



Records Management, Security, Retention and Disposal Schedule

Schedule 1

Please note that in reference to records of students' details and records of assessment and retention of records, this Schedule complies with Section 21 of the ESOS Act 2000 as follows:

Records of students' details

- (1) A registered provider must keep records of each accepted student who is enrolled with the provider or who has paid any tuition fees for a course provided by the provider.
- (2) The records must consist of the following details for each accepted student:
 - (a) the student's current residential address;
 - (b) the student's mobile phone number (if any);
 - (c) the student's email address (if any);
 - (d) any other details prescribed by the regulations.
- (2A) A registered provider must have a procedure to ensure that, at least every 6 months, while the student remains an accepted student of the provider:
 - (a) the provider confirms, in writing, the details referred to in subsection (2) with the student; and
 - (b) the records are updated accordingly.

Records of assessment

- (2B) If:
 - (a) an accepted student of a registered provider completes a unit of study for a course; and
 - (b) the student's progress in that unit is assessed;the provider must record the outcome of the student's assessment for the unit.
- (2C) A record under subsection (2B) must be:
 - (a) kept in accordance with any requirements prescribed by the regulations; and
 - (b) kept up-to-date.

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Retention of records

- (3) The provider must retain records kept under this section for at least 2 years after the person ceases to be an accepted student. However, the records do not need to be kept up-to-date after the cessation.

No	Function/Activity	Description	Status	Disposal Action
1	Student Admissions and Enrolment	<p>The administration and management of students, irrespective of course of study or delivery method, from application for admission to completion or discontinuation.</p> <p>Includes students in non-award programs and students studying Australian Qualifications Framework (AQF) level courses, units and subjects.</p> <p>Includes admission, enrolment, orientation, monitoring and review of student academic progress, management of exchange programs, management of student awards, prizes and scholarships, student grievances and misconduct and course completions and graduations.</p> <p>Includes application forms, entrance exams, prior results, portfolios, immigration clearances, police clearances, working with children or other checks where the clearance is required as part of application, and records created during the selection process including interview records, selection tests, shortlisting, assessment of the application against stated criteria and offer letters sent to applicants.</p> <p>Includes variations to enrolments, re-enrolment, student transfers, credit transfer, deferment, withdrawals and leave of absence.</p> <p>Successful applications for and assessment of recognition of prior learning or advanced standing requests, where a student is given subject</p>	<p>The term 'accepted student' is defined in the ESOS Act as follows: "accepted student of a registered provider means a student (whether within or outside Australia): (a) who is accepted for enrolment, or enrolled, in a course provided by the provider; and (b) who is, or will be, required to hold a student visa to undertake or continue the course."</p> <p>A student ceases to be an accepted student when they are no longer enrolled in a course</p>	<p>Providers are required to keep the records referred to in Section 21 of the ESOS Act for 2 years after the student's enrolment ends.</p>

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		<p>or unit credit based on prior studies, employment or other experience. Includes application forms and evidence of prior learning provided (such as portfolios, resumes or transcripts), any assessment undertaken, and outcomes of the application (i.e. what units are credited).</p> <p>The establishment, application, nomination, selection and management of internal prizes and scholarships, if applicable.</p>	<p>provided by the provider.</p>	
	Academic Progress	<p>Monitoring and assessment of student academic progress against academic standards to identify students who are either not achieving acceptable academic progress, at risk of poor academic progress.</p> <p>Formal and informal review records of a student's academic progress that are not included in the committee records of the institution, where it is determined to permanently exclude or expel the student from the institution.</p> <p>Includes any academic performance improvement plans, records of advice and strategies to alleviate issues, and any other support documentation.</p>		<p>Providers are required to keep the records referred to in Section 21 of the ESOS Act for 2 years after the student's enrolment ends.</p>
	Student Grievances, Complaints and Misconduct	<p>The management of grievances and complaints against students and the management of student misconduct, either academic or general misconduct. Includes breaches of legislation, the student code of conduct, institutional statutes, regulations, policies or procedures.</p>		<p>Providers are required to keep the records referred to in Section 21 of the ESOS Act for 2 years after the student's enrolment ends.</p>

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	<p>Academic Transcripts, Completions and Graduations</p>	<p>The conferring of degrees or qualifications on students. Includes activities undertaken to process applications to graduate, including notifying students of their eligibility, as well as the finalised summaries of graduates. Includes activities to provide academic award verifications, statements of completion, Australian Higher Education Graduation Statements (AHEGS), replacement testamurs and academic transcripts.</p> <p>Uncollected or unclaimed testamurs and certificates of completion.</p>		<p>Retain permanently</p>
	<p>Teaching and Learning</p>	<p>Development and delivery of educational programs to students. Includes course and curriculum development, accreditation and approval for all courses, programs, subjects, units and modules, for all courses taught by the institution (both award and non-award). Includes courses and programs delivered in collaboration with other education institutions, organisations or industry partners.</p> <p>Includes assessment of student learning. Includes master set of approved examination papers, if no other course material is available.</p>		<p>Providers are required to keep the records referred to in Section 21 of the ESOS Act for 2 years after the student's enrolment ends.</p>
	<p>Course and Curriculum Development, Accreditation, Approval and Review</p>	<p>The accreditation and approval of courses, subjects and units, both internally by the institution and by relevant external professional and regulatory bodies.</p> <p>Includes records which document the development, accreditation, maintenance and review of courses, programs, subjects and units.</p> <p>Also includes governance information such as course proposal, rationale for course, business case, approval date, responsible officer and any external professional accreditations or registrations which</p>		<p>In perpetuity?</p>

