

Item No.	Activity/Subject/Description	Minimum Disposal Action	Record Examples	Requirements/ Remarks
6.1	<p>Allegations</p> <p><i>The activities associated with allegations of misconduct by hospital researchers.</i></p>			
6.1.1	Records relating to misconduct allegations against researchers that <u>are deemed as legitimate, are sustained and result in a formal Inquiry conducted within the hospital.</u>	PERMANENT	<input type="checkbox"/> Written Complaints <input type="checkbox"/> Correspondence to Hospital CEO <input type="checkbox"/> Notification of Actions <input type="checkbox"/> Written Statements of Allegations <input type="checkbox"/> CEO Reports <input type="checkbox"/> Notifications of Inquiry <input type="checkbox"/> Accused Researchers Written Response <input type="checkbox"/> Findings of Inquiry	
6.1.2	Records relating to the initial inquiry of misconduct allegations against researchers that <u>are proved unsubstantiated or unjustified and do not lead to further investigation or a formal Inquiry.</u>	TEMPORARY Destroy 7 years after last action	<input type="checkbox"/> Written Complaints <input type="checkbox"/> Correspondence to Hospital CEO <input type="checkbox"/> Notification of Actions <input type="checkbox"/> Written Statements of Allegations <input type="checkbox"/> CEO reports	
6.1.3	Records relating to misconduct allegations against researchers that <u>are deemed as legitimate but cannot be sustained and therefore do not lead to a formal Inquiry.</u>	TEMPORARY Destroy 7 years after last action		

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<p>6.2</p> <p>6.2.1</p>	<p>Appeals</p> <p>Records relating to <u>appeals</u> lodged by researchers found of misconduct by a formal inquiry held within the hospital.</p>	<p>PERMANENT</p>		
<p>6.3</p> <p>6.3.1</p>	<p>Applications</p> <p><i>The activities associated with the preparation and submission of applications by hospital staff to conduct research.</i></p> <p>Records relating to the <u>screening of applications</u>, including the approval or rejection of applications by Research and Ethics Committees.</p>	<p>PERMANENT</p>		
<p>6.4</p>	<p>Committees</p> <p><i>The activities associated with the management of committees and task forces (Keyword AAA: A thesaurus of general terms. Archives Authority of NSW. 1998).</i></p> <p>See also 5.2 QUALITY IMPROVEMENT - Committees.</p> <p>(Continued next page)</p>			

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6.4	Committees (cont'd)			
6.4.1	Records of meetings of <u>Committees and task forces</u> established to approve and oversee research conducted by hospitals, eg Research & Ethics Committees.	PERMANENT	<input type="checkbox"/> Minutes & Agendas <input type="checkbox"/> Reports (inc Annual & Final) <input type="checkbox"/> Submissions <input type="checkbox"/> Applications <input type="checkbox"/> Protocols	
6.4.2	Records relating to the <u>establishment of the Committee</u> , including the appointment of members.	PERMANENT	<input type="checkbox"/> Information sheets <input type="checkbox"/> Requests for Extensions/ Modifications <input type="checkbox"/> Terms of Reference	
6.5	Compliance			
6.5.1	Records relating to meeting the <u>requirements</u> of the <u>National Health and Medical Research Council</u> .	PERMANENT	<input type="checkbox"/> Annual Reports	
6.6	Conflict of Interest			
6.6.1	Records relating to <u>the disclosure of a conflict of interest</u> in research by a research worker.	TEMPORARY Destroy 15 years after research project completed		<i>National Health & Medical Research Council</i>

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<p>6.7</p> <p>6.7.1</p>	<p>Consent</p> <p>Records relating to obtaining <u>informed consent from subjects</u> taking part in research projects or trials.</p>	<p>TEMPORARY</p> <p><i>Adults/Non-Legal Disability –</i> Destroy 15 years after research project completion</p> <p><i>Minors/Legal Disability –</i> Destroy 30 years after research project completion</p>	<p><input type="checkbox"/> Information Sheets</p> <p><input type="checkbox"/> Consent Forms</p>	<p><i>Limitation of Actions Act 1936, s45.</i></p> <p><i>National Health & Medical Research Council</i></p>
<p>6.8</p>	<p>Data Management</p> <p>All <u>research data</u>, including electronic data.</p>	<p>TEMPORARY</p> <p>Destroy 15 years after research completed or last contact, whichever is later</p>	<p><input type="checkbox"/> Statistical Packages</p>	<p><i>Data must be recorded in a durable and appropriately referenced form and comply with relevant privacy protocols, such as the Australian Standard on Personal Privacy Protection. Ref. Para 2.1 of NH&MRC/AVCC Statement.</i></p>

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6.9	Evaluation/ Program Appraisal <i>The activity of either self-evaluation and appraisal of research programs and services or the conduct of evaluation by an external agency or unit, eg National Health & Medical Research Council.</i>			
6.9.1	Records relating to the evaluation of <u>significant hospital research programs</u> . Programs may be significant because of level of funding allocated, joint initiative involving federal, state and local authorities/organisations, create controversy or public/media reaction.	PERMANENT	<input type="checkbox"/> Evaluation Reports	<i>National Health & Medical Research Council</i>
6.9.2	Records relating to evaluation of <u>minor hospital research programs</u> .	TEMPORARY Destroy 15 years after last action		
6.10	Funding Application			
6.10.1	Records relating to <u>obtaining resources</u> to undertake <u>significant research projects</u> . Such projects may be significant because of degree of financial input, scale of scope or statewide or national recognition.	PERMANENT	<input type="checkbox"/> Project Plans <input type="checkbox"/> Grant Proposals <input type="checkbox"/> Funding Applications	<i>National Health & Medical Research Council</i>
6.10.2	Records relating to <u>obtaining resources</u> to undertake <u>minor research projects</u> .	TEMPORARY Destroy 15 years after last action	<input type="checkbox"/> Project Plans <input type="checkbox"/> Grant Proposals <input type="checkbox"/> Funding Applications	

