

Records Management Policy

1. Purpose and Scope

The purpose of this policy is to provide a framework for the creation and management of information and to ensure that records are created, maintained, and disposed of appropriately to comply with relevant legislation and business requirements. This policy applies to hard copy records, soft copy records and databases.

This policy applies to all higher education staff of The Performing Arts Conservatory (the Conservatory).

2. Objectives

The Conservatory is committed to ensuring that:

- All confidential information is kept securely and safeguarded.
- All confidential hardcopy records are kept under lock and key.
- All electronic records are access limited and password protected, where required.

3. Implementation

The Conservatory will ensure that records are managed according to this policy and meet all regulatory requirements. The following principles apply:

- All records are accurate and have integrity.
- All records are accessible for the relevant business contexts.
- All management system records are the responsibility of the personnel listed on the Retention Schedule at Appendix 1.
- All student information is confidential and is only made available to the students themselves, to a person authorised by them or when requested to do so by a legal authority.

3.1. Privacy and Confidentiality

Information about students and staff is confidential information and is not disclosed to any third party. Information examples are:

- Students are made aware that the Conservatory will not allow access to their personal information without their written consent being obtained.
- When enrolling, students sign a confidentiality waiver to allow government authorities to access their academic and personal details on demand.
- Staff members and students both have the right of access to their own personal file.
- Students are required to contact the Director of Higher Education if they wish to seek access to their personal file, and staff members should contact the Administration Manager.
- Students may allow third party access to their personal file by providing written permission to the Director of Higher Education outlining the nature of information that may be accessed.

4. Procedure

The following sections provide detailed information on the creation of records and records management procedures.

4.1. Creation of Records

Records may be created for various purposes. Records should be developed using appropriate version control where applicable, particularly for policies and procedures, and other similar documents that will undergo revision from time to time.

4.1.1. Document Format

Documents should be created using the appropriate format for the type of document. For example, all policies should be developed using the Conservatory’s Policy Template. There may be other templates created for various business purposes.

File Naming Conventions

- File names should not include punctuation such as commas, slashes, colons, or semicolons as it causes issues with some software systems.
- Spaces may be used to separate words in a title.
- Hyphens may be used if a word is usually hyphenated, but not to separate words.
- Hyphens may also be used to point out another subject in the document title, such as the version number.
- It is preferable to use titles that group files together in some instances, such as the Minutes example. Consider whether this would be useful when searching for files.
- It is preferable that no names of people or dates are used in titles; instead, please use a consecutive version number.

Examples of titles are as follows:

- Course Outline-v0.01
- Records Management Policy-v1
- Minutes Academic Board Meeting 010915-v0.02

Version Control

Controlled documents such as policies should include a Revision History and Drafting Table. These tables should be completed by staff to keep a record of version history and approvals.

Approval Authority	Contact Person	Revision Due Date	Revision Date	Approved Date	Version No.	Revision Description
Governance Board	Chair	01/07/19			1	New document
DRAFTING DETAILS						

Prepared By	Preparation Date	Revised By	Revision Date		Draft No.	Revision Description
XY	14/9/15				0.01	Preparation of new document

The following information should be inserted in the footer of the document, using Word’s ‘Insert Field’ functions, so that titles and page numbers are automatically updated.

- Title of document
- Version number
- Page number (X of Y format)

Example: Records Management Policy-v1 Version No. 0.01 Page 1 of 2

Initial drafts of a controlled document should commence with version 0.01 and continue with increments of 0.01 to reflect subsequent changes.

The final version of the controlled document will commence with version number 1.0. Minor revisions will proceed with increments of 0.01, for example 1.1, 1.2 and so on. Major changes will increase by whole number increments, for example 1.0, 2.0 and so on.

Document Register

A document register shall be maintained for all controlled documents. It should include the following:

- Document title
- Version number
- Document contact
- Date created
- Date revised
- Date of approval
- Approving authority
- Comments on history or reasons for review

Document Approval

New documents or final revised drafts of documents should be circulated to appropriate personnel or committees prior to seeking approval from the relevant approval authority. Generally, this will be the Academic Board for academic documents and the Governance Board for non-academic documents.

Note: Minor changes such as grammar or spelling amendments, or updates to web links are not deemed as changes to content, and are therefore exempt from the approval process.

Once approved, the final controlled document is distributed to all relevant personnel, students or stakeholders and uploaded to the Conservatory's website.

4.2. Management of Records

4.2.1. Student Records

The Conservatory has installed and will use Avaxa/Strata as its student management system (SMS) and Moodle as its learning management system (LMS) for higher education to record electronic records.

Individual student records

Student files are stored in a locked filing cabinet and/or as a secure digital record with access provided only to those authorised to view them. Examples of records are:

- A student file (which may include electronic and hard copy records) will consist of:
 - records of fees paid and outstanding in relation to their course
 - written agreements made with students
 - all correspondence and records of contact with the student
 - copies of all student assessments for at least one semester after completion of the assessment items
- Student assessment records are retained for every student initially for appeal or review and ultimately so the Conservatory maintains the ability to re-issue the actual qualification testamur or statement of attainment.
- Academic records will be retained as per the Retention Schedule. The records are to contain sufficient information for the Conservatory to reissue the qualification or statement of attainment upon request.

