

RECORDS AND DOCUMENT MANAGEMENT POLICY

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1.0 PURPOSE

The purpose of this policy is to:

- Set out the framework for records and document management within the College of Law Group (College) to ensure that the creation, maintenance, retention and destruction of records and documents is carried out within that framework and meets legal requirements, operational business needs, accountability and regulatory requirements.
- Communicate the principles of records and document management for the College and how these principles relate to day-to-day activities of conducting the business of the College.
- Articulate the recordkeeping and compliance obligations of the College.
- Clearly state the roles and responsibilities for records and document management for all staff at the College.

1.1 Applicability

This policy is applicable to:

- All entities of the College Group.
- All employees, contractors, consultants, volunteers and agents of the College Group.
- Records and documents of any format, including digital and paper, those kept in business systems as well as specific records and document repositories.
- Records and documents created and received in the process of *managing and administering* the core business of the College.

This policy *does not* apply to:

- Student Records, which are maintained in the College's Student Management System (Salesforce).
- Payroll Records which are managed in ADP.
- The General Leger which is managed in Great Plains.
- Ferret which is managed in Great Plains
- Flexi purchase system

1.2 Ownership

All Records and Documents (that relate to the College) are the property of the College.

1.3 Introduction and Rationale

In a society where data security is seen as paramount, ensuring staff understand their obligations as they relate to College records, documents and data is critical.

The College is required to keep records of business in accordance with legislative and regulatory requirements. However, beyond obligation, records management serves the College by supporting operational continuity, keeping organizational memory, and evidencing the College's history and success.

Records management has, in the past, been seen as a separate task, in addition to the core work undertaken by individuals and teams. However, this is not the case in a digital era, where the records generated can be adequately created and retained within the tools used in our day-to-day work.

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2.0 FRAMEWORK

2.1 Digital Records

The Framework for all digital Records and Document Management within the College is M365, in particular the shared sites, COL-Gate (for internal College wide records), SharePoint and Teams (for Business Unit Records and Documents). This ensures when staff leave the College or new staff commence College Records and Documents are accessible.

OneDrive is a personal drive on M365 and not a shared drive. For this reason OneDrive is NOT to be used for the storage of College Records and Documents. The only documents that are to be stored on OneDrive are those documents that are personal to an individual.

2.2 Physical Records

The Framework for all hard copy records is to secure in physical files. Hard copy records that are owned by Business Units are to be securely managed and labelled by the Business Unit Manager or their delegate so that the content can be identified and date and retention period can be recorded. Hard copy records have the ability to be physically destroyed. This includes paper files (and boxes etc), external hard drives, USBs and other removable media.

The following are hard copy registers that are managed by the Corporate Secretariat:

- Contracts Register (in accordance with the Contracts Management Policy)
- IP Register (in accordance with the IP Policy)
- Copyright Register (in accordance with the IP Policy)
- Approvals Register (in accordance with the Approvals Policy)
- Corporate Registers (in accordance with the Corporations Act 2001)
- Official Minute Books (in accordance with the Corporations Act 2001)

3.0 DEFINITIONS

3.1 BUSINESS UNITS

Business Units within the College Group, including the accountable executives are:

COLL

- Academic Secretariat (CAO)
- Building Services ((NSW),CFO)
- Centre Legal for Innovation (Director CLI)
- COLACT (ED ACT)
- COLNSW (ED NSW Pre-Admission Programs)
- COLQ (ED Q)
- COLSA (ED SA)
- COLV (ED V)
- COLWA (ED WA)
- Corporate Secretariat (Shared Service, Group CEO)
- Customer Engagement (CCO)
- Commercial Strategy (CCO)
- Human Resources (Shared Service, Director HR)
- International Development and Relations (CCO)
- Technology and Information Services (Shared Service, Director TIS)
- Finance (Shared Service, CFO)
- Marketing (Shared Service, CMO)
- National Graduate Engagement (CCO)

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- Payroll (Shared Service, CFO)
- Teaching Learning and Design (Shared Service)

COLNZ

- Office of the CEO (CEO)

COLP

- Office of the CEO (CEO)
- Operations (COD)
- Curriculum Design and Development (CEO)
- Business Development (COD)

COL Hold Co

- Corporate Secretariat (Shared Service, Group CEO)

COL SIN

- Corporate Secretariat (Shared Service, Group CEO)

3.2 COLLEGE GROUP

The College of Law Limited and its wholly owned and controlled entities including:

- College of Law New Zealand
- COL Hold Co Pty Ltd
- College of Legal Practice Limited
- COLSIN Pte Ltd

3.3 DOCUMENT

A digital file or physical file that contains information, typically in the form of text, images, or multimedia elements. Digital documents encompass a wide range of formats, including word processor files (such as DOC or DOCX), PDFs, spreadsheets, presentations, emails, and various other digital file types. Physical documents include paper, books, USBs, removable media, folders etc.

