

# Managing Student files

The student record consists of a series of related student files that collectively meet the business needs of the University as well as the reporting and retention requirements of HESA, ESOS, DET and other relevant bodies/legislation. These records relate to the admission, enrolment, progression and graduation of a student. In some cases the records filed on a student file provide the evidence for student information held in Student One. Collectively these files form the Consolidated Student Records (CSR).

## How do I title student files?

There are two options for titling student files:

1. Student ID Number followed by student name (surname, first name/s)

eg 2345678: Bloggs, Joe

**OR**

2. Student name (surname, first name/s) followed by the student ID number

eg Bloggs, Joe: 2345678

- Files can then be filed in Numerical order;
- By Student ID (Option 1), or Alphabetical order (Option 2), to suit your area's business processes.

**As long as both the student name and student ID appear in the title either of these filing methods can be used.**

- Student records should always be filed in white files - (see Creating files) and are identified by labelling the spine using the option above that best suits the faculty/school

## Where are student files located?

- Student files must remain in the relevant Student Services area at all times. Each faculty, (Science and Engineering, Health Sciences, Humanities and Curtin Business School), have their own student services area. Each Faculty also has higher degree by research student files in FGSO offices.
- Curtin Business School and Humanities also have their own international student services office where applications and enrolments are processed and files are kept for offshore international students. Onshore international student files are processed and kept by the main International Office.
- Other faculties do not have their own international office and student applications are processed through the main International Office. Once these enrolments have been processed the relevant faculties maintain these files. See below: "What goes on a student file? "
- The Office of Research and Development also keeps files and these cover thesis examinations, graduations and scholarships.

## Who can access student files?

- Student Services staff in each faculty can access student files.
- Academic staff who directly provide courses to students may access particular student files to query results, enrolment details and other details for teaching purposes.
- Students may have access to their own files on request, but must provide more than one form of identification before viewing them, for example, student card, passport, driver's licence.
- Access by students must be supervised at all times.

## **What goes on a student file?**

### **Student Administration Files – Faculty office:**

- Applications for admission
- TISC application information for successful students
- Letter of offer
- Certified copies of qualification documents
- Change of Citizenship/Visa status
- Change of name
- Application for recognition of prior learning
- Request for Commonwealth Supported Place
- Application for Bridging of Overseas Trained Professionals (BOTP)
- Application for Advanced Standing
- Enrolment / Change of Enrolment forms
- Extension study forms
- Application for Leave of Absence forms
- Application for deferred assessment
- Change of Result/s
- Donor/benefactor information related to University prizes
- Application for Special Considerations
- Changes to study plans
- Authorisation letters
- Requests for less than 100 credits
- Course variations
- Advice on special needs
- Applications to graduate form
- Progress summary sheet (HDR) FGSO or FSSO
- Student one profile sheet (HDR) FGSO or FSSO
- Notification of Examiners form (HDR) FGSO or FSSO
- Application for e-Exemption
- Thesis examination (HDR) FGSO or FSSO

### **Student administration file – Student Central:**

- Unsuccessful application for admission – TISC candidates
- Application for special consideration
- Centrelink
- Deceased students-notification of student death, fee refund
- Guild membership opt out forms
- Police reports – ID cards (record of stolen ID cards)
- Matriculation applications
- Application for remission of debt
- Application for refund
- COE's
- Copy of passport
- Visa receipts
- Change of address/contact details/advice on special needs
- Signed acceptance of offer
- Intention to Graduate Form
- Cross Institutional – outbound
- Sponsor forms and agent details
- ATO variation

- Special late withdrawal forms
- Copy Request for Commonwealth Support and HECS—HELP forms
- Copy request for FEE-HELP assistance forms
- Request for alternative examination

### **Student Discipline File - Local Area**

Due to potential storage problems, faculties are given the choice of whether documents and correspondence associated with a student discipline case forms part of the student administration file (SAF). If the complete record of the discipline case is not filed with the SAF a cross reference sheet is to be inserted into the SAF to show that a discipline case file exists.

The file consists of but is not limited to:

- Student appeals
- Board of discipline
- Academic status appeals
- Pending and completed appeals
- Staff file notes-advice/agreement/decisions made

### **Student monitoring file - Local Area**

Used for academic/school based staff to maintain and regularly access documentation associated with a student's progress, work experience, industry placements etc. The file consists of, but is not limited to:

- Medical certificates
- Work experience certificates
- Correspondence (including email) relating to the student's study path
- Student placements
- First aid certificates
- Miscellaneous student progress documentation
- Field placement reports
- Field placement applications
- Police clearance
- Staff file notes - advice/agreements/decisions made

This file is optional for use by academic/school based staff. Alternatively component documents should form part of the Student administration file.

