Records and Information Management Policy

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1. PURPOSE

This *Records and Information Management Policy* will establish a framework for records and information management that supports various activities of the Australis Business School ("Australis") to assure compliance with statutory requirements and applicable standards. This policy ensures that all records and information collected and retained by Australis reflect the regulatory requirements, privacy principles and legal responsibility to protect, retain and discard Australis's physical and electronic records, including its information and communication technology (ICT) infrastructure and the information Australis holds.

2. SCOPE

All physical and electronic documents, including ICT infrastructure and the data created by Australis staff, will be subject to this policy. This policy will apply to all students and all staff of Australis, including academic and non-academic staff, board and committee members, internal and external stakeholders, as well as independent contractors and consultants.

3. DEFINITIONS

For definitions, refer to the Australis *Glossary of Terms*.

4. POLICY

4.1. Policy Statement

Australis is committed to meeting its legal obligations by administering its records, information and data ethically, legally and cost-effectively. To achieve this objective, an accurate and complete record of activities of Australis will be created, captured and maintained in systems with appropriate controls and record-keeping functionality.

Australis will review and implement records and information management systems, policies, procedures and operational practices to provide Australis with a strategic and operational record-keeping framework. Australis will comply with all legal and legislative records and information management requirements.

4.2. Policy Principles

Australis is committed to promoting and encouraging a culture that supports good record-keeping practices. Supervisors and managers at Australis will monitor staff under their supervision to ensure they acknowledge and comply with records and information management policies and procedures.

All staff members will create and correctly manage records relating to their work, irrespective of the format of the records, including records of decisions made and actions taken. Records

and information management will enable Australis to proficiently manage its business operations and guarantee the accuracy and reliability of the information.

Australis records and information management also reduces risk and complies with Australis's *Risk Management Plan*.

5. RECORDS AND INFORMATION

Student records, staff records, financial records, administrative records, communications, business emails, and meeting minutes of the committees and boards of Australis are few examples of records and information that may be included. Also included will be records of research activities of staff and students. These activities are to include records of research publications, research presentations and seminar programs. Research theses where Higher Degrees by Research (HDR) are awarded will be stored in digital format. Pre-print peer review research papers, open access published papers and research reports will also be stored and made available for public access. Records of research publications affiliated with Australis will be harvested into an annual list of outputs from Scopus and Web of Science to capture peer review outputs. The grey literature will be harvested from Google Scholar.

Records and information may be in any format, including digital and physical records that may have been collected, created and used in the conduct of Australis activities.

The documentation and data will serve as substantiation of Australis's actions and resolutions by facilitating policy development and executive decision-making. Australis records and information management supports efficiency, productivity and consistency, and helps to deliver its services in equitable ways as a vital asset supporting Australis's daily functions and operations. The documents will showcase Australis as a vibrant higher education institution that makes a meaningful contribution to professional education with a vibrant industry engage research community that fosters the development of creators of new knowledge that has impact.

5.1. Student Records

Student records, including results, assessment and misconduct records, will be kept in accordance with this policy and kept in the student's file. All legal and funding criteria will be met by the system used to manage student records at Australis.

All student records will be kept on a password-protected computer system and in a locked filing cabinet. Additionally, all assessment instruments will be kept in a secure location. Access to results and assessment records will be made available to both present and former students by Australis. Student records will not be accessible to any third-party, unless there are exceptional circumstances with appropriate written authority.

5.2. Staff Records

Each member of staff has a file that is created and maintained for employment. The staff file includes position description, recruitment documents, employment conditions or

employment agreement, certified copies of qualifications, verification of experience, documentation demonstrating the legal entitlement to engage in employment within Australia, along with proof of completion of the staff induction, professional development and scholarly activity details etc.

On request to the Administration and HR Manager, staff may access their personal files. Access by third parties is only permitted when mandated by law or with the explicit and written permission of the appropriate staff member.

