

Records Management

POLICY & PROCEDURE

Division

LMIT QMS PPM

Policy & Procedure number

005-V1

Updated

5/8/2015

Implemented

13/08/2015

Reviewed by

Melanie MacDonald

Chief Executive Officer

1. Purpose

The purpose of this policy is to support standard 1, 2, 3 and 6

2. Scope

This policy applies to all LMIT team members.

3. Policy

This policy is designed to ensure that Line Management is able to effectively manage administrative, record management and reporting requirements in accordance with the requirements of the standards for Registered Training Organisations.

This policy and procedure applies to administration, records management, and record retention of all records and details collected and maintained for training and assessment services delivered by Line Management.

The policy and procedure also provides processes to ensure Line Management can maintain compliance with all external reporting responsibilities (i.e. – AVETMISS, Quality Indicators).

The RTO has effective administration and records management systems in place to secure the accuracy, integrity and currency of records, to keep documentation up to date, and to safeguard any confidential information obtained by the RTO, individuals or organisations acting on its behalf.

4. Policy validity statement

If this document has passed its review date (as shown above), it may be invalid. Please ensure you're referring to the most current version before relying on its contents.

5. Procedure

Responsibility for records Management

The Director has the responsibility to ensure that all business related and financial records are maintained appropriately. This includes but is not limited to:

- Financial and annual reports
- Business plans
- Minutes of meetings relating to business operations and governance arrangements

The Director has responsibility for ensuring that all records relating to the delivery of training and assessment services are maintained appropriately. This includes but is not limited to:

- All records of delivery and assessment arrangements
- Staff records

- All required records to ensure compliance against the Standards for Registered Training Organisations

Administration, Training Consultants and Training Specialists have the responsibility for the storage, maintenance and archiving of all training and assessment records. This includes but is not limited to:

- Student records database
- Records and evidence of training and assessment services
- All related administration paperwork and records relating to student enrolment, progress, and completion of any training and assessment services provided.

Records are maintained of:

- Student enrolments
- Industry consultation
- Staff profiles detailing qualifications and industry experience
- Fees paid and refunds given
- Continuous improvement activities
- Training and assessment strategies
- Complaints and appeals
- All documentation necessary to develop, implement and maintain LMIT's quality system.

The RTO is required to maintain a Student Record Management System that is able to collect AVETMISS data.

Retention of Student Training Resources and Assessment Instruments

The RTO is required to maintain master copies of all training resources and assessment instruments for all staff to access as required. These training resources and assessment instruments are also required to be maintained for a period of one (1) year from the date the materials cease to be used within the RTO.

The IT/Marketing Manager is to archive these documents/ resources either in hard or soft copy to ensure access for at least one year.

Retention of Student Records and Assessments

The RTO is required to ensure that all records of training and assessment are securely maintained for the duration of the student's enrolment and a further 6 months after completion or cancellation of the student's enrolment.

Administration is to ensure that appropriate records are retained as indicated in the schedule below

Electronic Student Files:

Currently Enrolled Students

- The RTO will maintain all student records (in electronic copy) while a student is enrolled with the RTO however from time to time Hard copy (paper based) records will be scanned and saved in Adobe PDF format. Received Paper records will be securely shredded in accordance with the LMIT Directors directions. This will include but is not limited to:
 - Enrolment Information
 - Pre- Training review (including Learning literacy and numeracy – (LLN) , and any Credit transfers – (CT) or Recognition of prior learning – (RPL) applications)

Completed / Cancelled Students

- Hard copy student files and electronic student files will be retained in full for a period of 6 months after the completion of training and assessment. These files will be archived as per the archiving processes in place.

Each individual student file should include the following:

- Enrolment Information (including LLN, and any CT and RPL applications)
- A copy of all assessment tasks, including tests, assignment, role plays, projects etc. for all Units undertaken in the course (all assessment tasks must be marked)
- A copy of the Assessment Outcome “Assessor Feedback” record for each unit
- Copy of Statement of Attainment or Qualification issued

Electronic records:

Full electronic student records for all students will be retained for a period of thirty (30) years. This will be maintained in a format that is able to be transferred to the ASQA

Enrolments and participation

All details of enrolment and ongoing participation in training and assessment are entered on the AVETMISS compliant Student Records Management System.

This database shall also contain records of student progress that shall be maintained by Administration and Trainer/Assessors.

Student data shall be entered in a timely manner that reflects the student's current status. This includes identifying the training and assessment that has been undertaken as it occurs and maintaining an ability to provide up to date student records at any time.

Provision of student records to regulator

Transfer of records will be consistent with contractual and legal requirements and the requirements of the National VET Regulator (Australian Skills Quality Authority- ASQA). This may include regular reporting of various data (i.e. Quality Indicators) relating to the training and assessment services provided by the RTO.

Document retention and disposal

Student Records:

- All student records are stored securely at the RTO premises in line with the timeframes above.
- The manner of disposal after the retention period will be the responsibility of Administration. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal.

All other documentation:

- The document retention period of all other documents relating to the RTO operations, if not contractually or legally required, shall be in accordance to the Directors directive.
- The manner of disposal after the retention period will be the responsibility of the Director. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal.

Secure storage of electronic records

- Student records and results are stored on the RTO's Student Record Management System.
- All electronic records, including AVETMISS and E- Scan archiving information, are kept on a secure server that backed up daily. Copies of the daily back up are kept in 3 different places (including two offsite locations). The daily back up is the responsibility of the Marketing and IT Manager.

Privacy and Student Access

Please refer to Privacy Policy for detailed information.

Except as required under the AQTF Standards for Registered Training Organisations, 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 the Student Administration Department. Students may contact Administration to discuss a suitable time to view their file and, access will only be granted once a student can confirm their identification.

Student Access to the file will be granted only once written notification is received and Administration has validated the student's identification.

- Access shall be provided within 2 days of confirming the student's identification.
- Information that may be accessed includes progress, personal details, and any relevant details of the student's enrolment that the RTO has collected.

Monitoring and review of records

On an annual basis, Line Management will conduct an internal audit against the Standards 2015 for Registered Training Organisations and this will include reviewing all RTO records to ensure compliance is being maintained. This process is supported within the Review Schedule and the Quality Management Policy and Procedure.

Student files will also undertake regular reviews to ensure information is included as required.

Confidentiality procedure

Information about a student, except as required by law or as required under the Standards for Registered Training Organisations, is not disclosed without the student's written permission and that of their parent or guardian if the student is under 18 years of age. Where a student consents to disclosure of information, this consent is kept in the appropriate ERMS system.

Students have access to their personal records when requested.

People external to the RTO who act on behalf, e.g. on complaints committees or technical experts in internal audits, are made aware of these procedures before they begin work in the RTO.

6. References

National Vocational Education and Training Regulator Act 2011

7. Related Topics

Quality Management Policy and Procedure

8. Associated Documentation

Quarterly Review Schedule

Certificate Replacement Form

Codes of Practice

Complaints and Appeals Form

Complaints Register

Student Handbook

Terms and conditions of enrolment

9. Internal Controls

Any Changes required are authorised by the Training and Quality Manager

Document History

Amended	Amended By	Division	Details
5/8/2015	Bonnie Scobie	TQM	Updated to reflect Standards 2015