Office of the
State Archivist

DISPOSAL SCHEDULE FOR RESEARCH MANAGEMENT

Disposal Authorisation 2610

Version 0.1
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Tasmanian Government

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Authorisation

Under Section 20 (2) (b) of the *Archives Act 1983* (Tas), I authorise 'relevant authorities' (as defined in Section 3 of that Act) to manage the disposal of the records described in this schedule.

Ross Latham

State Archivist

Version	Date	Comments
0.1	02/11/2026	Consultation draft

Document Development History

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0.1	02/11/2026	Consultation draft

Introduction

Disposal Schedules are the State Archivist's ongoing permission to dispose of records.

They identify:

- which records have a permanent retention and will be transferred to the Tasmanian Archives
- the minimum time that temporary records need to be kept before they can be destroyed.

Authority

Tasmanian government organisations covered by the *Archives Act 1983* (Tas) can only dispose of records with the written permission of the State Archivist.

'Disposal of records' means destroying them, removing them from the creating organisation, or transferring them to the Tasmanian Archives.

Records Covered

This general disposal authority covers the unique functions associated with managing a program of research, including:

- ethics and governance
- project management
- materials, specimens, and animal management
- data and records management
- research outputs
- intellectual property and commercialisation
- research collaboration
- higher degree candidate supervision.

The following functions are not covered by the general disposal authority, and coverage can be found as follows:

- research strategy and planning - DA2596 Strategy & Governance
- funding and grants - DA2597 Finance & Procurement
- audit, compliance and improvement - DA2596 Strategy & Governance.

This general disposal authority was developed by the University of Tasmania, but may be used by any public entity running a research program comprised of similar functions.

Responsibility for review

You are responsible for monitoring legislative or regulatory changes which may affect disposal of records covered by this schedule. If this happens, please tell the Office of the State Archivist because we may need to review the Disposal Schedule.

Unscheduled Records

Unscheduled records are records that are not covered by this or any other authorised Disposal Schedule. Organisations must not destroy unscheduled records without

authorisation from the State Archivist. Please contact us for advice on managing records that are not covered by an authorised Disposal Schedule.

Pre-1960 Records

Records created before 1 January 1960 may be sentenced using this Disposal Schedule where an applicable disposal class exists.

However, before any pre-1960 records are destroyed, contact us to arrange a review to identify records that may be suitable for transfer to the Tasmanian Archives collection.

Organisations do not require a separate Destruction Authority for the disposal of pre-1960 records that are covered by an authorised Disposal Schedule.

You Cannot Destroy Records, Even if the Retention Period has Passed, if:

- they are the subject of a **records retention notice** ('disposal freeze') issued by the State Archivist or your organisation; or
- they may be required for an **investigation, inquiry or Royal Commission which** is in **progress** or expected; or
- they may be needed as **evidence** in a current or expected legal matter; or
- they are needed for applications in progress under the ***Personal Information Protection Act 2004*** **(Tas)** or ***Right to Information Act 2009*** **(Tas)**; or
- there is a **native title claim** in progress.

If any of these apply, identify all relevant records and keep them until the matter and any following reviews, appeals or actions are complete. This may be longer than retention periods in this schedule.

Records Of First Nations People

Keep records of First Nations' people if they document cultural connection to place and/or the impact of government policies on individuals, families and communities.

More Information

- Outsourcing:
  You are responsible for recordkeeping, even if your organisation outsources a function.
- Retention periods are minimums:
  The retention periods in this schedule are minimum periods.
  - You can keep records longer where there is a business need for them.
  - Take a risk-based approach when deciding how long to keep records.
- Destruction of records:
  Destroy temporary records securely and appropriately to the format or medium. Record their destruction in your *Register of Records Destroyed*.
- Transfer of records:
  Transfer permanent records to the Tasmanian Archives, in line with procedures.
- Legal deposit:
  Follow National edeposit (NED) guidelines for lodging print, digital and audio-visual publications, including government publications, under legal deposit legislation.
- Legislation:

This Disposal Schedule is issued under the *Archives Act 1983* (Tas).

Also, consider the legislation relevant to your own organisation to make sure you've met all recordkeeping requirements.

Other Disposal Schedules

You can use other common Disposal Schedules with this schedule. Please see the list of current Disposal Schedules on our website.

