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## Recordkeeping Policy & Procedure

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### 1. Preliminaries

#### Commencement

1.1 This policy and procedure commenced on 1 April 2024.

#### Purpose

1.2 The purpose of this policy is to express recordkeeping practices; support consistency in recordkeeping; and contribute to the effective flow and re-use of Institutional Information.

#### Application

1.3 This policy and procedure applies throughout the Institute. All employees, contractors, consultants and any person creating or in possession of documents for the Institute are responsible for implementing this policy in the course of document creation and recordkeeping.

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### 2. Definitions

This document is written in plain English with jargon kept to a minimum.

NA - Consult the AGE Glossary or contact [support@guildmusic.edu.au](mailto:support@guildmusic.edu.au) when in doubt of me

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### 3. Policy Statement

#### 3.1 SECURITY OF RECORDS

All records will be securely retained in a manner that safeguards them against unauthorised access.

Records may be in hard copy or electronic format

Access to all records will be subject to the specified privacy arrangements and policies

All records will be securely destroyed at the end of the specified retention period

#### Part A - Student Records

#### 3.2 RECORDS OF ADMISSION ENROLMENT AND PROGRESSION

- a. Records relating to the admission, enrolment and progress of students including:
  - Special considerations applications and outcomes affecting enrolment and progression;
  - Specified credits, block credits and unspecified credits awarded;
  - Aegrotat assessments awarded;
  - Withdrawals, deferrals, suspensions, cancellations, or similar will be retained for a minimum of 3 years after completion or discontinuation of course of study by a student.

- b. All records relating to applications for admission including:
- Offers which have or have not been accepted or have lapsed, and unsuccessful, incomplete, withdrawn applications, or similar;
  - application forms and supporting documents;
  - Interview records;
  - Audition records;
  - Portfolios;
  - Correspondence records;
  - Details of referring agents will be retained for a minimum of 1 year after action completed or until the end of appeal period if such appeal is in place, whichever is longer.
- c. Records relating to the management of student concessions will be retained for a minimum of 1 year after expiry.
- d. Records that a working with children check has been completed will be retained until expired.
- e. Records of all written agreements as well as receipts of payments made by students under the written agreement will be retained for at least 2 years after the person ceases to be an active student.
- f. Records of student details, consistent with ESOS and other regulations will be retained for at least 2 years after the person ceases to be an active student. However, the records do not need to be kept up to date after the cessation. Updated details provided by students will be added to the AGE database.

### 3.3 RESULTS AND GRADUATION

- a. Records relating to the grading/marking of individual assessment components of a unit or course and determination of final results/grades including:
- examiners/assessor's reports and related records;
  - appeals of grades;
  - requests for extension of an assessment;
  - special consideration arrangements will be retained until the end of the appeal period.
- b. Records relating to changes to assessment results as a result of moderation, remarking or appeal by the student will be retained for a minimum of 3 years or until the student graduates, whichever is earlier.
- c. Records confirming the award/receipt of an accredited HE qualification or statement of attainment will be retained for a minimum of 30 years.
- d. Finalised high-level results (e.g. final marks for a unit) obtained by students, will be retained for a minimum of 30 years.
- e. Records relating to arrangements for graduation and determination and notification of students of their eligibility to graduate including program or order of proceedings and uncollected testamurs will be retained for a minimum of 1 year.

### 3.4 ASSESSMENT

- a. Student assessment material completed by students, which includes, but is not limited to any work submitted or completed by students for the purposes of assessment or evaluation such as:
- examinations (written or oral),
  - assignments,
  - work placement supervisors' reports,

- presentations,
  - works of art (movies, recordings, projects),
  - observation checklists. will be retained at least until the end of the trimester/semester following the completion of the assessment tasks or until the end of an appeal period if such appeal is in place - whichever is longer.
- b. Copies of all assignments, examination booklets and other assessment materials used for assessment purposes along with any marking guides, model answers or assessment rubrics will be retained for a minimum 2 years post the completion date of the unit.
- c. Assessment records of appeals of individual assessments will be retained until final marks for the semester are finalised, or the end of an appeal period if active, whichever is the longer.

