
RECORDS MANAGEMENT & SECURITY

The Institute maintains comprehensive, accurate, current and secure records on all aspects of its operations.

PRINCIPLES

The Institute maintains accurate, up-to-date and comprehensive records on all aspects of its operation and service delivery necessary for the effective and efficient running of the organisation. Records are dated and authorised where appropriate.

The Institute ensures that all original documents are kept in a safe and secure place. Records are collated, stored and maintained on computer and disc backup on and off-site for a minimum of seven years. However records on issuance of qualifications are kept for thirty years.

All records are considered as confidential to the Institute and can only be accessed on a need-to-know basis. Student information is not disclosed to a third party without the written consent of the student. Students and staff have access to their personal records and files upon request.

The Institute employs a clear and appropriate procedure for keeping and archiving records including:

- **Students:** names, addresses, contact numbers, email address and details of classes, workshops and residential undertaken, record of fees paid.
- **Student records:** individual student files including personal details, applications, assessment outcomes, learning outcomes achieved, and qualification issuance details.
- **Accredited program records:** program plans identifying a range of delivery and assessment methods, advertising and promotional material, resource and equipment checklist, enrolments, course attendance, module handouts, assessment materials including plans and tools, assessment outcomes, RPL assessment, course evaluations, assessment validation documentation.
- **Qualifications register:** qualifications and Statements of Attainment awarded.
- **Staff records:** register of current staff, resumes, letters of application, references, verified qualifications, letters of appointment, employment contracts, duty statements, induction checklists, performance appraisals, professional development details, wages, taxation and superannuation, annual leave records.
- **Quality Management records:** registration of business name, business plans, organisational chart, policies and procedures, internal compliance audits, risk management and continuous improvement documents, minutes of meetings, grievance and appeals, accidents and injuries and use of first aid box.
- **Financial records:** budgets and projections, receipts and invoices, petty cash book, cash books, monthly financial reports, fees paid and refunds and credits, assets register, insurance policies, wages, taxation and superannuation records.

CODE OF PRACTICE FOR STUDENT RECORD KEEPING

Student information collected on admission and while students progress through the course is in two classes: academic and non-academic.

Both classes of information are retained for 30 years, in computer files which require secure access. Access to these files is only by designated officials within the institution who have responsibility for records collection and management. As a policy, a minimum of non-academic information is collected and retained.

Collection of either academic or non-academic information is only by the concerned student, or by their written consent;

- bona fide researchers may only access students' academic records with their written consent;

Only academic information may be disclosed to designated authorities such as the State's Office of Higher Education or an external auditor), and/or, in the context of visitation or inspection, to (a) designated official(s).

Students are advised to take precautions to safeguard their own records by safely storing printouts of academic transcripts;

The Freedom of Information policy specifies:

- a student may have access to both classes of information
- lecturers may access only academic information
- non-academic officials may access non-academic information only when required by law

ESSENTIAL INFORMATION

A clear distinction is made between academic and non-academic records, and information collected in each class should be kept and managed separately

The scope of collection of essential academic information encompasses the following items:

- identifying information:
 - identification of institution;
 - identification and address(es) of student (a State's or Territory's anti-discrimination laws may restrict use of date and place of birth as basis of identity);
- basis of admission, *i.e.*:
 - normal (degree or interstate or overseas equivalent); (information on an overseas qualification should include parent country [state or province], certificate, and year of receipt.)
 - special (mature-age, special entry for social disadvantage, or individual approval);
 - level of English language proficiency for students of NESB;
 - award of advanced standing or credit transfer (including the basis for the award - relevant studies completed at other specified institutions, relevant employment experience, and/or outcome of interview);
- record of failure or exclusion (on academic grounds) at another institution;
- record of education taken:
 - by course and accompanying award nomenclature;
 - by date of enrolment and mode of study;
 - descriptive title of each subject of study (subject, module, etc);
 - quantum credit awarded for each subject ;
 - grade awarded for each subject (where relevant);
- termination status and verification of the record:

- statement of attainment, completion or graduation (including special achievement);
- student's status at time of termination (in good standing, probationary, suspended or dismissed)

RETENTION AND SECURITY:

Essential information about students and graduates is retained for a minimum period of 30 years.

If the institution ceases to operate, arrangements will be made for student records to be held in perpetuity.

The management of academic data:

- data is recorded and stored on computer disc
- the location of storage is a secure premises which is safe from theft and unauthorised access;
- in case of fire, computer crash or other unforeseen eventuality, back-up records are made on an ongoing basis. The first level of back up record is done daily, and is to another disc. The second level of back up is done is to store copies of such discs at a separate, secure location. The third level of back up is 6 monthly CD-ROM burns, which are then stored at a separate secure location..

Date Policy Endorsed by Board of Governance	Review Date: This policy is periodically reviewed and revised. Revisions are made as and when required. The period between reviews must not exceed 4 yrs. The date for review of this policy is on or before 6/2012	Initials