Disposal Schedule

Reference	Description	Status And Disposal Action
01.00	**Governance and Ethics Management** The governance and oversight of research to ensure quality, risk management, compliance and accountability of projects as determined by the research topic, methodologies used, and subjects (people, animals, plants etc.), upon which the research is carried out. Includes: • **governance of the research life cycle** from project conception and funding applications through to data management, publication, commercialisation and preservation of research outputs. Includes setting expectations for reporting cycles and incident management • setting and **monitoring compliance** with expectations regarding honesty, rigour, transparency, fairness, recognition of contributions, and responsible management of research data (capture, storage, security and preservation), including processes for managing and investigating complaints and concerns • **ethical review and assessment** of research proposals involving research conducted using humans or animals as subjects to ensure risks are minimised and that the proposed research is consistent with the principles of respect, beneficence, justice and research merit • maintaining processes for biosafety, gene technology and other specialised forms of research requiring **regulatory oversight**. Includes processes for gaining and maintaining the consent of individuals to participate in a research project, and managing privacy obligations where personal and/or confidential information is collected • ensuring **external regulatory research compliance requirements** are met, including necessary accreditations, certifications, licences, permits and approvals are in place, and researchers have the correct professional endorsements, qualifications, experience and/or training to match the field of research/methodologies being used. **See** *DA2595 External Relations* - Development of Standards and Codes - for the development and maintenance of the Responsible Conduct of Research Framework. **See** *DA2596 Strategy and Governance* - Corporate Governance - for the records of corporate boards, committees, and working parties; and of policies and procedures governing research integrity, ethics, data management and compliance. **See** *DA2595 External Relations* - Fee for Services Management - for records of external organisations procuring ethics review services from the University's Human Research Ethics Committee. **See** *DA2597 Finance and Procurement* - 6.0 Grant Management - for records of progress reports and other records documenting grant funding obligations. **See** *DA2596 Strategy and Governance* - 6.0 Risk, Audit and Compliance Management - for records of corporate risk management, auditing and compliance monitoring processes.	

Reference	Description	Status And Disposal Action
	Records of Continuing Value Records of ongoing value documenting the research governance and ethics management function, including: • **final approved frameworks** developed or adopted by the organisation for **governing research and its integrity**, including those for dealing with misconduct in research, ethical breaches and regulatory interventions. Includes the design and implementation of governance groups (committees, subcommittees, working parties etc.), reporting structures (internal and external), and setting the terms of reference • the meeting papers (minutes, agendas, submissions) of **strategic or executive level research governance committees** or groups, including those that: set research direction; approve the establishment or discontinuance of research programs; approve or monitor research in biosafety and gene technology, using dangerous substances, and/or other areas of high-risk, complex or sensitive research • the meeting papers of research ethics committees responsible for receiving and determining **sensitive, high-risk and/or complex research ethics clearance applications** • the meeting papers of committees or groups with responsibility for high-level monitoring and oversight of **compliance with all externally regulated ethics clearance obligations** • the records of the resolution and outcome of **investigations into significant incidents, or research ethics complaints or concerns** that are not able to be dealt with using routine processes • the meeting papers of committees or groups with responsibility for **governing and monitoring research training and higher degree candidate supervision programs**.	PERMANENT Retain as State archives
	Medium-term Records Records of medium-term value documenting the governance and ethics management function, including detailed records of: • ethics clearance submissions (1) and decisions on project proposals where the **research subjects are human** (2) • ethical approval submissions and decisions associated with the **use of high-risk material** in a research project. This includes carcinogens, teratogens, ionising radiation and dangerous drugs • ethics approval submissions and decisions for project proposals involving **genetically modified organisms**	TEMPORARY Destroy 25 years after action completed

Reference	Description	Status And Disposal Action
	• records relating to the routine **monitoring** of ethical practices within research projects using **humans (3)**, **high-risk material or genetically modified organisms**, including annual review activities, and internal reports made by project leaders to the ethical approvals group • records of **licences, permits, certifications and accreditations** required to be obtained and maintained for research facilities allocated to research programs involving, and/or research projects using, humans, high-risk material and/or genetically modified organisms. Includes supporting correspondence with relevant regulatory bodies • records relating to the submission of **compliance reports** regarding humans, high-risk material or genetically modified organism research projects to **external regulatory bodies**. Includes clinical trial safety reporting for adverse events, effects or reactions • the discovery of major or moderate **breaches of ethical approvals or other research governance protocols**, and the investigation of these prior to escalation to the executive for resolution. Includes referrals of misconduct to internal staff disciplinary committees and/or external regulatory bodies. Note (1): All ethics clearance submissions and decisions include correspondence with project leaders regarding their submission and the outcome, and supporting documentation provided with the submission such as evidence of relevant qualifications, training and accreditations of the researchers to perform the proposed research. Note (2): Project proposals where the research subjects are human can include research that intends to access for use, experiment with, or study: • Indigenous knowledge, cultural practices and/or artefacts • human tissue, genetic material and/or embryos • historical case records about people, patients, prisoners, or other client groups • other historical sources (such as historical diaries, memoirs or personal papers) describing the diagnoses, physical attributes, and/or behavioural characteristics of identifiable people • population datasets or sources where it may be possible to fully or partially identify the data of individuals or family groups from within the broader dataset, including by matching dataset information with other publicly available data sources e.g. by cross-matching the date and place of a historical crime with a newspaper article collection or historic court index. Note (3): Where a research project is using child participants, 'action completed' must not be considered to have been	

