PROCEDURE	ACADEMIES AUSTRALASIA POLYTECHNIC

Ref. to Legislative Frameworks: HESF2015: Standard 7.3.1 / 7.3.2 / 7.3.3 SRTO2015: Standard 3.6 / 8.5 National Code 2018: Standard 3 / 6 / 7 / 8 / 9 / 10 Retention and Disposal Authority for Records of the Higher and Further Education Functions 2019 Reference 1 / 2 / 4 / 5	**Records Management**	
Version: 3.0	Approved by: Chief Executive Officer	Approved on: 17/12/2019 Review by: 17/12/2021

Revision History

Current Version	Description of Change	Procedure Writer	Effective Date
3.0	Updated reference from the Retention and Disposal Authority for Records of the Higher and Further Education Functions. Update retention duration for both HE and VET assessment items. Added procedure for managing student records.	CEO and Compliance Manager	17/12/2019
2.0	Update to the Schedule of Records Retention and Disposal	CEO	1/08/2018
1.3	Policy and procedure review	CEO	31/03/2018
1.2	Added references to National Code 2018	Quality Assurance Support Officer	20/01/2018

PURPOSE

The procedure documents the organisational process and requirements for management of student data, records and information for students enrolled at Academic Australasia Polytechnic (AAPoly). Records management is a legal obligation that applies to administrative and operational functions of AAPoly.

POLICY STATEMENT

Information systems and records are managed securely and confidentially by:

a) maintaining accurate and current records of enrolments, progression, completions and award of qualifications
b) preventing unauthorised or fraudulent access to private or sensitive information, including information where unauthorised access may compromise academic or research integrity
c) documenting and recording responses to formal complaints, allegations of misconduct, breaches of academic or research integrity and critical incidents

SCOPE

This procedure applies to data, information and records received, utilised, maintained, copied, disseminated, legally filed or disposed of by AAPoly in relation to students. It also applies to electronic records, including database, electronic mail, audio recording and other forms of work completed by or on behalf of AAPoly in any format.

The Records Management Procedure applies to all AAPoly staff involved in managing student records in all the courses delivered by AAPoly.

PROCEDURE

Managing Student Records

1. When a student applies to enrol at AAPoly, the Marketing Manager (MM) creates a unique record in Paradigm for the student.

2. MM uploads in Paradigm the admission documents submitted by the student including but not limited to signed and dated application form, offer letter and student agreement, academic documents, and copy of the passport.

3. When the student commences the course they provide the following information:

    a) the student's current residential address;
    b) the student's mobile phone number (if any);
    c) the student's email address (if any); and
    d) any other details prescribed by the regulations

4. While the student progresses with their studies, any information relating to the student's course and details are continuously updated in Paradigm by the Student Services Officer (SS). This information is stored in the student file and Paradigm.

5. Every 3 months, AAPoly prompts the student via Paradigm to verify/confirm and update their details. Every fortnight, SS generates the student details report from Paradigm, and updates any changes to a student's details in PRISMS SS within 14 days of the change.

6. Staff members record each communication sent to students including Warning and Intention to Report Letters and scan and upload completed forms from the student in Paradigm, such as, Refund Request and Request for Leave of Absence.

7. Academic staff record notes in Paradigm about the student's course progress during the course.

8. Once a student completes a unit/subject, the Trainer/Assessor or Lecturer records the result in Paradigm. They also submit all the completed assessment evidence to the Faculty Head (Vocational and Educational Training) (FH) or the Academic Dean (AD) for securely storage. The FH and AD retain all completed assessment items in an archive box using the College's box label template in each box.

9. At the end of each term/semester, the FH and AD provide all archive boxes to the Head of SS. The Head of SS logs items of records to be archived in the Archive Register. Head of SS monitors and updates all the records in the Archive Register and checks when to commence destruction of records once the retention period has lapsed and approved by CEO in writing as per the retention requirements outlined in the Appendix.

10. At the end of the student's course, SS produces the appropriate certification documentation for the student as per the Issuance of Certification Documentation for VET Qualifications, and the Issuance of HE Testamurs, Graduation Statements and Official Transcripts procedures for Higher Education. A scanned copy of the certificate is saved in Paradigm. The student's status is updated in Paradigm as completed.

Security and Retention of Student Records Guidelines

1. Onsite server back-ups are done on a weekly basis and stored off-site by the IT Manager.
2. Student information is stored in Paradigm. Other documents are saved in AAPoly server managed by the IT Manager.
3. Access to Paradigm is granted based on levels of security.
4. Only Heads of Departments or the CEO may grant access to the securely stored data. The access to devices and applications that are linked to the data is on needs basis and will be reviewed annually.
5. Audio recording of meetings to assist with the accuracy of meeting minutes are temporary and must be destroyed immediately after the formal minutes are approved by the relevant sitting committee. The approved formal minutes take precedence over any audio recordings.
6. Alleged breaches of records management policy and procedure are raised to the attention of respective Heads of Departments who will then forward the notifications to the CEO for investigation and resolution.
7. The CEO will investigate suspected or actual breaches of the Policy and Procedure and apply the necessary disciplinary actions.

