



Australian Government



**NATIONAL
ARCHIVES
OF AUSTRALIA**

Records Authority

2013/00585411

**Tertiary Education Quality and
Standards Agency**

*Compliance Management, International Relations,
Investigation and Enforcement, Quality Assurance*

2014

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INTRODUCTION

The Tertiary Education Quality and Standards Agency (TEQSA) and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the core business areas of Compliance Management, International Relations, Investigation and Enforcement, and Quality Assurance. It represents a significant commitment on behalf of TEQSA to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of TEQSA. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives of Australia.

The Authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This Authority gives TEQSA permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

As changes in circumstances may affect future records management requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

APPLICATION OF THIS AUTHORITY

1. This Authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the Authority:
 - where the minimum retention period has expired and the records are not needed for agency business they should be destroyed as authorised in this Authority;
 - records that have not reached the minimum retention period must be kept until they do; and
 - records that are identified as Retain as National Archives (RNA) are to be transferred to the National Archives of Australia for preservation.
2. This Authority should be used in conjunction with general records authorities such as:
 - the Administrative Functions Disposal Authority (AFDA) and/or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies;
 - General Records Authority 24 – Records Relating to Data Matching Exercises; and
 - General Records Authority 31 for source (including original) records that have been copied, converted or migrated.
3. The Normal Administrative Practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this Authority but can be used as a tool to assist in identifying records for destruction together with an agency's Records Authority or Authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a Normal Administrative Practice policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop an agency NAP policy is available from the National Archives' website at www.naa.gov.au.
4. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of Information Act 1982* or any other relevant Act must not be destroyed until the action has been completed.
5. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. Further information about disposal freezes and whether they affect the application of this Authority is available from the National Archives website at www.naa.gov.au.
6. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this Authority can still be applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. The agency will need to maintain continuing access to the

information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.

7. In general, retention requirements indicate a minimum period for retention. TEQSA may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where TEQSA believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
8. Records coming within 'Retain as national archives' classes in this Authority have been determined to be part of the archival resources of the Commonwealth under Section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under Section 27 of the *Archives Act 1983*.
9. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need to meet this obligation to ensure that the records remain authentic and accessible over time. Under Section 31 of the *Archives Act 1983*, access arrangements are required for records that become available for public access including those records that remain in agency custody.
10. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives.
11. Advice on how to use this Authority is available from TEQSA's records manager. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.

CONTACT INFORMATION

For assistance with this authority or for advice on other records management matters, please contact National Archives' Agency Service Centre.

Queen Victoria Terrace
Parkes ACT 2600
PO Box 7425
Canberra Business Centre ACT 2610

Tel: (02) 6212 3610
Fax: (02) 6212 3989
Email: recordkeeping@naa.gov.au
Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY 2013/00585411

Person to whom notice of authorisation is given:

Dr Carol Nicoll
Chief Commissioner and Chief Executive Officer
Tertiary Education Quality and Standards Agency
Level 14, 530 Collins Street
Melbourne VIC 3001

Purpose:

Authorises arrangements for the disposal of records in accordance with Section 24(2)(b) of the *Archives Act 1983*.

Determines records classed as 'Retain as national archives' in this Records Authority to be part of the archival resources of the Commonwealth under Section 3C of the *Archives Act 1983*.

Application:

All core business records relating to Compliance Management; International Relations; Investigation and Enforcement; and Quality Assurance.

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

Authorised by

David Fricker
Director-General
National Archives of Australia

Date of issue:

31 January 2014

COMPLIANCE MANAGEMENT

The core business of regulating and assuring the quality of Australia's higher education sector by assessing higher education provider compliance with statutory obligations under higher education quality and standards legislation and associated instruments, and in accordance with applicable frameworks, standards and regulations. Involves regulating higher education using a standards-based quality framework and principles relating to regulatory necessity, risk and proportionality. Includes authorising self-accreditation by regulated entities and undertaking the accreditation of courses for those entities without self-accrediting authority.