Reference	Description	Status And Disposal Action
	reached until all **child participants are a minimum 18 years of age**.	
	Short-Term Records Records of short-term value documenting the governance and ethics management function, including information relating to: • **ethical clearance** submissions and decisions for projects which will use **animals** as the subject, including correspondence with project leaders regarding submissions and the outcome • ethical approval submissions and decisions associated with the use of **low-risk material** in a research project • the **routine monitoring of ethical practices** within animal research projects, including annual review activities, and internal reports made by project leaders to the ethical approvals group • the submission of **compliance reports regarding animal research** projects to external regulatory bodies • the discovery of **minor breaches of ethics clearances** and other research governance protocols, the response made to address and correct these, and any reports made to external regulatory bodies. Excludes clinical trial safety reporting of adverse events (see class 1.2) • **routine monitoring and reporting** on research project progress against milestones or goals • **annual compliance reports** made to the National Health and Medical Research Council (NHMRC) • records of participating in regular **external audits of animal research projects** to assess animal welfare compliance	TEMPORARY Destroy 10 years after action completed
02.00	**Research Project Management** The operational function of managing research projects from initiation through to conclusion, including: • **project development and planning** - identification of research objectives, methodologies, resource requirements, collaborators, risks and expected outcomes • **grant funding applications and/or budget sourcing** - identification of sources, preparation of applications and submission of supporting information, correspondence with funds provider, and outcomes • **implementation** - setup collaboration and partnerships, and establish lines of communication, liaison with HR for recruitment of project staff, liaison with property management to have facilities allocated and setup, training arrangements, liaison with suppliers of equipment and consumables, applications/registrations for regulatory permissions (accreditations/permits/licences), recruitment of study participants (for human research projects) etc. • **management** - plan and complete research activities, manage budgets and personnel, create and maintain project records, monitor progress against	

Reference	Description	Status And Disposal Action
	milestones and funding requirements, track compliance and regulatory requirements such as licence conditions or permit limits, undertake audits • **project closure** - financial acquittals, preparation of final reports, evaluation/lessons learned, completion reports and/or notifications for internal administrative processes. **See** *DA2594 Human Resources* - Employment Management - for records of the recruitment and general management of research project personnel/staff. **See** *DA2597 Finance and Procurement* - Financial Management - for records of budget preparation and operational management of research project finances. **See** *DA2597 Finance and Procurement* - Grant Management - for grant applications and use of funds. **See** *DA2597 Finance and Procurement* - Tendering, Quotations and Procurement - for records of contracts and agreements, and for records of sourcing equipment and supplies. **See** *DA2599 Property and Fleet Management* - for records of property and facilities management.	
	Records of Continuing Value Records of ongoing value documenting the research project management function, including final approved: • research project **proposals** • research project **proposal amendments which substantively alter the direction** of the research project (e.g. the original avenue of enquiry discarded and replaced, the original methods proposed for data collection replaced, a new/further area of study added following initial results, etc.) • **closing reports** documenting the key outcomes of the project, major milestones reached, issues encountered, lessons learned, any recommendations for further study/future groups studying in similar areas to be aware of, overview of intellectual property gained or commercialisation made.	PERMANENT Retain as State archives
	Short-term Records Record of short-term value documenting the research project management function, including: • **iterative drafts** of project proposals, amendments and reports circulated for feedback, review and/or to collect further input • research **planning**, resource estimations, milestone/progress tracking logs • research **rosters**, task assignment lists, experiment **schedules**, laboratory or facility **bookings** etc. that facilitate the smooth progress of research activities within a group or facility • operational **correspondence with research collaborators or partners** confirming arrangements,	TEMPORARY Destroy 7 years after action completed

Reference	Description	Status And Disposal Action
	timing and type of contributions, and any other aspect of joint planning or execution of research activities • project **risk registers** and mitigation plans • **budget/funding tracking** and routine reporting on spend status to funding providers, including calculations and collation of spending etc. for the production of acquittal reporting • arrangements/agreements to **hire/access specialist research facilities or equipment** external to the organisation in order to complete certain research experiments/access particular technology or knowledge • **outsourcing** specialist tests, data collection, modelling and/or results analysis, skills or equipment operation that would otherwise not be available in the group • market enquiries, surveys or familiarisation to identify **sources of specialist skills, equipment or consumables** • **regulatory compliance records** showing compliance with conditions of permits or licences, e.g. tracking the collection of samples to ensure the quantity allowed by a permit is not exceeded, completing mandatory storage and use logs for handling and use of dangerous substances. Includes preparing for and undertaking audits against compliance requirements • records of group/researcher **accreditation status**, or **facilities certification** held during the conduct of research • **project closure** notifications, final activity requests, and closeout reports made to internal administration units e.g. notification to HR of the expected final day of employment of project staff, notifications to finance of final transactions and instructions for any final balance in research project accounts. Also includes **project recruitment** 'drives' and resulting **participant management**, including: • preparation and distribution of background information on the research aims, methods, eligibility criteria, data collection and use etc. • correspondence with health professionals, specialists, special interest groups and other bodies whose cohort of contacts may match eligibility criteria for study participation • information sessions • records of participant sign-on processes and induction • correspondence with participants regarding interview or consultation bookings, any preparation required, follow-ups, and updates on next steps • participant finalisation and exit, including information on who can be contacted in the future if the participant has a query or issue related to the project.	

