

## Record Management Policy and Procedure

### 1. Purpose

- 1.1 This document outlines EIA's management policy on the development, maintenance, and disposal of EIA records.
- 1.2 EIA owns all records created and received by employees in regard to their day to day business and EIA's operations. This is inclusive of teaching materials, research data and correspondence.
- 1.3 All records are created, managed and maintained according to regulatory requirements, standards and best practices.
- 1.4 This policy complies with the *Higher Education Standards Framework (Threshold Standards) 2015 (Cth)* ('HESF') in the *Tertiary Education Quality and Standards Agency Act 2011 (Cth)*, specifically to Sections 7.1 and 7.3 in HESF. This policy also complies with the *National Code of Practice for Providers of Education and Training to Overseas Students 2018 (Cth)*.

### 2. Scope

This policy applies to all EIA employees and records.

### 3. Responsibility

- 3.1 The General Manager/ Executive Manager of Operations is responsible for the implementation of this policy and procedure.
- 3.2 All EIA employees, including Academic Directors and other Managers, are responsible for creating and maintaining accurate records of business and affairs that they have engaged in.

### 4. Definitions

- 4.1 Records: information/data created, received and maintained by EIA and its employees as a result of official business or affairs, and retained as evidence. Examples of records include, but are not limited to:
  - course and unit outlines
  - enrolments, progression, completions, and award of qualifications
  - grievance and appeals documentation
  - contracts and agreements
  - policies and procedures
  - meeting minutes
  - students' academic records and certification documents

### 5. Requirements

- 5.1 Creation of records: All EIA employees are responsible for creating and maintaining accurate records of business and affairs that they have engaged in.

5.2 Protection of records: All employees must abide by the guidelines and under no circumstance damage, destroy, segregate, move or alter any EIA records.

5.3 Back up of records: The IT Department will automatically back up documents daily on a shared drive, and weekly on an external hard drive.

5.4 Some records are identified as sensitive and confidential and must be kept in a secure and lockable place. Examples include student records, staff records, complaint and appeals matter, and contractual documents. Such information can only be accessed by authorised staff.

5.5 Information systems and records are maintained, confidentially and securely to:

- maintain records that are current and accurate
- prevent fraudulent or unauthorised access to information which is deemed confidential or sensitive
- record and document responses and outcomes to grievances, appeals, academic misconducts, critical incidents, etc.
- comply with the Threshold Standards

5.6 Records of student profile, record of acceptance/approval of RPL/course credit recognition, written agreement, records of receipts of payment, critical incidents and remedial actions, request, assessment and decision relating to release, study progress, and other information must be kept for the duration of the study and a minimum period of two years from the date the person ceases to be an accepted student at EIA.

5.7 Disposal and destruction of records: Where an employee wishes to initiate the disposal of records, they are required to contact their immediate manager, who will then contact the Academic Director/General Manager.

5.8 Access to records: Employees are given access to records that are necessary for their role. Records that contain personal, organisational or operationally sensitive information will have restricted access, whereby only those who are authorised will have access.

5.9 Records generally can be categorised into four groups:

- Active: records that are used on a daily basis, these are usually stored electronically or physically for convenient access
- Inactive: records that are not often used but required for maintenance purposes
- Destroyed: records that have been destroyed/securely disposed
- Archived: records that are of permanent value, these are normally stored in a secure long-term location.

5.10 Record formats:

- Source Record: documents or other records that have been copied or migrated. A source record may be an original record, or it is a reproduced copy.
- Paper Record
- Electronic Record
- Email correspondence

<b>Document Title</b>	Record Management Policy and Procedure
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<b>Custodian</b>	Governance Officer
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<b>Version History</b>	
Version Number	Amendments
1.0 (approved on 29/05/2019)	Original version
1.1 (approved on 19/05/2020)	Add specific information as required by National Code 2.4, 3.6, 6.8 and 7.7 to be retained for 2 years from the student's last enrolment with GHEA
1.2	Change company name to Edvantage Institute Australia (EIA); update responsibility
1.3	Add the records of receipts to clause 5.6