

RECORDS MANAGEMENT POLICY AND PROCEDURES

Purpose

This policy is designed to ensure that CAC maintains a systematic, compliant approach to effective management of all records. The policy affirms CAC's commitment in compliance with the standards of record management and obligations towards maintaining up to date students' records of enrolment, training and assessment of the courses within CAC's scope of registration.

Scope

This policy applies to administration, records management and records retention for training and assessment delivered by CAC, it relates to all the records kept either on paper or electronically by CAC. The Administration Manager is responsible for this procedure and to ensure that staff and students are aware of the application of this procedure and that staff implement its requirements.

Relevant standards, acts and legislations

The Records Management Policy and Procedure are within the scope of compliance requirement adhering to the SRTO 2015 Standard 3 clause 3.4 schedule 5, Standard 6 clause 6.5, Standard 8 clause 8.5 and 8.6; 2014-16 VET Funding Contract clause 9.

Definitions

Term	Definition
Standards for NVR Registered Training Organisations 2011:	A legislative instrument describing the minimum standards to be met by RTOs through the VET Quality Framework. The VET Quality Framework is aimed at achieving greater national consistency in the way providers are registered and monitored and in how standards in the vocational education and training (VET) sector are enforced. http://www.asqa.gov.au/about-asqa/national-vet-regulation/vet-quality-framework.html
Registered Training Organisation (RTO):	A training organisation authorised to deliver VET Programs and courses.
Regulatory Agency	Regulatory Agency is the Federal, State or Territory government body which has jurisdiction to approve and maintain RTO registration of the College.
Securely retain:	To retain records in a manner that safeguards them against unauthorised access, fire, flood, termites or any other pests, and which ensures that copies of records can be produced if the originals are destroyed or inaccessible. Records may be in hard copy or electronic format.
Risk Assessment:	Risk assessment is the process used to determine risk management priorities by evaluating and comparing the level of risk against acceptable levels of risk.
Assessment:	The process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a training package or by the learning outcomes of an accredited course
Completed student assessment items:	The actual piece(s) of work completed by a student or evidence of that work, including evidence collected for an RPL process. An assessor's completed

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	marking guide, criteria, and observation checklist for each student may be sufficient where it is not possible to retain the student's actual work. However, the retained evidence must have enough detail to demonstrate the assessor's judgement of the student's performance against the standard required.
Continuous Improvement:	Continuous improvement is the outcome from CAC identifying and acting on opportunities for service and operation improvement. Methods such as student and employer evaluation and feedback, self-assessment and review, validation, and strategic planning are used to gain information for continuous improvement
Internal Audit:	Auditing is one process used by CAC for the purpose of Continuous improvement of the organisation's operations
AVETMISS	The Australian Vocational Education Training Management Information Statistical Standard (AVETMISS) for VET Providers is a national data standard that ensures the consistent and accurate capture of VET information about students, their courses, units of activity, and qualifications completed. It provides the mechanism for national reporting of the VET system.
Currency	One of the rules of evidence. In assessment, currency relates to the age of the evidence presented by candidates to demonstrate that they are still competent. Competency requires demonstration of current performance, so the evidence must be from either the present or the very recent past.
Record	A written, printed or electronic document providing evidence that activities have been performed.
VETtrak	VETtrak is a student database management system

Policy

- The CEO has responsibility for the compilation, maintenance and storage of all version controlled documents, corporate documentation including human resources, financial records and annual reports.
- The Student Administration Officer is responsible for the storage, maintenance and archiving of all student records, student files, training and assessment records in accordance with standards and ASQA requirements. The Student Administration Officer is also responsible for notifying the Secretary and updating student records via PRISMS in accordance with the ESOS Act and ESOS Regulation.
- CAC is required to maintain an AVETMISS compliant student management system. CAC uses RTO manager and VETTrak as its student management system to record and maintain all international and domestic student records and details respectively.
- Student records must be retained and archived for 30 years in a form that is suitable for retrieval and transfer to third parties and in accordance with the requirements of the Regulatory Agency.
- Central Australian College under Standards for Registered Training Organisations 2015, must securely retain, and be able to produce in full at audit if requested to do so, all completed student assessment items for each student, for a period of six months from the date on which the judgement of competence for the student was made.
- Central Australian College (CAC) under SVTS agreement, must not dispose of any records:
 - a) That are required as part of enrolment processes to confirm an individual's eligibility for government subsidised training under the VET Funding Contract, including records required

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under Schedule 1, and to confirm the application of fees in accordance with the requirements of this VET Funding Contract, for at least seven (7) years after the relevant Eligible Individual has completed or withdrawn from the relevant training course or qualification in which they are enrolled; or

b) Related to Training Plans for at least two (2) years after the relevant Eligible Individual has completed or withdrawn from the relevant training course or qualification in which they are enrolled; or

c) Related to Evidence of Participation requirements under this VET Funding Contract, including but not limited to assessment records, for at least two (2) years after the relevant Eligible Individual has completed or withdrawn from the relevant module or unit of competency in which they are enrolled.