Reference	Description	Status And Disposal Action
	Note: For records of data/information collected from participants and ongoing consent for the use of that data/information, see 4.0 Research Data and Records Management. Note: Where a research project is using child participants, 'action completed' must not be considered to have been reached until all **child participants are a minimum 18 years of age**.	
	Facilitative Records Records of that support or facilitate research project management activities, including: • project **resource booking calendars** e.g. bookings for study desks, laboratory bench space, use of machines for experiments, interview or consulting rooms set up for research interviews or consultations with study participants etc. • arrangements and confirmations with **external specialist skills or research service providers** • reference materials, indicative pricing and availability information collected during **market enquiries** for specialist services • project establishment, implementation and/or project closure **checklists and plans, task lists** etc. • **minor records of liaison/interactions** with collaborators and partners in research projects, e.g. invitations to events or meetings, details of appointments with study participants, loan and return of equipment, bookings of specialist equipment or facilities owned/run by a collaborator or partner	TEMPORARY Destroy 2 years after action completed
03.00	**Materials, Specimens and Animal Management** The function of managing the materials, specimens and animals (research resources) used for research purposes by the organisation. Includes processes for: • acquisition and approval • registration and usage • storage and inventory management • material transfer and access controls • compliance administration • animal management and care • disposal • long-term preservation • monitoring and audit. Materials can include: • primary materials - original source materials, can include specimens, samples, artefacts, interview recordings	

Reference	Description	Status And Disposal Action
	• reference materials - scientific literature, books, standards, maps, reference databases, taxonomic keys • research reagents and consumables - chemicals, solvents, antibodies, enzymes, culture media, laboratory kits • experimental materials - test substances, pharmaceuticals, genetically modified organisms, engineered materials • laboratory and field materials - collection equipment, sampling devices, laboratory supplies • research organisms - laboratory animals, microbial cultures, plants, cell lines, model organisms • research collections - museum collections, herbarium specimens, pathology collections, geological collections • reference samples and standards - calibration standards, control samples, certified reference materials. **See** *DA2597 Finance and Procurement* - Assets and Supplies Management - for records of the acquisition, allocation and disposal of radiation equipment (including X-ray equipment). **See** *DA2525 Health Administration* - 12.00 Pharmaceutical Supply and Administration - for records used to maintain and control pharmaceutical stock supplies, and authorisations to supply/prescription records. **See** *DA2609 Student and Academic Administration Management* - Donations and Bequests - for records of the University of Tasmania administered state-wide body bequest program (donation by individuals of their bodies for teaching, education and research).	
	Long-term Records Records of long-term value of the research materials, specimens and animal management function, including: • **indexes or registers** of specimens retained for long-term preservation • records of the acquisition, storage and disposal of **radioactive substances and radiation equipment** • notifications of **breaches, incidents or adverse events** relating to the storage, handling and use of **radioactive substances or dangerous chemicals** that may have caused exposure of workers. Includes records of personal monitoring devices worn by workers which show personal radiation exposure, or health monitoring tests of individuals working with dangerous substances, that show levels of concern.	TEMPORARY Destroy 70 years after action completed
	Short-term Records Records of short-term value documenting research materials, specimens and animal management, including: • details of **permits and licences** that provide permission for research reagents and consumables, (including hazardous or scheduled substances) to be acquired, stored and used; research organisms to be sourced, or	TEMPORARY Destroy 10 years after action completed

Reference	Description	Status And Disposal Action
	primary materials (samples and specimens) to be collected and stored • records of acquisition, storage and use or disposal of **research reagents and consumables**, including **hazardous or scheduled substances** • records of identifying and researching **suppliers** of research materials, specimens, samples and/or animals • **import or export** records for samples, specimens, and materials • storage **inventories and logs** of additions/removals e.g. specimen/sample logs for freezer or cryogenic storage • **chemical usage records** including herbicide or pesticide spray diaries, pest eradication program distribution records (e.g. baits and traps) etc. • **inventory checks and stocktake** of research materials and specimens • arrangements and approvals for **transfers (in or out)** of research materials, specimens and/or animals to/from other research groups or locations. Includes transport arrangements • arrangements for, and results of, **facility inspections** • routine **monitoring of radioactive substances**, including **safety audits**, radiation level monitoring and safety device checks, where no breaches or issues are detected • **data collection and collation for compliance** reporting purposes • **accreditation or certification of animal research facilities**, including separate facilities used to house and care for research animals that may be located offsite. Includes records of incidents or issues that must be investigated and/or documented as part of accreditation or certification compliance e.g. animal escape, quarantine breach, disease outbreak, injury to handler etc. (for records of breaches of ethics clearances for animal research see Section 1.0) • details of **researcher's accreditation and associated permits/licences** to conduct research using animals provided to the animal management unit when ordering or arranging for the acquisition and management of nominated animals for research purposes • **animal husbandry** (housing, routine care, veterinary care, feeding, transport etc.) records, including stock registers, breeding registers and inventory for feed, supplies and other consumables • animal **identification and tagging** systems • **requests and instructions** received from researchers for particular diets, drugs, or other substances to be administered to animals, fasting regimes, and/or for animals to be kept in particular housing arrangements/breeding pairs as part of a research	

