

Policy Owner	College Director & Principal
Contact Officer:	Director Quality and Student Services
Policy Number:	QQAPO002
Approved by:	Senior Management Group
Date of Approved:	18 February 2008
Last Reviewed:	30 January 2013
Related Documents:	Back-up of Electronic Document policy Navitas IT Policy Privacy Policy

1. Overview

1.1. The purpose of this policy is to set down the business rules regarding the control, storage, access, retention and disposal of records for the organisation to ensure:

- Documents can be easily located by staff, auditors and other stakeholders as appropriate to their needs;
- Official documentation is compliant with all relevant legislative and accreditation requirements;
- Changes to official documentation (including forms, policies and processes) are tracked and authorised by staff with the appropriate authority level;
- Official documents are presented in a consistent manner.
- Documents are retained and disposed of as per the 'Retention and Disposal Schedule'.

2. Organisational Scope

2.1. Curtin College predominately utilises electronic means for capturing and storing data to support its business processes and for managing its business. As a result, Curtin College's policy is to utilise as far as possible technological solutions for management of records, in order to meet its record keeping compliance obligations, enhance operational efficiency, manage risk, support accountability and maintain corporate memory.

2.2. This policy applies to all electronic documents produced by Curtin College staff

3. Policy Principles

3.1. The principles underpinning this policy statement are:

- Ease of access to stored documents;
- Consistency in quality, format, presentation and organization;
- Compliance with legislative requirements.

4. Policy Content

4.1. Document Storage and Access

4.1.1. The College currently stores all electronic documents on a number of networked drives. The primary drive, H:\ is divided into operational areas and is the repository of all shared documents. Staff in each area has 'read and write' access to their area's folder and 'read only' access to other areas of which they are not a part. H:\ drive is periodically reviewed and files that are deemed to have been superseded or temporary are either archived onto CD or deleted from the drive completely, in accordance with the College's Retention and Disposal Schedule.

Records Management Policy

- 4.1.2. U:\ drive is the repository of all personal business information relating to an individual member of staff's activities at Curtin College. U:\ houses one folder per staff member which is only accessible by that staff member. This folder has a storage limit of 250MB
- 4.1.3. Information pertaining to a student's study is managed through an electronic Student Management System (MAZE). The records retained on this system are subject to a rigorous data back-up process and date back to 2000.
- 4.1.4. H:\Quality & Compliance is the repository of all formal and instructional documents which guide how the organisation is structured and how it operates. Documents stored in this repository include (but are not limited to):
- Official forms
 - Policies
 - Process
 - Position Descriptions
 - Strategic and Operational Plans
 - Committee Terms of Reference, Agendas & Minutes
 - Reviews & Audit Reports
 - Documentation Register (Policies, forms, templates, processes)
 - Legislation and Accreditation guidelines
 - Contracts & Service Level Agreements.
- 4.1.5. The College currently has a range of physical records kept on site, including:
- Active student files for students who enrolled prior to the college going electronic (from Trimester 2, 2000 to Trimester 2, 2011);
 - Inactive student files from previous trimesters;
 - Staff personnel files,
 - Financial records eg. bank reconciliations.
- 4.1.6. The College has moved toward an electronic filing system for all student files, thereby reducing the requirements to store files on or off site.

4.2. Organisation of Stored Documents

- 4.2.1. The organisation of files within 'H' reflect the organisational structure at the first level, dividing into the main directorates or divisions of Curtin College:

FOLDER NAME	RESPONSIBLE ENTITY
Academic	Academic Director
Admissions	Admissions Manager
Finance (includes HR)	Business Manager
IT	IT Regional Manager
Management	Senior Management Group
Marketing	Marketing Director
Public	IT Officer
Quality & Compliance	Director Quality & Student Services
Student Management	SWAM, SSC, ASC
Student Files	All staff

- 4.2.2. The second level of each directory will reflect the major processes or aspects that fall under the responsibility of each directorate.

Records Management Policy

- 4.2.3. The third and subsequent levels of each directory are to be structured in a logical way appropriate to the area responsible and depending upon factors such as:
- nature of the process that the documentation relates to
 - what the content of documentation relates to;
 - the volume of documentation to be managed;
 - the nature or type of document (eg forms, reports, correspondence, newsletters etc)
 - who needs access to the documents
 - which documents are accessed more regularly

Different processes will lend themselves to different organization of related files. Depending on the above factors, directorates may, for example, group their documentation into files organised:

- chronologically (eg files representing specific weeks, semesters or years) or;
- by dividing the process into its separate components (eg breaking the 'student fees' process into billing, receipting, fee-help, debt recovery etc) or;
- according to the persons to which the documents relate (eg. Students, staff, agents, accreditation bodies, partner institutions etc).

4.3. Document Control

Formal documents (all documents contained in 'H:\Quality & Compliance) will be subject to the following change controls:

- 4.3.1. Changes made to official documentation will be tracked and recorded in the Quality Document Register.
- 4.3.2. All documents originating from Curtin College will contain document control information within the footer including:
- The document name and filepath
 - The date the document was last updated
 - The documentation number
- 4.3.3. The Director of Quality & Student Services or nominee is to be notified of any updates to official documentation so that the Policy and Process Schedule can be updated - H:\Quality Management System\Document Control Process
- 4.3.4. Persons responsible and authorised to make changes to formal documents (in Quality folder) are restricted to the Management Team the Student Services Coordinator:
- College Director & Principal in consultation with Directors
 - Academic Director
 - Admissions Manager
 - Business Manager
 - Human Resource Coordinator
 - Marketing Director
 - Quality and Student Services Director
 - Student Services Coordinator
 - Student Advisory and Welfare Manager
- 4.3.5. All members of the Senior Management Group may also change documents within their directorate.
- 4.3.6. Once changed official documents will be saved as a PDF and made available to staff via the intranet and H:\ drive (read only) as well as through the Curtin College website or portal (if applicable for public viewing).

Records Management Policy

- 4.3.7. The person responsible for changing the document is to provide document in correct format to SSC who will be responsible for communicating the change to stakeholders as appropriate.
- 4.3.8. When re-stocking copies of forms (minimal amount to be kept) staff are to print a copy from the relevant directory in H:\Public\Forms to ensure they are always using the most up to date version.

4.4. Document and file naming conventions

- 4.4.1. All processes and forms are to be saved under the relevant directory in H:\Quality & Compliance eg. H:\Quality & Compliance\2 Student Admin & Teaching Delivery
- 4.4.2. Document names should clearly reflect the content of the document/form. Student documents reflect the Student ID first and then the name of document eg. 90000999 Letter of Release

4.5. Retention and Disposal

Curtin College adheres to a Retention and Disposal Schedule which has been formulated to align, where appropriate, with the 'Western Australia State Archives' *General Disposal authority for Administrative Records*. This schedule outlines the different types of records which span the operations of the College and the length of time that the record(s) will be stored before disposal. This document is available in H:\Quality & Compliance\7 Policies & Guidelines

5. Privacy

Any individual (staff or student) has the right to request access to all records that Curtin College has retained relating to them.

6. Administrative procedures

- 6.1. Administrative procedures required to implement, maintain and review the policy should be clearly set by each department.
- 6.2. Document owners will be contacted on an annual basis by the SSC to review the document and ensure it is accurate and current.

Note: This policy supersedes the 'Document Control Storage and Access Policy'

Version:	Last changes:
V 1.1	<ul style="list-style-type: none"> • Modified file locations • Modified organisation of stored documents • Updated Quality and Compliance folder access • Added item 6.2 regarding document review on annual basis