

## RECORDS MANAGEMENT

### POLICY STATEMENT

REIWA Training is committed to maintaining effective and efficient administrative and records management processes for training and assessment activities in accordance with legislative and regulatory requirements.

REIWA Training will:

- implement and maintain effective administrative and records management procedures consistently to assure the integrity, accuracy and currency of all records;
- ensure that all training and assessment records are stored safely and securely, including backup of electronic records on a regular basis;
- ensure student results are retained, archived and able to be retrieved for a period of 30 years;
- ensure the safeguarding of any confidential information;
- ensure that clients have full access to their personal records;
- ensure records management procedures comply with all external reporting requirements;
- ensure that except as required under the Standards for RTO's or by law, that information about a client is not disclosed to a third party without prior written consent; and
- ensure all other records consistent with contractual and legal requirements are retained, archived and able to be retrieved in accordance with these contractual and legal requirements.

REIWA Training will maintain up-to-date records of the verified qualifications and experience of all staff and persons working on behalf of the RTO as trainers and assessors, of enrolments and participation, and of fees paid and refunds given.

### PURPOSE

The purpose of this document is to outline REIWA Training's policy and procedures for effective records management processes.

### SCOPE

For the purposes of this Policy and Procedure, records include but are not limited to:

#### Participant results

This includes units of competence (including codes) and the result the participant achieved. This includes 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.

### **Qualifications and Statements of Attainment**

Qualifications and Statements of Attainment are formatted and prepared in accordance with the Australian Qualifications Framework (AQF) and are issued through the Student Management System (SMS) in accordance with the Certification Policy and Procedure.

### **Unique Student Identifier (USI)**

A unique student identifier must be provided by all students enrolling in accredited training as part of the enrolment process. The USI is stored in and verified via the Student Management System (SMS) in accordance with the Student Identifiers Act 2014 and the Privacy Act 1988.

### **Assessment evidence**

Assessment evidence 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.

### **Assessment tools**

Assessment tools refer to the assessment packs prepared for each unit or cluster of units of competency within the scope of registration of REIWA Training as a RTO. Assessment tools also include assessment instructions for candidates and trainers, checklists, RPL forms and checklists, feedback forms, and assessment guides for trainers.

### **Training resources**

Training resources may include printed manuals, templates, checklists, eLearning modules, DVDs, presentations, and internet web pages and multimedia resources.

### **Student files**

A student record is created in the Student Management System (SMS) for every enrolled student. A hard copy file may be created to store relevant hard copy documents relating to the student's enrolment, financial agreements, refunds, progress and outcome as required. Hard copy student files will be stored in a lockable compactus.

### **Trainer and assessor files**

Trainer and assessor files contain documentation relating to the contract of employment, application, induction, correspondence, copies of qualifications, declarations and evidence of continuing professional development and current competency.

### **Staff files**

Staff files contain documentation relating to all aspects of employment with REIWA and are held by the Executive Manager Human Resources in secure cabinets in the HR room.

### **RTO management records**

RTO management records are those files which assist management and staff to co-ordinate RTO services and may include policies and procedures, registers, attendance records, financial records and records of grievances and appeals.

### **APPLICATION**

#### **Participant results**

Participant results will be recorded in the SMS within five working days of receipt of the assessment result from the assessor. Results will include result by unit of competency and by award of qualification or statement of attainment. Results will be provided to the student in accordance with the Certification Policy and Procedure.

#### **Storage**

Participant results are recorded by assessors in the Learning Management System (LMS). On regular reporting from the LMS, the Compliance team will record the result against the student record in the SMS. This includes competence deemed by RPL or Credit Transfer. Where a student withdraws from a unit or course, the Course Co-ordinator will record the withdrawal against the student record in the SMS.

#### **Retention**

Participant results are to be retained for a period of no less than 30 years from date of award.

Where new SMS systems are introduced, records from the previous system must be transferred to the new system, or alternatively print records produced, scanned and retained in a secure electronic location for the required period.