Reference	Description	Status And Disposal Action
	project. Includes instructions concerning preparation of animals for surgery, or euthanasia • **disposal** of animal remains or specimens • arrangements for **specialist waste collection** and disposal services • arrangements for **specimen or sample preservation** treatments for long-term retention.	
04.00	**Research Data and Records Management** The function of managing research data, and records created or collected during research projects which support its management. Includes **management records** of: • data management planning • metadata creation • data classification • secure storage and access control • publication of datasets as part of, or to support, research outputs • availability for reuse • long-term preservation • disposal. Also includes the **operation of research data repositories**, and the provision of **guidance, training, and technical support** to researchers in managing research data. Note: In cases where a research project is operating under an agreement that stipulates that ownership of the data does not rest with the agency, and includes a mandatory retention period for the data (whether shorter or longer than the relevant retention periods in this disposal authority) or for any copies of the data held by the agency, the **terms of that agreement override the retention requirements of this disposal authority**. For example, an agreement with the Commonwealth Department of Defence may vest ownership of the resulting research data in the Australian Government, and require the partner Tasmanian agency or university to destroy its copies of research data immediately following the end of the relevant research project agreement. See Section 6.0 of this DA for coverage of intellectual property and commercialisation information. **See** *DA2598 Information Management and Systems* - for records of corporate information management controls, metadata schemas, or classifications. **See** *DA2598 Information Management and Systems* - for records of enquiries and requests lodged with the agency under its Privacy Policy or framework, or its Right to Information processes.	
	Records of Continuing Value Records of ongoing value documenting the research data and records management function. Includes **control records** such as registers and indexes for research data collections giving details of control numbers, titles, dates, security classifications, disposal details etc.	PERMANENT Retain as State archives

Reference	Description	Status And Disposal Action
	Research datasets or data collections of ongoing value that record research of historical, environmental, cultural or scientific significance, including: • long-term environmental monitoring • biodiversity and fisheries datasets • intentional release of genetically modified organisms data • climate and Antarctic research data • Indigenous cultural knowledge datasets (subject to cultural protocols) • major health and epidemiological datasets • unique event datasets (pandemics, large-scale bushfires, marine heatwaves) • data supporting landmark scientific discoveries. Also includes research data created in the conduct of a research project that is of **high public interest, or significance** to the discipline that it has changed or will change a commonly held view or approach, irrespective of the field in which the research is conducted. Includes projects which: • are controversial • are the subject of extensive debate • arouse widespread scientific or community interest • involve the use of major new or innovative techniques • have the potential to cause major adverse impacts on the environment, society or human health. Also includes: • **records of permission or agreement given by Indigenous owners or custodians** for Indigenous cultural knowledge datasets to be made available in the State Archive Collection for public access and/or any conditions placed upon access or use of the dataset by members of the public. Note: Indigenous cultural knowledge datasets may only be sentenced as Permanent under this class **if** written permission or agreement has been given for the dataset/s to be kept permanently.	
	Medium-term Records Research data of medium-term value created in the conduct of research projects that are required to have ethics clearance for health research using direct patient participation in: • the conduct of **clinical trials** • **health treatment and care studies**, including those studying mental health treatment and care • **qualitative health research**.	TEMPORARY Destroy 25 years after action completed

Reference	Description	Status And Disposal Action
	Also includes: • records of **informed consent** given by participants • records of **Indigenous cultural knowledge datasets** for which permission or agreement has not been given for Permanent retention under Class 4.01. Note: Research using direct participation of child patients must not consider 'action completed' to have occurred until the **child is a minimum 18 years of age**.	
	Short-term Records Research data of short-term value created in the conduct of research projects, including: • research that requires ethics clearance for the use of **human participants**, but is **nota health research project** based on the conduct of a clinical trial, a health treatment and care study, or a qualitative health study • research that requires ethics clearance for the use of **animals** • research that does not **require an ethics clearance** • records of **informed consent** collected as part of any research listed above in this class involving human participants, irrespective of ethics clearance requirements. Also, operational records of short-term value documenting research data management, including: • research **data collection and use plans** • **metadata** requirements • determination of **data classification schemas**, or parts of schemas to be applied to research datasets (e.g. Australian Biological Resources Study taxonomy for research into living organisms, Australian Ocean Data Network Vocabularies for marine science, Geoscience Australia Vocabularies for earth sciences etc.) • **access control checklists** and instructions completed by project leaders to identify and set **accessibility parameters** for project research data, including security classification checklists • requests and notifications for **dataset extraction or publication** • **end of project instructions** for research data, including nominated custodian for any queries, ongoing access restriction requirements, disposal timeframes and future reuse options • requests and notifications for **long-term preservation** of research datasets, including justification, agreed format, storage location, transfer requirements (e.g. if preparing a Permanent data set for transfer to the State Archive Collection), etc.	TEMPORARY Destroy 10 years after action completed

