

Version History	
Document: Record Management Policy	
First Version Number: 05/07	
Code:	
Version #	Summary of changes made
09/07	Letters of request for transfer to another provider should be kept in the student file
01/08	Removed "AQTF 2005 Standard 4 and 10"
07/09	<p>Addition as per <i>ESOS Act: 21 Record keeping:</i></p> <p><u>Ongoing and Up to Date Record keeping for prospective students</u></p> <p>Nova Institute will keep records of each accepted student who is enrolled with the Institute or who has paid any course money for a course provided by the Institute.</p> <p>These records consists of each accepted student's current residential address, as supplied by the student, and any other details prescribed by the regulations.</p> <p>Institute will retain the records for at least 2 years after the person ceases to be an accepted student. However, the records do not need to be kept up to date after the cessation.</p>
05/12	<p>Addition NVR Standard "SNR 17.3, SNR 17.4 & SNR 23"</p> <p>Removed "AQTF 2007 Standard 3.3, 1.4 and COR 6"</p>
07/12	Removed references made to AQTF and VQA.

1. Purpose

The purpose of this policy and procedure is to ensure Nova Institute of Technology (NIT) cooperates with the registering body in the retention, archiving, retrieval and transfer of records as per the requirement of the ASQA. This procedure describes the processes whereby NIT administers and manages all records and documentation relating its delivery training and assessment services.

2. Related Standards

NVR Standard SNR 17.3, SNR 17.4 & SNR 23

3. Scope

This policy applies to all official records created, collected and held by the NIT, and all staff employed or engaged by the NIT.

4. Responsible Parties

The General Administration Manager is responsible for the control and issue of this procedure.

5. Definitions

Current files are those files for which the training and/or assessment service is still being delivered.

Completed files are those files for which no further training or assessment services are to be provided to an individual under a service contract or funding agreement. *Individual student* files may include, but are not limited to, the enrolment form, copy of any training agreement or contract, signed training plan, visitation record, attendance record, record of contacts, assessment records, training materials, copies of certificates/statements of attainment issued, any notes made by the trainer/assessor about the student/trainee.

Archived files may include, but are not limited to, the enrolment form, copies of certificates/statements of attainment issued, assessment records, attendance records and any notes made by the trainer/assessor about the student/trainee.

6. Policy Statement

The NIT recognises its responsibility to provide for the adequate management and preservation of official and prevailing community standards of best practice. This policy aims to ensure that official records created by NIT staff deemed to be of enduring

evidential or informational value are preserved for future reference. It also aims to promote a consistent and coherent regime of records management processes and practices from the time of the creation of records, through to their disposal or preservation and use as archives.

7. Procedures

The following procedures provide guidance for the effective management and administration of NIT records and documentation. These requirements must be met as a minimum operational activity and may be guided by their supporting processes. References are provided where the latter occurs.

7.1 Staff Records

All staff of the NIT will have will have a staff file raised and maintained for the purpose of recording their:

- Position and duty statements
- Terms of contract
- Participation in induction process
- Professional development
- Staff self assessment of Capacity to deliver/assess units of competency
- Qualifications, references and awards: Original documentation must be sighted to verify the authenticity of qualifications, references and industry awards. Copies of original qualification must indicate the date sighted and by whom.
- Disciplinary action or notices of complaints may also be noted on this file.
- CVs

Staff files are held and maintained by Administration Manager.

Staff may access information on their files on request to the Administration Manager. Third party access must be cleared by the PEO and only for purposes relevant to the maintenance of records, ie to update records.

7.2 Student Records.

Student records are to be raised at enrolment. These records are to be established electronically and as a hard-copy record. These records are to include, but are not restricted to

- Student identification
- Contact details including emergency contact
- Academic program and progress
- Application for enrolment form

- Acceptance Agreement
- Evidence of OSHC(Overseas student health cover)
- Copy of passport
- Evidence of English language skills
- Copy of Letter of Offer
- Evidence to support deferral
- Evidence to support reporting to DIAC
- Fees Arrangements
- Applications of RPL and mutual recognition
- Letters of request for transfer to another provider

All student records are entered and maintained on the NIT database by administration.

