				
5.3	**Articulation**	Records relating to formal linkage between different levels or different fields of study. Articulation arrangements allow the horizontal or vertical movement between education and employment. *See also 4.1 COURSE MANAGEMENT - Articulation.*		
5.3.1		Articulation – including credit transfer arrangements. Includes articulation arrangements between State Training Providers' courses and between schools and private providers and universities.	Destroy	Retain 7 years after date of last action, then destroy.
5.4	**Liaison**	Records relating to the ongoing contact between State Training Providers and other Educational organisations. *Refer to GDASG.*		
5.5	**Visits**	Records relating to arranging visits by other organisations and students to the organisation, with a view to inform, educate or promote services, operation and role of the organisation. *Refer to GDASG.*		

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No	Function/Activity	Description	Disposal Action	Custody
		INFORMATION MANAGEMENT		
6	**INFORMATION MANAGEMENT**	The function of managing the State Training Provider's information resources regardless of format. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes, and the provision of services to internal and external customers, based on information resources. Data administration, archival records; confidentiality and the handling of Freedom of Information (FOI) requests are also classified under this keyword. *See also GDASG*		
6.1	**Privacy**	Records relating to applying the principles of privacy. Including data protection in relation to privacy. The process of collection, handling, use and disclosure of records of a private, personal, or confidential nature to maintain that the rights of a living person (or immediate family) are secure from unauthorised disclosure of access to such information.		
6.1.1	**Privacy (Contentious)**	Privacy – cases that are of a contentious or precedent setting nature.	Required as State archives	Retain 5 years after date of last action, then transfer to the SRO.

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No	Function/Activity	Description	Disposal Action	Custody

INFORMATION MANAGEMENT - Privacy

No	Function/Activity	Description	Disposal Action	Custody
6.1.2	**Privacy (Other)**	Privacy – other cases.	Destroy	Retain 2 years after date of last action, then destroy.
6.2	**Historical Records significant to the State Training Providers**	Records of historical interest which are not considered to be State archives. For example - a Bushland Draft Management Plan produced by students at Challenger's Murdoch Campus as part of the Diploma Conservation and Land Management.	Retain in agency	Retain in agency - retain for life of State Training Provider
7	**STRATEGIC MANAGEMENT**	The function of applying broad systematic management planning for the organisation. Includes the activities involved with the development, monitoring and reviewing of business plans, strategic plans, work plans, corporate plans, Equal Employment Opportunity (EEO) plans, energy and waste management plans, and other long-term organisational strategies. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, Governing Council documentation and the formulation and amendment of legislation which provides the legislative basis for the organisation. *See also GDASG*		

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No	Function/Activity	Description	Disposal Action	Custody
		STRATEGIC MANAGEMENT - Compliance		
7.1	**Compliance**	Records relating to compliance requirements around governance.		
7.1.1	**College Seal Book**	Compliance – College Seal Book	Required as State archives	Retain 7 years after full, then transfer to the SRO.
7.2	**Sustainability**	Records relating to the strategic approach around meeting environmental protection, social advancement and economic prosperity.		
7.2.1		Sustainability records	Required as State archives	Retain 7 years after action completed, then transfer to the SRO.
8	**STUDENT MANAGEMENT (STATE TRAINING PROVIDERS)**	The function of providing student support services for the well being of the students, so as to assist them to undertake and successfully complete their studies. These services include codes of conduct, counselling, campus orientation and bookshop services. Also includes individual student files – for apprentices and others and may include work experience forms and reports, police clearances, etc.		

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No	Function/Activity	Description	Disposal Action	Custody

STUDENT MANAGEMENT (STATE TRAINING PROVIDERS) - Access and Equity

No	Function/Activity	Description	Disposal Action	Custody
8.1	**Access and Equity**	Records relating to policies and approaches that ensure that vocational education and training is responsive to the diverse needs of all clients. Including people with disabilities, people from non-English speaking backgrounds, indigenous Australians, rural and remote learners and similar disadvantaged groups.		
8.1.1	**Policy**	Access and Equity – formulation, development and implementation of policies and programs.	Required as State archives	Retain 7 years after last action, then transfer to the SRO.
8.1.2	**Students**	Access and Equity – by student name.	Destroy	Retain 7 years after last action, then destroy.
8.1.3	**Program Enquiries**	Access and Equity – general enquiries regarding programs.	Destroy	Retain 1 year after last action, then destroy.
8.2	**Arrangements**	Records relating to administrative arrangements to accommodate students' academic endeavours.		
8.2.1	**Timetables/Venues**	Arrangements - exam timetables, venues, supervision, etc.	Destroy	Retain 6 months after end of semester to which records apply, then destroy.
8.2.2	**Orientation/Travel etc**	Arrangements– orientation, accommodation, excursions, student travel.	Destroy	Retain 2 years after last action, then destroy.
8.3	**Cases**	Case files relating to students.		