Reference	Description	Status And Disposal Action
	• **disposal** planning, approvals and confirmations for research project data.	
	Facilitative Records Records that support research data management operations, including: • records of **routine checks and maintenance** reports on research data management repositories • **responses to queries, provision of guidance and technical support** given to researchers who are managing research data in repositories or storage systems • provision of research data repository/system **training and familiarisation** to users.	TEMPORARY Destroy 1 year after action completed
05.00	**Research Outputs** The function of managing the production, publication and dissemination of new knowledge and/or capability resulting from research carried out by the agency. Includes **traditional research outputs**: • published outputs such as journal articles, scholarly books and monographs or book chapters • conference papers and conference proceedings • research reports, commissioned study reports and policy papers prepared for governments, industry or community organisations • Higher Degree by Research (HDR) theses. May also include research data outputs, such as **published datasets, databases, data collections and data repositories** that support transparency, reuse and verification of research findings. **Non-traditional research outputs** may include: • creative works, including portfolios, renderings or recordings of works • live performances • curated exhibitions and public events. **Other research outputs** may include products such as: • software or computer code • technical standards and methodologies • digital media and audiovisual productions. For patents and intellectual property management see Section 6.0 Intellectual Property and Commercialisation. **See** *DA2595 External Relations* - for records of publishing activities where an output that is a research paper, article or book is self-published by the agency.	
	Records of Continuing Value Records of ongoing value documenting agency research outputs that are:	PERMANENT Retain as State archives

Reference	Description	Status And Disposal Action
	• **significant** (1) papers, articles or published works, events, exhibitions or other final outputs of agency research projects • **higher degree theses** and other outputs including exegeses, creative works or other major works arising from a candidate's research • **honours degree theses** with a **primary topic directly related to the state of Tasmania**, its inhabitants, history, flora or fauna. Note (1): Significant research outputs include those which: • document **major discoveries** - evidence of an original discovery with potential long-term consequences, that substantially advances knowledge or understanding by producing new theories or interpretations of an existing body of knowledge • create an **enduring or irreplaceable longitudinal record** e.g. create a collection or set of observations that document important changes or developments over time, and that either cannot readily, or cannot ever, be replaced, reconstructed or simulated • document **notable innovations or methodical advances** e.g. development of new technologies, models, tools or approaches with enduring research or practical value • are recognised as have **exceptional national or international significance** e.g. awarded a prestigious prize, showcased at a premier gathering for that specific field of research • document **research of particular importance to Tasmania** - research that substantially advances knowledge of Tasmania's people, history, culture, environment, economy, society or other distinctive characteristics • reveal **major cultural or heritage discoveries** - research that identifies or substantially changes understanding of important places, objects, communities, traditions, events or cultural practices • **materially influence policy, practice or public understanding** through changes to legislation, government policy, professional practice or industry standards • represent **exceptional creative or artistic research** - outputs that demonstrate influential contributions to artistic, cultural or creative practice, including artworks, performances, compositions, exhibitions, creative works or new forms of practice with enduring cultural, research or public value • attract **substantial controversy or public debate** - research outputs that generate sustained controversy, challenge prevailing views or provoke significant public,	

Reference	Description	Status And Disposal Action
	professional or academic debate, particularly where that have enduring implications for knowledge, policy or society.	
	Short-term Records Research outputs of short-term value, including: • papers, briefings or presentations on the **interim** outcomes of a research project • papers, briefings or presentations on the final outcomes of a research project that are **do not** meet the criteria of being significant research outputs (as documented in Class 5.01) • honours degree theses with a primary topic that is **not** directly related to the state of Tasmania, its inhabitants, history, flora or fauna.	TEMPORARY Destroy 10 years after action completed
06.00	**Intellectual Property and Commercialisation** The function of managing intellectual property arising from the agency's research programs, and any commercialisation of research outputs. **Examples of intellectual property** include: • inventions • patents • software • databases • plant varieties • designs • copyright works • confidential information • innovations in methodologies or processes. **Methods of managing intellectual property** can include: • applying for patents • managing copyright • licensing the use of the intellectual property • managing confidentiality arrangements. Research outputs can be **commercialised** by: • licensing • industry partnerships • start-up companies • other methods that transfer research knowledge and design into practical outcomes. **See** *DA2596 Strategy and Governance* - 4.0 Legal Services - for records of legal advice and legal matters e.g. litigation. **See** *DA2597 Finance and Procurement* - 3.0 Tendering, Quotations and Procurement - for records of commercialisation activities undertaken through tenders, expression of interest, or standard procurement processes.	