In order to ensure compliance with relevant legislation for records management, Central Australian College (CAC) to securely retain and maintain all student data, which includes:

- **Administrative records:** Administrative records are those documents which are used to facilitate the participant's administration during their enrolment. Examples of administrative records are enrolment forms, privacy forms, requests for refund, payment details etc. These records are locked in the stationery room.
- **Completed assessment resources:** Completed assessment may be a combination of templates, questionnaires, checklists, summary sheets, RPL tools, or records of feedback from assessors to participants. Assessment resources include all those items which substantiate the assessment decision made by an assessor.
- **Student academic records:** This includes what units of competence (including codes) and the result the participant achieved. This may include if the participant withdrew, was assessed as competent or not-yet-competent, was recognised as competent through an RPL process or was issued credit for current competency held. These records are currently held in Student Support assessment electronic portal and hard copies kept in secure location in Student Support Department.
- **Qualifications / Statements of Attainment:** Qualifications and Statements of Attainment are documents to recognise the outcomes of assessment. Qualifications and Statements of Attainment are formatted and prepared in accordance with the Australian Qualifications Framework (AQF). These are currently issued via RTO Manager and VETtrak, our student management system for international and domestic student respectively. A pdf version of each documents are saved.
- **Assessment tools:** Assessment tools refer to the various templates, checklists and assessment methods that CAC uses over the term of its operations. This specifically refers to the retention of the versions of tools used as opposed to retention of completed resources. The aim of retaining a revision record of versions used over time is to allow an appropriate record for future review by regulatory bodies.
- **RTO management records:** RTO management records are those files which assist management and staff to coordinate RTO services. These may include policies and procedures, data registers, enrolment registers, attendance records, financial records and records of grievances and appeals.
- **Staff records:** Each staff member has a file which includes a copy of their resume and qualifications, a copy of their job description and signed employment contract, leave requests (held electronically), signed copy of the annual performance review and any other documentation relating to a staff member's employment with the organisation. These files are kept in a secure location in the vault.
- **Complaints and Appeals:** Complaints and Appeals raised by students and staff members are retained in their respective file. Complaints register is maintained by the Admin officer, to record the issues raised and solved.

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To ensure records are maintained in a safe and suitable condition, the following responsibilities are applied:

- Central Australian College (CAC) has suitable arrangement to comply with the requirements of this policy and the requirements of the SRTO 2015. This includes the acquisition and installation of records and data storage facilities and the application of records retention procedures.
- Administrative staffs are to ensure that procedures for the archiving and storage of records are applied. Administrative support staffs are also to liaise with Trainers and Assessors to ensure that approaches to records handling are consistent throughout CAC.
- Training Manager/ Assessors are to ensure that participant records are appropriately filed during the training program and it is their responsibility to:
 - Ensure participant records including Training Plan, Assessment resources and attendance record are fully completed with sufficient information recorded by Assessors
 - Record, in detail, the interpretation of assessment evidence with suitably detailed comments to support their assessment decision
 - Monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required.
 - Use authorised CAC records only to record participant progress and the outcomes of assessment activities

1. Procedure

To conform to quality assurance requirements, all CAC records as mentioned above will be stored, retained, archived and disposed according to records management procedures:

1.1. Procedure to record information

- Application forms are completed and maintained in files for individual students. Data from the application form is entered on to the student records database. It is also entered in the respective student management systems.
- Competency records for each unit are maintained by trainers, signed and dated by the trainer and then forwarded to the Training Manager at the end of each study period.
- Based on the competency records forwarded by trainers at the end of each study period the achievement of units of competency for each student is recorded on the student management system by the Administration Manager or who so has been authorised by the Administration Manager for the task.
- The date of issue, title of the Award or Statement of Attainment, and sequence number of the document is recorded in the student records database.
- The student records database is backed up weekly to the college network and stored offsite.
- In June each year data is lodged following the ASQA requirements for the quality indicator system for training activities completed in the previous calendar year:
 - the number of enrolments for each qualification code
 - the number of qualifications completed for each qualification code
 - The number of enrolments for each unit of competency or module
 - the number of units completed for each unit of competency or module
 - an indication of offshore operations.
- Every six months students are required to review and update their current contact details, including residential address, postal address, mobile phone number and email address.
- CAC will maintain all records of student who are enrolled with the CAC or who has paid any tuition fees. Student records will include student's current residential address, mobile phone number, email address, emergency contact and any other details prescribed by ESOS regulations and funding contract requirements.

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- CAC will conduct a mail-out to international students once every six months requesting them to update their personal details. This will usually be conducted in February and July. An email will also be sent via RTO Manager reminding them to update their personal details.
- Students can update their details by completing Change in Address form or by completing electronic form by logging into the CAC cloud based Student Management System via RTO Manager and VETtrak for international and domestic students respectively.