#### **Destruction**

Participant results may be destroyed only on instruction from the Executive Manager Training as a result of audit of the SMS system to identify records held for more than 30 years.

### **Qualification and Statements of Attainment**

Qualifications and Statements of Attainment are produced from the SMS and provided to the student in accordance with the Certification Policy and Procedure.

#### **Storage**

Qualifications and Statements of Attainment may be reproduced from the SMS on request of a student in accordance with the Certification Policy and Procedure for re-issue.

Diploma awards will be photocopied and stored in the student folder. The photocopy will also be scanned as a PDF file and stored in the student folder maintained in J:\Diploma Program\Diploma students and in the education history section in the SMS

Registration student Statements of Attainment will be scanned as PDF files and stored in the education history section in the SMS

### **Retention**

SMS records will be retained to satisfy the 30 year retention requirement for qualifications and Statements of Attainment

Diploma award copies stored in the hard copy student folder will be retained for the period identified for retention of the whole Diploma student folder.

Electronic copies of all qualifications and Statements of Attainment will be retained for a period of no less than 30 years from date of award.

### **Destruction**

Qualifications and Statements of Attainment may be destroyed only on instruction from the Executive Manager Training as a result of audit of the SMS system to identify records held for more than 30 years.

### **Unique Student Identifier (USI)**

Enrolling students obtain a USI via the USI Registry enter this reference number as part of the enrolment process.

### **Storage**

The USI are stored in the student record in REIWA Training's SMS and verified by the system as it has a connection to the USI Registry System.

### **Retention**

SMS records will be retained to satisfy the 30 year retention requirement for qualifications and Statements of Attainment

### **Destruction**

SMS records will only be destroyed upon the authority of the Executive Manager Training as a result of audit of the SMS system to identify records held for more than 30 years.

## **ASSESSMENT EVIDENCE**

Assessment evidence is collected to support the assessment decision.

### **Registration students**

#### **Storage**

Assessment evidence is stored in the Learning Management System. Students upload their assessment evidence to the LMS. REIWA Training staff members and the assessors are able to download these documents from the LMS for review.

### **Backups and Security**

Refer to the GO1 Infrastructure and Security Overview document which outlines three main approach strategies for backups of assessment evidence.

### **Retention**

Assessment evidence will be retained for a minimum of six months from course completion to support the validation process.

### **Destruction**

Evidence older than six months from course completion may be removed from the LMS at the discretion of the Executive Manager Training.

### **Diploma students**

#### **Storage**

Assessment evidence is stored in the Learning Management System. Students upload their assessment evidence to the LMS. REIWA Training staff members and the assessors are able to download these documents from the LMS for review.

### **Backups and Security**

Refer to the GO1 Infrastructure and Security Overview document which outlines three main approach strategies for backups of assessment evidence.

### **Retention**

Assessment evidence will be retained for a period of one year from the date of the final assessment result.

### **Destruction**

The retained assessed evidence will be destroyed in the second year following the year in which the final assessment result is recorded. Example:

All students completed in 2016

Date of destruction of evidence: January 2018

### **Assessment tools and training resources**

Assessment tools and training resources are routinely reviewed, updated and version controlled.

#### **Storage**

All assessment tools and training resources are stored in electronic format on J Drive and submitted to the Learning Management System for student access. Print or electronic copies are provided to trainers, assessors and students as required. Version history of all assessment and training resources are recorded in the version control register.

### **Retention**

Updated versions of assessment tools and training resources are placed in the print folder associated with each unit or cluster of units, recorded in version history, and superseded versions placed in the archive folder.

Archived files will be retained for a period of no less than five years from date of superseding of the file.

### **Destruction**

Assessment tools and training resources that may be printed in advance from time to time to prepare for upcoming delivery will be routinely destroyed on implementation of a new version.

Electronic versions of assessment tools and resources will be deleted after five years from date of superseding.

### **Trainer and assessor files**

A hard copy trainer and assessor file will be created on employment, together with an electronic record stored in the trainer folder maintained in J:\AQTF\_RTO Standards\Trainers\Trainer personal file info.