RESPONSIBILITIES

1. The Chief Executive Officer (CEO) of AAPoly is responsible for ensuring that AAPoly complies with the law governing records management including:

   a. Retention and Disposal Authority for Records of the Higher and Further Education Functions 2019
   b. Higher Education Standards Framework 2015
   c. Standards for National Registered Training Organisations 2015
   d. Information Privacy Higher Education Support Act 2003 (Cth)
   e. Health Records Act 2001 (Vic)
   f. Education Services for Overseas Students Regulations 2019
   g. Financial Management Act 1994 (Vic)
   h. Freedom of Information Act 1982 (Vic)
   i. Public Records Act 1973
   j. Crimes Act 1958 (Vic)
   k. The CEO authorises (in writing) the destruction of records. The CEO also receives and acts on any notifications of alleged breaches of the Records Management Policy and Procedure.

2. Heads of Departments are responsible for communicating this procedure to the members of their teams. They should also role model, monitor and support positive recordkeeping practices within their respective work areas.

3. The Head of Student Services (SS) is responsible for ensuring all records outlined in this procedure are retained and stored safely and securely, and are ready upon request.

4. The Head of SS and IT Manager are responsible for retention, management and disposal of records in reference to the procedure and ensure technology used to retain records is effectively managed, and electronic records are securely stored and backed up.

5. The Head of VET and the Academic Dean ensures that student academic records are appropriately gathered during and at the completion of a training program and are suitably bundled, which includes the following:
   a. Ensure student records are fully completed with sufficient information recorded by Trainers/Assessors or Lecturers to allow an independent review of the assessment decision by a third party.
   b. Record, in detail, the interpretation of assessment evidence with suitably detailed comments to support their assessment decision.
   c. Monitor the sufficiency of records storage and handling and propose opportunities for improvement in accordance with the continuous improvement policy as required.
   d. Use authorised AAPoly records only to record student progress and the outcomes of assessment activities.

FEEDBACK

Please contact the CEO through email suggestionstotheceo@aapoly.edu.au to convey any queries or feedback about this procedure. The CEO will respond in writing to the query or feedback within two (2) weeks after the query or feedback is received, unless in an urgent or extenuating circumstance when an immediate response is required. The query or feedback and the response will be recorded in the Continuous Improvement register and utilised in the future review of the policy and procedure.

References

Soure	Document Title	Version/Date
Internal	AAPoly Records Management Policy	v 3.0 17122019
	Information Privacy Policy and Procedure	v 2.3 20012018
External	ASQA Standards for Registered Training Organisations	2015
	Deakin University Information and Records Management Policy	N/A (accessed 27 February 2017)
	Federation University Records Management Policy	IM _1695 (accessed 27 February 2017)
	Higher Education Standards Framework	2015
	National Code of Practice for Providers of Education and Training to Overseas Students	2018
	Public Record Office Victoria's Retention and Disposal Authority - Records of the Higher and Further Education Functions	PROS16/07/19122016
	RMIT University Document and Records Management Policy	N/A (accessed 27 February 2017)
	Retention and Disposal Authority for Records of the Higher and Further Education Functions	2019

Appendix: Student Record Management and Retention Period table

Record	Maintenance	Location	Responsibility	Retention
Student File	Update student folder, individual folder in hard copy or electronic forms. (Including correspondence to students, records regarding applications for credit transfer/RPL or rescission of credit outcomes, applications for review, and review outcomes)	Hard copy – filing room Electronic - Paradigm	Student Services Head of Student Services	Electronic – Length of participation plus 7 years
Student Details	Update and confirm in Student Management System every 6 months.	Paradigm Student file	Head of Student Services	Electronic – Length of participation plus 7 years
Completed Assessment Items	Archiving hard copies of completed assessment at the end of each term/semester.	Assessment filing room	Head of VET Academic Dean Head of Student Services	Hard Copy: International Students: Minimum of 6 months from the date on which the judgement of competence for the student was made. Funded Vocational Domestic Students: Minimum of 2 years from the date on which the judgement of competence for the student was made. (Assessments which are handed in softcopy will be saved in the server.)
Attendance	Update in Paradigm.	Paradigm	Head of VET Academic Dean	Electronic – Length of participation plus 7 years
Academic Progress Record	Update in Paradigm.	Paradigm	Head of VET Academic Dean	Electronic – Length of participation plus 30 years
Student Results	Update in Paradigm, secure access.	Paradigm	Head of VET Academic Dean	Electronic – Length of participation plus 30 years
Qualifications/ Statement of Attainment (SOA) and Transcript	Individual folder in hard copy and electronic forms (soft copy must be in pdf format).	Student File Paradigm	Head of Student Services	Electronic – Length of participation plus 30 years