

Academic Policy

Records Management & Archiving Policy

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| 1. Policy Statement | <p>The student and administration records of SAE Institute Pty Ltd trading as SAE Creative Media Institute (SAE) provide evidence of the development, review and use of corporate and academic governance, rules, policies, quality assurance and other business and financial processes to ensure the integrity of the SAE programs. Records management therefore contributes to the promotion of SAE's objectives and purpose.</p> <p>Records support and protect the interests of SAE and interests and rights of students, other stakeholders and employees. SAE uses records to provide evidence that it meets regulatory reporting requirements and to support operational consistency in administration and program delivery, business continuity and productivity in management.</p> |
| 2. Purpose | The purpose of this policy is to set down the principles and responsibilities for the creation, control, storage, access, retention and disposal of records at SAE |
| 3. Scope | <p>This policy sets out the requirements for the management of all official records, created or received by persons employed or engaged by SAE during the course of their normal business activities.</p> <p>The policy applies to all staff and functional areas within SAE and to all SAE records including electronically, generated or received information. .</p> |
| 4. Associated Policies and Procedures | <ul style="list-style-type: none"> • Student Record Procedure • Replacement Certification Procedure • Archiving Procedure • Information Privacy Policy |
| 5. Associated Documents | <ul style="list-style-type: none"> • Disaster Recovery Plan & Business Continuity Guidelines • Request for Replacement Testamur Form • Request for Replacement Transcript Form • Request for Replacement Statement Form |
| 6. Associated Legislation | <ul style="list-style-type: none"> • State Records Acts • General Retention and Disposal Authority – University records GDA23 • AS ISO15489 Australian Standard: Records Management • Privacy Act 1988 • Higher Education Standards Framework 2015 • Standards for RTOs 2015 • Registration - Guide - TAC Guideline on Records Management V01-15 |
| 7. Policy | <p><u>Principles</u> The following principles apply in relation to this policy:</p> <p><u>Compliance</u></p> <ul style="list-style-type: none"> • SAE complies with relevant legislation and the standards, policies and guidelines. • Good records management supports SAE's business needs, compliance, requirements under |

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Approval J. Anthonys | Page 1 of 5

