

Policy / Procedure

Records Management Policy & Procedure

1. Policy

This policy is designed to ensure that the Community Media Training Organisation (CMTO) is able to effectively manage administrative, record management and reporting obligations, in accordance with the requirements of the Standards for Registered Training Organisations 2015, and State/Territory requirements.

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

2. Procedure

1. Responsibility for Records Management

- The CEO has responsibility for the compilation, maintenance and storage of all version controlled documents relating to training and assessment, corporate documentation including human resources, financial records, annual reports, etc.
- The CEO has delegated the responsibility for the storage, maintenance and archiving of all training and assessment records in accordance with Standards for Registered Training Organisations 2015 and relevant registering body requirements to the CMTO's Training Manager and Administrative Officer.
- The CMTO maintains a Student Record Management System that is able to collect AVETMISS data.

2. Retention of Student Training Resources and Assessment Instruments

The CMTO maintains student training resources and assessment instruments for a period of one (1) year from the date the materials cease to be used within the CMTO. The CEO is to archive these documents/ resources either in hard or soft copy to ensure access for at least one year.

3. Maintenance and Retention of Student Records and Assessments

Student Records

- 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.

Student Assessments

- Student Assessment are defined by ASQA as:

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 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.

- The CMTO retains all student assessment evidence for a period of six months from the date on which the judgement of competence for the student was made, or the duration of a student's enrolment (whichever is longer) according to the ASQA direction in effect from 22 June 2012, and as amended on 20 February 2013:

An RTO is required to securely retain, and be able to produce in full at audit if requested to do so, all completed student assessment items for each student, as per the definition above, for a period of six months from the date on which the judgement of competence for the student was made.

Smart and Skilled student records

- In the case of students enrolled via the NSW Smart and Skilled program, in which case all student records, including student assessments, are retained for 3 years or the duration of a student's enrolment (whichever is longer) according to Smart and Skilled Operating Guidelines V1.0, 17.0 Record Keeping:
 - Records must be retained by the provider in a readily accessible format for a minimum of three (3) years after the later of:
 - The completion of each qualification
 - Issuance of qualification of
 - An Enrolled student's exit from the subsidised training

Assessment materials are maintained for continuous improvement and validation purposes.

The CMTO Training Manager is responsible for maintaining the accuracy of records and ensuring that all documentation relating to student assessment is in place and has been signed by both trainers and students.

The Training Manager must sign the Head Assessor form before certificates and statements are issued.

4. **Provision of student records to regulator**

- Transfer of records will be consistent with contractual and legal requirements and the requirements of ASQA. This may include regular reporting of various data relating to the training and assessment services provided by the CMTO.

5. **Document retention and disposal**

- All student records are stored securely at the CMTO 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.

6. **Secure storage of electronic records**

- Student records and results are stored on the RTO's Student Record Management System (aXcelerate, which is web-based).
- All electronic records are kept on a secure server that is backed up regularly as part of the Axcelerate contractual agreement.

7. **Enrolments and participation**

- All details of enrolment and ongoing participation in training and assessment are entered on the AVETMISS compliant Student Records Management System (aXcelerate).
- This database shall also contain records of student progress that shall be maintained by Training Manager and the Administrative Officer.
- Data shall be entered in a timely manner that reflects a student's current status. This includes identifying the training and assessment that has been undertaken.

8. **Privacy and Student Access**

Please refer to Privacy Policy (POL/PRO 9) 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 be 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 CMTO. Students may write to the CMTO requesting access to their files.
- A student's access to their file will only be granted once written notification is received and the Administrative Officer has validated the student's identification.
- Access shall be provided within TEN days of confirming a student's identification.
- Information that may be accessed includes progress, personal details and any relevant details of the student's enrolment that the CMTO has collected.