1.2. Procedure to safely store and record electronic records:

- All international student records including enrolment, course progress, ongoing participation and results are entered stored in the CRICOS compliant Student Management System – RTO manager.
- All domestic students, including students under SVTS funding scheme, records including identity documents, enrolment, course progress, ongoing participation and results are entered stored in the AVETMISS compliant Student Management System – VETtrak.
- Data entry and records management using the above mentioned student management systems are carried out by the VET Administration Officer, in accordance with the Duty Statement.
- All students' records are backed up in the CAC drive under a common CAC network server and a hard disk.
- Every record is stored in the Student Management System, which is a cloud based server and then backed up in the CAC drive under CAC network server.
- A record of back up storage log is maintained by IT Officer and has to be updated every week, followed by submission to the Compliance Manager for recording.
- CAC will maintain all records of student assessments and the outcome of student assessments for all units.
- A weekly internal in-house CAC server and Cloud based safety check is conducted by the IT Officer and report is recorded.

Paper Based Records:

- Paper Records (Student File) to be stored in a secure/lockable cabinet within the Administration area for a period of not less than 12 months on completion of Training or Assessment.
- Paper Records are then to be archived annually for additional 12 months to a secure off-site storage.

2. Record Retention and Archiving procedure

Central Australian College shall only dispose of Records in accordance with standards issued under the PR Act (including the General Retention & Disposal Authority for the Records for Higher and Further Education Institutions) and/or in accordance with any specific instructions provided by the Victorian Skills Commission from time to time. Following procedure is followed in CAC for appropriate archiving of documents as per the period of retention provided below:

- Every 6 months, Administration Manager archives student records electronically through the Student Management system and retains archives copies for paper based records, systematically kept in the Archive cabinet labelled as Archive P (followed by the date/month and year).
- The backup files kept in the Server, gets transferred to a hard disk and all folders in hard disk are labelled according to the timeframe as Archive E (followed by the date/month and year) and is retained according to the prescribed retention period. This procedure takes place every 6 months followed by the Cloud based and paper based archiving.
- Server archiving along with hard disk back is tracked with the help of an Archiving E log Book, which is the responsibility of the IT Officer to update every 6 months.
- Paper based records archive should be tracked with the help of Archiving P log book, which is to be updated every 6 months by Administration Manager.

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- It is the responsibility of the Compliance Manager to collect this information from the respective department in order to implement continuous improvement process.

Retention period:

The following time periods are to apply to the retention of students records at CAC:

Participant results / Qualifications / Statements of Attainment: Participant results / Qualifications and Statements of Attainment (100%) are to be retained for a minimum of thirty (30) years electronically and paper based.

Completed assessment resources: Completed assessment resources (100%) are to be retained for a minimum of two (2) years.

RTO management records: RTO management records are to be retained for a minimum of five (5) years. This requirement relates to the versions of these records.

Administrative records: Administrative records are to be retained for a minimum of five (5) years. This requirement relates to the versions of these records and completed records.

Students under VTG funding records: records required as part of the enrolment processes to confirm in individuals eligibility for government subsidised training under this Vet Funding contacts should be retained for the period of seven (7) years after the student has completed or withdrawn from the course. Students Training Plans to be retained for two (2) years. Evidence of participation requirements including but not limited to assessment records for at least two (2) years.

Staff records: Staff records are to be retained for a minimum of five (5) years after employment with the organisation ceased.

3. Disposal of Record

The manner of disposal after the retention period will be the responsibility of the Student Administration Manager. To ensure confidentiality, documents containing personal details or other sensitive information will be reviewed before disposal.

Paperwork with sensitive or confidential information needs to be disposed of either being placed into the locked Confidence disposal bin or shredded. Documents to be placed in the security bins include but are not limited to:

- Company Information
- Client Information
- Forms
- Terms and Conditions
- Policies

4. Privacy

- Information about a student will be handled as per the CAC's Privacy Policy.
- Except as required under the Standards for Registered Training Organisations 2015, Government Contracts or by law, information about a student will not be disclosed to a third party without the written consent of the student.
- Access by students to their personal records is available upon request to Student Administration in writing.
- Information that may be accessed includes progress, personal details, and any relevant details of the student's enrolment that the CAC has collected.

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4.1. Confidential Information

- CAC will make all reasonable efforts to protect confidential information received from clients or partner organisations during the course of business operations. This information will not be disclosed without the prior consent of the client or partner organisation.

Policy Reference

- Public Records Act 1973
- SRTO 2015 SRTO 2015 Standard 3 clause 3.4 schedule 5, Standard 6 clause 6.5, Standard 8 clause 8.5 and 8.6
- 2014-16 VET Funding Contract clause 9;

Relevant Policies and Procedures

- Governance Policy and Procedure
- Notification of Change Policy and Procedure
- Continuous Improvement Policy and Procedure

Forms and documents

- Archive P (D) – Domestic Students Records – Log Book
- Archive P (I) – International Students Records – Log Book
- Archive E – Electronic database of Students Records

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