The **core activities** include:

- developing, implementing and reviewing policies, procedures, strategies, standards, principles, frameworks and programs, including the Regulatory Risk Framework;
- giving and receiving advice and other information, including developing best practice tools to support Australian higher education providers;
- receiving and assessing applications for registration/re-registration of higher education providers against a framework of standards (currently the Higher Education Standards Framework). Includes assessment of applications for amendment, renewal and withdrawal of registration and determining any attendant conditions;
- receiving and assessing applications for authority for self-accreditation of courses by higher education providers. Includes assessment of applications for amendment, renewal and withdrawal of self-accreditation and determining any attendant conditions;
- receiving and assessing applications for accreditation/re-accreditation of courses;
- receiving and assessing applications by higher education providers for registration to deliver courses to overseas students, including providers of Foundation courses and English Language Intensive Courses for Overseas Students, in accordance with legislative requirements;
- receiving and assessing notifications of material changes to higher education providers' circumstances that may impact their ability to meet standards compliance obligations;
- conducting compliance and quality assessments of individual providers, including site visits;
- creating and maintaining registers, including the National Register of Higher Education Providers;
- conducting information and awareness education and training to improve the quality of the Australian higher education sector;
- negotiating, establishing and implementing agreements and contracts;
- managing appeals and reviews of decisions;
- setting of accreditation and registration fees;
- liaising with stakeholders, including consulting with higher education sector professional bodies;
- monitoring regulated entities for ongoing compliance with standards;
- collecting and analysing statistics and information;
- referral of complaints against regulated entities; and
- undertaking research and analysis.

The performance of the core business is supported by **general activities** such as:

- managing and participating in internal and external committees and meetings;
- arranging trips and visits;
- planning and reporting;
- arranging and attending conferences, seminars, forums and workshops;
- preparing and presenting speeches;
- managing enquiries and complaints;

- delegating powers and authorising actions;
- evaluating and reviewing; and
- identifying, assessing and managing risks.

Cross references to other areas of this records authority

For activities involving the exercise of the agency's investigative and enforcement powers, use INVESTIGATION AND ENFORCEMENT.

For agreements, including Memoranda of Understanding, entered into with overseas entities and visits by international delegations, use INTERNATIONAL RELATIONS.

Cross references to AFDA Express Records Authority

For advice, briefs and submissions to the portfolio Minister, cabinet submissions and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.

For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.

For the acquisition of goods and services, use PROCUREMENT.

For financial administration of application fees, use FINANCIAL MANAGEMENT.

For managing legal services, including legal advice and appeals, use LEGAL SERVICES.

For general enquiries from the public and other organisations, use COMMUNITY RELATIONS.

For media releases relating to compliance management, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.

For developing and executing contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

For travel and accommodation arrangements made for employees in connection with compliance management activities, use PERSONNEL.

Cross references to other records authorities

For the establishment and management of the agency's governing body (ie the TEQSA Commission), use GOVERNING BODIES.

Class no	Description of records	Disposal action
61467	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • developing, implementing and reviewing national and high-level higher education compliance management <u>policies</u>, <u>plans</u>, <u>strategies</u>, <u>frameworks</u> and <u>standards</u>, including the Regulatory Risk Framework. Includes final versions, national policy statements, major drafts, stakeholder consultations and supporting research; • master version of the <u>national register of higher education providers</u>; • <u>higher education provider registration/re-registration application case records</u>. Includes assessing applications for registration/re-registration, as well as for amendment, renewal and withdrawal of registration. Includes final decision, attendant conditions, application, submissions and supporting research; • <u>higher education provider self-accreditation case records</u>. Includes assessing applications by providers for authority to self-accredit courses, as well as applications for amendment, renewal and withdrawal of self-accreditation. Includes final decision, attendant conditions, application, submissions and supporting research; • final decisions/outcomes of higher education <u>course accreditation/re-accreditation application assessment</u> processes; 	Retain as national archives

