Records and Information Management Policy

Purpose	The purpose of this policy is outline the management of all the Australian Institute of Technology and Commerce's (AITC) records and to establish principles for the creation, maintenance and disposal of records.
Location	The policy is maintained on owncloud
Responsible executive	CEO
Responsible office	CEO's Office
Contact officer	TBA
Effective date	29 June 2020
Review date	TBA
Modification history	Version 1.0
Related documents	AITC Information Privacy Policy
Authority	Approved by Council

1. **Purpose**

   The purpose of this policy is for the management of all the Australian Institute of Technology and Commerce's (AITC) records, to establish principles for the creation, maintenance and disposal of records, for the purposes of administration, security, corporate memory and legal obligations.

2. **Scope**

   This policy refers to all AITC's records, including employee records.

3. **Definitions**

   For the purposes of this document:

   Appraisal: The evaluation of business activities to determine which records should be retained and the period of retention, in order to meet legislative requirements, business needs and organisational accountability.

   Archive: Older records, for permanent retention.

   Classification Scheme: Grouping of records according to their functionality.

   Disposal: The range of activities involved in the retention, deletion or destruction of records.

   Disposal Schedule: List of records and the period that the record must be retained. It may also indicate the time at which records should be transferred to secondary storage.

   Disposal trigger: The event such as, action completed or superseded, from which the disposal date is calculated.

   Destruction: Destroying a record, either the physical destruction or permanent deletion of a record.

Document: Information treated as a unit of information.

Record: Recorded information created or received by AITC that provides evidence of business activities and affairs, regardless of format.

Record Management System: Information system used to capture and provide access to records.

Retention: The period a record should be retained by the institution before final disposal. It may also indicate when records should be transferred to secondary storage or Archived.

Sentence: Identifying and classifying a record according to a Disposal Schedule.

4. Procedures

4.1 Responsibilities

4.1.1 The CEO is responsible for ensuring that all record management legislative requirements are met.

4.1.2 The designated Records Officer is responsible for records management at the operational level, ensuring the implementation of this policy.

4.1.3 Section Managers will be delegated record management responsibilities, accountable to the Records Officer.

4.1.4 Section Managers Overview

Records Area	Section Manager Responsible
Student Records.	Registrar.
Financial Records.	Account Manager.
Staff & Payroll Records.	CEO.
Curriculum Records.	Academic Dean.
Legal & Contracts.	CEO.
Library.	Librarian.

4.1.5 All staff are responsible for creating appropriate and accurate records of the business activities and affairs of AITC that align with their position responsibilities.

4.2 Training

All staff will receive records management training as part of their orientation.

4.3 Auditing

AITC will conduct regular audits of records management activities. This is to ensure that records are being created and maintained correctly and that accurate records of AITC's business activities and affairs are captured in the records management system.

4.4   Creation of Records

4.4.1   Records should be added to the records keeping system at the time of creation or receipt of a document.

4.4.2   Wherever possible, records should be held in electronic format.

4.4.3   All records are labelled according to the Version Control as follows:

Version Number	Purpose/Change
0.1, 0.2, 0.3 …	Draft versions
1.0	First finalised version – the document has often been issued for consultation
1.1, 1.2, 1.3 …	Subsequent amendments to the first 'issued' version. These changes are often the result of consultation
2.0	It indicates a major revamp.
And so on	

Version control could be achieved by adding the version number at the end of a file title, and by displaying the version number at the modification history within the document.

4.4.4   If possible, all records at the time of creation should incorporate a date in accordance with the appropriate disposal schedule.

4.4.5   There is a repository of publicly-available current information at AITC's website about the higher education provider's operations that includes:

a) The registered name of the higher education provider, trading name(s) if different, regulatory status and authority to provide courses of study to international students studying on an Australian student visa.

b) The instrument establishing the entity.

c) The members of the governing body and senior executive.

d) The financial standing of the provider.

e) A high-level organisational chart that includes the organisational units that deliver courses of study, such as schools or faculties.

f) An overview of teaching campuses, facilities, learning resources and services provided for students.

g) A list of all higher education courses of study that are offered, including admissions information.

h) Arrangements with other parties to deliver courses of study or to conduct research training.

4.4.6   The list of all higher education courses of study (see 4.4.5g) within the repository of information includes:

a) The accreditation status of each course of study.

b) The qualification(s) offered.

c) The level of the qualification in accordance with the *Australian Qualifications Framework.*

d) Confirmation of recognition of each course of study by the relevant professional body(ies) if such recognition is required for registration of graduates to practice.

e) Whether each course of study is authorised to be offered to international students studying on an Australian student visa, and the duration of each course of study.

f) How to lodge a complaint about the higher education provider, and contact details.