### 3.5 ATTENDANCE

- a. Records relating to the management of student attendance for teaching and assessment activities such as examinations, assessment activities, classes, tutorials, and studio sessions, e.g., attendance lists, sick leave forms and medical certificates will be retained at least until the end of the trimester/semester following the completion of the assessment tasks or until the end of the appeal period if such appeal is in place, whichever is longer.

### 3.6 STUDENT GRIEVANCES, COMPLAINTS AND MISCONDUCT

- a. Records relating to the management of proven and unproven student grievance, misconduct and disciplinary cases including:
- inquiries and investigations, outcomes, and matters referred to external bodies for investigation, and
  - handling complaints over perceived discrimination, the work/study environment, assessment/assignment organisation or distribution, peers, lecturers, tutors and/or supervisors, access to equipment, facilities (such as studios), tutorials, or other services will be retained for a minimum of 2 years.
- b. Records relating to preliminary/fact finding investigations that were not formally proceeded with (i.e., the allegations have been found to be unsubstantiated, false, vexatious, or misconceived or could not be proven) and the accusation has not involved a child, or a young person will be retained for a minimum of 1 year.

### 3.7 STUDENT SUPPORT SERVICES

- a. Records relating to the establishment, negotiation, maintenance, and review of agreements to provide and operate services to students including:
- correspondence and records of negotiations,
  - final, approved versions and significant drafts of agreements, and
  - reviews of agreements. will be retained for a minimum of 3 years.
- b. Records relating to the special needs and accessibility services (e.g., assistance for sight impaired students, disabled access, etc.) and other tailored advisory or study support services and assistance to individual students will be retained for a minimum of 2 years.
- c. Records relating to critical incidents, particularly those related to international students will be retained for at least 2 years after the international student ceases to be an accepted student, or such other period as specified by the ESOS legislation and regulations.
- d. Records relating to unsuccessful applications for student support services will be retained for a

- minimum of 1 year after.
- e. Records relating to the placement services for students; careers, employment and general services; mentoring, peer networking services, etc. will be retained for a minimum of 2 years.
  - f. Records relating to the provision of counseling by a professional counselor including case files will be retained for a minimum of 3 years after action completed. Case files may be destroyed prior to the expiry of the minimum retention period in certain circumstances e.g., agreement between counselor and client.

## Part B - Other Academic Records

### 3.8 SCHOLARSHIPS, PRIZES AND AWARDS

- a. Records relating to the management and delivery of scholarships, prizes and awards will be retained for a minimum of 2 years.
- b. Records relating to the establishment and conditions of scholarships, prizes and awards will be retained for a minimum of 3 years.

### 3.9 CURRICULUM DEVELOPMENT & APPROVAL

- a. Final approved versions of curricula including:
  - master/authoritative set of descriptions of course requirements,
  - prerequisites,
  - content and outcomes,
  - calendars,
  - faculty handbooks and course guides. will be retained for a minimum of 5 years.
- b. Records relating to the development, review and/or approval of the curriculum including correspondence, reference/advisory/industry groups, records of working parties and notes, and committee records will be retained for a minimum of 3 years after superseded.
- c. Records relating to successful or unsuccessful external accreditation of courses by professional or registration bodies including letter/notification of outcome of accreditation processes will be retained for a minimum of 5 years after expiry of accreditation or until action completed, whichever is longer.
- d. Records generated to support compliance with agreed accreditation obligations including:
  - samples of output and results
  - reports and portfolios created for the accreditation body will be retained for a minimum of 5 years.

### 3.10 TRANSFER OF COURSES

- a. Records relating to the transfer of responsibilities and ownership of courses to another institution will be retained for a minimum of 3 years after the expiry or termination of the agreement.
- b. Records relating to courses, assets, services, and administration functions, where responsibility and/or liability has been transferred to another organisation and where records are required to continue teaching, provision of services or management of business or activity including but is not limited to:
  - assets,

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- student administration,
  - student and other services,
  - teaching,
  - general administration, and
  - commercial activities and consultancy services will be transferred to the new institution.

### 3.11 COURSE DELIVERY

- a. Records relating to course delivery, including unit resources, material used in course delivery, and quality assurance including:
  - study guides,
  - self-assessment exercises,
  - audio/visual teaching aides,
  - reading lists,
  - assignment lists,
  - lecture notes,
  - timetables, rosters, organising venues, teaching allocations
  - feedback data collection/survey forms
  - assessment of data/feedback on course delivery. will be retained until no longer required for teaching or other purposes.
- b. Unit outlines will be kept for 3 years.