Reference	Description	Status And Disposal Action
	Records of Continuing Value Records of ongoing value documenting the intellectual property and commercialisation function, including: • **registers** of intellectual property, including patents and copyright granted • records of the granting or registration of **copyright**, including applications and renewals • records of applications for **patents**, successful and unsuccessful • records of **commercialised product agreements**, including licence deeds, confidentiality deeds, sub licensing and deeds of indemnity • records of the resolution of **formal challenges made to the ownership** of intellectual property, copyright ownership, or the terms of a joint agreement for commercialisation • the process of **bringing patented** medical, gene technology, pharmaceutical or biotechnology **inventions to market** • the process of **commercialising** major marine, Antarctic, agricultural or environmental **technologies** e.g. satellite and remote-sensing technologies developed for Antarctic and Southern Ocean research, or autonomous underwater vehicle and associated sensor system technologies • the **establishment of companies** in which the agency is a founder, partner, owner or has a substantial financial interest in • research **partnerships** that resulted in **substantial commercial returns**.	PERMANENT Retain as State archives
	Short-term Records Records of short-term value documenting the intellectual property and commercialisation function, including: • preliminary **patent searches** • **draft invention disclosure** forms circulated for internal review • initial assessments of the **market potential** of a research discovery • licensing **negotiations** that **do not result in agreements** • **royalty** calculations and payments • **distribution schedules** • **operational correspondence** with commercial partners • the resolution of **minor disputes** concerning the ownership or rights to intellectual property or copyright, or the terms of a joint agreement for commercialisation • payment of **patent maintenance fees** • **responses to enquiries** from potential investors or industry partners that do not progress	TEMPORARY Destroy 7 years after action completed

Reference	Description	Status And Disposal Action
	• **routine monitoring** of intellectual property assets and resulting reports on status, value, usage and issues • the **assessment** of research discoveries that are formally determined to have **no commercialisation potential**.	
07.00	**Research Collaboration** The function of managing collaborations with partners during research activities. **Collaborators** may include: • universities or higher education institutions • Australian Government agencies • state government departments • industry partners • community organisations • research institutes, e.g. Murdoch Children's Research Institute, Australian Housing and Urban Research Institute • international institutions, e.g. British Antarctic Survey, Antarctic Wildlife Research Fund. Collaborations may **involve**: • jointly conducted research • contract research • cooperative research programs • industry-sponsored projects • student research supervision • shared infrastructure • participation in national or international research initiatives. Includes the establishment, management and closure of **Cooperative Research Centres** - collaborative joint ventures for the purposes of conducting research to address practical challenges or produce practical outcomes for industry. **See** *DA2595 External Relations* - for records of corporate partnerships and agreements. **See** *DA2609 Student and Academic Administration Management* - for records of academic collaborations in teaching and learning programs.	
	Records of Continuing Value Records of ongoing value documenting the research collaboration function, including records of the establishment, annual reporting, decisions to terminate, and final reports of the overall project for: • major research collaboration agreements - significant long-term partnerships and collaborative arrangements e.g. agreements establishing the Australian Antarctic Program Partnership or the Institute for Marine and Antarctic Studies (IMAS) • landmark collaborative research projects documenting research of exceptional scientific, environmental, social, cultural or economic significance.	PERMANENT Retain as State archives

Reference	Description	Status And Disposal Action
	• collaborations that contribute to major national or international policy, international accords, treaties, or protocols e.g. the Antarctic Treaty System conventions for sustainable fisheries in the Southern Ocean • Cooperative Research Centres (CRCs) established under the Australian Government's CRC program to address major economic, environmental, social or technological challenges e.g. Seafood Cooperative Research Centre (fisheries, aquaculture, seafood production and seafood industry innovation), Bushfire and Natural Hazards Cooperative Research Centre (natural hazards and resilience research) • intellectual property transfer arrangements following the conclusion of a research collaboration arrangement.	
	Medium-term Records Records of medium-term value documenting the research collaboration function, including: • **collaboration agreements** with an expected duration of more than 5 years, **and** that include the use of **shared premises** for the duration of the collaboration or the joint purchase of research equipment and infrastructure • **data sharing agreements** • **collaboration agreements** covering the **commercialisation** of research outputs, **royalty and ownership** agreements • **international research collaboration** project agreements, establishment and project closure documentation • records of **dispute resolution** that require **external mediation** or dispute resolution services, including matters heard by a court or tribunal. For records of disputes and formal challenges to intellectual property ownership and rights, copyright or the terms of a joint agreement for commercialisation, see Section 6.0 Intellectual Property and Commercialisation.	TEMPORARY Destroy 15 years after action completed
	Short-term Records Records of short-term value documenting research collaboration, including: • **routine research collaboration agreements** establishing research partnerships of 5 or less years of fixed term duration, or that do not include sharing premises or the joint purchase of research equipment or infrastructure • memorandums of understanding and other formal **arrangements solely for sharing equipment, infrastructure and/or expertise**, but not for the production of joint research outputs	TEMPORARY Destroy 7 years after action completed

