

# Record Management Policy Procedure (VET)

## PURPOSE

This procedure is in place to define the record management policies and procedures in relation to the establishment, integrity, accuracy, management, maintenance, collection, storage, retrieval, security and disposal of AIHFE student, staff and third party records and information.

## Record Keeping Policy

AIHFE's administrative records management specifications are determined by regulatory requirements, the business functions, technologies, risks, evidence requirements, retention and archiving, compliance requirements for external and internal reporting, security, storage and retrieval of information.

AIHFE maintains records of program development, program delivery, students, human and physical resources, and financial and management activities.

The CEO is the responsible delegated authority for AIHFE's record keeping policies and procedures. This policy reflects the integrity, management, monitoring and maintenance of record keeping procedures.

While the CEO has the overall responsibility, AIHFE continually reviews these procedures with the Senior Administration Secretary, Registrar and Associate Dean and other stakeholders, to ensure record keeping procedures are maintained, implemented, reviewed and continually reviewed.

## Collection of Records & Information

### Management Data

AIHFE will collect, develop and maintain data and information appropriate to the business functions and operations.

**This information is recorded and managed for the purposes of:**

1. AIHFE self-assessment appropriate to the RTO Standards 2015
2. Financial and business viability
3. Products and services

4. Assets
5. Internal auditing

**These records form an integral part of the business operations and functions and shall include but are not restricted to:**

- Business planning documents
- Dissemination of information to staff, students and other stakeholders
- State legislation and regulatory requirements
- Financial reports and cash flows
- Assets and products
- The management systems and procedures
- The training outcomes
- The scope of registration
- The assessment outcomes
- Documents disseminating and confirming information about internal audits
- Minutes of meetings and memos relating to procedural or policy changes

#### **Human Resource Records**

AIHFE will collect and secure personnel records appropriate to the RTO Standards 2015.

**These records shall include but are not restricted to:**

1. Responsibility and allocation of functions
2. Role of each staff member in AIHFE's training and/or assessment system
3. CV's for each member of staff listed on the chart (includes contract & sessional trainers)
4. Verified qualifications for each member of staff
5. A resource table summarising scope of registration, training and assessment strategies and persons delegated to each training qualification listed on the scope of registration
6. Signed employment and induction contracts

## **Student Data Collection and Retention**

The collection of data and information includes:

- Student enrolment details including accurate course/ qualification and unit titles and codes
- Student start and completion dates
- Records of the information provided to the student e.g. Handbook, training plans, courseware/ texts, learners guide
- Accurate and up to date student attendance and participation.
- Accurate and up to date individual student progress and outcomes that clearly show areas completed
- Documentation of the evidence judged
- Record of feedback to students
- Examples of assessment outcome
- Records of any assessment appeals and or any student complaints
- Accurate and up to date training monitoring dates and assessment schedules
- A register and date of all certificates, statements of attainment and qualifications issued
- Any student fees paid and any refunds given

### **AIHFE also collects and records information relating to:**

1. Advertised training and assessment products
2. Trainers and assessor's name and qualification details
3. The information provided to the student at the time of inquiry, enrolment and/or induction
4. Training plans, timetables and schedules for each qualification/ course
5. Assessment strategies, timetables and schedules for each qualification/ course
6. Assessment tools, tasks and schedule for each qualification/ course

### **The collection of data may include:**

- Advertisements, marketing and promotional material
- Offers and confirmation of a student's course placement
- Receipt of fees paid

- Signed confirmation of the student's acceptance of offer, student handbook, terms and conditions of enrolment, attendance at induction, receipt of courseware, training and assessment plans, timetables, monitoring and assessment schedules
- Signed confirmation of student's knowledge and acceptance of the assessment process
- Signed confirmation of the candidate's knowledge and acceptance of the RPL process and procedures
- Feedback and evaluation information regarding:
  - Enrolment and induction procedures and processes.
  - Training delivery
  - Courseware
  - Support
  - Products
  - Training and assessment assistance
  - Assessment tasks, tools and processes

### **Retention And Management Of Student Records**

Student records are established in hard copy and electronic format. Individual hard copy files are established for each new student. The information collected may include:

- Student personal details - recorded and entered at the time of enrolment and confirmed at induction/ orientation
- Course details - recorded and entered at the time of enrolment and confirmed at induction/ orientation
- Course units of competency or modules - recorded at the time of enrolment and confirmed at induction/ orientation
- Fees paid - recorded and receipted at the time of payment
- Progress - recorded on hard copy by trainers/ assessors.
- Attendance - recorded daily on class rolls by trainers/ assessors.

At the completion AIHFE archive the results in the student management system.

## **Retention and Management of Staff Records**

All full time, part time and casual staff, including seasonal trainers and trainers operating as contractors are required to submit and have their CV's verified and copies of their qualifications retained and managed under AIHFE record keeping policies and procedures.

### **Where personal records are retained AIHFE will:**

1. Inform that person that their records are confidential and will not be released to any other party except as required apart from the requirements stated under the RTO Standards 2015 as required by law
2. Maintain a register of all staff, including any contracted trainers and assessors
3. Retain and secure the hard copy personal information under confidentiality and security procedures

## **Access To Student And Staff Records**

### **AIHFE implements control and access to confidential data and files by:**

1. Maintaining and securing confidential files separately from general files
2. Ensuring confidential files are accessed by nominated persons
3. Student reports are available on request. The disclosure of this information can be actioned by the student by completing a request for information form.

## **Security & Retention Of Records**

1. Monitors and maintains electronic records through the student data base management system
2. Student can access their current and accurate records of participation and progress by emailing their request to the Dean.
3. Hard copies of student files including all assessments, assessment summary reports, records of participation are stored in locked filing cabinets or in an electronic format as per the RTO Standards 2015 and the General direction: Retention requirements for completed student assessment items (V 1 22 June 2012) to allow files to be viewed at an Audit

4. Student files are reviewed at the end of the course prior to the issuance of a qualification / statement of attainment to ensure currency and accuracy in preparation for archiving.
5. Current files are maintained on site in a secure locked environment. Completed student course file are archived into secure storage facilities.
6. All relevant student-archived files are kept as quality records and are retained by AIHFE for a period of thirty (30) years (qualification, statement of attainment, results issued.)
7. Assessment records are stored for the period of enrollment and six (6) months after completion of course.

AIHFE records approved and eligible for destruction are destroyed under confidential conditions in cases where students have indicated they do not request their return.

AIHFE record keeping system is reviewed and updated to meet changing technology and system requirements. At a minimum reviews are done annually. Reviews and updates will occur more regularly as technology changes deem it necessary or in the case where regulatory changes require updates.