Class no	Description of records	Disposal action
61467 (cont)	<ul style="list-style-type: none"> • final decisions/outcomes of <u>application assessment processes for higher education providers seeking registration to deliver courses to overseas students</u>, including providers of Foundation courses and English Language Intensive Courses for Overseas Students; • assessing <u>notifications of material changes to higher education providers' circumstances</u> that may impact their ability to meet standards compliance obligations. Includes final report and notification; • conducting <u>compliance and quality assessments of individual providers</u>, including general assessments of the quality of education provided and assessments of systemic issues relating to particular courses of study or awards; • providing and receiving high-level <u>advice</u>. Includes position papers, briefs and reports; • <u>summary records</u> created to support compliance management processes, such as the database of precedent-setting application decisions; • final versions of significant <u>agreements and contracts</u> and supporting documents, that: relate to substantial funding agreements or the establishment of partnerships and cooperative arrangements; are controversial, of public interest or ground-breaking in nature; or result in major changes to agency policies or programs; • <u>appeals</u> or reviews of decisions made by the agency that: are precedent setting, controversial or of public interest; or, result in major changes to agency policy or programs; • high-level internal and external <u>committees, working groups and other bodies</u> where the agency provides the secretariat, plays a prominent role, or is the Australian Government's main representative. Includes agenda, final version of minutes and tabled papers; • <u>monitoring</u> activities that result in controversy, intense media interest and major changes to policy; • development of national and high-level <u>reports</u>. Includes final versions, major drafts, stakeholder consultation and supporting research; • national and high-level <u>reviews</u>, including sector-wide and major internal reviews. Includes final review, major drafts and submissions; • outcomes of major <u>research and analysis</u> undertaken or commissioned by the agency. Includes final research reports, statistical and trend analysis, and supporting research datasets and associated information; • master versions of <u>statistical data</u> compiled or commissioned by the agency that contribute to knowledge, modelling and forecasting in the higher education sector. Includes datasets resulting from periodic higher education provider surveys and associated reports; • master versions of agency <u>publications</u>. Includes information sheets and published audit reports; <p><i>[For the production and distribution of agency publications, use AFDA Express PUBLICATION.]</i></p> <ul style="list-style-type: none"> • final versions of <u>speeches</u> presented by the portfolio Minister, the agency head, Commissioners or senior agency staff; • final versions of <u>audits</u> undertaken by the agency of individual higher education providers in accordance with higher education legislation. 	

Class no	Description of records	Disposal action
61467 (cont)	<p>Includes audit reports undertaken by the former Australian Universities Quality Agency (AUQA). Includes final versions, major drafts and supporting research;</p> <ul style="list-style-type: none"> • final versions of <u>tools</u> developed to support the promotion and adoption of good practices in the Australian higher education sector (eg AUQA Good Practice Database); and • final versions of <u>unpublished proceedings, reports, presentations and papers from conferences, seminars and workshops</u> hosted by the agency. 	
61468	<p>Records documenting:</p> <ul style="list-style-type: none"> • application assessment processes for higher education providers seeking registration to deliver courses to overseas students, including providers of Foundation courses and English Language Intensive Courses for Overseas Students, other than those records covered under class 61467. Includes provider applications, preliminary assessment reports, assessment plans, site visit reports, notifications, risk assessments and supporting documentation; and • higher education course accreditation/re-accreditation application assessment processes (ie course accreditation records), other than those records covered under class 61467. Includes provider applications, preliminary assessment reports, assessment plans, site visit documentation, notifications, risk assessments and supporting documentation. 	Destroy 15 years after action completed
61469	<p>Records documenting:</p> <ul style="list-style-type: none"> • higher education provider risk profiles, undertaken in accordance with the agency's Regulatory Risk Framework. <p><i>[For records of the development of the Regulatory Risk Framework, use 61467.</i></p> <p><i>For original datasets compiled in the application of the Regulatory Risk Framework, use 61467.]</i></p>	Destroy when higher education provider ceases to be regulated or ceases to exist, whichever is sooner
61470	<p>Records documenting:</p> <ul style="list-style-type: none"> • travel and accommodation arrangements made for contracted higher education experts in relation to compliance management, including site visits made in support of compliance management assessments; • development of low-level operational procedures; and • arrangements for meeting room bookings and catering. 	Destroy 3 years after action completed
61471	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • compliance management activities, other than those covered in classes 61467 to 61470. 	Destroy 10 years after action completed