4.5   Records Maintenance

4.5.1   All records must be stored for their period of retention.

4.5.2   All records must be accessible.

4.5.3   All records (electronic and hard copy) must be maintained in good condition.

4.6   Retention and Disposal of Records

4.6.1   All records should be disposed of according to the appropriate disposal schedule.

4.6.2   All records must to be stored according to the appropriate disposal schedule.

4.6.3   The disposal date must be set according to the disposal trigger.

4.6.4   No records can be destroyed without the permission of the Records Manager.

4.6.5   All records that are destroyed must be recorded in a register of "Destroyed Records".

4.6.6   The destruction process must be secure to ensure confidentiality.

4.7   Archiving Records

4.7.1   Inactive records should be archived with the approval of the Records Manager or delegate of the CEO.

4.7.2   The archive will include records that must be held indefinitely and inactive records during their retention period.

4.8   Records Security

4.8.1   Records must not be altered, and care must be taken not to damage these records.

4.8.2   Access to records will be limited by a password hierarchy.

4.8.3   All records will be kept in a secure environment.

4.8.4   AITC's Critical Incident Management Policy is in place to minimise the potential loss of records.

4.8.5   Records are maintained, securely and confidentially as necessary to;

a) maintain accurate and up-to-date records of enrolments, progressions, completions and award of qualifications;

b) prevent unauthorised or fraudulent access to private or sensitive information, including information where unauthorised access may compromise academic or research integrity;

c) document and record of responses to formal complaints, allegations of

misconduct, breaches of academic or research integrity and critical incidents; and;

d) demonstrate compliance with the Higher Education Standards Framework.

4.9   Detailed procedures for the handling of records may be prepared by each records section

4.9.1   Section procedures must refer to this Records and Information Management Policy.

4.9.2   Section procedures may only be prepared and used with the approval of the Records Officer.

5.   Disposal Authority Schedule

The following schedule provides a guide to some of the most commonly used records.

Reference	Function / Activity	Disposal Action
1.0.0	**Governance and General Administration**	
1.1.0	Institutional establishment.	Permanent Retention
1.2.0	Restructuring. The establishment of new organisational structures.	Permanent Retention
1.3.1	Accreditation. Final submission and official approval.	Permanent Retention
1.3.2	Accreditation. Drafts, research, analysis.	Retain for 3 years after action completed, then destroy.
1.4.1	Planning. Final approved version.	Retain for 7 years after planning is superseded, then destroy.
1.4.2	Planning. Drafts, research, analysis.	Retain for 3 years after action completed, then destroy.
1.5.1	Policy. Final approved version.	Retain for 7 years after policy is superseded, then destroy.
1.5.2	Policy. Drafts, research, analysis.	Retain for 3 years after action completed, then destroy.
1.6.1	Procedure. Final approved version.	Retain for 5 years after procedure is superseded, then destroy
1.6.2	Procedure. Drafts, research, analysis.	Retain for 3 years after action completed, then destroy.
1.7.1	Agreements. Establishment, negotiation, maintenance and review of agreements.	Retain for 7 years after expiry or termination of agreement or after action completed, whichever is later, then destroy.
1.8.1	Reports submitted to external organisations, e.g. Tertiary Education Quality Standards Agency (TEQSA)	Retain for 10 years after action completed, then destroy.
2.0.0	**Library**	
2.1.1	Fines and Penalties	Retain for 6 months after action completed, and then

		destroy.
2.2.1	Records of borrowings and use of library materials.	Retain until no longer required for administrative purposes, and then destroy.
3.0.0	**Equipment and Stores**	
3.1.1	Acquisition. Quote, negotiation, correspondence	Retain for 7 years after action completed, and then destroy.
3.2.1	Insurance. Policy, renewals, information	Retain for 7 years after expiry of the policy, and then destroy.
3.3.1	Stock-take.	Retain for 2 years after action completed, and then destroy.
4.0.0	**Technology and Telecommunications**	
4.1.1	Acquisition. Quote, negotiation, correspondence	Retain for 7 years after system is superseded, then destroy.
5.0.0	**Occupational Health and Safety**	
5.1.1	Accidents. Records relating to incidents that result in serious personal injury or incapacity to employees.	Retain for 75 years after action completed, then destroy.
5.1.2	Accidents. Records relating to incidents that DO NOT result in serious personal injury or incapacity to employees.	Retain for 25 years after action completed, then destroy.
5.2.1	Accidents. Records relating to the provision of first aid treatment. Records include:	Retain for 5 years action completed, then destroy.
5.3.1	Audits. The organisation's occupational health and safety management systems or processes.	Retain for 6 years after action completed, then destroy.
6.0.0	**Marketing**	
6.1.1	Production of Publications Final approved versions	Permanent Retention
6.1.2	Production of Publications Drafts, research, graphic designs	Retained until ceases to be of administrative or reference use, then destroy.
6.2.1	Organisation's website Pages relating to the organisation's core business, and records of substantial changes made.	Permanent Retention
6.3.1	Market Analysis Including market research, forecasting, advertising, promotion, pricing	Retain for 2 years after action completed, then destroy.
6.4.1	Student Recruitment to encourage perspective students to apply including overseas marketing activities.	Retain for 2 years after action completed, then destroy.
7.0.0	**Financials**	

