

RECORDS MANAGEMENT POLICY

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1. Purpose

This policy outlines the approach taken by APIC to systematically manage all records used, collected and stored within the organisation.

2. Scope

All students and employees who use or access APIC's records management programs and/or records management system are bound by the conditions of this policy.

3. Definitions

Item	Definition
<i>APIC records</i>	Any records made and kept, or received and kept, by any person in the course of the exercise of official functions, or for any purpose of APIC or for the use of the APIC including records in any format such as paper, electronic (email, spreadsheets, word processing documents, images etc.), audio or video cassettes, film, photographs, publications and microfilm/fiche.
<i>APIC representative</i>	An APIC employee (casual, fixed term or permanent) contractor, agent, appointee, adjunct, visiting academic and any other person engaged by APIC to undertake some activity for on behalf of APIC this includes corporations and other bodies falling into one or more of these categories
<i>Archives</i>	Records that have been selected for indefinite retention on the basis of their continuing value for legal, administrative, financial or historical purposes, but are no longer required for current use.
<i>Business activities</i>	Refers to any action that contributes towards APIC's decision-making process or service delivery, including all APIC functions, processes, activities and transactions.
<i>Business systems</i>	Automated systems that create or manage data about APIC's activities.

Item	Definition
<i>Full and accurate record</i>	<p>A record that:</p> <ul style="list-style-type: none"> • correctly reflects what was done, communicated or decided, and can be trusted as a true representation of the transactions or events which it documents; • is authentic, for example the record can be proven to be what it claims to be, to have been created or sent by the person claimed to have created or sent it, and to have been created or sent at the time claimed; • has integrity by virtue of being complete and protected against unauthorised access, alteration, deletion or loss; and • is usable by virtue of being understandable, complete, retrievable and available through time.
<i>Managing records</i>	Any action relating to the life cycle of a record, including the storage, assignment of metadata, retrieval, transfer, preservation, and eventual disposal of records.
<i>Meta data</i>	A set of data that describes and gives information about other data
<i>Recordkeeping</i>	The making and maintaining of complete, accurate, and reliable evidence of business transactions.
<i>Records</i>	A part of and resulting from College 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 or staff member's paper based records, emails, or electronic documents stored at APIC or on APIC equipment. A record does not include personal and/or private documents that are not part of official College records.
<i>Records disposal</i>	Any method of removing records from APIC's control, such as archiving or destruction.
<i>Records management program</i>	The management framework, the people and the recordkeeping systems required to manage full and accurate records over time.
<i>Records management system (RMS)</i>	<p>Comprises the:</p> <ul style="list-style-type: none"> • Student Management System – RTO Manager • Document Management System – SharePoint • Finance Records - XERO • HR Records - ADP • Marketing Records – SharePoint?? • Learning Content Management System - OLS

Item	Definition
<i>Vital records</i>	Records that are essential for the ongoing business of APIC, and without which the APIC could not continue to function effectively.

4. Policy Statement

This policy provides the basis for the management of APIC’s records in compliance with State and Commonwealth Acts and the legislative instruments issued under each Act.

This is achieved via an APIC-wide records management program to manage records throughout their lifecycle - from the design of recordkeeping systems, to the creation and capture of records, to records destruction or permanent retention as Archives.

This policy ensures that APIC’s records that are of enduring evidential or informational value are managed, protected and preserved for future reference, contributing towards the development of efficient and effective knowledge management at APIC.

5. Records Management Principles

The full life cycle of records management at APIC is based upon the principles for effective records management. These are:

- APIC records must be timely and routinely created and captured, be readily locatable, and be authentic.
- APIC records will be managed to ensure they are reliable and easily identifiable, are protected and accessible only to those with authorisation, and are retained appropriately to ensure they are retrievable.
- APIC records will only be disposed of once authorised, and that disposal will be recorded and timely.

6. APIC Records

APIC records can be in any format, and include, but are not limited to, the following:

- Legal documents including contracts, agreements, memorandums of understanding etc.;
- Student records including those records stored on RTO Manager, OLS, physical student files, exams, academic records, and advanced standing records.
- Records of decisions made and actions taken by APIC representatives in relation to APIC related matters that are documented in email messages, memoranda, letters, faxes, etc.;
- Incoming communications from external persons and bodies;
- Outwards communications to external persons and bodies;
- Meeting papers of formally established APIC boards and committees (including agendas, agenda papers, minutes, reports and decision pages);
- Meeting papers of ad hoc committees and working parties (including agendas, agenda papers, minutes, reports and decision pages);

- Financial transactions held electronically or in hard copy format;
- Personnel transactions (i.e. letters of appointment, reports on performance and other dealings between staff and APIC;
- Course and unit outlines issued to students and the public; and
- Approved course and unit proposals and course accreditation documentation.

6.1 Approach to management of records

APIC is committed to implementing best practice approaches to its management of records:

- Meeting the requirements of Commonwealth, state and/or territory legislation, the RTO's registering body and relevant funding bodies when collecting information from and about students.
- Keeping records in a consistent and easily accessible format.
- Ensuring that records are routinely checked for accuracy and currency.
- Keeping all information secure and protected.
- Routinely backs up all electronic records.
- Archiving records appropriately and in accordance with registering body's guidelines.