### **Storage**

A hard copy folder will be created for each trainer and assessor to store application form, interview and induction checklists, copies of qualifications, professional development records, competency mapping and current personal information.

Copies of offer of employment, terms and conditions, contracts and correspondence related to conditions of employment with REIWA will be stored by HR in accordance with HR policies and procedures for creation, storage and retention of HR files.

Trainer and assessor folders will be stored in a lockable filing cabinet in the Executive Manager's office.

### **Retention**

Trainer and assessor folders will be stored in accordance with HR management procedures.

### **Destruction**

Destruction of trainer and assessor folders will be by way of placement in bins provided for the secure destruction of documentation.

### **Staff files**

Staff files are the responsibility of the HR division of REIWA and will be stored, retained and destroyed in accordance with REIWA HR policies and procedures.

### **RTO management records**

#### **Storage**

Policies and procedures, registers, grievances and appeals documentation will be stored electronically where possible to ensure currency of version controlled documents and secure storage of other management records.

Hard copy folders may be prepared for storage of specific documentation and these will be held in a secure lockable filing cabinet in the Executive Manager's office.

#### **Retention**

Management records in relation to the management of the RTO will be retained for the duration of the current period of registration as an RTO and for the whole previous period of registration.

#### **Destruction**

Destruction of documentation will be by way of placement in bins provided for the secure destruction of documentation.

### **SECURITY**

#### **Access**

Access to the SMS, LMS, filing cabinets, compactus and storage room will be restricted to REIWA Training administration staff, with additional access provided to IT Support staff and REIWA CEO as required.

#### **Keys**

Entry to the REIWA Training administration office is by electronic keycard issued by the Executive Manager HR in accordance with the requirements of the roles fulfilled by REIWA Training staff.

#### **Electronic records**

Electronic records are held in a Student Management System which is hosted offsite. Student evidence is held in a Learning Management System hosted offsite. Other records are held in electronic format in the information management system controlled by the REIWA IT division.

Electronic records are securely backed up as per the policies of the contracted providers of the Student Management System and the Learning Management System.

#### **Transfer to new or updated software systems**

Where new systems are introduced, consideration will be given to ensuring the integrity of records to be transferred to the new system at the planning stage. Where necessary, back up records will be produced, scanned and retained in a secure electronic location for the period of retention required under this policy and procedure.

**Safeguard against damage**

REIWA Training records are stored in a new six-star approved building with state of the art fire prevention, warning and sprinkler systems. The storage devices are to Australian Standards and are designed specifically for the storage and security of records against pest damage.

The key to the lockable filing cabinet located in the Executive Manager Training's office will be held by the Executive Manager Training.

Access to the SMS and LMS is by login and password allocated to REIWA Training staff required to work within the system, and to selected IT support staff who provide an interface between the system's provider and the REIWA Training staff.

The register of allocated staff with access to the SMS and LMS is held by the Executive Manager Training and the Data Integrity Coordinator - who is the direct contact between the SMS provider and REIWA Training.



## PROCEDURE

Overall responsibility for compliance with records management conditions and standards for registration as an RTO lies with the Executive Manager Training, with delegated responsibility in accordance with the following procedures.

### Student records

The responsibility for maintenance of student records lies with the Compliance Co-ordinator who will ensure that:

1. Online student enrolment forms for diploma and registration students are stored in the online enrolment system linked to the SMS. Hard copy enrolment forms are stored in hard copy files Registration enrolments and the diploma student files for diploma enrolments.
2. Diploma student folders and Registration files are stored in a secure and locked filing cabinet, providing access to staff members as required.
3. An electronic record is created for every enrolled student in the Student Management System.
4. Each student is correctly enrolled in the course and units of choice.
5. Student progress is correctly recorded against each student including assessment decisions and awards of competency.
6. Correspondence with students is recorded in the Student Management System to ensure an audit trail of progress and support.
7. Student completions and withdrawals are recorded.
8. Student awards are prepared, recorded and dispatched to students in accordance with the Certification Policy and Procedure.
9. Hard copies of qualifications and statements of attainment are place in Diploma student folders.
10. Electronic copies of qualifications and statements of attainment are created and stored in the student education history in the SMS.

