

RECORDS MANAGEMENT POLICY

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| Policy owner | Executive Management Committee |
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PURPOSE

The purpose of this policy is to establish a framework for the creation and management of records within MIECAT. MIECAT is committed to establishing and maintaining recordkeeping practices that meet its business needs, accountability requirements and stakeholder expectations.

MIECAT's records are its corporate memory, and as such are a vital asset for ongoing operations, providing valuable evidence of business activities and transactions.

MIECAT recognises its regulatory requirements as an accredited Higher Education Provider. MIECAT is committed to implementing best recordkeeping practices and systems to ensure the creation, maintenance and protection of accurate and reliable records. All practices concerning recordkeeping within MIECAT are to be in accordance with this policy and its supporting procedures.

SCOPE

This policy applies to all staff within MIECAT.

This policy applies to all aspects of organisational business, all records created during business transactions, and all business applications used to create records

including email, database applications and websites. It provides the overarching framework for any other corporate recordkeeping policies, practices or procedures.

POLICY AND PROCEDURES

MIECAT's recordkeeping policies and practices are integrated with the organisation's broader information management regime (including business systems and knowledge management). MIECAT's Executive Management Committee will develop all record keeping strategies, and is responsible for the design, implementation and review of all recordkeeping practices.

1. Principles

1.1 MIECAT will develop recordkeeping systems that capture and maintain records with appropriate evidential characteristics in accordance with its obligations under relevant legislation.

1.2 MIECAT is committed to best practice recordkeeping and will develop recordkeeping systems consistent with the Australian Standard for Records Management (AS ISO 15489).

2. Recordkeeping systems

MIECAT's recordkeeping systems are dedicated to the creation and maintenance of authentic, reliable and usable records for as long as they are required to effectively and efficiently support business functions and activities.

The recordkeeping systems will manage the following processes:

- the creation or capture of records within the recordkeeping system
- the storage of records
- the protection of record integrity and authenticity
- the security of records
- access to records
- the disposal of records - unless otherwise authorised, all record disposal within MIECAT must be undertaken in compliance with the organisation's approved disposal guidelines.

3. Records Security

3.1 Records generated by MIECAT are stored electronically in dedicated Microsoft products including Sharepoint and Teams, and are backed up using Microsoft secure cloud-based on-shore data storage facility in Azure. MIECAT leverages AdaptIT for student records and Xero for financial management records, both these systems are cloud based and utilise recovery systems for preventing data loss. All paper records are stored in the central office in a locked filing cabinet or cupboard.

3.2 Access to all documents is managed through permission settings within Sharepoint and Teams. Permission guidelines are managed by the Operations Manager in conjunction with Executive Management Committee. Staff can request access to information areas outside of permission settings through their line manager and in conjunction with the Operations Manager/Executive Management Committee. Access to paper records can be requested through line managers.

The Student Services Manager in line with the Privacy policy will be authorised to respond to requests for student records of results, Testamurs and Statement of Attainments, however, must gain authorisation from the Director for any other request.

3.3 Any decision to allow access to records must comply with MIECAT's Privacy policy.

3.4 MIECAT's strategy for disaster recovery covers electronic and paper-based records. As above, to mitigate risk in the case of theft or disaster, all records are backed up in the cloud using respective vendors' recovery processes to mitigate data loss. The following processes are implemented to prevent data loss:

- current paper records are to be stored in lockable filing cabinets
- archived paper records are to be stored in lockable cupboards
- electronic records are to be secured by password protection
- cloud-based storage is to be secured by password protection

In the event that any records received that cannot be digitised, the receipt of, and the document's significance is noted electronically as proof of its existence.

4. Student Files

4.1 The student information below is stored in electronic format. The student files created for each student include the following identifiers for retrieval purposes:

- given name
- family name
- student identification number, either USI or CHESSN

4.2 Academic student files shall contain all information pertinent to the student's enrolment, administration, academic progress, and completion (where relevant). The academic student file must contain the following:

- Relevant written communication with the student
- evidence from the following student related activities:
 - enrolment documentation / information
 - Fee Help documentation (where applicable)
 - student ID
 - year commenced
 - course code
 - course name
 - assessment record for the period of enrolment
 - program completion and graduation

5. Data Retention Considerations

All records will be retained and disposed of in accordance with the Retention and Disposal Authority for Records of the Higher and Further Education Functions (2019 Victoria) as found in the Public Records Act 1973, Section 12 (Victoria). Other guidelines that will assist when determining whether a record is to be retained, archived or disposed of are:

- administrative value – Do the records still support an ongoing function?
- legal value – Will the records be needed in the event of future litigation? What are the legislative requirements? Most records should be retained for seven years. Academic records to be retained for twenty-five years.

- financial value – Do the records relate to any current or on-going financial transaction? Most can be disposed of after seven years.
- historical value – Does the record reflect significant historical patterns or policies that have shaped MIECAT?

6. Recordkeeping Technology

6.1 MIECAT's policy is to use technology to support its record keeping systems. Upgrades and technology changes are considered annually as part of the business systems and risk reviews. MIECAT favours a secure cloud-based technology solution engineered for education providers because of ongoing access to technology expertise otherwise not feasible to maintain within MIECAT's own capability. The following systems are cloud based:

- financial records (Xero). The Finance Team Manager, the Director and the auditor have log in access to the MIECAT accounting system with capacity to manage and change records.
- Email. Access to management of the Microsoft Office 365 Productivity Suite email account is only available to the Operations Manager, and Student Services Manager and the Director
- document management
- student records
- MIECAT website hosted by Practice Edge and managed internally by the Operations Manager.

6.2 MIECAT adheres to the requirements outlined by the Department of Employment and Training (DET) for managing compliance and reporting requirements.

6.3 The Student Services Manager is authorised to update student records with the student's consent.

6.4 MIECAT's financial records management system is an industry standard cloud based system. It is hosted at the service provider's premises and the service provider is responsible for data backup and disaster recovery. MIECAT is responsible for auditing the service provider's processes and procedures with respect to security, backup and disaster recovery.

RESPONSIBILITY FOR IMPLEMENTATION

The Director must oversee the management of this policy within MIECAT.

The Executive Management Committee is responsible for the authorisation of the recordkeeping policy and its management through resource allocation and other management support.

The Executive Management Committee is responsible for supporting and monitoring staff recordkeeping practices as defined by this policy. Managers should create, and support the creation of records by staff, as part of normal business practices.

The Operations Manager is responsible for overseeing the design, implementation, and Student Services team is responsible for maintenance of this recordkeeping policy, as well as monitoring compliance.

All staff are responsible for the creation of accurate and reliable records as defined by this policy.

KEY STAKEHOLDERS

All staff and students at MIECAT

SUPPORTING DOCUMENTS

MIECAT Privacy Policy

Archives Act 1983

Electronic Transactions Act (VIC) 2000

Evidence Act (VIC) 2008

Freedom of Information Act 1982

Privacy and Data Protection Act 2014 (VIC)

Public Records Act 1973, Section 12 (Victoria).

Privacy Act (1988)

Higher Education Support Act 2003

VERSION HISTORY

| Date of Issue | Version | Author | Summary of changes |
|----------------------|----------------|---------------|---------------------------|
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