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No	Function/Activity	Description	Disposal Action	Custody
STUDENT MANAGEMENT (STATE TRAINING PROVIDERS) - Cases				
8.3.1	**Students**	Cases – by individual student name - includes placements, practicums, work experience etc.	Destroy	Retain 7 years after last action, then destroy.
8.3.2	**Apprentices/Trainees**	Cases – Apprentices and Trainees (files with copies of agreements, Training Program Outlines, etc plus working notes that lecturers add).	Destroy	Retain 7 years after apprenticeship or traineeship is completed or ceases, then destroy.
8.4	**Counselling**	Advice or guidance given to students.		
8.4.1		Student counselling records.	Destroy	Retain 7 years after last action or when student reaches age 25, whichever is later, then destroy.
8.5	**Customer Service**	Records relating to planning, monitoring and evaluation of services provided to students.		
8.5.1	**Student Travel Permits**	Customer Service – student travel permits, includes application forms and replacements.	Destroy	Retain 1 year after end of semester to which records apply, then destroy.
8.5.2	**Permits**	Customer Service – tertiary student permit register (lists travel permits, etc).	Destroy	Retain 2 years after end of semester to which records apply, then destroy.

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No	Function/Activity	Description	Disposal Action	Custody
		STUDENT MANAGEMENT (STATE TRAINING PROVIDERS) - Customer Service		
8.5.3	**Career Advice/Employment etc**	Customer Service – Career advice case files, student employment services.	Destroy	Retain 2 years after last action, then destroy.
8.6	**Discipline**	Records relating to the student discipline process including, investigation, charges, formal inquiries, punishment and appeals.		
8.6.1	**Non-expulsion**	Discipline - not resulting in expulsion or permanent re-enrolment.	Destroy	Retain 10 years after last action, then destroy.
8.6.2	**Expulsion**	Discipline – resulting in expulsion or permanent non re-enrolment.	Destroy	Retain 50 years after last action, then destroy.
8.7	**Grievances**	Records relating to the handling and resolution of grievances including complaints.		
8.7.1		Student grievances records.	Destroy	Retain 7 years after date of last action, then destroy.
8.8	**Insurance**	Blanket policy cover for Student Work Experience.		
8.8.1		Records relating to insurance for work experience students.	Destroy	Retain 7 years after date of last action, then destroy.
8.9	**Security**	Security measures associated with students		

No	Function/Activity	Description	Disposal Action	Custody
		STUDENT MANAGEMENT (STATE TRAINING PROVIDERS) - Security		
8.9.1	**Criminal Record Checks**	Records related to criminal record checks on students.	Destroy	Retain 7 years after date of last action, then destroy.
8.10	**Visits**	Visits by students from/to other organisations, the public and students to the organisation, with a view to inform, educate or promote the services, operation and role of the organisation.		
8.10.1		Records relating to arrangements for visits.	Destroy	Retain 7 years after date of last action, then destroy.
9	**[DATABASES]**			
9.1	**Academic Record Archive**	A web based application that allows STPs to search and retrieve archived academic records. The Academic Record Archive was developed as a means of storing information on past students. Used by all STPs	Retain Data Permanently	System to be decommissioned following successful migration of all data to new system
9.2	**Blackboard**	Blackboard - Learning Management System Manages the progress, participation and assessment of students undertaking modules online. Used by Central; Challenger; CY O'Connor; Durack; Goldfields; Kimberley; Polytechnic West; and West Coast.	Retain Data Permanently	System to be decommissioned following successful migration of all data to new system

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No	Function/Activity	Description	Disposal Action	Custody
[DATABASES]				
9.3	**Complaints Management**	Complaints Management (COMBIT) – A system for managing customer comments and complaints. Used by Challenger Institute; Polytechnic West; West Coast.	Retain Data in Accordance with the GDASG	System to be decommissioned after appropriate disposal of data, ie: Transferred to SRO as an archive; or Destroyed; or Successful migration to another system
9.4	**Customer Relations Management**	The CRM provides the ability to store and retrieve customer information, target market customers through various communication channels and provides reporting associated with customer interactions. Used by all STPs.	Destroy	Retain 5 years, then destroy. After database discontinued or superseded

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No	Function/Activity	Description	Disposal Action	Custody
[DATABASES]				
9.5	**Data Warehouse**	The STP Data Warehouse consists of: A number of specific data warehouse tables that reside in the core TDS database. A number of scripts that run to populate the above tables on a nightly basis (based on live data taken at a checkpoint) and generate data files that are loaded onto the STP server for utilisation for reporting and uploading into STP executive information systems (EIS). The data warehouse is utilised by STP Data Administrators as an easy method of querying data and ensuring that data standards are being met. It is also utilised by DTWD VESU (Vocational Education Stats Unit) to verify and supply data to state and federal government. Used by Challenger; CY O'Connor; Goldfields; Kimberley; Polytechnic West; South West; and West Coast.	Destroy	Retain 6 years, then destroy. After database discontinued or superseded
9.6	**EIS**	Executive Information System (EIS) - a system to distribute management information such as Finance, Budgets, E-journals, Pay Certifications to approved users via the Intranet. Used by Durack; Polytechnic West; and West Coast.	Destroy	Retain 6 years, then destroy. After database discontinued or superseded