### Assessment evidence

The responsibility for collection, storage, retention and destruction of assessment evidence lies with the Compliance Co-ordinator who will ensure that:

1. Assessment evidence is supplied to assessors for conduct of assessment within the timeframes specified in the Assessment Policy and Procedure.
2. Assessment evidence is securely stored and accessed by authorised staff.
3. Assessment evidence is retained for the period specified in this Policy and Procedure.
4. Assessment evidence is routinely destroyed in accordance with the periods determined in this Policy and Procedure.

### Assessment tools and training resources

The responsibility for version control, storage and destruction of assessment tools and resources lies with the Compliance Co-ordinator who will ensure that:

1. Assessment tools and training resources are reviewed to maintain currency.
2. Assessment tools and training resources are reviewed to reflect feedback from trainers, students and industry consultation.
3. New versions of assessment tools and training resources are implemented according to the Version Control Policy and Procedure.
4. Old print version of assessment tools and training resources are routinely destroyed on implementation of new versions.
5. Electronic versions of assessment tools are stored in an efficient and effective electronic filing system.

### Trainer and assessor files

The responsibility for maintenance of trainer and assessor competency records lies with the Executive Manager Training who will ensure that:

1. A trainer and assessor file is created at employment.
2. A Trainer Details Checklist is completed, maintained and stored in the trainer and assessor file.
3. Trainer and assessor files contain documentation relating to continuing professional development, qualifications, vocational and training competency, CV and correspondence relating to non-HR matters.
4. Trainer and assessor files are stored in a secure, lockable filing cabinet in the Executive Manager Training's office.
5. HR resources relating to trainers and assessors are stored in a secure, lockable filing cabinet in the Executive Manager HR's office.

### Staff files

The responsibility for maintenance of staff records lies with the Executive Manager HR who will ensure that staff records are maintained in accordance with HR policies and procedures.

### RTO management records

The responsibility for maintenance of RTO management records lies with the Executive Manager Training who will ensure that:

1. Policies and procedures, registers, grievances and appeals documentation are stored electronically.
2. Version control of management records is maintained according to the Version Control Policy and Procedure.
3. Hard copy records are stored in the secure lockable filing cabinet in the Executive Manager's office.

4. An annual internal audit is conducted against the Conditions and Standards for registration as an RTO to determine compliance with records management requirements.

#### **ASSOCIATED DOCUMENTS**

- Certification Policy and Procedure
- Version Control Policy and Procedure
- Assessment Policy and Procedure
- Privacy Policy

## RECORDS MANAGEMENT

### REVIEW OF THE POLICY

This is a controlled document. It may only be changed on the authority of the Executive Manager Training.

**AUTHOR OF POLICY:** Lesley Reagon - Executive Manager Training

**DATE REVIEWED:** October 2018

**DATE TO BE REVIEWED:** October 2020

### VERSION CONTROL

Version	Page	Revision Details	Changed by	Date
1.0	All	New policy	Rhonda Stacy	Dec 2003
2.0	All	Added points not covered from TAC document (See "Resources")	Amanda Taylor	March 2006
3.0	All	Deleted repeated information	Sue Hartree	Aug 2006
3.1	All	Review in the context of AQTF 2007	Sue Hartree	March 2008
3.2	All	Review in the context of AQTF 2010	Sue Hartree	June 2010
4	All	Review plus preparation for AVETMISS collection of data	Liz McIlhone	Sept 2013
5	All	Review in context of new Standards for RTOs	Liz McIlhone	May 2015
6	All	Storage of evidence in LMS	Liz McIlhone	Sept 2017
7	All	Updated titles and processes Inclusion of LMS records into policy	Lesley Reagon	Oct 2018

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Altered storage of assessment evidence to LMS from previous hard copy submission

Included reference to backup approach strategies from LMS and SMS providers

Added in USI storage, retention and destruction to the policy.

Procedure updated

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