

# Student Record Management Policy

## Purpose

This policy aims to establish guidelines and procedures for managing and maintaining student records at ICAT, ensuring accuracy, confidentiality, security, and compliance with applicable laws and regulations.

## Scope

This policy applies to all student records maintained by ICAT, regardless of the format or medium in which they are stored, including physical and electronic records.

A student record refers to any documentation, information, or data related to an individual student enrolled at ICAT. This includes but is not limited to personal information, academic records, financial records, and any other relevant information collected during the student's enrolment.

## Related Legislation

This policy should be read in conjunction with the following legislation:

- The Higher Education Support Act 2003 (HESA)
- The Privacy and Personal Information Protection Act (NSW) 1998
- Tertiary Education Quality and Standards (TEQSA) Act 2011
- Higher Education Standards Framework (Threshold Standards) 2021
- The Educational Services for Overseas Students Act 2000 (ESOS Act)
- The National Code of Practice for Providers of Education and Training to Overseas Students 2018 (the National Code)

## Definitions

Item	Definition
Accuracy	Data forming any part of student's records in either electronic or hard copy format is correct and factual.
Control	Governance and regulation of the configuration, use, and analysis of student data in either electronic or hard copy format
Student Management System (SMS) and/or Learning Management System (LMS)	Database management system for designing and managing courses, teaching materials, assignments, collaborations, recording grades and the like.
Records	A part of, and resulting, from ICAT activities and providing evidence of those activities.

	Any document or other source of information compiled, recorded, or stored in written form or on film, or by electronic process, or in any other manner or by any other means. Records may include, but are not limited to, any student's paper-based records, electronic records, or electronic documents stored at ICAT or on ICAT equipment. A record does not include personal and/or private documents that are not part of official School records.
Security	Safekeeping of the student records in both paper copy and electronic form.
Custodians	Nominated ICAT employee with responsibility for student records.
Validity	Precision and logicity of data.

## Responsibility

Data Custodian – the Registrar or a designated staff member shall manage and maintain student records. They shall ensure compliance with this policy and applicable data protection laws.

Record Owners – Each department or unit at ICAT shall maintain and update the student records within their purview. The respective department heads or designated staff members shall serve as record owners and ensure the accuracy and completeness of the records.

## Principles

1. Details pertinent to students are obtained from them at their application and subsequent enrolments and uploaded onto ICAT Servers. Electronic academic records are maintained for all students enrolled at ICAT.
2. Historical documents are scanned and electronically stored. A student's permanent academic record includes:
  - the compilation of the results for every enrolled unit across all courses
  - advanced standing and credit transfer
  - periods of intermission (Leave of Absence or Deferment)
  - the course completion or discontinuance dates
  - award conferral and graduation
3. Record Creation and Collection

1. Student records shall be created upon the student's enrolment at ICAT and shall include all relevant information required to provide educational services and administration.
  2. ICAT shall collect student information directly from the student or through authorized channels, ensuring informed consent and adherence to privacy regulations.
  3. ICAT shall maintain accurate and up-to-date student records, reflecting their academic progress, achievements, and any relevant changes during their enrolment.
  4. Record owners shall promptly update student records as necessary, ensuring the integrity and reliability of the information.
  5. ICAT shall retain student records in accordance with applicable laws and regulations, institutional policies, and best practices.
  6. Upon completing a student's enrolment or as required by law, student records shall be retained for seven [7] years; and securely disposed of following established procedures to protect student privacy.
4. Data Security and Confidentiality
1. ICAT shall implement appropriate security measures to protect student records from unauthorized access, loss, alteration, or disclosure.
  2. Access to student records shall be limited to authorized personnel with a legitimate need to access the information for educational, administrative, or legal purposes.
  3. All records are permanently kept in an electronic format.
  4. All timely records are kept within ICAT servers and storage for seven (7) years; after such time, they are offloaded to archiving facilities (where they are available in perpetuity)
5. Data Access and Sharing
1. ICAT shall ensure that student records are accessible to authorized individuals within the institution for legitimate purposes.
  2. Sharing student records with external entities, such as government agencies or other educational institutions, shall be done in compliance with applicable laws, regulations, and contractual agreements.
6. Privacy and Data Protection
1. ICAT shall comply with all relevant data protection and privacy laws, including but not limited to the General Data Protection Regulation (GDPR) or other applicable laws specific to the jurisdiction in which ICAT operates.
  2. ICAT shall comply with the Privacy Act and will only communicate with students about enrolment and personal information. Should the student give permission for ICAT to speak to a family member or other

representative on their behalf, only then will ICAT disclose the student's information.

3. In the case of a data breach or unauthorized access to student records, ICAT shall promptly respond, mitigate the impact, and comply with legal obligations to notify affected individuals and authorities, as required.
4. ICAT will notify students without undue delay after becoming aware of a personal data breach. A breach that requires notification may include accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data.

## 7. Consent and Notice

1. ICAT shall provide students with clear and concise notice regarding collecting, using, and disclosing their personal information.
2. The consent shall be obtained to process personal data, and students shall have the right to access and correct their records.
3. ICAT adheres to strict privacy standards and maintains all student records and personal information with confidentiality, security and integrity.

***This section is specific to the storage of information related to international students in accordance with the National Code 2018.***

Under the National Code in Australia, education providers are required to maintain various records on file for international students. These records are kept on file for two years after the date a student ceases to be enrolled at the Institute.

### Enrolment Records:

- Copy of the student's enrolment agreement.
- Confirmation of Enrolment (CoE) for each course.
- Details of any articulation or credit transfer granted.

### Academic Records:

- Copies of academic transcripts and certificates.
- Records of assessment results and progress.

### Personal Information:

- Copy of the student's passport and visa.
- Contact details for the student.

### Attendance Records:

- Records of the student's attendance for each enrolled course.
- Any communications related to attendance monitoring.

### Overseas Student Health Cover (OSHC) Records:

- Details of the student's health insurance coverage.
- Evidence of ongoing health insurance for the duration of the student's visa.

### Complaints and Appeals:

- Records of any complaints or appeals lodged by the student.
- Documentation of the resolution process and outcomes.

### Change of Circumstances:

- Records of any changes to the student's circumstances, such as changes in address or contact details.

Records of Support Services:

- Documentation related to support services provided to the student, especially in cases of academic or personal challenges.

Financial Records:

- Records of tuition fee payments and any financial transactions related to the student.

Completion and Graduation:

- Records related to the student's completion of the course.
- Any graduation certificates or statements of attainment.

## Change and Version Control

Version	Date Approved	Authored by	Approved by	Description
07052023 V1.0	25 May 2023	Collaborative	Academic Board	New policy under new ownership
28112023 V1.0	30 Nov 2023	Director of Operations and Compliance	Academic Board	Minor changes for explicit reference to National Code for CRICOS purposes

## Policy Information

<b>Author:</b>	Collaborative
<b>Policy owner:</b>	Director of Education
<b>Approved by:</b>	Academic Board
<b>Approval date:</b>	30 Nov 2023
<b>Status:</b>	Approved
<b>Next review due:</b>	Nov 2028