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No	Function/Activity	Description	Disposal Action	Custody
[DATABASES]				
9.7	**Equella**	A repository that provides a platform to house teaching and learning, research, media and library content. Used by Central; Challenger; Kimberley; Polytechnic West; and West Coast.	Retain Data Permanently	System to be decommissioned following successful migration of all data to new system
9.8	**Moodle**	Moodle - Learning Management System - Manages the progress, participation and assessment of students undertaking modules online. Used by Challenger; Durack; Kimberley; Polytechnic West; and South West.	Retain Data Permanently	System to be decommissioned following successful migration of all data to new system
9.9	**MIPS**	Managment Information Portal (MIPS) - used to distribute management information such as Finance, Budgets, ejournals, Pay Certifications to approved users via the Intranet. Used by Challenger as a replacement to EIS.	Destroy	Retain 6 years, then destroy. After database discontinued or superseded
9.10	**Products and Services Catalogue**	Products and Services Catalogue - A college based database of all products and services offered by an STP. As such it is capable of holding information on all training courses and modules that the STP offers, and is available for enquiry by prospective students over the Internet, or as a source of information on all STP products for the Customer Enrolment System.	Retain Data Permanently	System to be decommissioned following successful migration of all data to new system

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No	Function/Activity	Description	Disposal Action	Custody
[DATABASES]				
9.11	**SSPA**	Student Support and Participation Assistance (SSPA) - provides information about the range of supports and adjustments required by prospective and current students with disabilities/medical conditions to facilitate the completion of their studies. It also records information for Aboriginal students and outlines the support provided to students who identify as Aboriginal or Torres Strait Islander as well as students in crisis. Records are transferred to TRIM on a monthly basis. Data is captured to the relevant student file. Used by Challenger	Destroy	12 months after system is decommissioned
9.12	**Training Delivery Systems**	Training Delivery Systems (TDS) – includes Unified Enrolments (UE) – contains student enrolment data, results of completed study units and issued qualifications, including Assessment Structures and Results Interface (ASRI) showing Training Program Outlines and details of courses to be undertaken. (Note: Previous system known as CMIS) Used by all STPs	Destroy Data	30 years after examination completed. Records will be migrated through successive updates of hardware and software for the required retention period
10	**[EPHEMERAL RECORDS]**	Ephemeral records have no continuing value to the organization and generally are only needed for a few hours or a few days. They may not need to be placed within the official recordkeeping system. *Refer also to the GDAAR.*		

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No	Function/Activity	Description	Disposal Action	Custody

[EPHEMERAL RECORDS]

No	Function/Activity	Description	Disposal Action	Custody
10.1	**Lists**	Lists Phone lists Mailing lists Book lists for students, bookshop purchases, etc Print outs from databases for cross checking Amalgamation lists – print outs from UE of duplicate IDs Print outs from UE Supplied lists of applicants from DTWD, TISC, etc Safety net applications Room lists – showing class timetables, room use, booking lists, requests to use, etc (formalised in UE) Enrolment timetables Check lists for – marks records, teaching areas, QA auditor, contractual issues, minor works, training resources, etc (where actual data is captured elsewhere) LRC accession lists, LRC purchase requests Approved suppliers lists	Destroy	Retain until reference ceases

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No	Function/Activity	Description	Disposal Action	Custody
		[EPHEMERAL RECORDS]		
		Commencement reports List applicants for course entry (waiting lists) Loan records for software and equipment		
10.2	**Enquiry Records**	Enquiry records - Includes records that detail requests for: • course information • restaurant bookings • application for course entry • Apprenticeship enquiries • New enrolment details, etc	Destroy	Retain until reference ceases
10.3	**Admin Records**	Admin records Transitory messages giving minor instructions or correspondence of a routine nature that are used to further some activity (Includes emails). May include advice of meeting arrangements, advice of staff movements, invitations, stationery requests, file requests, basic work query requests etc.	Destroy	Retain until reference ceases

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No	Function/Activity	Description	Disposal Action	Custody
[EPHEMERAL RECORDS]				
10.4	**Scanned Records**	Scanned Source Documents. Records that have been scanned and meet the minimum requirements of GDA for Source Records (RD 2009027).	Destroy	Retain 6 months after successful digitisation, then destroy.
10.5	**Other**	*For all other ephemeral records refer to GDAAR.*		