



## Records Management Procedure

Policy supported	Records Management Policy
Policy Code	ADM-HE-08
Policy owner	Principal/Chief Executive Officer
Responsible Officer	Principal/Chief Executive Officer
Approving authority	Principal/Chief Executive Officer
Contact Officer	Principal/Chief Executive Officer
Approval date	24 September 2020
Commencement date	24 September 2020
Review date	3 years
Version	2020.1
Related Documents	Management of Personal Information Policy Management of Personal Information Procedure Critical Incident Management Plan Staff Code of Conduct

### 1. Purpose

This Procedure supports the **Records Management Policy**, which 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. 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

### 3. Definitions

See the **AIH Glossary of Terms** for definitions.

### 4. Actions and Responsibilities

#### 4.1 Responsibilities

##### 4.1.1 Individual

- Each member of staff within the Institute is responsible for records creation and management, and therefore must create and maintain full and accurate records of all Institute-related activities for which the staff member is responsible. This includes, but is not limited to:
- creating records that document all substantive or formal decisions taken by him or her under the auspices of the Institute;

- creating records that summarise important telephone conversations or interviews;
- capturing all relevant records;
- handling records with care and protecting records from inadvertent damage;
- protecting sensitive records in their custody from unauthorised access; and
- seeking appropriate authorisation prior to destroying records.

Contractors/consultants are also responsible and accountable to the relevant manager for creating records that document the business transactions and activities in which they take part, and for maintaining these records in accordance with Institute policy, as well as legislative requirements.

#### 4.1.2 Committees, Working Parties and Project Teams

The secretary or other designated representative of all committees, working parties and project teams must:

- be responsible for the management of committee records;
- comply with all relevant standards, guidelines and policies on record management with respect to the records;
- create, maintain and retain full and accurate records of meetings; and
- register meeting papers as appropriate.

#### 4.1.3 Principal/Chief Executive Officer

The Principal/Chief Executive Officer is responsible for:

- Implementing and supporting a culture of strong records management compliance;
- Providing approval for the destruction of records; and
- Providing approval for records to be shared with external parties.

### 4.2 Record Creation

- Records should be added to the record keeping system at the time of creation or upon receipt of a document.
- Wherever possible records should be held in electronic format.
- All records should be classified according to Institute naming conventions.

### 4.3 Maintenance

All records must be:

- stored for the appropriate period,
- accessible, and
- maintained in good condition.

### 4.4 Access to Records

Any staff member who receives a request from an external party for access to a student's record should email the Principal/Chief Executive Officer for approval before sharing any information.

A staff member who ceases employment at the Institute shall, prior to departure, ensure all records of the Institute under his/her control, regardless of format, have been identified and included in the official recordkeeping system.

### 4.5 Retention and Disposal of Records

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

Employees wishing to dispose of records should email the Principal/Executive Officer for approval.

#### 4.6 Archiving Records

When records are no longer required regularly, they can be archived.

The archive will include records that must be held indefinitely as well as inactive records for the prescribed period of retention.

### 5. Version Control

This Framework has been endorsed by the Australian Institute of Higher Education Academic Board as at September 2020 and is reviewed every 3 years. It is published and available on the Australian Institute of Higher Education website <http://www.aih.nsw.edu.au/> under 'Policies and Procedures'.

<b>Change and Version Control</b>				
<b>Version</b>	<b>Authored by</b>	<b>Brief Description of the changes</b>	<b>Date Approved:</b>	<b>Effective Date:</b>
2016-2	Registrar	Updated template.	6 July 2016	6 August 2016
2017-1	Ms. McCoy	Revised content.	1 March 2017	6 March 2017
2019.1	Principal	Update the Title of Policy Owner, Responsible Officer, Contact Officer Approving Authority to Principal	27 September 2019	30 September 2019
2020.1	Chief Executive Officer	Updated title changes	24 September 2020	25 September 2020

## Attachment A - Retention Periods of this procedure.

ATTACHMENT A – STUDENT RECORD MANAGEMENT POLICY RETENTION PERIODS	
Documents retained	Minimum retention period(s)
Records of all students, including: <ul style="list-style-type: none"> <li>• Current residential address;</li> <li>• Mobile phone number or other contact numbers (if any);</li> <li>• Email address (if any);</li> <li>• Amount of money paid to the Institute;</li> <li>• Duration of course paid for;</li> <li>• Amounts owing to the Institute;</li> <li>• Written agreements between the student and the Institute;</li> <li>• Amount that will be charged for the student to access their records; and</li> <li>• Up-to-date records of assessment.</li> </ul>	2 years after the student ceases to be a student of the Institute
Examinations and assessments	Twelve (12) months from the date on which the grade decision was made (unless relating to a complaint or appeal – see below).
Records of all student complaints and appeals, made under the <b>Student Complaints and Appeals Policy</b> and associated Procedure	5 years from the date the complaint or appeal was lodged
Records relating to proven allegations of misconduct, made under the <b>Student Code of Conduct</b> and/or <b>Student Academic Misconduct Policy</b> and associated Procedure	5 years from the date of the misconduct incident
Records of all requests from international students for a release to transfer to another registered provider, made under the <b>International Student Transfer Between Registered Providers Policy</b> and associated Procedure, and the assessment of, and decision regarding, the request	2 years after the student ceases to be a student of the Institute
Records of all requests from students for deferment of commencement of study, made under the <b>International Student Deferment, Suspension and Cancellation of Study Policy</b> and associated Procedure, including any accompanying evidence and the written advice issued to the student in respect of the decision made in relation to the request	2 years after the student ceases to be a student of the Institute
Records of all applications from students for advanced standing, made under the <b>Advanced Standing Policy</b> and associated Procedure, including any accompanying evidence, the assessment of, and decision regarding, the application	2 years after the student ceases to be a student of the Institute
Records required for legal action	Retained until the completion of that legal action, including appeals.
Certification documentation, including: <ul style="list-style-type: none"> <li>• A testamur; and</li> <li>• Records of results</li> </ul>	Indefinite – electronic records containing information on student results for Australian Qualifications Framework (AQF) qualifications will be retained for 30 years after the student’s course completion date, to enable re-issuance of statements of attainment or qualifications (if required)

**OVERSEAS STUDENT RECORDS**

Details of accepted students, including:

- Name and gender;
- Name, start date and expected duration of the student's course at the Institute;
- Date of birth, country of birth and nationality;
- Details of person who has legal authority to act on the student's behalf (if the student is under 18 years old);
- Course and location;
- Agreed start date of the student's course at the Institute;
- Day when the student is expected to complete their course at the Institute;
- Amount of tuition and non-tuition fees received before confirming the student's enrolment using PRISMS;
- Total tuition fees required to be paid to undertake full course;
- Whether premiums have been paid for student health insurance before the course commences;
- If the student has undertaken a test to determine their English competency, the name of the test and the course taken, and the score;
- The location of the Australian government immigration office where the student's visa application was lodged;
- The student's passport number; and
- If the student holds a visa, the visa number.

Until the information is entered into PRISMS – within 14 days of the student being accepted into their course at the Institute (unless retained for 2 years above – such as through the written student agreement)