7.1.1	Accounting	Retain for a minimum of 6 years after audit.
7.2.1	Employee taxation records	Retain for 5 years after separation / termination of employment, whichever is the longer, then destroy.
8.0.0	**HR**	
8.1.1	Recruitment Selection process	Retain for 2 years after recruitment has been finalised, then destroy.
8.2.1	Contracts. Employment, promotion, work / position redesign, separation.	Retain for a minimum of 7 years.
8.3.1	Staff Leave. administration of leave, leave requests, long term entitlements	Retain for a minimum of 7 years.
8.4.1	Performance Management Administration, implementation, individual performance agreements	Retain for 7 years after employment ceases, then destroy.
8.5.1	Grievances. formal grievances raised by an employee	Retain for 10 years after action completed, then destroy.
9.0.0	**Student Administration**	
9.1.1	Application Records relating to offers and applications which are successful and accepted	Retain for 6 years after completion or discontinuation of course or program of study by student, then destroy.
9.1.2	Unsuccessful applicants	Retain until appeal period has expired or for 6 months after action completed, whichever is longer, then destroy.
9.2.1	Student Enrolments	Retain for 6 years after completion or discontinuation of course or program of study by student, then destroy.
9.3.1	Withdrawal - from a course of study.	Retain for 6 years after completion or discontinuation of course or program of study by student, then destroy.
9.4.1	Student Fees	Retain for 7 years after completion or discontinuation of course or program of study by student, then destroy.
9.5.1	Student attendance and related documents e.g. medical certificates	Retain until end of appeal period, then destroy.
9.6.1	Grievances. Records relating to formal grievances raised by a student	Retain for minimum of 15 years after action completed, then destroy.
9.7.1	Graduation Notification. Notification of students of their eligibility to graduate.	Retain for 1 year after action completed, then destroy.
9.7.2	Register of Graduates	Permanent Retention

9.8.1	Student ID card. Records relating to the provision of student identification.	Retain until no longer required for reference or administrative purposes, then destroy.
9.9.1	Variation of student details Address and contact details.	Retain until no longer required for reference or administrative purposes, then destroy.
9.9.2	Variation of student details Notification of student name change.	Retain for 6 years after completion or discontinuation of course or program of study by student, then destroy.
9.10.1	Student Orientation planning and management of student orientation.	Retain for 2 years after action completed, then destroy.
10.0.0	**Teaching & Learning**	
10.1.1	Course delivery materials e.g. subject outlines, study guides, readings, reading lists, assignment lists, lecture notes.	Retain for 5 years after no longer required for teaching.
10.2.1	Course guides – course descriptions, requirements, prerequisites, content and outcomes.	Permanent Retention
10.3.1	Quality assurance. Records relating to the assessment of data/feedback on course delivery.	Retain until no longer required for reference or administrative purposes, then destroy.
10.4.1	Curriculum Approved Curricula	Permanent Retention
10.4.2	Curriculum. Records of the approval process.	Retain for 10 years after Curricula superseded, then destroy.
10.4.3	Curriculum. Curriculum development / Working papers.	Retain for 3 years after curricula superseded, then destroy.
11.0.0	**Assessments**	
11.1.1	Administrative arrangements for the conduct of examinations and other assessment activities.	Retain until no longer required for reference purposes, then destroy.
11.1.2	Examination papers - Master set of questions.	Permanent Retention
12.0.0	**Academic Results**	
12.1.1	Student academic transcript/final results.	Permanent Retention
12.2.1	Grading/marking of individual assessment components, e.g. assignments, essays, theses.	Retain for 1 year after end of appeal period, then destroy.
12.3.1	Special consideration requests	Retain for 7 years after completion or discontinuation of course or program of study by student, then destroy.