INTERNATIONAL RELATIONS

The core business of protecting, enhancing and promoting the quality and integrity of Australia's higher education sector in the international sphere, in order to develop wider international understanding of, and confidence in, Australian higher education regulation and quality assurance, and to support the recognition of qualifications, employability of graduates and mobility of students. Involves engaging and collaborating with overseas quality assurance agencies and related bodies, and regulating off-shore provision of higher education by Australia-based providers and the Australia-based operations of international providers. Includes entering into formal membership of international organisations involved in higher education standards and quality assurance practice to protect the reputation of Australian higher education and the interests of students.

The **core activities** include:

- developing, implementing and reviewing international relations policies, programs, procedures and strategies;
- liaising, collaborating and consulting with national and international stakeholders, including exchanging regulatory information and coordinating representatives;
- developing and submitting formal high-level proposals and submissions to international bodies and forums, governments, agencies and other organisations on Australia's higher education regulation and quality assurance policy positions;
- participating in the development of international policies, standards and codes of practice relating to higher education regulation and quality assurance;
- managing and participating in internal and external committees, forums, working groups, and other bodies;
- providing and receiving advice and other information, including providing information to international agencies, governments and networks about the rigour of the Australian regulatory system;
- negotiating and establishing agreements and contracts, such as Memoranda of Understanding;
- arranging and attending conferences, seminars, discussion forums and workshops;
- preparing and presenting speeches and addresses;
- monitoring international developments in higher education regulation and quality assurance practices;
- undertaking research and analysis; and
- managing visits and receiving delegations, including visits from scholars.

The performance of the core business is supported by **general activities** such as:

- identifying, assessing and managing risks;
- delegating powers and authorising actions;
- planning, conducting and facilitating audits;
- evaluating and reviewing;
- planning and reporting; and
- receiving and responding to enquiries.

Cross references to AFDA Express Records Authority

For advice, briefs and submissions to the portfolio Minister, cabinet submissions and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.

For production and distribution of agency publications, use PUBLICATION.

For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.

For general enquiries by the public, use COMMUNITY RELATIONS.

For developing and executing contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

Class no	Description of records	Disposal action
61472	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • developing, implementing and reviewing high-level <u>policies, strategies, plans, programs and standards</u>, including international cooperation and collaboration strategies. Includes final versions, proposals, submissions, records of consultation, and related research; • providing and receiving high-level <u>advice</u>, including advice provided to international stakeholders. Includes position papers, briefs, opinions, reports and stakeholder submissions; • negotiation, establishment, maintenance and review of significant <u>agreements</u> with international stakeholders, including Memoranda of Understanding, bilateral agreements, cooperative arrangements and other formal agreements. Includes provision of input on drafting of international conventions/agreements; • high-level internal and external, including inter-governmental or inter-agency, <u>committees, working groups and other bodies</u>, where the agency provides the secretariat, is the Australian Government's main representative or plays a prominent or central role. Includes establishment records, final versions of minutes, agenda, tabled papers, briefings and results of committee meetings such as reports and recommendations; • high-level <u>liaison, negotiation and consultation</u> with major international stakeholders to discuss higher education standards and related issues; • developing high-level <u>reports</u>, including program and overseas visit reports and reports provided to the Minister, agency heads and key international relations partners and stakeholders. Includes final versions, stakeholder consultation and supporting research; • national and high-level <u>reviews</u>, including major internal reviews. Includes final review reports, major drafts, recommendations, stakeholder consultations, submissions and supporting research; • final versions of <u>unpublished proceedings, reports, presentations and papers from conferences, seminars, symposiums and workshops</u> that have national or international significance, including those hosted by the agency; and • final versions of <u>speeches</u> presented by the portfolio Minister, the agency head, Commissioners or senior agency staff to promote international relations. 	Retain as national archives
61473	<p>Records documenting:</p> <ul style="list-style-type: none"> • arrangements for meeting room bookings and catering. 	Destroy 3 years after action completed
61474	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • international relations activities, other than those covered in classes 61472 to 61473. 	Destroy 10 years after action completed

