

 <p>S P Jain School of Global Management DUBAI • MUMBAI • SINGAPORE • SYDNEY</p>	Records Management Policy
Document Type	Policy
Administering Entity	President, VP - Academic, VP – Administration, Registrar, CFO, CMO, Director Human Resources, Secretary to AB and BoD
Latest Approval/ Amendment Date	
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Approval Authority	Board of Directors
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1. Purpose

This policy is to detail the management of all the records of S P Jain School of Global Management as these relate to the creation, maintenance and disposal of records for the purposes of administration, security, corporate memory and legal obligations.

2. Responsibilities

- a. The President is responsible for ensuring that record management legislative requirements are met.
- b. The designated managers detailed below are responsible for records management at the operational level, ensuring the implementation of this policy:

Record	Delegated Responsibility
Student Records	Registrar
Finance Records	Chief Financial Officer (CFO)
Staff Records	Director, Human Resources
Campus, Facilities and IT Records	VP- Administration and Head of Campuses
Marketing and Advertising Records	Chief Marketing Officer (CMO)
Accreditation and Registration Records	VP- Academic and his or her nominees
Board of Directors and Academic Board	Secretary to the Board of Directors (BoD) and Academic Board(AB)

- c. All staff are responsible for creating appropriate and accurate records of the business activities and affairs of the School.
- d. All staff will receive record management training as part of their orientation.

3. Auditing

- a. Regular auditing of record management activities will take place. This is to ensure that records are being created and maintained correctly and an accurate record of the Schools business activities and affairs is being captured in the record management system.

4. Creation of Records

- a. Records should be added to the recordkeeping system at the time of creation or receipt of a document.
- b. Wherever possible records should be held in electronic format.

5. Record Maintenance

- a. All records must be stored for their period of retention.
- b. All records must be accessible by the authorised staff.
- c. All records (electronic and hard copy) must be maintained in good condition.

6. Retention and Disposal of Records

- a. All records specific to the School's operations as a Higher Education Provider should be retained and disposed according to the requirements of the NSW State Records General Retention and Disposal Authority – University records GDA23 and as per other local regulatory bodies requirements at all the four campus locations. Appendix 1 details list of applicable sections of University records GDA23 for the School.
- b. Financial, personnel and administration related records also need to comply with respective requirements at local regulatory requirements for records management at each of the campus locations.
- c. The delegated officers listed in 2b will be responsible for developing and implementation of supporting procedures and processes for retention and disposal of records as detailed in 6.a and 6.b in their respective functional areas.
- d. No records can be destroyed of without the permission of the relevant manager.
- e. The destruction process must be secure to ensure confidentiality.

7. Record Security

- a. Records must not be altered and all care must be taken not to damage records.
- b. All records will be kept in a secure environment.

- c. All access to and use of School records will comply with relevant privacy and freedom of information legislation.
- d. School records will be available to staff for the purposes of their work, within the constraints of security, privacy and confidentiality.

8. Related Documents

- a. NSW State Records General Retention and Disposal Authority – University records GDA₂₃
- b. Staff Code of Conduct Policy

Appendix 1 : List of relevant functions and activities for the School in the NSW State Records General Retention and Disposal Authority – University records GDA23 (approved December 9, 2005)

Function	Activity	Reference
GOVERNANCE AND GENERAL ADMINISTRATION		
Community relations	Alumni relations	2.1.0
	Fundraising	2.2.0
	Public lectures	2.3.0
Governance	Establishment and/or incorporation of university and controlled entities <i>Note: In our case in reference to incorporation of S P Jain School of Global Management and controlled entities</i>	3.1.0
	Breaches of by-laws and rules	3.2.0
	By-laws and rules set by the university	3.3.0
	Elections	3.4.0
	Licensing/accreditation	3.5.0
	Policy and procedures	3.6.0
	Quality assurance	3.7.0
	Senates, councils and similar governing bodies	3.8.0
	Strategic management	3.9.0
Library Management	Copyright	5.1.0
	Fines/penalties	5.2.0
	Loans	5.3.0
Personnel	Academic promotions	6.1.0
	Emeritus/Adjunct professors	6.2.0
	Visiting/conjoint/adjunct academics	6.3.0
	Volunteers	6.4.0
Property and Facilities Management	Capital works	7.1.0
	Commemorative plaques	7.2.0
	Flora/fauna management	7.3.0
	Maps	7.4.0
	Naming	7.5.0
	Waste management	7.7.0
STUDENT ADMINISTRATION AND SERVICES		
Accommodation Services	Halls of residence/residential colleges	8.1.0
	Placement services	8.2.0
Admissions	Applications/Offers	9.1.0
Counselling services	Counselling	11.1.0
Enrolment	Administrative arrangements	12.1.0
	Concessions	12.2.0
	Government fees	12.4.0
	Student identification (ID)	12.5.0
	Variation of program	12.6.0
	Variation of student details	12.7.0

	Withdrawal	12.8.0
Graduation	Approval to graduate	13.1.0
	Graduation ceremonies	13.2.0
	Register of graduates	13.3.0
Scholarships/Prizes/ Bursaries/Fellowships	Administrative arrangements	15.1.0
	Applications and nominations	15.2.0
	Establishment	15.3.0
Student exchange	Student exchange programs	16.2.0
Student grievances	Grievances	17.1.0
Student recruitment	Marketing	18.1.0
	Overseas recruitment	18.2.0
Student Services	Careers advice	19.1.0
	Financial assistance	19.2.0
	Interaction with student associations	19.3.0
	Liaison with service providers	19.4.0
	Special needs support	19.6.0
	Student orientation	19.7.0
	Employment services	19.8.0
	Study assistance services	19.9.0
	Other services	19.10.0
TEACHING AND RESEARCH		
Commercial activities	Commercialisation	22.1.0
	Consultancy services	22.2.0
	Register of commercial activities	22.3.0
Research management	Ethics & safety	23.1.0
	Product management	23.2.0
	Proposal development	23.3.0
	Reporting	23.4.0
	Research administration	23.5.0
	Research data	23.6.0
Short/Non-award courses	Continuing education programs & community courses	24.1.0
	Non-award courses	24.3.0
	Tertiary preparation & support programs	24.4.0
Teaching	Advice to students	25.1.0
	Assessment	25.2.0 (excluding 25.2.3)
	Attendance	25.3.0
	Course delivery	25.4.0
	Curriculum approval	25.5.0
	Curriculum development	25.6.0
	Curriculum review	25.7.0
	Progression	25.8.0
	Results	25.9.0
	Special consideration requests	25.10.0
	Supervision of higher degree students	25.11.0
	Transcripts/final results	25.12.0