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		apply to the course or program. Includes tracking changes to approved courses over time.		
	Curriculum Delivery	<p>Student attendance records. Includes class lists, rolls and attendance registers.</p> <p>Curriculum, teaching and student resources designed to assist teachers and students during the learning process. Includes delivery notes and schedules, class outlines and presentation materials, manuals, induction material, study guides, readings and sample assignments that assist teachers in the delivery and enhancement of the learning process.</p> <p>Includes course outlines, delivery notes and annotated work.</p> <p>The evaluation and review of courses, subjects and units by students. Includes student evaluation of unit and student evaluation of teaching surveys.</p>		Providers are required to keep the records referred to in Section 21 of the ESOS Act for 2 years after the student's enrolment ends.
	Assessment	<p>Assessment of students' knowledge and skills, including development and marking of examination papers and assessment tools and the management of results.</p> <p>Includes results obtained for individual assessments, assignments or examinations as part of a subject or unit, group assessment tasks results, as well as finalised results.</p> <p>Drafting and development of all assessment material, including development of exam and assignment questions, and the development of all other assessment tools.</p>		Providers are required to keep the records referred to in Section 21 of the ESOS Act for 2 years after the student's enrolment ends.

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		<p>Moderation of student assessment tasks, and any evaluation undertaken of the suitability of the assessment task.</p> <p>Includes examiners' reports, marking sheets, moderation reports, and marking guidance provided to staff.</p> <p>Amendments to students' results made as a result of moderation, re-marking or appeal by the student, including authorisation to amend the result, where the summary of results is updated with the new mark.</p>		
	Research Work	<p>Records of ethics proposals, approvals and amendments relating to research projects. Includes records of formal bodies established to consider ethics issues as required under the Australian Code for Responsible Conduct of Research and associated National Statements, Guidelines and Codes.</p> <p>Research outputs include, but are not limited to: publications including books, book chapters, journal articles and reports; conference papers or proceedings; audio-visual material; computer software; design works; and creative works and exhibitions.</p>	If applicable	In perpetuity?
	Governance – Audit	<p>Includes both internal and external audits.</p> <p>Final report of audit or other compliance monitoring of an institution's activities</p>		In perpetuity?
	Benchmarking	<p>Activities associated with evaluating and benchmarking the institution against like organisations or industry standards.</p>		In perpetuity?

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		Includes collection of benchmarking data via surveys or feedback, and analysis and reporting on evaluation activities.		
	Registration	<p>Activities involved in the development, final submission and outcomes of an institution's application to become, or continue to be, an approved registered education or training provider by a State or Australian regulatory authority. Includes, but is not limited to, registrations with the Tertiary Education Standards Quality Agency (TESQA), Australian Skills Quality Authority (ASQA), Victorian Registration and Qualifications Authority (VRQA) and the Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS).</p> <p>Final submission to an Education Authority / Regulator to either become or continue to be a Registered Education Provider / RTO. Includes records of the approval/certification by the Authority (eg. CRICOS, TESQA, ASQA and VRQA) and records documenting any terms or conditions imposed by the regulator.</p>		In perpetuity?
	Student Access and Equity Support	<p>The provision of support to current students to ensure they can complete their studies. Includes academic support, financial support and disability / special needs support.</p> <p>Targeted support to students with disabilities or conditions which may impact on their studies.</p> <p>Includes the establishment and monitoring of support mechanisms, registration and development of plans for students with specific needs, including disability support plans or similar, and notifications of any reasonable adjustments required.</p> <p>Records documenting the provision of financial support to successful applicants.</p>		Providers are required to keep the records referred to in Section 21 of the ESOS Act for 2 years after the student's enrolment ends.

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		Includes the provision of loans, fee waivers and other fee reduction methods, such as partial payments.		
	Staff records	<p>Each staff member has a file created and maintained for the purpose of employment, which includes:</p> <ul style="list-style-type: none"> • recruitment paperwork; • employment conditions / letter of offer / employment agreement; • evidence of the 'right to work' in Australia; • position description; • evidence of participation in the staff induction process; • certified copies of qualifications; • verification of experience; and • professional development and scholarly activity details. <p>Copies of original documentation, including qualifications, kept on file must be sighted to verify authenticity, and indicate the date sighted and by whom (refer <i>Staff Qualifications, Recruitment and Appointment Policy and Procedure</i>).</p> <p>1.1 Disciplinary action or details of grievances in which the staff member is a complainant or respondent may also be noted in the staff file.</p>		As per Industrial Relations requirements
	Financial records	Financial records are created, secured, retained and archived in compliance with contractual and legal requirements.		As per contractual and legal requirements.

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