

C007 INFORMATION AND FINANCIAL RECORDS MANAGEMENT

1. Purpose

This policy outlines SAIBT's obligations with regard to the collection, maintenance, dissemination and secure storage of information. It should be read in conjunction with SAIBT's *C003 Data Privacy*.

2. Privacy

- In the case of mandatory external reporting, the Academic Director will ensure the security and confidentiality of transfer of information and records to external organisations (including TSC, Department of Immigration and Multicultural Affairs, Higher Education Institutions, SATAC, and Department of Human Services).
- Except in cases of mandatory external reporting, disclosure of information about a student to a third party cannot occur unless the authentic, written consent of the student is given to the Academic Director. The Academic Director is the only person authorised to disclose information about a student.
- Student access to personal records held by SAIBT will occur in accordance with *C003 Data Privacy* policy.

3. Record Types

Data held by SAIBT exist in electronic and physical formats, and comprise student and staff personal information, SAIBT's financial records, and student enrollment information.

Electronic database records – access to SAIBT's database is protected by permissions (ie password access etc) to a limited group of people who need to use this information on a constant basis. Staff who access the database must log off once their task is completed. (Where keyboard inactivity of 15 minutes' duration is detected, a screensaver operates and further use of the database can occur by password access.)

Physical records - Student files will be kept in locked filing cabinets in the office of the Manager Admissions and Marketing, or Deputy Academic Director.

Lecturer files and records – are stored in a secure location accessible only by the Academic Director

Administrative staff files and records – are stored in a secure location accessible only by the Manager, Finance.

The Manager Admission and Marketing, the Deputy Academic Director and the Manager, Finance will lock their offices whenever they leave their offices. Only authorised senior personnel of SAIBT will have access to keys to these offices. Should student files need to be removed from the room, the person accessing them must sign them out and sign them in on return, utilising the File Use Form attached to the filing cabinets.

4. Accuracy of Records

Every attempt will be made to ensure that data kept either in hard copy or electronic formats have been recorded or entered accurately.

5. Backup of Electronic Records

SAIBT's electronic storage facilities include two file servers ('the MAZE server' and 'the SAIBT server') and an offsite Network Attached Storage device (NAS).

- The MAZE server is backed up to the SAIBT server.
- SAIBT's IT digital data (comprising MAZE, SQL Server, MyIBT portal and staff files) are backed up to the NAS, which is located off site for reasons of security.
- Industry-standard backup software is installed and programmed to back up 'snapshots' of current data on the staff server and the MAZE server to the NAS.
- A snapshot of the Student Portal is backed up weekly.
- To facilitate retrieval of data up to one month prior, a separate snapshot (captured each Sunday) is kept for five weeks.

6. Archiving

SAIBT will contract a specialist, third-party facility to archive student results in CD Rom format for 30 years. The facility will comply with the specifications set out by AQTF, (eg bank safety deposit). Transfer of these records from SAIBT to the archive facility will occur under the supervision of the Academic Director or the Director under conditions of strict security.

Personnel with access to the archive facility will be the Academic Director and the Director. These two individuals will authorise retrieval of records when required to do so in compliance with SAIBT's primary function as an education provider, or to comply with existing laws and regulations.

7. Storage terms

Records will be archived as follows:

Record	Archive Period
• Student results	30 years
• Corrective Action File	30 years
• Course Summary File	30 years
• Customer Survey File	5 years
• Document Receipt File	5 Years
• Employee File	10 Years
• Enrolment Forms File	30 Years
• Internal Audits	5 Years
• Minutes File	5 Years
• Refunds File	7 Years

POLICY NAME	C007 INFORMATION AND RECORDS MANAGEMENT
Reference Authority	Director
Date of Approval	1 December 2006
Amendments	

APPENDIX 1 – Submission/Alteration of Student Personal Details

Personal Details

- When an application to enroll is received, the personal details of the applicant are recorded in the electronic database and a letter of offer is generated.
- At orientation, each student must complete a Personal Information data form on the mySAIBT student portal, which will update the student's personal details that were recorded previously.

Change of Address

- The student either completes a Change of Address form (issued by SAIBT's reception staff), or changes their details electronically via the mySAIBT student portal. International students are advised to also complete a Department of Immigration and Multicultural Affairs Change of Address form.
- Reception staff pass SAIBT's Change of Address form to the Admissions and Enrolment Department so that the updated information may be entered on the electronic database.

