College - Information Management Procedure

Date first approved:	9 May 2018
Date of effect:	9 May 2018
Date last amended:	9 May 2018
Date of next review:	9 May 2021
Approved by	Stanley College Audit and Risk Committee
Authorised Officer	Registrar
Supporting documents, policies and forms of this procedure	*College* - Information Management Policy Confidentiality Agreements Retention Schedule Staff File Checklist
Related Legislation and Codes of Practice	Higher Education Standards Framework 2015 Tertiary Education Quality and Standards Agency (TEQSA) Act 2011 Privacy Act 1988 Education Services for Overseas Students Act 2000 (ESOS Act) Freedom of Information Act 1982
Audience	Public

1. PURPOSE

1.1 The purpose of this procedure is to outline the process for information management at Stanley College.

2. SCOPE

2.1 This procedure applies to all information and staff of Stanley College.

3. DEFINITIONS

Authorisation, Authentication and Access Control	Information Communications Technology (ICT) concepts relating to verification of online identity (authentication) which enables authorisation to protected systems via methods of ICT access control through permissions.
Disposal	The process by which records are either destroyed or retained permanently. Disposal includes a range of processes associated with implementing the *Information Management Policy*.
Document Management	Document management is the process of rules to how documents are created, reviewed, and disposed within an organisation.
ESOS Act	The *Education Services for Overseas Students Act 2000* of the Commonwealth of Australia.
PRISMS	Provider Registration and International Students Management System: the Australian Government database that provides Australian education providers with Confirmation of Enrolment facilities required for compliance with the ESOS legislation.
Record	A record is a document, data, set of data that is created or received in the course of an organisation's business that is structured, has context and is evidence of activity.
Retention	The act of retaining records or information and sentencing them according to a defined timeframe and process.
Sentencing	A process of implementing appraisal decisions with respect to an organisation's identified records retention requirements.
Security (ICT)	The protection of computer system hardware, software or information from disruption, misuse or unauthorised access or tampering.

4. PROCEDURE

4.1 The *Retention Schedule* (Appendix 1) outlines the process for:
   a. The naming conventions for records;
   b. The archiving of records; and
   c. The destruction of records.

Student Records

4.2 Stanley College uses an internet hosted administration software suite designed to manage records and organise student data including but not limited to enrolment and participation. The software helps management to monitor students' academic progress and participation.

4.3 Databases are maintained for:
   a. Student enrolment including communication with various government agencies;
   b. Student participation and attendance or visits with the lecturer;

c. Student fees and refunds; and

d. Automatic creation of a unique student identifier.

4.4 The Registrar maintains the integrity of all databases with data input.

4.5 Individual student records are retained in digital student files or in hard copy format.

4.6 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.

4.7 A student file will consist of:
   a. The items listed on the Student File Checklist;
   b. Records of fees paid and outstanding in relation to their course;
   c. Written agreements made with students;
   d. All correspondence and records of contact with the student;
   e. Copies of all student assessments for at least one semester/term after completion of the assessment items; and
   f. Copies of complaints and appeals.

4.8 Student assessment records are retained for every student initially for appeal or review and ultimately, so Stanley College maintains the ability to re-issue the actual qualification testamur or statement of attainment.

4.9 Academic records will be retained in digital format for 30 years. The records are to contain sufficient information for Stanley College to reissue the qualification or statement of attainment upon request.

4.10 Completed assessments are retained for a period of no less than six months. Stanley College disposes of completed assessments securely in the first week of December and the first week of June, each year.

Staff Records

4.11 All staff have a personal file for the storage of all essential records, as listed on the *Staff File Checklist*.

4.12 Personal records of staff are kept in hard copy format and are scanned to a secure server.

4.13 Personal files include:
   a. Records of validated qualifications;
   b. Resume and details of experience; and
   c. Professional development activities.

4.14 Staff files are kept throughout employment at Stanley College and for seven years following cessation of employment.

4.15 Hard copies are scanned and securely disposed of one year after employment has ceased.

Financial Records

4.16 All Stanley College financial reports required by the Australian Taxation Office are kept for seven years.

Requests for Information

Students

4.17   Access to personal information is provided, subject to the privacy principles in the *Privacy Act 1988* and the access provisions of the *Freedom of Information Act 1982.*

4.18   Information about students and staff is confidential information and is not disclosed to any third party. Students are made aware that Stanley College will not allow access to their personal information without their written consent being obtained.

