



Australian Chiropractic College

AUSTRALIAN CHIROPRACTIC COLLEGE (ACC) RECORDS MANAGEMENT POLICY

Governing authority	Board of Directors
Responsible officer	Head of Corporate Services
Date of approval	19 th October 2016
Review date	Oct 2021

1. Introduction

The management of records is critical to institutional governance. The ACC will provide resources and infrastructure to store, archive and retrieve corporate, students, staff and academic related documents. This policy establishes a framework for records management that supports various activities of the ACC to ensure compliance with legislative requirements and relevant standards.

2. Policy Principles

The ACC records are to be managed, captured, accessed, stored and disposed of in accordance with the ACC Records Management Policy to ensure compliance with relevant legislation, regulatory instruments and standards.

Records management enables the ACC to efficiently manage its day-to-day business operations, and ensures accurate and reliable information can be reported to demonstrate compliance with a range of legislation, for example health and safety, privacy, public release of information requirements and more. Records management is also a method of reducing risk and is inline with the ACC's Risk Policy.

The Records Management Program must be implemented across all units of the ACC to support the requirements of this Policy and related plans and procedures. Business unit activities may be subject to internal/external monitoring and auditing to ensure ongoing compliance.

This policy applies to records and information in all formats, including both digital and physical records, created, received and used in the conduct of the ACC activities. The records and information include, but are not limited to, student files, staff files, correspondence, business email, administrative files, financial records, minutes of meetings of the ACC committees or boards.

The ACC's records:

- are its corporate memory;
- provide evidence of actions and decisions;
- represent a vital asset to support the ACC's daily functions and operations;
- support policy formation and high level decision-making;
- help the ACC to deliver its services in consistent and equitable ways; and
- support consistency, continuity, efficiency and productivity in delivering core business.

The ACC is committed to making and keeping full and accurate records of its business transactions and activities. The ACC will continue to improve, promote, maintain and review a Records Management that complies with relevant standards and legislative requirements.

3. Definitions

For the purpose of this policy:

Archives means those records that have been identified as having continuing value and that are kept permanently as part of the ACC's archives collection.

Assessment records means the actual pieces of work completed by a student, or evidence of that work. An assessor's completed marking guide/criteria/observation checklist for each student will be sufficient. However, it must have enough detail to allow an auditor to form a valid opinion of the standard required. The assessor's checklist should include a summary of feedback given to the student, the name of the assessor and the date of the assessment.

Assessment instruments mean a document that clearly demonstrates what has been assessed, how this occurred, and the linkage to the competency standards in the course. The assessment instrument must be supported by objective criteria on which the assessor will base the assessment decision, such as model answers which list the key points.

Legal document refers to all legal documents, such as memoranda of understanding, contracts and agreements, but excludes staff employment contracts.

Record means any document or other source of information compiled, recorded or stored in written form or on film, or by electronic process.

Records Management means efficient and systematic control of the creation, receipt, maintenance, use and disposition 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 Records Management).

Student results means a record of the final assessment outcome for each unit of the course. It must include the code and title of the unit plus the date achieved.

Unit means a clearly defined operational unit within the ACC structure.

4. Responsibilities

President, as head of the ACC, is responsible for ensuring the ACC complies with legislative requirements for records and information management.

Head, Corporate Services, as the Chief Executive Officer's delegate, has the responsibility for overseeing compliance with and Records Management Policy.

Professional staff are responsible for developing, implementing and monitoring the Records Management as well as the training and awareness program which provides staff with the knowledge and skills required to fulfil their record and information keeping obligations.

ACC staff who are in a supervisory capacity are responsible for monitoring and supporting staff to ensure they understand and comply with records management policy. Managers and Supervisors must encourage and support positive record and information keeping practices within their business areas.

All ACC staff including casual staff as well as individuals who may perform work on behalf of the ACC are responsible for ensuring they access records and information only relevant to their role, and understand and comply with the record and information keeping requirements outlined in this Policy.

5. Units

Each unit within the ACC must:

- comply with this policy on records management;
- ensure full and accurate records are made and kept of all activities carried out by the unit;
- manage the records of the unit;
- create and maintain appropriate files;
- determine appropriate retention periods; and
- determine appropriate access restrictions.

6. Committees

The secretaries and/or chairs of all committees, working parties and project teams must:

- manage all committee records;
- comply with all relevant ACC policy on records management in regard to the records of the committee, working party or project team;
- create and keep full and accurate records of all committee, working party or project team meetings; and
- register all meeting papers in records management system.

7. Defining Records

The following examples can be applied when deciding if records need to be saved into the records management system.

If the record:

- is written, received or used in the course of ACC business dealings;
- approves or authorises ACC actions;
- signifies a policy change or development;
- commits the ACC to an arrangement or business deal;
- contains advice or provides guidance for people inside or outside the ACC;
- requires an action by the ACC;
- is an email and is likely to be reviewed or audited;

then the records will require archiving in the records management system.

8. Creating Records

Records must be created and indexed as close to the commencement of a business activity or issue as practicable. This will ensure a full and accurate record is captured and maintained within the records management system as soon as practical. This includes, but is not limited to, emails and documents generated electronically and verbal decisions and advice.