Subject Withdrawal

- Students may change their enrolment any time within the first week of semester via the mySAIBT student portal.
- In order to change enrolment details after the first week of semester, the student must collect an Enrolment Amendment form from SAIBT's reception staff or download it from the mySAIBT student portal.
- Student must complete and sign the Enrolment Amendment form, and then meet with the Academic Director or nominee to obtain approval for the withdrawal.
- The Academic Director or nominee passes approved Enrolment Amendment form to the Accounts Department, which enters details of the withdrawn subject on the electronic database and issues a refund or charges cancellation fee.
- The Enrolment Amendment form is then stamped as having been entered electronically, and filed in the student's file.

Course Withdrawal

- The student must submit a written request to withdraw
- If a refund is required, the student must collect and complete a Refund Request form from SAIBT reception staff.
- The student must then see the Academic Director or nominee to discuss course withdrawal.

- Once the student's withdrawal is approved, the Academic Director or nominee passes the withdrawal form and Refund Request form to the Accounts Department.
- The Accounts Department must reverse all subjects, charge any necessary cancellation fees, and issue a refund (where necessary).
- The Accounts Department must also change the student's status to 'W' (for 'withdrawn') on the electronic database.
- The Refund Request form must be stamped as having been entered electronically.
- If student is an International Student, the Refund Request form must be passed on to the Admissions and Enrolments Department to attend to cancellation of the student's visa.
- All paperwork (forms and written request) is filed in the student's file, which is then transferred from the 'Current Students' section, to the 'Withdrawn Students' section.

Student Invoicing

- A meeting is held for continuing students four weeks prior to the end of semester, and, where appropriate, course counselling is provided.
- At the meeting, on-line enrolment, payment methods and payment due dates are explained to students, and followed up by email.
- Students will make payment to SAIBT reception staff, who will issue a receipt.
- The 'Office Use Only' section of Course Selection form is filled in by SAIBT reception staff, and a carbon copy of the receipt is attached.
- Course Selection is undertaken by students via the mySAIBT student portal; an electronic log of all entries is maintained by the portal.
- The Accounts Department prints a *Students Unit of Study* report from the electronic database.
- The Accounts Department invoices students on the electronic database, and then checks Invoice Batch and Units of Study to ensure that the report and invoicing match.
- Any necessary amendments are made and the batch is updated - student statements are then printed.
- A student with an outstanding balance is sent a statement requesting payment.

Finance

- All receipts and payments are held on account on SAIBT's financial records.
- The Assistant Accountant is responsible to record all receipts and payments.

- A student will be issued with a receipt on payment, and will be provided with a statement of their account on request.
- The SAIBT accountant will produce an annual statement of income and accounts.

Student Records

- A record for each student is established when a student registers and contains the following information
 - Full Name
 - Address
 - Contact Address
 - Any specific Requirements the student would like considered
 - Course Registration Number
 - Unique Identification Number Assigned (student ID)
- Issuing of Qualifications
 - Student Identification Number (student ID)
 - Course Registration Number
 - Full Name of the students receiving the Qualification
 - Title of the qualification as listed on the State Register
 - Date on which requirements of the qualification were achieved
 - Units of competency achieved
 - record is entered on the Client Qualifications Register
- Program Record
 - Course Registration Number
 - Course Fee
 - Course Name
 - Commencement Date and Time
 - Attendance Record
 - Assessment Requirements
 - Lecturer Name

Lecturer / Trainer/ Facilitator Records

A file is maintained for each lecturer, and contains the following information:

- Lecturer Name
- Contact Details
- Qualifications (relevant to the training courses provided)

- Current and Past CVs
- Professional development undertaken
- Photocopies of all qualifications
- Records of review of performance and other professional matters

New Staff

- Teaching staff who are new to SAIBT will have verified qualifications and experience.
- A referral must be supplied by either the staff member or by the recommending body (in accordance with staffing arrangements as outlined in SAIBT's Agreement with UniSA)
- Notarised photocopies of all professional development relevant to compliance must be supplied.

Existing Staff

- Each staff member must annually update their CV and qualifications held in June of each year. This should include professional development activities and participation in activities conducted either at SAIBT or externally.
- Teaching staff will be made aware of their responsibility to provide current information regarding personal and professional information to the Academic Director.