

Record Management Policy

Date of Approval by Governing Board: 1st Oct '15

Date of review: Oct '19

1 Purpose

1.1 All LI records are appropriately created, managed, maintained and disposed of in accordance with legislative requirements, policy, and recognised standards of best practice

1.2 Recordkeeping practices are set up to support all activities of the Institute and are consistent and at a suitable standard across the Institute.

1.3 Levels of responsibility are established regarding recordkeeping pertaining to all functions, processes, activities and transactions of the Institute.

1.4 LI provides appropriate security and access over records.

1.5 LI ensures that historical documents are captured and preserved.

2 Principles

2.1 LI acknowledges that records are to be created to document or facilitate the transactions of all business activities. Business rules and procedures are to be put in place to ensure that requirements to make records are documented and that systems are in place to facilitate the creation of records. All staff are to be made aware of their responsibilities to make records.

2.2 Records are to be created at the time or as soon as practicable after the event to which they relate. All records created by LI are to provide a correct reflection of what was done, communicated or decided.

2.3 Records created or received by LI are to be routinely captured into an approved recordkeeping system and appropriate metadata created and captured, or otherwise associated with records.

2.4 Recordkeeping systems and storage facilities are designed and implemented to protect records from unauthorised access, alteration, deletion or loss. Unauthorised access, alteration or destruction of records is forbidden by LI policies and procedures. Migration of records from one system to another is to be controlled, documented and compliant with best practice.

2.5 Records are to be linked to their business context, which includes records relating to the same business activity or transaction. The location and use of records is to be recorded and tracked. Records are to be accessible for as long as they are required and disposed of in accordance with the approved procedures.

2.6 Records must be disposed of in accordance with legislative requirements, policy, and recognised standards of best practice.

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 – non-current records, for permanent retention.

Classification Scheme – Grouping records according to their functionality.

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

Disposal Schedule – List of various records and the period of time 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 Elite Education 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 of time 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 the Disposal Schedule.

4 Roles and Responsibilities

4.1.1 The Registrar 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 responsibility, accountable to the Record Officer.

4.1.4

Record Area	Section Manager Responsible
Student Records	Registrar
Financial Records	Finance Manager
Staff & Payroll Records	HR Manager
Curriculum Records	Program Director
Legal & Contracts	CEO
Library	Librarian
Work Integrated Learning	Work Integrated Learning Coordinator

4.1.5 All staff are responsible for creating appropriate and accurate records of the business activities and affairs of Leaders Institute.

5 Scope

5.1 This policy applies to all records and staff of LI.

5.2 The policy should be read in conjunction with the following documents:

- *Records Management Procedures*
- *Fraud Prevention Management Policy*
- *Fraud Prevention Management Procedures*

Record Management Procedure

1 Context

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3 Procedures

3.1 Training

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

3.2 Auditing

Regular auditing of record management activities will take place. This is to ensure that records are being created and maintained correctly and an accurate record of the Institutes' business activities and affairs is being captured in the record management system.

3.3 Creation of Records

- 3.3.1 Records should be added to the recordkeeping system at the time of creation or receipt of a document.
- 3.3.2 Wherever possible records should be held in electronic format.
- 3.3.3 All records should be classified according to the appropriate record keeping naming conventions. The record classification scheme will be used to classify all the Institute records.
- 3.3.4 If possible all records should be sentenced at the time of creation in accordance with the appropriate disposal schedule.

3.4 Record Maintenance

- 3.4.1 All records must be stored for their period of retention.
- 3.4.2 All records must be accessible.
- 3.4.3 All records (electronic and hard copy) must be maintained in good condition.

3.5 Retention and Disposal of Records

- 3.5.1 All records should be disposed of according to the appropriate disposal schedule.
- 3.5.2 All records must to be sentenced according to the appropriate disposal schedule.
- 3.5.3 The disposal date must set according to the disposal trigger.
- 3.5.3 No records can be destroyed of without the permission of the Records Manager.
- 3.5.4 All records that are destroyed must be recorded in a register of "Destroyed Records".
- 3.5.5 The destruction process must be secure to ensure confidentiality.

3.6 Archiving Records

- 3.6.1 Inactive records should be archived with the approval of the Records Officer.
- 3.6.2 The archive will include records that must be held indefinitely and inactive records during their retention period.

3.7 Record Security

- 3.7.1 Records must not be altered and all care must be taken not to damage records.
- 3.7.2 Access to records will be limited by a password hierarchy.
- 3.7.3 All records will be kept in a secure environment.
- 3.7.4 Leaders Institute's Critical Incident Policy is in place to minimise the potential loss of records.

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

- 3.8.1 Section procedures must defer to this Record Management Policy.
- 3.8.2 Section procedures may only be prepared and used with the approval of the Records Officer.

3.8.3 Current Section Procedures:

- i) Student Records Management Procedure
- ii) Finance Management Procedure

4 Disposal Authority Schedule

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

<i>Reference</i>	<i>Function / Activity</i>	<i>Disposal Action</i>
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 3 years after action completed, then destroy.
1.4.1	Planning Final approved version	Retain 7 years after planning is superseded, then destroy.
1.4.2	Planning Drafts, research, analysis	Retain 3 years after action completed, then destroy.
1.5.1	Policy Final approved version	Retain 7 years after policy is superseded, then destroy.
1.5.2	Policy Drafts, research, analysis	Retain 3 years after action completed, then destroy.
1.6.1	Procedure Final approved version	Retain 5 years after procedure is superseded, then destroy
1.6.2	Procedure Drafts, research, analysis	Retain 3 years after action completed, then destroy.
1.7.1	Agreements Establishment, negotiation, maintenance and review of agreements	Retain 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, eg. 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 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 purpose, and then destroy.
3.0.0	Equipment and Stores	
3.1.1	Acquisition Quote, negotiation, correspondence	Retain 7 years after action completed, and then destroy.
3.2.1	Insurance Policy, renewals, information	Retain 7 years after expiry of the policy, and then destroy.
3.3.1	Stock-take	Retain 2 years after action completed, and then destroy.
4.0.0	Technology and Telecommunications	
4.1.1	Acquisition Quote, negotiation, correspondence	Retain 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 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 Draft, 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 2 years after action completed, then destroy.
6.4.1	Student Recruitment to encourage perspective students to apply including overseas marketing activities.	Retain 2 years after action completed, then destroy.

7.0.0	Financial	
7.1.1	Accounting	Retain for a minimum of 6 years after audit.
7.2.1	Employee taxation records	Retain 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	Retain for minimum

	Records relating to formal grievances raised by a student	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 eg. 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 purpose, 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 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 purpose, 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 Eg. assignments, essays, thesis.	Retain 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.