INVESTIGATION AND ENFORCEMENT

The core business of carrying out investigations and managing enforcement actions in accordance with regulatory authority powers under relevant higher education related legislation. Includes conducting formal investigations into higher education providers to assess their compliance with relevant legislation and standards, including compliance with any imposed conditions or undertakings voluntarily agreed by providers. Also includes exercising statutory investigative and enforcement powers, such as entry to and search of provider premises and seizure of evidence, and the imposition of administrative sanctions, civil penalties and injunctions for breaches of legislation.

The **core activities** include:

- developing, implementing and reviewing policies, procedures, plans, strategies and programs;
- imposition of administrative sanctions, civil penalties and injunctions on higher education providers;
- monitoring and reviewing the operations of regulated entities to ensure they comply with conditions imposed by the agency or agreed to by the provider;
- case management;
- evaluation of activities associated with cases;
- conducting formal investigations into higher education providers' compliance with legislation and standards;
- seizure of documents and other objects under monitoring and enforcement warrants;
- preparing investigation briefs;
- undertaking litigation/legal proceedings;
- referring matters (for example to the Australian Federal Police); and
- managing appeals and reviewing agency decisions to impose administrative sanctions, including appeals to the Administrative Appeals Tribunal or courts.

The performance of the core business is supported by **general activities** such as:

- receiving or providing advice and other information;
- liaising with and visiting other bodies;
- receiving and responding to enquiries, including handling complaints;
- preparing and presenting speeches and addresses;
- negotiating, establishing and implementing agreements and contracts;
- managing and participating in internal and external committees and meetings;
- delegating powers and authorising actions;
- auditing, reviewing and reporting on investigation and enforcement administration and operations;
- undertaking research to support investigation and enforcement; and
- identifying, assessing and managing risks.

Cross references to other areas of this records authority

For compliance activities not involving the agency's investigative and enforcement powers, use COMPLIANCE MANAGEMENT.

For the conduct of quality assessments, use QUALITY ASSURANCE.

Cross references to AFDA Express Records Authority

For advice, briefs and submissions to the portfolio Minister, cabinet submissions and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.

For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.

For claims arising from damage to seized electronic equipment, use COMPENSATION.

For media releases relating to investigation and enforcement activities, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.

For the acquisition of goods and services, including contracts concluded through carrying out a tendering process, use PROCUREMENT.

For developing and executing contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

Class no	Description of records	Disposal action
61475	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • developing, implementing and reviewing national and high-level higher education regulation <u>policies</u>, <u>plans</u>, <u>strategies</u> and <u>programs</u>. Includes final versions, major drafts, national policy statements, directives, reports, supporting research and results of stakeholder consultations; • <u>investigation cases records</u> of regulated entities suspected of breaching the law, that: are precedent setting; are controversial or of considerable public interest; or, result in major changes to agency or Government policies, programs or procedures, or changes to legislation. Includes requests for information, action and investigation plans, applications for monitoring and enforcement warrants, arrangements for searching premises by consent, reports on determinations and outcomes, interview recordings or transcripts, copies of records supplied or seized as evidence, records of legal proceedings and supporting research; <p><i>[For original records supplied or seized in evidence use class 61476. For all other legal activities, use AFDA Express LEGAL SERVICES.]</i></p> <ul style="list-style-type: none"> • providing and receiving high-level <u>advice</u>. Includes position papers, briefs, opinions, reports and stakeholder submissions; • final versions of significant <u>agreements and contracts</u> and supporting documents, that: relate to substantial funding agreements or the establishment of partnerships and cooperative arrangements with other governments, agencies and organisations; are controversial, of public interest or ground-breaking in nature; or have substantial implications for the conduct of agency business. Includes Memoranda of Understanding and bilateral agreements; • <u>appeals or reviews of decisions</u> made by the agency that are precedent setting, controversial or of significant public interest. Includes appeals to higher authorities such as the Administrative Appeals Tribunal and the Federal Court; • preparation of <u>briefs of evidence</u> for prosecution of criminal offences, where there is no court order or clause in settlement agreement to destroy the brief or return it to the source as a part of the settlement agreement; • high-level internal and external, including inter-governmental or inter-agency, <u>committees, working groups and other bodies</u> where the agency provides the secretariat, is the Australian Government's main representative or plays a prominent or central role. Includes establishment documentation, agenda, final version of minutes, reports and tabled papers; • developing national or high-level <u>reports</u>. Includes final versions, stakeholder consultation and supporting research; • master set of agency <u>publications</u> produced to support investigation and enforcement. Includes manuals and handbooks; 	Retain as national archives