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| | <p>legislative frameworks, and the interests of stakeholders.</p> <ul style="list-style-type: none"> • Properly organised and managed records support and enhance the activities of SAE, guide decision making, protect the interests of SAE and the public, and provide a record of SAE's activities for future reference. <p>Confidentiality</p> <ul style="list-style-type: none"> • Records are accessed on a needs basis in the normal activity of staff or where an authorised user has granted permission for them to access the file. • Access to student records and confidential information is restricted • In the event of the loss of personal and/or sensitive information, the National Manager Student Experience or Campus Manager must be notified immediately. • Access to Records by external parties is controlled and not to be provided unless authorised by the Dean or where required by law or for purposes relating to accreditation or registration. • If the provision of official records is required, it must be authorised by the Dean, with copies retained on-site where practicable. • The return of original official records must be monitored and the records checked against copies to ensure they have not been altered. <p>Access to Records via Subpoena or Warrant</p> <ul style="list-style-type: none"> • Access to records via subpoena or legal warrant is to be managed by the Dean. • If a subpoena or legal warrant addressed to SAE is received at a functional area, it should immediately be referred to the Dean. • No information should be supplied in reply to the subpoena or legal warrant without the approval of the Dean. <p>Freedom of Information</p> <ul style="list-style-type: none"> • Access to records containing personal information about a student or former student that are, or have been kept by SAE for student administration purposes will be considered with reference to the Information Privacy Policy. <p>Storage</p> <ul style="list-style-type: none"> • SAE ensures that current student records are adequately stored in secure and appropriate environments on each campus. • The records of current students are kept on each Campus for a year after graduation date. • One year after graduation date, the student records for all campuses may be converted into an electronic format and/or any hard copies may be stored off site with an archiving provider if required. • Withdrawn and deferred student records are kept on campus for a period of 2 years before converted into an electronic format and/or sent offsite for archiving. <p>Storage systems</p> <ul style="list-style-type: none"> • Official records are stored within file storage systems and locations that meet standards issued under the relevant records act (such as the State Records Act 1998 (NSW)). <p>Storage location</p> <ul style="list-style-type: none"> • Lockable cabinets for hard copy files containing copies of supporting documentation and FEE HELP VET FEE HELP forms • Campus specific limited access shared drive for may be used for electronic student records • Student Management System (Navigate) for enrolment, study plans and financial and other relevant information that is generated can be stored electronically within the system. |
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| | <ul style="list-style-type: none"> • Limited access Network Drives for Academic Documentation • A secure instance Campus Online (Moodle) for all learning Materials • HR databases <p>Retention periods</p> <ul style="list-style-type: none"> • Records may be retained in hard copy or in a secure electronic form • Records must be retained for the minimum retention timeframe as specified in related legislation • Additional retention timeframes may apply to satisfy SAE's administrative, legal or financial records. • Such decisions need to be justified and documented and must take into account storage issues as well as any related privacy issues. <p>Records Disposal</p> <ul style="list-style-type: none"> • Records disposal must be in accordance with legislation <p>Archives</p> <p>Records can be stored in hard copy and/or electronic formats with any electronic records being backed up regularly. In the instance of electronic records, the mechanism or software by which the material can be retrieved is made available to relevant authorities at no charge.</p> <p>Hard Copies</p> <ul style="list-style-type: none"> • One year after graduation student records may be archived offsite with the agreed archiving provider • Records will be stored in indexed barcoded containers so that records may be easily retrieved if required • SAE will retain both custody and control of any records assessed as having continuing value. <p>Records Destruction (Hard Copies)</p> <ul style="list-style-type: none"> • Official records must be destroyed in line with legislation guidelines • No official records are to be destroyed without the authorisation of the DASS (or the nominated delegate) • A records destruction approval from the DASS is required before records can be destroyed. • Records documenting destruction activities must be retained on an official file. • No person must intentionally damage, alter or destroy an official record, or remove an official record from SAE custody or archive. • Destruction of all records, whether official or unofficial, must be undertaken in a secure manner. • Records must not be destroyed if they are the subject of, or it is anticipated that they may be the subject of, subpoena or other formal lawful request for access or relate to any ongoing action such as an appeal. This is regardless of whether the minimum retention period has expired. • When no longer required, personal information is destroyed in a secure manner <p>Disaster Prevention, Response, and Recovery</p> <ul style="list-style-type: none"> • SAE will take all reasonable steps to ensure as far as possible that records are protected and are recoverable in case of a disaster. • Electronic files are recoverable on a version by version basis and are located simultaneously on different campuses and are backed-up daily according to the Navitas IT Policy. • Risk prevention, response and recovery strategies for records and recordkeeping systems |
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are covered under the SAE Business Continuity Plan.

Records for audit processes

SAE retains certain documents for the purposes of auditing, for at least five years. These documents include at minimum the following:

- Attendance rolls that show the names of students, the unit/s of competency identifier and/or name, date/s of attendance and signature or initial of trainer/lecturer.
- Records of assessment and/or training record books that show the date of assessment/s, unit/s of competency, student name and outcome of assessment/s.
- Training delivery and assessment policies and strategies for all qualifications/courses.
- Assessment tools and instruments.
- Recognition of Prior Learning assessment records.
- Policies and procedures.
- All financial (including income and expenditure), enrolment and assessment records relating to any delivery and performance agreement held with the Department of Training and Workforce Development.
- All records relating to an appeals process for the length of the process.

These records may be stored as soft copies or in paper format at the discretion of the Dean. Soft copies will be available to authorised parties at no extra cost.

Student records

Records of student results, qualifications and statements of attainment issued as well as the final summative result for each student is kept for a minimum of 30 years.

Client Qualification Register (VET courses)

SAE is required to submit information on student achievements via the Client Qualification Register (CQR). The purpose of the CQR is to establish a permanent system for recording of Australian Qualification Framework (AQF) student achievements from RTOs. In the event that an RTO ceases to trade, students will have access to records of their achievement of Qualifications and Statements of Attainment, and employers will have an avenue to verify qualifications.

SAE submits the following data:

- Student TRS number
- Provider Student ID
- Full Name
- Date of Birth
- Gender
- Qualification Code
- Issued Type
- Issue date
- Parchment Number
- Language the training was delivered in
- Unit Codes

Administrative Information and Version Control

| Date | Summary of Changes | Approved by |
|-----------------|--------------------|--|
| July 2014 | Policy implemented | Joseph Anthonyysz, CEO and Managing Director |
| 7 December 2016 | Policy Updated | Joseph Anthonyysz, CEO and Managing Director |