Completed Assessment Items

Completed assessments are retained as per the Retention Schedule. The Conservatory disposes of completed assessments securely in the first week of December and the first week of June, each year.

Authorised Access

Only authorised personnel will be given access to student records. Authorised access will be determined and approved by the Director of Higher Education. Access will typically be provided to the Administration Manager and the Director of Higher Education. Any other staff requiring access will need to put forward a case outlining why they need access.

Authorised access applies to hard copy and electronic records. The IT Manager will assist with setting software authorisations based on approvals granted by the Director of Higher Education.

4.2.2. Staff Records

All staff have a personal file for the storage of all essential records. Information examples are:

- Records of validated qualifications are maintained, together with certified copies of qualifications and a resume. Such information on qualifications and experience is update annually.

- Personal records of staff are kept in either electronic format or hard copy format which is scanned to a secure server.
- Hardcopies are disposed of securely.

Authorised Access

Only authorised personnel will be given access to staff records. Authorised access will be determined and approved by the CEO. Access will typically be provided to the Administration Manager, Director of Higher Education and CEO. Any other staff requiring access will need to put forward a case outlining why they need access.

Authorised access applies to hard copy and electronic records. The IT Manager will assist with setting software authorisations based on approvals granted by the CEO.

4.2.3. Financial Records

All the Conservatory's financial documents required by the Australian Taxation Office are retained as per the Retention Schedule. The Conservatory uses MYOB to record financial transactions which is linked to the external Accountant via the Cloud. The Administration Officer and Administration Manager are authorised to access financial records.

4.2.4. External Reporting Requirements

There are external reporting requirements that must be adhered to such as:

- State and Federal Government bodies may require student course data records to be submitted in a format to suit their systems.
- The Conservatory will supply such data as required from the SMS in the format determined by TEQSA.
- All records submitted to State and Federal Government bodies are carried out using compliant reporting software, which dictates the data and format required for submission. The person responsible is to ensure that data submission has been effective.

4.2.5. Archiving Records

Records are retained in the office while files are active, before being transferred for archiving in secure storage in either a hardcopy or electronic format. Archiving will generally occur once a student or staff member leaves the Conservatory, or at such other time as the record is deemed to be no longer active.

4.2.6. Destruction of Records

Once records have passed the minimum retention period as per the Retention Schedule at Appendix 1, and it has been decided to dispose of the records, hard copy records must be destroyed by industrial disposal only.

4.2.7. Insurance Records

The following insurance policies are maintained as current:

- Professional Indemnity
- Public Liability
- Workers Compensation as prescribed by the Workers Compensation Act
- Relevant building and contents insurance policies.

The CEO retains originals of insurance policy documents and Certificates of Currency. Activity at the Conservatory that may void an insurance policy is referred immediately to the CEO.

Risk management activities are conducted to minimise risk and therefore the cost of insurance and cost to the business.

All inquiries from insurance companies must be referred to the CEO. Staff must adhere to the confidentiality agreement and not inform third parties, including media, and insurance investigators about an incident or a claim, unless instructed by the CEO or by an Australian Court.

5. Definitions

Archives: records that are deemed to have continuing value

Data: the data contained in a form or on a document

Document control: process established that sets out the controls to manage records

Electronic Records: 'information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business' (AS ISO 15489.1-2002 Australian Standard Records Management Part 1: General)

Records Management – 'the efficient and systematic control of the creation, receipt, maintenance, use, and disposal of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records' (AS ISO 15489.1-2002 Australian Standard Records Management Part 1: General).

6. Related Documents

The following policies and procedures are related to this policy:

- Admissions Policy
- Staff Recruitment and Performance Policy
- Staff Development Policy
- Student Grievance Policy
- Staff Grievance Policy
- Financial Practice Policy

7. Review

Three years from commencement.

8. Accountabilities

The Governance Board is responsible for review and approval of this policy, with input from the Academic Board.

The policy is to be implemented via induction and training of staff and distribution to students and the Conservatory's higher education community via the website and other publications.

9. Revision History

Approval Authority	Contact Person	Revision Due Date	Revision Date	Approved Date	Version No.	Revision Description
Governance Board	Chair	01/07/19		15/4/16	1	New document
Board of Directors	Chair	1/7/20	9/6/17	9/6/17	1.1	Current
		21/10/23	21/10/20	21/10/20	2.0	Zoom Recordings Added

Appendix 1 – Retention Schedule

This Retention Schedule outlines the period of time that key records will be kept by the Conservatory.

Type of Record	Retention Period	Person Responsible
Student Records	Student Files – Minimum of 20 years in digital format, after the student graduates or leaves	Administration Manager
Student Assessments	Student Assessments and Exam Papers - 6 months after the end of the relevant term Assessment Grades – Minimum of 10 years in digital format	Administration Manager
Human Resource Files	Minimum of 5 years in digital format, after the employee leaves	Administration Manager
Research Publications	Minimum of 5 years from date of publication as recommended by The Australian Code for the Responsible Conduct of Research	Director of Higher Education
Financial Records	Minimum of 5 years, or as required by the Australian Taxation Office	CEO
Policies	Minimum of 1 year in digital format, after version has been made obsolete	Administration Manager
Regulatory Authority Documents/Applications	Minimum of 10 years in digital format, after the documents/application have been submitted	CEO
Zoom Lecture Recordings	One trimester, plus one.	IT