

Records Management Policy



Purpose/objective

This Policy seeks to ensure that the Australasian Academy of Higher Education (AAHE) protects, retains and disposes of records in accordance with legal requirements and privacy principles. The Procedure below explains how the Policy is implemented.

Scope

This Policy and Procedure applies to all data, information and records that are created or received in the course of AAHE's operations. It should be read in conjunction with the Privacy Policy and Procedure and the Information Technology Services Policy and Procedure.

Definitions

Record	any recorded information that evidences AAHE's activities and decisions
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Policy

1. All AAHE records will be stored in a secure records management system or systems as approved by the Principal and Chief Executive Officer (CEO).
2. Records will be stored in conditions that are appropriate for their nature, format and required retention period and that will protect them against loss, damage or unauthorised access.
3. Private information will be collected, stored, used, managed and protected in accordance with the Privacy Policy and Procedure.
4. Sensitive records such as those relating to formal complaints, allegations of misconduct, and academic integrity breaches will be kept in a separate file to which access is strictly limited.
5. The CEO will ensure that AAHE staff understand their obligations in relation to record keeping and the proper management of confidential information.
6. The Registrar is responsible for granting access to AAHE's records to authorised staff and for providing copies of records required by law and law enforcement agencies upon receipt of an official request.
7. Each staff member is responsible for managing records they create or receive (including emails) in accordance with this Policy and for transferring any AAHE records they hold to the Registrar before they cease their employment with AAHE.
8. The secretary to each Board or Committee is responsible for managing the Board's or Committee's records.
9. Records will be retained and disposed of in accordance with Public Record Office Victoria guidelines or in accordance with other statutory requirements such as taxation legislation.

Related documents and relevant legislation

[Higher Education Standards Framework \(Threshold Standards\) 2021](#)

[National Code of Practice for Providers of Education and Training to Overseas Students 2018](#)

[Public Record Office Victoria Higher and Further Education Functions Retention & Disposal](#)

[Authority: PROS 16/07](#)

[Retention and Disposal Authority for Records of Common Administrative Functions: PROS 07/01](#)

Information and Communications Technology Security Policy

Privacy Policy

Document information

Document owner: Board of Directors

Version	Approved by	Approved on	Implementation date	Changes made
1	Board of Directors	14/10/21	1/10/23	

Records Management Procedure

1. Student records

- 1.1 The Registrar will ensure the creation of a student record for each student in AAHE's approved Student Management System.
- 1.2 All formal documentation and significant correspondence between the student and AAHE must be stored in the student's record. This includes application and enrolment documentation (including release requests and outcomes), fee information, applications for credit for learning undertaken elsewhere and outcomes, applications for special consideration or reviews of results and outcomes, final unit results, copies of records of results and testamurs issued to the student, and notes regarding any academic progress interventions or disciplinary actions taken.
- 1.3 The Registrar may determine that information in relation to critical incidents, disciplinary action or complaints is stored in a separate area with strict access controls.
- 1.4 The Registrar will grant access to the student record only to
 - staff who require such access for their roles
 - other parties where the student concerned permits such access
 - law and law enforcement agencies upon receipt of an official request.

2. Staff records

- 2.1 The Registrar will ensure the creation of a staff record for each AAHE staff member in a secure repository.
- 2.2 The Human Resource Officer is responsible for maintaining staff records, including recruitment documentation and contracts, position descriptions, certified copies of qualifications, evidence of completion of induction processes and professional development activities.
- 2.3 Performance management information will be stored and disposed of in accordance with the Performance Management Policy and Procedure.
- 2.4 The Registrar may determine that information in relation to disciplinary action or grievances is stored in a separate area with strict access controls.
- 2.5 The Registrar will grant access to the staff record only to
 - the staff member concerned on request
 - other parties where the staff member concerned permits such access
 - law and law enforcement agencies upon receipt of an official request.

3. Other records

- 3.1 The Chief Operating Officer is responsible for the management of administrative and financial records.
- 3.2 These and all other records will be stored in the records management system approved by the CEO.

4. Retention and disposal

- 4.1 All records are retained in accordance with the following table, except where a longer period is required due to possible legal action.

- 4.2 Staff may only dispose of AAHE records (apart from working or draft documents they created themselves) with the Registrar’s approval.

Record type	Retention period
Student academic transcripts and testamurs, records of activities undertaken to assess eligibility to graduate and lists of graduates	Permanent
All other student records including applications for admission, signed Student Offer and Acceptance agreement, marks for assessment tasks, results, applications for credit for learning undertaken elsewhere and outcomes, special consideration applications and outcomes, academic progress interventions and targeted support	2 years after the student’s enrolment ends
Teaching materials	7 years
Information about course and unit evaluation	2 years after the student ceases to be enrolled in an AAHE course
Course structure and rules, course approval and review records and unit summary	Permanent
Information about the assessment process including moderation reports and amendments made as an outcome of moderation or review	2 years after the student’s enrolment ends
Assessment tasks including examination scripts and assignments	1 year after the final unit result was ratified except where it is the subject of a complaint or appeal
Records relating to complaints or appeals and to proven allegations of misconduct, including the complaint or appeal and the outcome and reason for the outcome	5 years after the date on which the complaint or appeal was submitted or the determination was made in relation to the misconduct
Staff records	Retained in accordance with industrial relations requirements
Financial records	Retained and archived in accordance with contractual and legal requirements
Governance records including Company and Board papers and audit and other compliance monitoring activities	Permanent
Benchmarking data	Permanent
Registration records	Permanent
Administrative records including those relating to critical incidents	7 years after the incident occurred, or 50 years where the incident resulted in serious personal

	injury, or permanent where the incident resulted in a death
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- 4.3 The Registrar will arrange to archive records requiring permanent retention and to dispose of other records that are no longer required by secure means.
- 4.4 Records that are likely to be required as evidence in a legal proceeding or that is the subject of a request under the Freedom of Information Act 1982 (Vic) may not be destroyed until the completion of the legal process.

5. Breaches

Any staff member who becomes aware that a breach of the Records Management Policy has occurred should report it to the Registrar for handling.

Document information

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1	Registrar	10/4/23	1/10/23	