4.19   Students requesting information held by Stanley College may do so by submitting a request in writing to the Registrar. Identification documents will be required to verify the student's identify before any personal information is provided.

4.20   Students may allow third party access to their personal file by providing written permission to the Registrar outlining the nature of information that may be accessed.

Staff

4.21   Staff can request access to their personal file by submitting the request in writing to the Human Resource Manager.

Government Authorities

4.22   At the time of enrolment, students are required to sign a confidentiality waiver to allow government authorities to access their academic and personal details on demand.

4.23   Government authorities may include:
   a.   Department of Home Affairs (DoHA);
   b.   Department of Human Affairs (Centrelink);
   c.   Department of Education and Training;
   d.   Tertiary Education Quality Standards Authority (TEQSA);
   e.   Autralian Skills and Quality Authority (ASQA);
   f.   WA Police; and
   g.   Australian Federal Police.

4.24   Stanley College will supply such data as required in the format determined by the authority. State and Federal Government bodies may require student course data records to be submitted in a format to suit their systems.

4.25   All information submissions to Government authorities is carried out using compliant reporting software, which dictates the data and format required for submission. The Registrar is to ensure that data submission has been effective.

International Students

4.26   It is a requirement under Section 19 of the *ESOS Act* that Stanley College provides information to DoHA via PRISMS, a DET record system.

4.27   Reportable information will include:
   a.   Commencement date of study;
   b.   Last day of study;
   c.   Unsatisfactory attendance or course progress;
   d.   Non-payment of fees;
   e.   Misbehaviour;

     f.   Deferral or withdrawal of study; and
     g.   Any change to the student's studies.

4.28   The Registrar is responsible for ensuring the information provided via PRISMS is accurate and provided within the required timeframes.

Security of Records

4.29 ICT Department is responsible for the security of records. ICT Department is responsible for:
    a.   The back-up procedures for Shared drives;
    b.   Protection via password access; and
    c.   Ensuring third parties and host providers comply with Stanley College's security protocols.

4.30 NovaCore is a hosted service with restricted access and back-up processes and all drives are governed by authorisation by role.

4.31 Staff are bound by *Confidentiality Agreements* and receive document management induction by Human Resources.

Monitoring and Compliance

4.32 Staff are given training, as a part of induction, in the *College - Information Management Policy and Procedure* to ensure familiarity with principles and compliance with policy requirements.

4.33 Stanley College conducts periodic audits of records systems to ensure:
    a. Staff have been adequately trained in records management processes; and
    b. Staff are complying with the policy and procedure.

APPENDIX 1: RETENTION SCHEDULE

STUDENT SERVICES RECORDS	Naming Conventions	Personnel Responsible	Archive Date	Retention Period	Disposal Date
Student File	SA-Enrolment-NAME-Student ID	Registrar	To be archived at the end of every semester.	To be retained for 5 years.	5 years after the student is no longer enrolled.
Enrolment Documentation Type (Includes application forms, academic records, identification documents and other supporting documentation)	SA-DocumentType-NAME-Student ID	Registrar	To be archived at the end of every semester.	To be retained for 5 years.	5 years after the student is no longer enrolled.
Complaints & Appeals	SS-Complaint-NAME-StudentID	Registrar	To be archived 2 years after the student ceases enrolment.	To be retained for 5 years.	5 years after the student is no longer enrolled.
Record of Attendance	SS-Attendance-NAME-StudentID-StudyPeriod	Registrar	To be archived 2 years after the student ceases enrolment.	To be retained for 5 years.	5 years after the student is no longer enrolled.
Critical Incidents	SS-CriticalIncident-NAME-StudentID-Date	Registrar	To be archived 2 years after the student ceases enrolment.	To be retained for 5 years.	5 years after the student is no longer enrolled.
Academic Misconduct	SS-AcademicMisconduct-NAME-StudentID	Registrar	To be archived 2 years after the student ceases enrolment.	To be retained for 5 years.	5 years after the student is no longer enrolled.

