

unepartnerships
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Policy

Records and Data Management

RTO-005



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1. Purpose and Objective

- 1.1 This policy outlines the principles that guide UNE Partnerships' approach to the management of its corporate records and data assets and ensuring compliance with legislative requirements.
- 1.2 The objective of the policy is to ensure that physical and digital records and data asset management is a strategic process that assists the organisation in meeting its strategic objectives and its regulatory obligations.

2. Scope

- 2.1 Records included in the scope of this policy include all documents that provide objective evidence of activities performed, events occurred, decisions made, results achieved, or statements made in relation to individual students, cohorts of students, or corporate business and governance activities. Records include but are not limited to legal contracts and agreements, electronic communication, letters, forms, teaching materials including content delivered via the Learning Management System, memos, drawings, letters, podcasts, videos, photographs and transcripts of verbal communication.
- 2.2 Data included in the scope of the policy includes the following.
 - 2.2.1 Corporate data: facts as text, numbers, graphics, images, sound or video captured as an outcome of UNE Partnerships' day-to-day operation. It can include, but is not restricted to: staff data, student data, financial data, facilities data, curriculum data, etc.
 - 2.2.2 Master data: data about UNE Partnerships that provide context for business transactions.
 - 2.2.3 Personal data: data where a person's identity is apparent, or can reasonably be ascertained.
- 2.3 This policy is to comply with the State Records Act 1998 (NSW) and the legislative instruments issued under it by NSW State Records. In addition UNE Partnership's recordkeeping is impacted by many other pieces of legislation including (but not limited to) the Government Information (Public Access) Act 2009 (NSW), the Privacy and Personal Information Protection Act 1998 (NSW), the VET Student Loans Act 2016, National Vocational Education and Training Regulator Act 2011, Standards for Registered Training Organisations (RTOs) 2015, the ESOS Act 2000 and the National Code 2018.

3. Policy

- 3.1 UNE Partnerships' recognises corporate records and corporate, master, and personal data as key organisational assets that support operational activities and inform quality improvement, risk management and strategic planning.
- 3.2 Systematic and accurate record keeping and data management and storage are fundamental to requirements for administrative transparency and accountability.
- 3.3 Personal privacy and risk mitigation are central considerations in relation to the storage, dissemination, use, retention and disposal of corporate records and corporate, master and personal

data. Corporate records and corporate, master and personal data are restricted to authorised staff with a business process requirement.

- 3.4 Applications for access to corporate records and corporate, master and personal data for the purposes of scholarship and research are subject to requirements of the Board of Studies and the University of New England Human Ethics Committee.

Records Management

- 3.5 UNE Partnerships records must be authentic, reliable, usable, complete and unaltered.
- 3.6 Records must be linked to metadata such as format and business and documentary context.
- 3.7 Accurate and systematic records management enables UNE Partnerships to account for decisions and actions by providing essential evidence in the form of records. Thus records must be maintained on systems or infrastructure that is capable of meeting records management standards and legislative requirements.
- 3.8 A system must be assessed for compliance with records standards before it is implemented or before records are migrated to or from the system.
- 3.9 A major change to an existing system must be assessed for compliance.
- 3.10 Throughout their full retention period, records must be actively managed and organised to preserve the privacy of individuals, context, usability and ease of retrieval.
- 3.11 Records must be retained in accordance with the Records Retention and Disposal Authority appended to this policy.
- 3.12 Records must be destroyed at the date specified in the Records Retention and Disposal Authority, using secure and permanent methods unless there is a pending or anticipated legal action or business use.
- 3.13 Records are only available to third parties in accordance with legal and regulatory requirements within the constraints of security, confidentiality, privacy and archival access conditions.
- 3.14 To comply with the Standards for RTOs, UNE Partnerships must:
- Maintain a register of AQF qualifications we are authorised to issue and of all AQF certification issued.
 - Securely retain records of AQF Qualifications and Statements of Attainment issued for a period of 30 years.
 - Securely retain all completed assessment items relating to each unit or module for six months from the date the decision on competence for the individual unit or module was made.
 - Maintain records of all complaints and appeals and their outcomes.

