

Records Management Policy & Procedure

Policy

This policy is designed to ensure that Numurkah Community Learning Centre Inc. (NCLC) is able to effectively manage administrative, record management and reporting requirements in accordance with the requirements of The Standards for NVR Registered Training Organisations 2015.

This policy applies to administration, records management, and records retention for training and assessment services delivered by NCLC.

Procedure

Responsibility for Records Management

The Administration Officer and Coordinator have responsibility for the compilation, maintenance and storage of all version controlled documents relating to training and assessment, and documentation including human resources, financial records, annual reports, etc.

The Administration Officer and Coordinator have the responsibility for the storage, maintenance and archiving of all training and assessment records in accordance with the Standards for NVR Registered Training Organisations 2015 and relevant registering body. This shall be achieved through the implementation of the following procedures.

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 student training resources and assessment instruments for a period of one (1) year from the date the materials cease to be used within the RTO. The Training 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 appropriate samples of student work are maintained for continuous improvement and validation purposes. This requires the Administration Officer and Coordinator to ensure that appropriate records are retained as indicated in the schedule below:

- The RTO will maintain all student records while a student is enrolled with the RTO.
- Each calendar year the RTO will ensure that 10% of completed students from each qualification on Scope of Registration are selected as sample files.

These particular student files are to ensure that the following process is followed:

- Full hard copy participant record kept for one (1) year from date of completion of the training.

The information in the student file must include at a minimum:

- the assessment schedule for each unit included in the enrolment
- a copy of all assessment tasks, including tests, assignment, role plays, projects etc for all units

O:\NCLC CURRENT\RTO Documents\Policies and Procedures\P1011 Record Keeping Policy.docx			P1011
Approved D.Fowler	Created 27/01/15	Revised	Version 1.0 Page 1 of 3

- a copy of any workbooks used by students to provide evidence of competency including a copy of at least one a sample completed workbook
- copies of samples of student assessments, including workbooks, together with results.
- assessment for each discrete assessment task. (At a minimum the sample would comprise one piece of work assessed as C for each required assessment task)
- a copy of the overall results by student, for that unit

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 regulatory body as required.

Provision of student records to regulator

Transfer of records will be consistent with contractual and legal requirements and the requirements of the Australian Skills Quality Authority. This may include regular reporting of various data relating to the training and assessment services provided by the RTO.

Document retention and disposal

All student records are stored securely at the RTO premises.

The document retention period of all other documents, if not contractually required, shall be seven years.

The manner of disposal after the retention period will be the responsibility of the Administration Officer. 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 Vettrak.

We also keep a copy of the data-base that is kept on the server and backed up daily and kept off site.

All electronic records are kept on a secure server that backed up regularly. This is the responsibility of the Administration Officer and Coordinator.

Enrolments and participation

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

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.

Privacy and Student Access

*Please refer to Privacy Policy for detailed information.

Except as required under the Standards for NVR Registered Training Organisations, Government Contracts or by law, information about a student will not disclosed to a third party without the written consent of the participant.

Access by students to their personal records is available upon request to the Office. 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.

O:\NCLC CURRENT\RTO Documents\Policies and Procedures\P1011 Record Keeping Policy.docx			P1011
Approved D.Fowler	Created 27/01/15	Revised	Version 1.0
			Page 2 of 3

Information that may be accessed includes progress, personal details, and any relevant details of the student's enrolment that the RTO has collected.

Related Documents

- Access and Equity Policy
- Complaints and Appeals Register
- Privacy Policy