3.4 EXCO

The Executive Committee of the College Group

3.5 INTRANET

Refers to COL-Gate

3.6 M365

Refers to the Microsoft Office 365 Solution used by the College, including the Intranet, COL-Gate, Outlook, OneDrive SharePoint and Teams,

3.7 RECORD

Any documentary items created or received that evidence past, current or proposed transactions, activities, decisions or events concerning the College. Records exist in physical and electronic format.

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4.0 PRINCIPLES

- **Records and Document management is everyone's responsibility.**
All staff (including full-time, part-time, casuals and independent contractors), and consultants who act on behalf of the College Group have a role to play in fostering a culture of making, keeping and managing records and documents (see *Roles and Responsibilities*).
- **Complete and reliable records are created and retained as evidence of The College's activities.**
Records are created and stored with details about their context such as (but not limited to) authorship, business activity they support, when they were created and what has happened to them over time. Refer to the Records Management Procedure "Naming Conventions".
- **Records are findable, accessible and can be reused throughout their entire life for those with access rights.**
This means knowing how and why records are created and used, having fit-for-purpose systems and processes that are strategically managed now and into the future (see *Compliance* below for more information on why records are retained).
- **Records are disposed of in a timely, managed and defensible manner.**
This means that The College knows and frequently reviews its compliance obligations and has processes and systems in place to ensure that the destruction of records is legal, reliable, demonstrable and repeatable (see *Retention and Disposal of Records* below for more information).

4.1 Compliance

Records management activity must support compliance with relevant legislative and regulatory instruments that impose a records management requirement on the College. These instruments at times dictate when a record must be created, but they can also dictate how long a record must be kept for and when it needs to be destroyed.

Appendix A contains an active list of current legislation and regulations dictating records management obligations at the College and should be used to inform decision making around what records to create and keep both strategically and operationally.

4.2 Access to Records

Access to a staff member's personnel file is prohibited unless authorised by the Director Human Resources or Group CEO, COLNZ CEO (for NZ staff) or COLP CEO (for UK staff). Authorisation should be provided in writing.

Access to commercially sensitive records is prohibited unless an employee member is authorised to receive such records by virtue of their position or authorisation that has been provided by the relevant member of the EXCO or with respect to Board papers and Contracts, the Group CEO, COLNZ CEO (for NZ matters), COLP CEO (for UK matters) or Company Secretary or with respect to Academic Board Papers and Minutes, the Group CEO, CAO or Academic Secretary. Authorisation should be provided in writing.

4.3 Retention and Disposal of Records

Retention of records is everyone's responsibility; records must be kept for as long as required by law or business need. Retention can be:

Permanent:

These records must be kept *forever*. Staff **must not** delete or destroy permanent records.

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Temporary:

These records are held for varying amounts of time according to the College of Law **Retention and Disposal Schedule**.

Legal Hold:

These records may be of temporary value, but for a period, are held to not be destroyed in support of legal proceedings. A legal hold takes precedence over any temporary retention period. If records you are responsible for are subject to a legal hold, you **must not** destroy records.

Retention Periods are detailed in the College of Law **Retention and Disposal Schedule**.

Business Unit Managers should engage the assistance of Technology and Information Services to apply retention periods to their records and documents.

4.4 Disposal Register

The Corporate Secretariat will retain a Disposal Register which is located on COL-Gate and will record:

1. The File
2. Description and Class of Records
3. Disposal Authorisation
4. Original Location of File
5. Format of File (Paper/Digital or both)
6. Date due for disposal

5.0 ROLES AND RESPONSIBILITIES

Role	Responsibilities
Group CEO, The College of Law Limited	<p>Accountable for:</p> <ul style="list-style-type: none"> - Overall compliant records management for within the College. - Fostering a culture of good records management. <p>Responsible for:</p> <ul style="list-style-type: none"> - Approval of delegates to authorize records disposal within the College (in accordance with the Retention and Disposal Schedule).
Chief Executive Officer (COLNZ) Chief Executive Officer (COLP)	<p>Accountable for:</p> <ul style="list-style-type: none"> - Compliant records management within The College of Law New Zealand Ltd and The College of Legal Practice Ltd, respectively, including all corporate and academic records. - Providing a copy of the Records Management Policy to all new staff recruits. (COLP) - Fostering a culture of good records management. <p>Responsible for:</p> <ul style="list-style-type: none"> - Recommending delegates to the Group CEO to authorise records destruction within COLNZ and COLP, respectively (in accordance with the Retention and Disposal Schedule).