Tuition Fees Payment	SS-TuitionPayment- NAME-StudentID-StudyPeriod	Finance Manager	To be archived 2 years after the student ceases enrolment.	To be retained for 5 years.	5 years after the student is no longer enrolled.
ACADEMIC AND ASSESSMENT RECORDS	**Naming Conventions**	**Personnel Responsible**	**Archive Date**	**Retention Period**	**Disposal Date**
Records of Attainment	LT-RecordofAttainmnent-NAME-StudentID	Registrar	n/a	To be retained for 30 years	30 years after the student is no longer enrolled.
Assessments	LT-AssessmentName-NAME-StudentID-UnitCode	Academic Director	n/a	Completed assessments are retained for no less than 6 months, from when the grade is published.	Completed assessments are disposed securely in the first week of December and the first week of June, each year.
Intervention Reports	SS-InterventionReport-NAME-StudentID-DocumentType	Registrar	To be archived 2 years after the student ceases enrolment.	To be retained for 5 years.	5 years after the student is no longer enrolled.

Exam Papers	LT-Exam-NAME-StudentID-UnitCode	Academic Director	n/a	Completed assessments are retained for no less than 6 months, from when the grade is published.	Completed assessments are disposed securely in the first week of December and the first week of June, each year.
COMPLIANCE MANAGEMENT AND QUALITY ASSURANCE RECORDS	**Naming Conventions**	**Personnel Responsible**	**Archive Date**	**Retention Period**	**Disposal Date**
Application assessment processes for higher education providers seeking registration to deliver courses to overseas students (Includes provider applications, preliminary assessment reports, assessment plans, site visit reports, notifications, risk assessments and supporting documentation)	GO-Documenttype-VersionNumber-Date	President	Archive after 5 years	Retain for 15 years after action completed	Destroy 15 years after action completed
Higher education course accreditation/re-accreditation application assessment processes (Includes provider applications, preliminary assessment reports, assessment plans, site visit reports, notifications, risk assessments and supporting documentation)	GO-Documenttype-VersionNumber-Date	President	Archive after 5 years	Retain for 15 years after action completed	Destroy 15 years after action completed

Routine operational administrative tasks supporting the core business	GO-Documenttype-VersionNumber-Date	President, Vice President of Corporate Services and Operations	Archive after 5 years	Retain for 10 years after action completed	Destroy 10 years after action completed
Compliance management and quality assurance activities	GO-Documenttype-VersionNumber-Date	President, Registrar	Archive after 5 years	Retain for 10 years after action completed	Destroy 10 years after action completed
Travel and accommodation arrangements made for contracted higher education experts	GO-Documenttype-Date	President, Vice President of Corporate Services and Operations	Archive after 1 year	Retain for 3 years after action completed	Destroy 3 years after action completed
Working papers supporting the **development of low-level quality assurance operational plans** (Includes input into plans, comments received and drafts)	GO-Documenttype-VersionNumber-Date	President, Vice President of Corporate Services and Operations	Archive after 1 year	Retain for 3 years after action completed	Destroy 3 years after action completed
Arrangements for meeting room bookings and catering	ES-MeetingRoomNumber-Booking-Date Or ES-MeetingRoomNumber-Catering-Date	President, Vice President of Corporate Services and Operations	Archive after 1 year	Retain for 3 years after action completed	Destroy 3 years after action completed

FINANCIAL RECORDS	Naming Conventions	Personnel Responsible	Archive Date	Retention Period	Disposal Date
This section refers to records classified under finances and budgets which represent the financial information managed by the Accounts Department of Stanley College.					
Financial reports (Include Balanced Sheet, Profit & Loss Statement, budget planning)	FM-DocumentType-Date	President, Finance Manager	Archive after 3 years.	All financial reports to be kept for 7 years as required by the ATO.	Destroy after 8 years.
Insurance	FM-DocumentType-Date	President	Archive after 1 year.	All insurance documents are to be retained for 2 years after the end of policy.	Destroy after 2 years.
HUMAN RESOURCES RECORDS	Naming Conventions	Personnel Responsible	Archive Date	Retention Period	Disposal Date
This section refers to records contained in various human resources and administration databases maintained by Stanley College.					
Staff files	WM-NAME-StaffID	Human Resource Manager	Archive after 1 year after a staff ceases to be employed by Stanley College.	Retain for 7 years after employment has ceased	Destroy 7 years after employment has ceased
Staff records	WM-NAME-StaffID-DocumentType-Date	Human Resource Manager	Archive after 1 year after a staff ceases to be employed by Stanley College.	Retain for 7 years after employment has ceased	Destroy 7 years after employment has ceased