Reference	Description	Status And Disposal Action
	• research partner **onboarding and induction** arrangements • **operational correspondence** between the parties to manage collaborative research work • **routine dispute resolution** for minor matters resolved internally by the parties • **closure and transition working plans** for the end of research collaboration arrangements, including nomination of successors, disposition of datasets, collections, specimens and research infrastructure, etc. which are summarised or substantively captured in formal documentation submitted to the executive or governing committee for approval.	
08.00	**Higher Degree Candidate Supervision** The function of supervising candidates - students who are enrolled in a higher degree by research (HDR) at the University to undertake a doctoral or Masters by Research degree. Supervision comprises: • guidance through the design, conduct and completion of an original research project • ensuring compliance with all relevant standards, policies, procedures and codes of conduct relating to research and research training • documenting progress, evaluating milestones, managing leave or approving variations to candidature • supporting candidates through examination or assessment processes. **See** *DA2158 Short Term Value Records* - Class 1.1.7 Documents containing personal information and copies of personal documents acquired by the organisation but which are not required on a continuing basis - for records submitted online in support of applications for temporary leave, or suspension of candidature. **See** *DA2609 Student and Academic Administration Management* - for records of candidate enrolment, assessment and results. **See** *DA2596 Strategy and Governance* - for records of policy, procedures and guidelines; and research committees.	
	Medium-term Records Records of medium-term value documenting the supervision of candidates while undertaking a higher degree by research. Includes formal notes taken and/or records made of: • a supervisor's role in recruitment and selection of candidates • supervision meetings and written feedback on progress, including research plans an thesis drafts or related outputs • any other element of input or guidance given to the candidate regarding their research project	TEMPORARY Destroy 15 years after action completed

Reference	Description	Status And Disposal Action
	• information provided by candidates regarding personal or external factors impacting their candidature (e.g. issues impacting the candidate's: health, accommodation, family or other personal issues, visa or other residential status, etc.) • requests for temporary leave or suspension of candidature • correspondence other documentation produced by a supervisor in support of a candidate resolving a personal or external issue, including to internal departments and to external parties (landlord, medical professional, immigration agency, etc.) • arrangements for 'return to study' for a candidate following temporary leave or suspension of candidature, or alteration in candidature status e.g. from full time to part time to support a candidate unable to study full time. Includes records of formal milestones, such as: • assessments of progress • supporting documentation • correspondence with candidates • appeals • decisions to withdraw, take leave of absence, or suspend candidature. Also includes records of: • seeking and assessing supervisors for candidates, including industry experts or professional practitioners external to the University • supervisor induction or training completion • evidence supporting eligibility to supervise from any relevant professional association, registry or industry regulatory board (if required for the particular industry the supervisor is drawn from) • formal approval or appointment of a person as a supervisor to a particular candidate, including the supervisory role they are to perform (principal supervisor, co-supervisor), and other supervisors they will work with as a supervisory team for that candidate. Note: Copies of personal circumstance information* that a candidate submits online or via email, in support of a request for leave or suspension of candidature, and that, if presented in person, would be viewed, noted and returned, rather than collected or captured in full, should be destroyed in accordance with DA2158 class 1.1.7 (Personal information not required on a continuing basis to support the business transactions to which they relate). *this may include information provided to illustrate personal or external factors temporarily impacting candidature, e.g. a notice from a landlord to terminate a lease, attendance at	

Reference	Description	Status And Disposal Action
	court or jury duty notifications, confirmation of bookings for medical or surgical procedures, or the diagnosis of health conditions etc.	
	Facilitative Records Records which support the supervision of a particular HDR candidate, or HDR candidates in general, or that arise in connection with supervision but which are of a facilitative nature rather than evidentiary. Includes: • routine arrangements and bookings for progress meetings, annual progress review meetings, and attendance at research group or team meetings • newsletters, circulars and/or notifications of upcoming events, talks or gatherings that are relevant to the candidate's area of research, or that candidates in general may find useful to attend • housekeeping announcements and reminders of upcoming milestones, due dates and other calendar events/obligations that candidates should be aware of • individual completed feedback surveys on candidate experience. For records of reports documenting the analysis of feedback provided by candidates, including datasets compiled from multiple surveys, see DA2609 Student and Academic Administration, Section 1.0 University Program Development and Management.	TEMPORARY Destroy 1 year after action completed