Copies of original documentation, including qualifications that are kept on file, must be sighted to verify their authenticity and must indicate the date sighted and by whom. The staff file may contain records of grievances or disciplinary actions in which the staff member is either the complainant or respondent.

5.3. Financial Records

The maintenance of financial records is necessary for all transactions mandated by the Australian Taxation Office (ATO) and any funding obligations. The Administration and HR Manager will securely store such documents.

5.4. Emails

Email communication is regarded as a formal record that is utilised to track Australis's business operations. To ensure that an email is a complete and accurate record, it will be preserved in the records and information management system along with all related files and attachments.

5.5. Research Data and Records

In alignment with the *Australian Code for the Responsible Conduct of Research 2018* (R8, page 3), Australis will foster responsible research conduct and will:

> *"Provide access to facilities for the safe and secure storage and management of research data, records and primary materials and, where possible and appropriate, allow access and reference."*

Also, in alignment with the supporting guide, *Management of Data and Information in Research* (section 2.3), Australis will ensure that the storage, retention and disposal of research data should:

- *be consistent with any copyright or licensing arrangements that are in place*
- *be in accord with research discipline-specific practices and standards*
- *comply with relevant privacy, ethical and publication requirements*
- *comply with other relevant laws, regulations and guidelines.*

The period for which data should be retained should be determined by prevailing standards for the specific type of research and any applicable state, territory or national legislation. In general,

the minimum period for retention of research data is 5 years from the date of publication. However, for any particular case, the period for which the data should be retained should be determined by the specific type of research, subject to any applicable state, territory or national legislation. For example:

- *for short-term research projects that are for assessment purposes only, such as research projects completed by students, retaining research data for 12 months after the completion of the project may be sufficient*

- *if the work has community, cultural or historical value, research data should be kept permanently, preferably within a national collection.*

6. ROLES AND RESPONSIBILITIES

All staff of Australis, including academic and non-academic staff, board and committee members, internal and external stakeholders, and independent contractors and consultants, are in charge of ensuring that they access documents and information necessary for their jobs. All staff must comply with this policy's record and information keeping requirements.

All staff are accountable for creating, implementing, maintaining and verifying records and information management, which includes participating in training and awareness programs that provide the skills and knowledge necessary to carry out their record- and information-keeping responsibilities. The Administration and HR Manager at Australis is responsible for ensuring that this policy is adhered to by all staff. To ensure that staff understand and follow this policy, managers and supervisors will monitor and provide assistance. Within their operational domains, managers and supervisors will promote and support good record- and information-keeping practices.

In alignment with the Higher Education Standards Framework 2021, Australis will share its student records with TEQSA in the event of the business discontinuing.

7. Related Documents, External References and Version Control

7.1. Related/Referenced Documents

- Aboriginal and Torres Strait Islander Peoples Education Policy
- Academic Documentation and Graduation Policy and Procedure
- Assessment Policy and Procedure
- Code of Conduct
- Critical Incident Management and Business Continuity Policy and Procedure
- Facilities, Resources and Infrastructure Policy
- Freedom of Intellectual Inquiry Policy
- Library Policy
- Marketing and Student Recruitment Policy
- Privacy Policy
- Risk Management Plan
- Student Academic Progression, Monitoring and Intervention Policy and Procedure
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7.2. Related Legislation and External References

- Higher Education Standards Framework 2021
- Tertiary Education Quality and Standards Agency (TEQSA) Act 2021
- Australian Code for the Responsible Conduct of Research 2018 (and supporting guide, Management of Data and Information in Research)

7.3. Version Control

Version	Date	Reviewed/approved by	Key notes/changes
1.2	31/07/25	AB	Reviewed and approved at the 31/07/25 AB meeting.
1.3	05/08/25	BoD	Reviewed and approved at the 05/08/25 BoD meeting.

7.4. Document Review

To be reviewed at least every five (5) years from the date of final approval.