### **Higher Degree by Research Student Files:**

#### **Student Administration File - Faculty Graduate Studies Officer's Office**

**The file consists of, but is not limited to:**

- Applications for admission (if international onshore students, copy only as original with IO)
- Letter of offer (not for international onshore)
- Certified copies of qualification documents
- Application for recognition of prior learning (if/as applicable)
- Enrolment/change of enrolment forms
- Application for Leave of absence forms
- Application for deferred assessment (if/as applicable)
- Withdrawals (except CBS)
- Change of results (except SE)
- Citizenship variation documents (if international onshore students, copy only original with IO)
- Change of name (except SE)
- Changes to study plans (if/as applicable)
- Authorisation letters (if/as applicable)
- AUS Aid (copy except SE)
- Change of citizenship/visa status
- Deceased students
- COE's (HS only)

- Change of address/contact details/advice on special needs (SE doesn't keep)
- Cross institutional - outbound (HS only)
- Sponsor forms and agent details
- Research student profile from student one
- Nomination of examiners form (copy only)
- Thesis examination report of chairperson (copy only except SE)
- Special late withdrawals form (HS only)
- Medical certificates
- Staff file notes - advice/agreement/decisions made
- Application for candidacy/candidacy conversion
- Variation to candidacy
- Application for conference funding
- Request for extension of time to submit thesis
- Request for extension of time to submit candidacy
- Annual progress reports
- Supervisor leave arrangements

### **Student Scholarship File - Schools**

The student scholarship file is maintained centrally by the Undergraduate Scholarships & Financial Aid Office. The file consists of, but is not limited to:

- AUS Aid
- Sponsorships
- Financial aid
- Scholarship application and related information
- Student loan
- Financial assistance forms and documents

### **Student Scholarship File - Office of Research and Development**

The student scholarship file is maintained centrally by scholarships staff within the Office of Research and Development. The file consists of, but is not limited to:

- Sponsorships
- Information on grants funding for students
- Scholarship application and related information
- Annual progress reports (copies as appropriate)
- Information relating to the administration of the scholarship

### **Student Thesis Examination File - Office of Research and Development**

The student thesis examination file is maintained centrally by thesis examination staff within the Office of Research and Development. The file consists of, but is not limited to:

- Forms related to thesis examination
- Thesis examiner details
- Correspondence (including email)

### **University Graduate Studies Committee Records - Office of Research and Development**

University Graduate Studies Committee records related to higher degree by research students are maintained centrally by the Secretary of the Committee within the Office of Research and Development. The record consists of the following component records:

- Termination of enrolment forms (originals) and correspondence
- Request for extension of time to submit thesis forms (copies) (once processed, originals are sent back to FGSO)
- Request for extension of time to submit re-submitted thesis requests (once processed originals are sent back to FGSO)

## **How do areas locate relevant files?**

All areas should maintain a Consolidated Student Record (CSR) Register of Files which will identify the location of component records. E.g. Sample CSR Register for Faculty Student Services Office:

Student File Name	Location of file	Responsible officer
Student Discipline File	Health Sciences Faculty Student Services Office Head of School Office	FSSO Head of School
Student Administration File (SAF)	Faculty Student Service Office Graduate Studies Office	FSSO Manager Graduate Studies Officer

## **What about reports and lists?**

Records with multiple student entries should be batched in files and assigned the appropriate disposal authority code.

E.g. "Board of Examiners Results - Computer printout lists run from the student records system to assist Faculties in making decisions regarding the progression of students each semester. Lists are also used to confirm graduation status of students. Includes course assessment lists - print outs of grades awarded to students in courses and examination collation sheets." – WAUSDA17.1.4 - Retain minimum of 3 years after action completed, then destroy

## **How long are student files kept?**

- Student files should be kept in their creating area for 2 years after they become inactive and may then be transferred to Records & Information Management for storage.
- Files of students who are enrolled in, or complete, an undergraduate course, honours course, or Postgraduate Coursework qualification (including Masters by Coursework and Postgraduate Diplomas and Certificates) are to be retained for a minimum of 10 years before seeking approval for destruction.
- Files for Masters by research and doctorate students must be kept for 75 years before seeking approval for destruction.
- Masters and doctoral thesis are University archives and are retained permanently

## **Need assistance?**

Below is a list of the acronyms used in this advice, along with their full description.

BOTP - Bridging of Overseas Trained Professionals	FSSO - Faculty Student Services Office
CBS - Curtin Business School	IO - International Office
COE - Change of enrolment	PELS - Postgraduate Education Loans Scheme
HDR - Higher degree by research	RPL - Recognition of prior learning
HECS - Higher Education Contribution Scheme	SE - Science and Engineering
HS - Health Sciences	SAF - Student administration file
FGSO - Faculty Graduate Services Office	TISC - Tertiary Institutions Service Centre

## **Need assistance?**

For more information please visit our website at [rim.curtin.edu.au](http://rim.curtin.edu.au)

If you need assistance, please contact us by email at [rim@curtin.edu.au](mailto:rim@curtin.edu.au)