1.40.1 Records Management and security of information

Policy number: 1.40.1
Contact Officer: Manager, Corporate & Student Services
Approved by and date: College Management Group – 20 September 2012
Date for Next Review: 12 months from approval for Contact Officer to review policy
Related Policies/legislation:
- Information Privacy Act 2009
- Queensland Department of Education and Training ‘Retention of student results and assessment records’
- Corporations Act 2001 (Cth) administered by the Australian Securities and Investments Commission (ASIC)

Overview

1. UQ College’s records management systems are designed specifically to ensure that adequate and complete records exist and are accessible for the conduct of its official business (outlined in its Strategic Plan). This policy applies to all aspects of the business of the College, to all records created during business transactions, and to all business applications used to create records including e-mail, database applications and websites. This policy applies to all staff and company directors of UQ College.

UQ College ensures that records are created to document its business and are captured in recordkeeping systems for:
- business continuity: so that staff undertaking UQ College business can access past decisions and activity
- protection of rights: the College’s own legal, financial and other rights and its obligations to its staff, students, and others affected by its actions
- accountability: so that scrutiny can be made of its business by anyone authorised to do so.

Description

2. Records created or received by UQ College staff in the process of conducting College business are vital assets of UQ College, providing evidence of its decisions, business activities and transactions.

UQ College develops recordkeeping systems which capture and maintain records that meet its obligations under legislation and standards approved for:

- registration to confer vocational education and training awards
- registration to confer higher education awards
- managing an incorporated company

UQ College’s primary recordkeeping systems are:
- the Financial Management System
- the Student Administration System for tertiary preparation programs
- the Student Administration System for award programs
3. Responsibilities

Records should be captured into a recordkeeping system as soon as possible after creation so that evidence is readily available to support UQ College business.

1. The General Manager, Education & Training and Manager, Corporate & Student Services are responsible for:
   1.1 creating accurate records to support its business operations
   1.2 maintaining up to date records of student enrolment and participation, and fees paid and refunds given at all times.
   1.3 adopting or designing, implementing and maintaining recordkeeping systems which preserve the integrity and authenticity of records over time
   1.4 storing and providing access to records appropriately according to their format, usage and confidentiality, including participating in internal audits of UQ College records
   1.5 providing procedures, advice and training for staff in records management and on the continuing value of records
   1.6 preserving records of continuing value
   1.7 providing appropriate staff access to records
   1.8 protecting personal information based on the privacy principles in the Information Privacy Act 2009
   1.9 developing and implementing strategies for the continuous improvement of records management processes and procedures.

2. Programs Coordinators are responsible for:
   2.1 making teaching staff aware of their responsibilities in relation to recordkeeping and monitoring compliance
   2.2 ensuring staff take responsibility for the capture, management and security of records
   2.3 providing facilities and procedures to capture records within UQ College’s recordkeeping systems and to preserve them over time
   2.4 ensuring the accuracy and timely management of records relating to applicable academic program matters, including but not limited to assessment and appeals
   2.5 seeking advice on appropriate recordkeeping procedures and on the storage and disposal of records when needed
   2.6 ensuring staff have the appropriate authorisation to access records required to perform their duties
   2.7 maintaining up to date records of teacher qualifications, experience and professional development activities.

3. Staff users must:
   3.1 observe all relevant policies, laws, regulations, contractual obligations and procedures
   3.2 document activities performed and decisions made on behalf of UQ College
   3.3 incorporate records created or received into UQ College’s recordkeeping systems
   3.4 handle records with care to ensure their preservation for as long as they are needed
   3.5 arrange for the appropriate transfer of records within the recordkeeping system in order to track records and maintain information security.

4. Security of records

4.1 UQ College ensures through the design and management of both electronic and paper-based recordkeeping systems that records maintain their integrity and authenticity through control mechanisms to prevent unauthorised access, alteration or removal.
Records held in electronic form are backed up on a regular basis and migrated to new systems when necessary so that they remain useable for as long as they are needed. All electronic management systems will be backed up daily and copies stored off premises to ensure record security and to avoid fire, flood, termites or any other pests.

5. Access to records

UQ College provides access to College records to staff that are authorised. Where there is a particular reason to do so, access may be restricted to particular staff positions or business areas. Restrictions such as commercial-in-confidence are used where UQ College has a contractual obligation to maintain confidentiality or is required by law to do so.

Access to personal information is provided subject to the privacy principles in the Information Privacy Act 2009.

The College's records must not be provided to external agencies or organisations without CEO approval.

UQ College may share a student's academic and personal details with The University of Queensland for the purpose of enrolment into an undergraduate program and ongoing contact during the undergraduate program.

UQ College will provide all Australian government entities with information regarding the student as requested and in accordance with the relevant legislation. In particular, student information may be made available to Commonwealth and State agencies and the Fund Manager of the ESOS Assurance Fund, pursuant to obligation under the ESOS act and National Code 2007.

UQ College will not provide student details to any other party without written permission from the student (or their parent/guardian if under 18) concerned unless required by law to do so.

Students will be informed on how to obtain their records via the student enrolment information function of the relevant student administration system. Students may also gain information by providing a written request and proof of identification for access to their records.

6. Retention of archives

UQ College will take measures to ensure that electronic records will be able to be retrieved and accessed through the maintenance/upgrade of appropriate computer programs.

UQ College will retain, archive and be able to retrieve relevant student results in accordance with the Queensland Department of Education and Training 'Retention of student results and assessment records'.

Modification History

Original document prepared by:

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<th>Document Owner(s)</th>
<th>Project/Organization Role</th>
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