Class no	Description of records	Disposal action
61475 (cont)	<p><i>[For the production and distribution of agency publications, use AFDA Express PUBLICATION.]</i></p> <ul style="list-style-type: none"> • high-level and sector-wide <u>reviews</u>, including major internal reviews. Includes final review reports, major drafts, recommendations, stakeholder consultations, submissions and supporting research; and • final versions of <u>speeches</u> presented by the portfolio Minister, the agency head, Commissioners or senior agency staff. 	
61476	<p>Original evidence supplied or seized in the exercise of the agency's investigative powers, that is not required to be retained as part of the case file, and is either:</p> <ul style="list-style-type: none"> • no longer wanted by the owner; or • unable to be returned to the owner after reasonable efforts have been made for its return. 	Destroy 1 year after reasonable efforts have been made to return the evidence
61477	<p>Records documenting:</p> <ul style="list-style-type: none"> • investigation cases of regulated entities suspected of breaching the law (ie investigation case records), other than those covered in class 61475. Includes requests for information, action and investigation plans, applications for monitoring and enforcement warrants, arrangements for searching premises by consent, reports on determinations and outcomes, interview recordings or transcripts, copies of records supplied or seized as evidence, records of legal proceedings and supporting research; and • activities associated with monitoring and reviewing the operations of regulated entities to ensure they comply with conditions imposed by the agency or agreed to by the provider. Includes formal undertakings and consent to withdrawal of an undertaking, requests for information and evidence of fulfilment submitted by providers, consent to and notices of cancellation of undertakings, applications for enforcement orders, notices of conditions concerning self-accreditation, representations concerning decisions and notifications of changes made by providers. 	Destroy 15 years after action completed
61478	<p>Records documenting:</p> <ul style="list-style-type: none"> • working papers supporting the development of low-level investigation and enforcement operational plans. Includes input into plans, comments received and drafts. 	Destroy 3 years after action completed
61479	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • investigation and enforcement activities, other than those covered in classes 61475 to 61478. 	Destroy 10 years after action completed

QUALITY ASSURANCE

The core business of protecting and enhancing the quality of higher education provision, by conducting assessments to identify systemic issues, good practice and risks in the sector that affect the quality of higher education. Involves undertaking general quality assurance through the collection, analysis, interpretation and dissemination of information concerning quality assurance practice and quality improvement in higher education. Includes conducting training to improve the quality of higher education and undertaking provider quality assessments, either sector-wide or by sample of providers, to assess the relative quality of higher education being delivered over and above minimum requirements for registration. Also includes providing input into the development of higher education standards, including the Higher Education Standards Framework.

The **core activities** include:

- developing, implementing and reviewing quality assurance policies, programs, strategies, plans and procedures;
- undertaking quality assurance assessments (including thematic assessments), including sector-wide assessments and assessments by sample of higher education providers. Includes determining terms of reference, collecting, verifying, analysing and reviewing statistics and information to identify, validate, and promote good practice and innovation in the sector, and reporting outcomes of assessments;
- developing and delivering external training and awareness-raising programs;
- managing and participating in internal and external committees and meetings;
- providing and receiving advice and other information;
- liaising with stakeholders, including conducting fact-finding visits;
- undertaking research and analysis, including data collection and environmental monitoring and surveillance of the national and international higher education sector; and
- negotiating and establishing agreements and contracts, including joint venture agreements and Memoranda of Understanding.

