

Records Management Policy

Purpose

The purpose of this policy is to ensure that ABC Licence Training has a Records Management System that is fully compliant with the regulatory requirement for RTOs. ABC Licence Training will also ensure that all records and documents of its students will be stored securely and in accordance with the Privacy Act 1988.

Under clause 7.5 of the of the SRTOs; ABC Licence Training is required to collect and disclose information regarding its learners to NCVET (National Centre for Vocational Education Research Ltd.) and to relevant regulatory training authorities.

Please refer to NCVET's privacy policy at ncvet.edu.au/privacy.

In addition, a registered training organisation (RTO) is required to securely retain, and be able to produce in full at performance assessment (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 has been made. ABC Licence Training will take sufficient measures 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. All learners (where applicable) have the right to access RPL.

The following records will be retained by ABC training:

- Student enrolment form along with signed agreement
- Record of student payment
- Record of complaints and appeals along with the outcome
- Completed assessment of the student
- Testamurs, Record of Results & Statement of Attainment
- Assessment Tools
- Management records.



Process

ABC Licence Training and all co-providers acting on behalf of ABC Licence Training will collect information from its learners at the time of enrolment via its student enrolment form as well as during training. The records collected will be stored securely and be accessed only by authorised personnel. Records may be stored electronically as well as in hard copy. All electronic data will be backed up regularly and stored in back-up drives. Paper records will be scanned in order to have a copy electronically.

Retention Period

- Student enrolment form along with signed agreement : ABC Licence Training will retain the enrolment form along with signed agreement electronically. They will be retained for a maximum of 2 years from the completion of the program.
- Record of student payment: All records of student payment will be retained electronically for a minimum of 7 years.
- Record of complaints and appeals along with the outcome: All records including the complaints/appeal form along with the written outcome will be maintained electronically for a maximum of 2 years from
- the completion of the program. All complaints and appeals will be recorded in the complaints and appeals register which will be retained for a maximum of 2 years.
- Completed assessment of the learner: As per clauses 1.8 to 1.12; all completed assessment items which include actual piece(s) of work completed by the student or evidence of that work for each unit or module will be retained for six months from the date the decision on competence of the individual unit or module was made. The retained evidence will be detailed enough to demonstrate the assessor's judgement of the student's performance against the required standard. In an instance where the assessment is retained in an LMS or cloud-based system, ABC will ensure that it has ownership and control over those records for the duration required.
- Testamurs, Record of Results & Statement of Attainment: ABC Licence Training will retain copies of record of results, testamurs and statements of attainment issued to its students for a period of 30 years in an electronic format. The retained records will be sufficient to be able to reissue any of the said documents during this 30-year period. The data retained will also include information which will allow ABC training to verify the student such as, their USI, date of birth, or address.



- Assessment Tools: ABC Licence Training will always maintain a copy of its updated assessment tool in an electronic copy. Older versions of the assessment tools will be retained for a period of 6 months from the date of update.
- Management Records: ABC Licence Training will maintain other records such a quality indicator reports, qualifications register, survey reports etc. These will be retained for a maximum of 2 years.

Cessation of Operation

In an unlikely event; if ABC Licence Training ceases its operations then we will comply with our responsibility to transfer all digital records to ASQA to confirm the training and assessment each student has completed within 28 days of ceasing operations. All authorised third parties who act on behalf of ABC Licence Training will also cooperate with ASQA at all times.

Documents Destruction

ABC Licence Training upon authorisation from the CEO will organise to destroy all documents after the retention period has passed as per this policy. The documents must be shredded, and records of the documents shredded must be maintained in an archive register. ABC Licence Training may opt to do the shredding within its property or engage a third party to do so. If and when a third party is engaged; ABC Licence Training will request a certificate or confirmation that the documents provided were shredded successfully. This confirmation will also be retained in the archives register as evidence.

Management Action and Responsibility

The administration team is responsible for the implementation of this policy. The CEO holds the overall authority to approve this policy. All third-party contacts acting on behalf of ABC Licence Training will also abide by this policy.



Definitions

- **Records Management:** Records management is a systematic, organised, planned, and controlled process of managing or tracking the life cycle of records. A record can be a tangible paper object, or it can be in digital or electronic form.
- **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.
- **Assessment Tools:** Assessment tools include the context and conditions of assessment, tasks to be administered to the student, an outline of the evidence to be gathered from the candidate and evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules).

Legislative Context

The legislative base for this policy is as follows:

- National Vocational Education and Training Regulator Act 2011
- Standards for Registered Training Organisations 2015
- Privacy Act 1988
- National VET Data Policy
- Data Provisions Requirement 2012.

