



Records Management Policy

Policy Category	Administration
Policy Code	ADM-HE-08
Policy owner	Chief Executive Officer
Responsible Officer	Chief Executive Officer
Approving authority	Board of Directors
Contact Officer	Registrar
Approval date	1 March 2017
Commencement date	6 March 2017
Review date	3 years
Version	2017.1
Related Documents	Records Management Procedure Management of Personal Information Policy Management of Personal Information Procedure Critical Incident Management Plan Staff Code of Conduct

1. Purpose

This Policy addresses the management of all records at the Australian Institute of Higher Education ('the Institute'), and outlines the principles informing the creation, collection, retention, maintenance, reporting and disposal of records.

2. Principles

The key principle informing this Policy and the associated Procedure is that the Institute's records constitute its corporate memory, providing evidence of actions and decisions, and as such are a vital asset that supports all its functions. Efficient and effective record management assists in policy formulation and high level decision-making, protects the interests and rights of staff, students, and the wider community, and supports consistency, continuity, efficiency and productivity in all of the Institute's activities.

3. Context

This Policy has been developed to articulate the Institute's commitment to:

- complying with the requirements of the *State Records Act 1988*;
- ensuring that records will be organised and managed in conditions appropriate to their context and nature, as well as the needs of the Institute; and
- implementing best practice in records management practices and systems.

4. Scope

This Policy applies to all staff and administrative units at the Institute. It covers all records, both physical and electronic, and includes, but is not limited to, records relating to the following:

- Management data
- Student data
- Human Resources data

5. Definitions

See the *AIH Glossary of Terms* for definitions.

6. Policy Details

The Institute's records management systems and specifications will be determined by regulatory requirements, business functions, technologies, risks, evidence requirements, retention and archiving requirements, compliance requirements for external and internal reporting, security, storage, and the need for information retrieval..

This Policy includes all data created for the purposes of reporting to external bodies, such as the Tertiary Education Quality and Standards Agency (TEQSA).

The Institute will capture and maintain records and data to support routine business activities, provide evidence where required, demonstrate accountability, and ensure a data trail is effectively documented.

All staff will receive training in record management practices and systems as part of their orientation/induction.

6.1 Physical Storage Locations and Security

Physical records must be stored in a secure area with access only provided to authorised staff.

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

The Institute's *Critical Incident Management Plan* outlines procedures for mitigating or containing potential loss of records.

6.2 Access to Records

Staff may have access to those records necessary to fulfil their duties with the Institute. However, certain records of a confidential nature may be restricted.

In general, all Institute records must remain on site, unless there are compelling circumstances (such as a legal requirement) which require their release or transfer.

Access to records is not to be provided to parties external to the Institute unless authorised by the Executive Dean or Registrar and permissible under an Institution directive, policy document or where required by law.

6.3 Retention and Disposal of Records

The Institute retains records for the period(s) set out in *Attachment A - Retention Periods* in the associated procedure for this policy.

Records may only be destroyed when the Executive Dean or Registrar has confirmed the records are no longer required to support the business and they are aware of no other legal, business or reference requirements for the retention of the records.

Disposal of all records, electronic and physical, must be undertaken in a secure manner. Paper records should be disposed of using the secure shredding bins provided.

6.4 Auditing

Record management activities and practices will be regularly audited to ensure that records are being created and maintained correctly, and that an accurate record of the Institute's business activities and affairs is being captured.

6.5 Penalties and Discipline

Failure to comply with the terms of this policy and associated procedure may result in disciplinary action as determined according to the **Staff Code of Conduct**.

7. Legislation

Legislation pertaining to this Policy includes:

- The State Records Act (1998)
- Privacy and Personal Information Protection Act 1998 (NSW)

In addition, this Policy complies with Higher Education Standards Framework standard 7.3.3 (Information Management), which specifies that:

"Information systems and records are maintained, securely and confidentially as necessary to:

- a. maintain accurate and up-to-date records of enrolments, progression, 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 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."

8. Version Control

This Policy has been endorsed by the Australia Institute of Higher Education Board of Directors as at March 2017 and is reviewed every 3 years. The Policy is published and available on the Australian Institute of Higher Education website <http://www.aih.nsw.edu.au/> under 'Policies and Procedures'.

Change and Version Control				
Version	Authored by	Brief Description of the changes	Date Approved:	Effective Date:
2016-2	Registrar	Updated template.	6 July 2016	6 August 2016
2017-1	Ms. McCoy	Revised content.	1 March 2017	6 March 2017