The performance of the core business is supported by **general activities** such as:

- arranging and attending conferences, seminars, discussion forums and workshops;
- reporting;
- arranging trips and visits;
- planning, conducting and facilitating audits;
- preparing and presenting speeches and addresses; and
- monitoring, evaluating and reviewing.

Cross references to other areas of this records authority

For regulatory activities involving the agency's investigative and enforcement powers, use INVESTIGATION AND ENFORCEMENT.

For liaison with international organisations, use INTERNATIONAL RELATIONS.

Cross references to AFDA Express Records Authority

For advice, briefs and submissions to the portfolio Minister, cabinet submissions and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.

For general enquiries from the public and other organisations, use COMMUNITY RELATIONS.

For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS and/or STRATEGIC MANAGEMENT.

For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.

For travel and accommodation arrangements made for employees, use PERSONNEL.

For developing and executing formal contracts under seal or deeds, use CONTRACTS UNDER SEAL/DEEDS.

Class no	Description of records	Disposal action
61480	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • developing, implementing and reviewing high-level <u>policies</u>, <u>strategies</u>, <u>programs</u> and <u>plans</u>. Includes final versions, proposals, discussion papers, major drafts and supporting research; • providing and receiving high-level <u>advice</u> involving major stakeholders. Includes final versions of advice position papers, opinions and briefings; • conducting <u>quality assurance assessments</u> (ie quality assurance case records), including thematic quality assessments. Includes sector-wide quality assessments and assessments of a sample of providers. Includes final report, analysis, milestone reports, submissions, terms of reference, agreements, recommendations, stakeholder consultations and supporting research; • outcomes of major original <u>research</u> undertaken or commissioned by the agency, including master copies of statistical datasets that contribute to knowledge, modelling and forecasting of quality assurance practice. Includes final reports, research findings, statistical analysis and data models; • developing national, sector-wide and high-level internal and external <u>reports</u>. Includes final versions, stakeholder consultation and supporting research; • high-level internal and external <u>committees</u>, <u>working groups</u> and <u>other bodies</u> where the agency is the Australian Government’s main representative, provides the secretariat, plays a substantial role in deliberations, or is responsible for making major decisions concerning quality assurance; • final versions of significant <u>agreements</u> and supporting documents, that: relate to substantial funding agreements or the establishment of partnerships and cooperative arrangements with other governments, agencies and organisations; are controversial, of public interest or ground-breaking in nature; or have substantial implications for the conduct of agency business. Includes joint venture agreements and Memoranda of Understanding; • outcomes of high-level <u>liaison</u> and fact-finding <u>visits</u> to higher education providers, other regulators and peak industry bodies, that contribute to significant changes in agency or Government policies or programs. Includes final visit report; • national and high-level <u>reviews</u>, including major internal reviews. Includes final review reports, major drafts, recommendations, stakeholder consultations and submissions; • master set of agency <u>publications</u> produced to support quality assurance; <p><i>[For the production and distribution of agency publications, use AFDA Express PUBLICATION.]</i></p> <ul style="list-style-type: none"> • final versions of <u>speeches</u> presented by the portfolio Minister, the agency head, Commissioners or senior agency staff; and • final versions of <u>unpublished proceedings</u>, <u>reports</u>, <u>presentations</u> and <u>papers from conferences, seminars and workshops</u> hosted by the agency. 	Retain as national archives

Class no	Description of records	Disposal action
61481	Records documenting: <ul style="list-style-type: none">• working papers supporting the development of low-level quality assurance operational plans. Includes input into plans, comments received and drafts.	Destroy 3 years after action completed
61482	Records documenting: <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• quality assurance activities, other than those covered in classes 61480 and 61481.	Destroy 10 years after action completed