## Part C - General

### 3.12 REGISTRATION

Records relating to the registration of the institution as an education provider will be retained for a minimum of 7 years after AGE Pty LTD ceases to operate as an Education Provider.

### 3.13 COMMERCIAL ACTIVITIES AND SERVICES

- a. Records relating to the management of commercial ventures and services including:
  - the provision of consultancies and other professional services,
  - expressions of interest and tenders,
  - negotiations, contracts, agreements, and other formal arrangements regarding provision of services, commercial ventures, use of intellectual property, etc.
  - records relating to provision of products and services. will be retained for a minimum of 7 years after provision of services ceased or minimum of 7 years after all terms and conditions of contract are satisfied, whichever is longer.
- b. Records relating to commercial ventures and services that did not proceed or where the tender/expression of interest, etc., was unsuccessful will be retained for a minimum of 2 years after action completed.
- c. Register of commercial activities will be retained for a minimum of 7 years.

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## 4. Responsibilities

4.1. The maintenance of the following record categories and recordkeeping of such are the responsibility of those officers listed next to the item. Items are numbered to correspond to Section 2 of this Policy.



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- (3.1) SECURITY OF RECORDS - Senior IT Officer
  - (3.2) RECORDS OF ADMISSION ENROLMENT AND PROGRESSION - Senior Academic Officer
  - (3.3) RESULTS AND GRADUATION - Senior Academic Officer
  - (3.4) ASSESSMENT - Senior Academic Officer
  - (3.5) ATTENDANCE - Senior Academic Officer
  - (3.6) STUDENT GRIEVANCES, COMPLAINTS AND MISCONDUCT - Senior Academic Officer
  - (3.7) STUDENT SUPPORT SERVICES - Senior Administrative Officer
  - (3.8) SCHOLARSHIPS, PRIZES AND AWARDS - CEO
  - (3.9) CURRICULUM DEVELOPMENT & APPROVAL - Senior Academic Officer
  - (3.10) TRANSFER OF COURSES - CEO
  - (3.11) COURSE DELIVERY - Senior Academic Officer
  - (3.12) REGISTRATION - CEO
  - (3.13) COMMERCIAL ACTIVITIES AND SERVICES - CEO
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## 5. Procedures

The responsible persons as listed in Section 4, Responsibilities, will follow, and communicate to their teams to adhere to, the guidelines for document creation, storage, modification, deletion and management as provided by the Senior IT Officer, endorsed by the Executive Management Committee.

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## 6. RELATED LEGISLATION AND DOCUMENTS

### Institute Documents

6.1 Documents including but not limited to the following are related to this policy and procedure:

- Privacy Policy
- Complaints and Appeals Policy and Procedure

### Applicable External Standards and Codes

6.2 This policy and procedure complies with the following standards:

- Australian Qualification Framework (AQF)
- Higher Education Support Act 2003 (Cth),
- Higher Education Standards Framework (Threshold Standards) 2015, ),
- Privacy Act 1988 (Cth),
- Public Records Act 1973 (VIC)

- Retention and Disposal Authority for Records of the Higher and Further Education Functions
  - Education Services for Overseas Students (ESOS) Act 2000 (Cth),
  - National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2018
- ESOS National Code 2018, Part B, Standard 6

Standards / Code	Standards / Clauses
<b>Higher Education Standards Framework (Threshold Standards) 2021</b> <a href="http://www.legislation.gov.au/Details/F2021L00488">www.legislation.gov.au/Details/F2021L00488</a>	<ul style="list-style-type: none"> <li>▶ Standard 2</li> <li>▶ Standard 5</li> <li>▶ Standard 7</li> </ul>
<b>National Code of Practice for Providers of Education and Training to Overseas Students 2018</b> <a href="http://www.legislation.gov.au/Details/F2017L01182">www.legislation.gov.au/Details/F2017L01182</a>	

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## Feedback

7.1 AGE staff and students may provide feedback about this document by emailing [support@guildmusic.edu.au](mailto:support@guildmusic.edu.au) for such feedback to be incorporated into a future review.

## 8. Document Control

Approval Review	Details
Governing authority	Board of Directors
Responsible officer	CEO
Endorsed by	Board of Directors
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