Effective management of records is achieved through:

- Maintenance of an electronic file server where all internally produced documents are stored. Electronic files are archived and not deleted when they become obsolete.
- Use of an electronic student management system which records and stores all information relating to students, course progress and assessment outcomes.
- Use of an electronic financial management system where all financial activities of the business are stored.
- Documented policies and procedures with which all staff are familiar with and adhere to. Policies and procedures outline the organisation's requirements on consistency, accuracy and integrity in relation to data and records management.

6.2 Student records management system

The student management system used by APIC is RTO Manager. This system is AVETMISS (Australian Education and Training Management Information Statistical Standard)- compliant and enables provision of compliant data to the registering body on a regular basis.

APIC has ensured that the database system meets the following requirements:

- The database allows student records to be provided in electronic and most documents in printed versions.
- All information is kept secure, safe and confidential.

6.3 Security of records

All records are kept private, protected and secure, whether electronic or in hard copy.

Records are routinely backed up.

6.4 Types of records

APIC keeps comprehensive records of all business activities.

Dedicated registers and physical records of the following business activities are consistently and routinely maintained by the organisation:

- continuous improvement.
- staff professional development.
- complaints and appeals.
- partnerships with other organisations.
- workplace health and safety incidents.
- marketing activities and permissions.

Student records include information on:

- Personal details.
- Employment information where applicable.
- Enrolment and general communication.
- Student fees and payments.
- Assessment results, training participation records and course progress.
- Statistical information.
- Qualifications and issuance of statements.

Staff records include, certified, verified and/or signed copies of:

- resume/ curriculum Vitae.
- trainer/assessor skills matrix.
- written offer acceptance agreement.
- Appointment details.
- Position Description and Employment Agreement.
- Qualifications and experience.
- Working with Children Checks (where applicable)
- Payroll and personal details.
- Performance monitoring and management records.
- Professional Development Plans and Logs.

Other business records include:

- Feedback collected from students, employers, staff and other organisations on the training, assessment and client services provided by the organisation.
- Training and assessment strategies for each program.
- Business communication.
- Funding contracts.
- Financial documents.
- Supplier information.

6.5 Format of records

Physical paper-based records are stored in files that are kept securely, labelled accurately and consistently maintained.

APIC aims for a paper-less office and as many records as possible are scanned and converted to an electronic format and stored on the organisation's electronic file server, student management system and/or financial management system. Checks on the accuracy and integrity of information are conducted routinely by the ICT Manager.

6.6 Record retention

APIC retains student assessments from the date of the assessment and post that period, and maintains evidence that is sufficient to confirm award issuing or otherwise.

APIC retains student records of completed units of study and qualifications for a period of no less than thirty (30) years.

Physical financial records are stored for a period of at least seven (7) years for tax auditing purposes.

Physical student files containing all information relating to enrolment and administration are kept in secure locations ensuring that APIC complies with the requirements set TESQA for record retention.

6.7 Access to records

All students and clients have the right to access the records APIC hold about them. Records will be provided in a timely manner upon written request and always when requested by a government department, regulator (TESSQA) and/or their representatives.

Each area of the College must:

- Comply with all APIC rules, policies, procedures, and guidelines on records management;
- Ensure full and accurate records are made and kept of all activities carried out by their unit;
- Ensure recordkeeping responsibilities are identified in all position descriptions;
- Manage the records of the unit;
- Create and maintain appropriate files;

- Determine appropriate retention periods and access restrictions in consultation with the Legal Counsel, where appropriate;
- Identify vital records; and
- Maintain security for hardcopy records stored in the office.

All APIC Staff must:

- Create full and accurate records of all APIC activities for which they are responsible and of all substantive or formal decisions they take in the service of APIC;
- Attend Records Management System training as provided by APIC
- Capture all APIC Records into APIC's approved record keeping system;
- Protect sensitive records in their custody from unauthorised access;
- Not destroy records without authorisation from their line manager; and
- Not maintain individual or separate files or recordkeeping systems or unmanaged electronic records except as otherwise authorised by APIC.

Executive Assistants, Administrators, Executive Officers and/or Chairs of all Boards and Committees, panels, working parties and project teams must:

- Manage all records;
- Comply with all APIC rules, policies, procedures and guidelines on records management in regard to the records of the committee, working party or project team;
- Create and keep full and accurate records of all committee, working party or project team meetings; and
- Register all business papers and minutes into the Document Management System.

7. Creation/Capture of Records

All APIC staff are responsible for the creation and/or capture of APIC Records within the approved recordkeeping system. The APIC recordkeeping system consists of:

- The approved records management system; and
- Approved business systems.

8. Version Control and Management of Files

All APIC records, whether electronic or paper, must be registered in an approved record keeping system at the point of creation or receipt. APIC staff are not to maintain individual or separate files or recordkeeping systems or unmanaged electronic repositories (Hard Drives, Network Drives, Cloud Storage systems) for APIC Records except as otherwise authorised by the President or the Director of Accreditation, Compliance and Quality Assurance.

9. Disposal of Records

APIC will only dispose of records in accordance with the requirements of the State Records Acts for each State and their associated legislative instruments. The destruction of records

registered in the approved RMS will be managed centrally through the Director of Accreditation, Compliance and Quality Assurance, who will maintain a register of such.

Records must not be destroyed if they are, or may be, the subject of a subpoena, or other formal request for access or relate to any ongoing action such as an appeal, regardless of whether the minimum statutory retention period has expired.

10. Document Change Control

Version	Change Description	Date	Author
1.0	New policy development	3 January 2017	Corinne Green