

Records Retention Guide

Records and Information Management Policy Appendix 1

Record types

Alumni Records

Record type	Minimum retention periods
The record (roll) of Alumni across time from 1966 onward	Permanent retention
Records providing the details of alumni who are graduates of the University from 1970 onward	These records are held within in the Macquarie University Graduate Registers
Records of awards provided to alumni	These records are fall within the scope of the business function of Student Administration Scholarships/Prizes/Fellowships/Awards and in using this Guide please refer to the Prize Files table
Records relating to donations from alumni	These records fall within the scope of the business function of Community Relations and in using this guide please refer to the Fundraising table
Records relating to the management of alumni associations. Includes the management of membership, details, events, activities etc.	Retain until administrative or reference use ceases, then destroy

Historical Note

Convocation was created by the Macquarie University Act (as the Act of Incorporation) and admitted approximately 900 persons to membership of the University. The first assembly of Convocation was held on 28 March 1966 at the University's Foundation Ceremony. Convocation was the first link between the University and the broader community and as part of its membership would include all forthcoming graduates of the University. The creation of Convocation led to the Alumni of yesterday, today, and tomorrow.

Contracts

Record type	Minimum retention period
Agreements	7 years
Contracts	12 years
Memorandum of Understanding	7 years

Employee records

Record type	Minimum retention period
Chancellors, Vice Chancellors and Chief Executive Officers	Permanent - Do Not Destroy
Academic and Professional Staff	7 years or 75 years after date of birth, whichever is longer
Workers Compensation Claim	7 years or 75 years after date of birth, whichever is longer

Financial records

Record type	Minimum retention period
Advice	10 years
Asset Register	7 years
Audit (leading to change)	Permanent - Do Not Destroy
Audit (no change)	6 years
Transactions and Bank Accounts	7 years

Fundraising

Record type	Minimum retention period
Donations and Bequests (significant amount or cultural artefact)	Permanent - Do Not Destroy
Donations and Bequests	7 years

Governance records

Record type	Minimum retention period
Final, approved versions of by-laws and rules governing the institution	Required as State Archives
By-laws and rules in development	15 years
Strategic Committees	Permanent - Do Not Destroy
Operational Committees	10 years
Master set of policies relating to core university functions	Required as State Archives

Information Technology

Record type	Minimum retention period
Development of systems or the acquisition of off-the-shelf systems	7 years
Technology and telecommunications equipment or systems	7 years
Investigations into the acquisition of technology and telecommunications equipment	Retain until administrative or reference use ceases
Warranties and guarantees	Retain until warranty or guarantee expires or until item is disposed of whichever is shorter

Legal Services

Record type	Minimum retention period
Advice	15 years
Litigation precedent setting case	Permanent - Do Not Destroy
Litigation non - precedent setting case	7 years
Agreements	7 years
Patents	Permanent - Do Not Destroy

Marketing

Record type	Minimum retention period
Marketing Campaign, Promotion & Sponsorship	5 years

Medical records (patient files)

Record type	Minimum retention period
Children under 18	7 years or until patient turns 25 years of age

Official publications

Record type	Minimum retention period
Macquarie University Publications	Permanent - 2 copies retain in Macquarie University Archives

Policy files

Record type	Minimum retention period
Master set of policies relating to core university functions	Permanent - Do Not Destroy

Prize files

Record type	Minimum retention period
Registers of recipients	State Archives
Establishment and conditions of internal & external scholarships, prizes, bursaries & fellowships.	10 years
Management and delivery internal & external scholarships, prizes, bursaries & fellowships.	7 years

Property Records

Record type	Minimum retention period
Deed Registers, Property Registers, Land Registers & Certificates of Title	Permanent - Do Not Destroy
Significant Building/structure construction records	Permanent - Do Not Destroy
Identification and management of asbestos used in construction	99 years from removal or disposal of asbestos
Building/structure construction records	Life of building plus 7 years
Building Structure fit-outs and installations	Life of building plus 7 years
Non-structural changes fit-outs and installations	7 years after completion of work
Building upgrades	7 years after completion of work
Commemorative plaque records	2 years

Research

Record type	Minimum retention period
Contracts	7 years
Ethics - Animal	7 years
Ethics - Biosafety	10 years
Ethics - Human	15 years
Grants	7 years
Product Management	7 years
Research Management – internal projects not requiring ethics approval	7 years
Final reports on individual research projects that include outcomes of the research project	State Archives
Research projects or proposals that are not approved or do not proceed.	2 years
Research data (including datasets) community & regulatory significant	State Archives
Research data (including datasets) created from clinical trials, or research with potential long-term effects on humans	15 years after completion of research or until subject reaches or would have reached the age of 25 years
Research data not significant *	5 years after project completed.

Student records

Record type	Minimum retention period
Examinations	Permanent - Do Not Destroy
Examination Papers	6 months (length of appeal period)
Continuing education and community	7 years
Higher Degree Research (HDR/MRes)	20 years
Practicums (required for accreditation)	50 years
Thesis that adds to knowledge	Library deposit
Thesis with failure status	Return to candidate
Practicums (working with children)	99 years
Thesis Examinations	Permanent - Do Not Destroy
Undergraduate	7 years
Attendance	Retain until at least until end of appeal period
Grading/marking of individual assessment components of a subject or course	Retain year after end of appeal period
changes to assessment results through, re- marking or appeal by the student	7 years
Graduate Register - Includes honorary doctorates.	State Archives
Graduate program or order of proceedings is the only record confirming details of graduates	State Archives
Arrangements for graduation and determination and notification of students of their eligibility to graduate. Includes program or order of proceedings and uncollected testamurs.	Retain minimum of 1 year after action completed
Finalised results obtained by students	Retain minimum of 75 years after action completed
Finalised results obtained by students for externally accredited courses, such as those delivered by a Registered Training Organisation.	Retain minimum of 30 years after action completed
Finalised results obtained by students for non- award courses including continuing education programs and community courses.	7 years