3.15 To comply with VSL requirements, UNE Partnerships must retain documents and information related to the operation of the Act and the Rules for 7 years or as otherwise specified in the Rules [Act s51]. The Rules provide that the following information and documents must be retained for 5 years [Rules s105]:

- The information provided to a student under section 98 before the student enrolled in an approved course
- Documents obtained or assessments undertaken for the purposes of determining a student's academic suitability
- Records of the student's enrolment, including the day and time the student enrolls in the course or a part of the course
- Information and documents collected for the purposes of, or in relation to, an application by a student for a vet student loan
- If applicable, the day and time the student gives the provider an application for a vet student loan
- All correspondence between the provider and the student (or the student's parent or guardian) in relation to the course, including notices issued to the student
- Records of each use of the provider's grievance procedure
- The census days and tuition fees for approved courses
- A copy of each version of a process or procedure required under this instrument, and the dates when the version was current
- Marketing and promotional material relating to approved courses

3.16 To comply with the ESOS Act 2000, UNE Partnerships must retain the following information relating to accepted international students for a period of at least 2 years after the student ceases to be an accepted student:

- Information regarding the students residential address, mobile phone (if any), email address (if any), reviewed, updated and confirmed six monthly
- Written agreements and payments that demonstrate acceptance of the agreement
- Information relating to deferment, suspension or cancellation of the students enrolment including a record of any decisions
- Records of assessment and outcomes for each unit undertaken including acceptance by the student of RPL or course credits granted
- Written record of any critical incident and remedial action undertaken by UNE Partnerships
- Record of student transfer requests and outcomes

Data Management

3.17 Corporate data should be collected only when known and documented uses and value exist either to support:

- 3.17.1 UNE Partnerships' operational activities and to inform quality improvement, risk management and strategic planning; and/or

3.17.2 to meet external reporting requirements.

- 3.18 UNE Partnerships' acknowledges that data quality issues relating to the accuracy, completeness, duplication and/or currency of data, or changes to business processes impacting on data collection and recording have the potential to impact negatively on the data's ability to inform the requirements outlined in clause 3.16. Thus, data quality and integrity are central to UNE Partnerships' approach to data capture, validation, processing and storage.
- 3.19 Processes for data capture, validation and processing should generally be automated. Where this is not possible business processes must ensure the maintenance of reliable data and maximise data quality.
- 3.20 Collection of accurate and complete data is the responsibility of all members of UNE Partnerships' staff.
- 3.21 For accountability and stewardship, all data must have a defined Data Steward responsible for accuracy, integrity, and security of data. Data Stewards are responsible for ensuring that all legal, regulatory, and policy requirements are met in relation to specific data assets.
- 3.22 Personal data held by UNE Partnerships is collected and managed in a responsible and secure manner.
- 3.23 All data must be protected from unauthorised access and modification and be stored in a system endorsed for the storage of corporate data.
- 3.24 Approved applications to dispose of data must ensure that disposal is undertaken securely.
- 3.25 Data is only available to third parties in accordance with legal and regulatory requirements within the constraints of security, confidentiality, privacy and archival access conditions.

4. Definitions

Term	Definition
Administrative metadata	means data that provides information to help manage a resource, such as when and how it was created, file type and other technical information, and who can access it
Corporate data	means facts such as text, numbers, graphics, images, sound or video captured as an outcome of UNE Partnerships' day-to-day operation. It can include, but is not restricted to: staff data, student data, financial data, facilities data, curriculum data, etc.
Data administrator	means the person responsible for the administration of the data and monitoring of the quality of data capture
Data steward	means the person responsible for the accuracy and integrity, of data

Descriptive metadata	means the description of a resource for purposes such as discovery and identification. It can include elements such as title, abstract, author, and keywords.
Learning management system	means the software application for the administration, documentation, tracking, reporting and delivery of UNE Partnerships' programs and courses
Master data	means data about UNE Partnerships that provides context for business transactions
Metadata	means data that provides information about other data. UNE Partnerships references three distinct types of metadata: descriptive metadata, structural metadata, and administrative metadata
Personal data	means data where a person's identity is apparent, or can reasonably be ascertained.
Quantitative data	means data that can be counted (discrete data) or measured (continuous data)
Qualitative data	means non-numerical, categorical data that be arranged or coded into categories
Records	means documents that provide objective evidence of activities performed, events occurred, decisions made, results achieved, or statements made in relation to individual students, cohorts of students, or corporate business and governance activities. Records include but are not limited to legal contracts and agreements, electronic communication, letters, forms, teaching materials including content delivered via the Learning Management System, memos, drawings, letters, podcasts, videos, photographs and transcripts of verbal communication
Structural metadata	means the data that describes the internal structure or representation of a data asset

5. Related Information

Related Legislation	<ul style="list-style-type: none"> • VET Student Loans Act 2016 • National Vocational Education and Training Regulator Act 2011 • Standards for Registered Training Organisations (RTOs) 2015 • Work Health and Safety Act 2011 (NSW) and the Work Health and Safety Regulation 2017(NSW)
Related Documents	<ul style="list-style-type: none"> • National Code of Practice for Providers of Education and Training to Overseas Students 2018 • Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS)

6. Document Information

Version	Version 3
Owner	Director of Education
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