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	<ul style="list-style-type: none"> - Regulatory compliance monitoring, planning and responding to changes in records and information management compliance obligations for COLNZ and COLP
Business Unit Owners and Accountable Executives	<p>Responsible for:</p> <ul style="list-style-type: none"> - Fostering a culture of good records management within their Business Unit and raising the profile of records management within their area of responsibility by encouraging good practice and soliciting feedback on how to continually improve practices. - Ensuing all staff understand the regulatory requirements related to Records and Documents for their area of accountability. - Ensuing all regulatory requirements as they relate to Records and Documents for their areas of accountability are complied with. - Ensuring their Business Unit adheres to the Retention and Disposal Schedule. - Selecting a nominee within their Business Unit who is responsible for onboarding new staff and making sure they are aware of their records management obligations, the MO365 system and tools they need to use, how to use these tools, and where to find support. - Selecting a nominee within their Business Unit to deliver training to staff on records management obligations, practices and tools. - Participating in twice-yearly reviews with the Corporate Secretariat to review compliance with policy and raise concerns and ideas for continual improvement. -
All staff	<p>Responsible for:</p> <ul style="list-style-type: none"> - Creating complete and reliable records and documents and keeping them within SharePoint and Teams in the M365 Environment. - Raising concerns and other items of feedback with recordkeeping practices and supporting processes and tools with their Designated Business Owner, Records Management.
<p>In addition to the responsibilities for all Business Unit Owners, the Business Units below have additional responsibilities as they relate to Records and Documents.</p>	
Corporate Secretariat	<p>Responsible for:</p> <ul style="list-style-type: none"> - Developing, implementing, maintaining, reviewing and overseeing the Records Management Policy, procedure, monitoring and reporting. - Disaster planning and recovery, and the management of Records.

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	<ul style="list-style-type: none"> - Regulatory compliance monitoring, planning and responding to changes in records and information management compliance obligations for COLL - Designing training requirements for Business Unit nominees for records management onboarding and capability building that take in to account the College's compliance needs. - Meeting with Business Unit Nominees bi-annually to discuss compliance with this Records Management and Document Management Policy
Marketing	<p>Responsible for:</p> <ul style="list-style-type: none"> - Ensuring the Records on the College's website are accurate and are in compliance with regulatory standards and the TEQSA Threshold Standards. -
Human Resources	<p>Responsible for:</p> <ul style="list-style-type: none"> - Developing, implementing and maintaining appropriate onboarding and offboarding processes that ensure new staff and their managers are made aware of their responsibilities and obligations in Records Management. - Providing a copy of the Records Management Policy to all new staff recruits in Australia and NZ. - As part of periodic mandatory training, HR to include an attestation for staff that they have read and understood their obligations as they relate to Records and Document Management. -
TIS	<p>Responsible for:</p> <ul style="list-style-type: none"> - Arranging training where required for Business Unit delegates to ensure a sound understanding of the SharePoint and Teams Environment within M365 - Implementing and supporting technology and infrastructure to enable good records management practice including but not limited to security. - Upgrading and maintaining technology and infrastructure to ensure business continuity and compliance with legislation, and standards. - Disaster planning and recovery, and the management of Records in conjunction with the Corporate Secretariat. - Assisting and educating the business on how to apply retention periods to records.

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5.1 Monitoring & Review

The Company Secretariat and Academic Secretariat will conduct twice-yearly reviews to assess and understand the following:

- How well staff know and understand their responsibilities and the tools and support available to them in their day-to-day activities.
- Any concerns, observations and feedback on how to continually improve records management activities within the College.

The outcomes of these reviews will be presented to the Board twice yearly as part of the Bi-annual Risk and Compliance.

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6.0 RELATED POLICIES AND DOCUMENTS

The following policies can be read in conjunction with this policy:

- Student Records Retention Policy
- College of Law New Zealand Student Records Retention Policy
- Privacy Policy
- Contracts Management Policy
- IP Policy

The following are related documents:

- The College of Law Retention and Disposal Schedule
- Records Management Procedure
- Records Disposal Authorisation Form

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6.1 Appendix A

INSERT LEGISLATION

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