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<p>6.11</p> <p>6.11.1</p>	<p>Modification to Protocol/ Extension Requests</p> <p>Records relating to researchers seeking <u>modifications to an approved protocol</u> or where an <u>extension of the period</u> for which approval is given is sought.</p>	<p>PERMANENT <i>Research & Ethics Committee Copy</i></p> <p>TEMPORARY <i>Researcher Copy - Destroy 15 years after research completed</i></p>	<p><input type="checkbox"/> Reports</p> <p><input type="checkbox"/> Applications for Extension</p>	<p><i>National Health & Medical Research Council</i></p>
<p>6.12</p> <p>6.12.1</p>	<p>Monitoring/Review</p> <p>Records relating to the <u>monitoring</u> of research progress and/or status.</p>	<p>TEMPORARY <i>Adults/Non-Legal Disability – Destroy 15 years after research project completion</i></p> <p><i>Minors/Legal Disability – Destroy 30 years after research project completion</i></p>	<p><input type="checkbox"/> Annual Progress Reports Generated by Researchers</p> <p><input type="checkbox"/> Other Reports as Required of Researchers by Research & Ethics Committees</p>	<p><i>Limitation of Actions Act 1936, s45.</i></p> <p><i>National Health & Medical Research Council</i></p>

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6.13	<p>Policy <i>The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined (Keyword AAA: A thesaurus of general terms. Archives Authority of NSW. 1998).</i></p>			
6.13.1	Records relating to the <u>development of hospital-wide policies</u> relating to research and ethical research conduct.	PERMANENT	<input type="checkbox"/> Policy Statements <input type="checkbox"/> Final Reports <input type="checkbox"/> Terms of Reference	
6.13.2	<u>Supplementary records</u> relating to the background and development of hospital policies relevant to research.	TEMPORARY Destroy 2 years after last action	<input type="checkbox"/> Working Papers <input type="checkbox"/> Interim and Draft Reports <input type="checkbox"/> Surveys <input type="checkbox"/> Policy Proposals Not Adopted	

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<p>6.14</p> <p>6.14.1</p>	<p>Recruitment of Subjects</p> <p>Records relating to the <u>recruitment of subjects</u> by researchers.</p>	<p>TEMPORARY</p> <p><i>Adults/Non-Legal Disability –</i> Destroy 15 years after research project completion</p> <p><i>Minors/Legal Disability –</i> Destroy 30 years after research project completion</p>		<p><i>Limitation of Actions Act 1936, s45.</i></p> <p><i>National Health & Medical Research Council</i></p>
<p>6.15</p> <p>6.15.1</p> <p>6.15.2</p>	<p>Reporting</p> <p><i>The processes associated with initiating or providing formal response to a situation or request (either internal, external, or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation (Keyword AAA: A thesaurus of general terms. Archives Authority of NSW. 1998)</i></p> <p><u>Master copies of final reports</u>, including journal articles, published or unpublished, produced by researchers after completion of a research project.</p> <p><u>Copies</u> of research reports.</p>	<p>PERMANENT</p> <p>TEMPORARY Destroy when reference ceases</p>		

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6.16	<p>Research Practice/Activities</p> <p><i>The activities involved in the actual performance or carrying out of research by research workers, including analysis, interviews, questionnaires, and trials.</i></p>			
6.16.1	Records relating to the actual practice or performance of research, including clinical trials sponsored by pharmaceutical companies.	<p>TEMPORARY</p> <p><i>Adults/Non-Legal Disability – Destroy 15 years after research project completion</i></p> <p><i>Minors/Legal Disability – Destroy 30 years after research project completion</i></p>	<input type="checkbox"/> Results <input type="checkbox"/> Notes <input type="checkbox"/> Samples & Specimens	<p><i>Limitation of Actions Act 1936, s45.</i></p> <p><i>National Health and Medical Research Council</i></p> <p><i>NOTE: The disposal action of '15 years after project completed' is a minimum requirement. Where pharmaceutical company sponsors stipulate longer retention, researchers may adhere to such requirements.</i></p>

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<p>6.17</p> <p>Standards</p> <p><i>The process of developing or implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency (Keyword AAA: A thesaurus of general terms. Archives Authority of NSW. 1998).</i></p> <p>6.17.1</p> <p>6.17.2</p>	<p>Records relating to the <u>development and implementation of research and ethics standards</u> by a hospital and applied at the institutional level.</p> <p><u>Supplementary records</u> relating to the development of research and ethics standards by the hospital.</p>	<p>PERMANENT</p> <p>TEMPORARY Destroy 2 years after last action</p>	<p><input type="checkbox"/> Codes of Conduct <input type="checkbox"/> Key Performance Indicators</p> <p><input type="checkbox"/> Reference Material <input type="checkbox"/> Working Papers <input type="checkbox"/> Drafts</p>	
<p>6.18</p> <p>6.18.1</p>	<p>Supervision</p> <p>Records relating to the <u>supervision of research or research projects by chief investigators</u>, including the observance of any responsibilities as supervisors set out in guidelines or standards and the appointment of a person as supervisor.</p>	<p>TEMPORARY</p> <p><i>Adults/Non-Legal Disability – Destroy 15 years after research project completion</i></p> <p><i>Minors/Legal Disability – Destroy 30 years after research project completion</i></p>		<p><i>Limitation of Actions Act 1936, s45.</i></p> <p><i>National Health & Medical Research Council</i></p>

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