9. Electronic mail (Email)

Email correspondence is an official record where it is used to document business activity of the ACC. The record must be stored within the records management system including all previous threads and relevant attachments to ensure it is a full and accurate record.

Storing emails within email folders on a ACC computer does not satisfy this Policy.

10. Business Systems and Databases

Where units purchase or develop business systems, record-keeping requirements should be considered and documented at the requirements/tender stage.

11. Ownership, Custody and Control of Records and Archives

All records created by staff, or received by staff, in the course of the ACC's operations and activities, are owned by the ACC unless otherwise specified under contract.

12. Back up of electronic records

Backup copies are to be made regularly of all essential computer records and a copy of them kept in a secure location off site.

13. Physical Storage locations and security

Physical records must be stored in a secure area with access only provided to authorised staff. Where records are stored with an individual employee they should be made available to authorised users at all times. Current records should be stored with the unit that is responsible for the records. Non-current records should be indexed into the records management system and destroyed or stored as archives in a suitable location.

No physical records are to be stored outside ACC controlled premises without approval from the President.

14. Legal Records

Where the ACC receives legal records of significance, such as deeds of ownership, they must be lodged with the President who will retain custody of such records.

15. Financial records

Financial records are to be maintained for all transactions as required by the Australian Taxation Office (ATO) and any funding requirements. Such documents are to be stored securely by the Office of the Head of Corporate Services.

16. Student records

1. All student results and assessment records ("student records") must be stored in the student's administration file and retained in accordance with this policy.
2. The ACC will ensure that current and past students are able to access their results and assessment records.
3. All assessment instruments used to assess students must also be stored.
4. All student records will be kept in a secured filing cabinet or room and on a computer system that requires a password to access it.
5. There is no third party access allowed to student records, save for those staff that are authorised to access those records as part of their role.
6. The system used for managing student records will be compliant with all regulatory and funding requirements.

17. Privacy

All records relating to individuals are handled in a way consistent with the Privacy Act 1998 as amended by the Privacy Amendment (Enhancing Privacy Protection) Act 2012 (which came into force on 12th March 2014).

18. Retention

All the ACC records must be retained for the minimum retention periods identified in State Records Legislation.

Each unit is responsible for evaluating whether the minimum retention periods identified in the approved records retention and disposal authorities are adequate for business needs. Minimum retention periods can be increased but not decreased.

19. Storage

The Registrar's Office centrally manages the storage of semi-active records. When records are no longer required regularly and can be stored off-site, the unit should transfer the records to the Registrar's Office.

The attached schedule provides a guide to the storage timeframes for some of the most commonly used records.

20. Review

The ACC's Records Management Policy is reviewed by the ACC Board every five years, or sooner as determined by the Board.

Date	Description of amendment

21. Related policies/ documents

Requirements

Item	Description	Period and number to be retained
Application and Enrolment Forms	Both successful and unsuccessful applications	Seven years for successful applicants and one year for unsuccessful applicants.
Student results	Records may be electronic or hard copy and should show, for each unit of the course, the results and the date of the result.	Keep 100% for 30 years
Student assessment records (This refers to the student's completed work)	<p>During the appeal period Sufficient evidence of how the assessment was made to justify a decision if an appeal is made. If it is impractical to keep all completed assessment items for every student until after the appeal period, then only the assessor's completed marking guide /criteria/observation checklist for each student for each method of assessment used need to be retained.</p> <p>After the appeal period After the appeal period ends, only the assessor's completed marking guide/criteria/observation checklist for each method of assessment used, for each student need to be retained. It must have sufficient detail to allow an auditor to form a valid opinion of the standard. The assessor's checklist should include a summary of feedback given to the student, the name of the assessor and the date of assessment. If no checklist is used, the completed assessment item itself must be retained.</p>	<p>During the appeal period Either the completed assessment items/ evidence of the assessors' marking guide/criteria/observation checklists for every student to cover each unit of the course. These must be retained until the expiration of any appeal period.</p> <p>After the appeal period After the appeal period ends, the assessor's completed marking guide/criteria/observation checklists (or the items themselves) are to be retained for 12 months after the final result for each unit of the course.</p> <p>Keep evidence for a minimum of 10 students or 10% of students (whichever is greater) enrolled in each unit of a course. If less than 10 students in the cohort, all records are to be retained.</p>
Assessment instruments/tools/procedures and assessors' marking guides/criteria/observation checklist (This refers to the master copy) Learning and Assessment strategy		<p>Keep a master copy of all assessment instruments tools/ procedures used for seven years. This is to cover the possible requirement to produce evidence as to how a person was assessed as competent.</p> <p>Three years</p>

Staff Records	All staff records including skill matrices, copies of qualifications and agreements	Minimum of five years after the cessation of employment or contract
Complaints and Appeals	All records relating to any complaint or appeal	Minimum of seven years after the closing of the case.
Marketing material	All approved marketing material	Minimum of two years after production/ printing
Management records	All records of legal and financial management	Seven years
Third Party Agreements	<p>Any agreement between the ACC and a third party to:</p> <ul style="list-style-type: none"> • Deliver training and or assessment • Provide any form of marketing services <p>(NOTE this can be the ACC providing the services or the ACC subcontracting the services)</p>	In addition to be lodged with TEQSA, the documentation relating to the agreement (including to the management and reviews) to be kept for life of agreement plus 2 years.