Students may request a copy of their data profile on request and proof of identification. Third party access cannot be approved by any means other than student agreement. Enrolment forms make provision for student data access by NIT staff. All other data is to be held securely and in confidence.

7.3 Record Privacy and Access

All records maintained by NIT are subject to the laws of privacy, As such, it is a requirement that records be held in a secure environment, safeguarded against loss, damage of unauthorised access. Accordingly:

- Staff Files may only be accessed by the PEO and Administration Manager.
- Student files may only be accessed by the Administration staff for the purpose of updating those student files, or by the PEO for the purpose of reviewing training participation and progress.
- All Individual have a right to view their own files and may do so upon request and proof of identification to administration.

Privacy and access procedures are made clear to all parties at induction.

Access to a file by a third party other than as above can only be provided with the written consent of the individual.

7.4 Record Award Management

The issue of awards by the NIT is governed by its scope of registration.

- Campus Manager is responsible for monitoring student progress.
- Students who have satisfactorily completed their full program of study are entitled to a Certificate and a Statement of Attainment. Students who withdraw or partially complete their training program are to be issued with a Statement of Attainment or transcript. These must include:

- RTO name and TO ID
- Full title of qualification and its national or state code
- Name of student and student id number
- Certificate number
- Correct accreditation phrase according to the kind of award issued
- If a statement of attainment, include the correct unit names and codes
- NRT and/or AQF logo (refer to NRT logo specifications document or AQF Logo Use document)

- The Campus Manager verifies the student's entitlement to a certificate or statement of attainment from the student records system and prepare their issue.
- The Principal Executive Officer is to authorise the printing of AQF compliant certificates and statements of attainment for issue to each student, and act as authorised signatory in conjunction with the Campus Manager
- Each certificate/statement of attainment issued is to be recorded in the student file.

7.5 Archive Management

Ongoing and Up to Date Record keeping for prospective students

Nova Institute will keep records of each accepted student who is enrolled with the Institute or who has paid any course money for a course provided by the Institute. These records consists of each accepted student's current residential address, as supplied by the student, and any other details prescribed by the regulations. Institute will retain the records for at least 6 months after the person ceases to be an accepted student. However, the records do not need to be kept up to date after the cessation.

The records of each accepted student or who has paid any course money for a course provided by the institute must include the following details:

- The amounts of course money that the student has paid to the Institute
- For an amount of course money that the student has paid to the Institute for a course:
 - whether the amount was paid for the full course or part of the course; and
 - if the amount was paid for the full course, the duration of the course; and
 - if the amount was paid for part of the course, the duration of that part of the course;
- copies of written agreements to which the Institute and student are parties;

- any amounts that:
 - have become payable, directly or indirectly, to the Institute by the student for the student to undertake a course; and
 - have not been paid.

Ongoing and Up to Date Record keeping for enrolled students

All staff and student records are to be securely stored and protected from loss, damage or unauthorised access for a period of 30 years. To meet this requirement, the following activities are undertaken under the guidance of the General Administration Manager.

- All hard-copy records are to be stored in locked metal filing cabinets, and their access supervised by the General Administration Manager.
- All electronic records are to be maintained on the NIT database.
- All electronic records are to be backed up at the end of each day, and weekly backups stored securely off the premises.

File Retention and Disposal

All records required for re issuance of Parchment shall be stored for thirty years or transferred to ASQA (Australian Skills Quality Authority) should NIT ceases to operate as an RTO. This requires all records that are not required for day-to-day management or are no longer current, are to be managed as archived records.

As such:

- All closed student files are to be stored with Administration for a period of 6 months in secure metal filing cabinets marked 'completed files'.
- After 6 months of completion/closure, records are to be moved into the permanent archive for a period of thirty years.
- File contents not being transferred from the completed file to the archive are to be shredded and disposed of in an appropriate manner.
- Electronic records of all training and assessment services carried out in each calendar year are to be placed in the archive for that particular year. This includes student examinations, record/practicum logs and other assessment documents required to be held for verification.
- Record retrieval and access from archive is managed under the authority of the Administration Manager.

File retention table

Information retained	For a minimum period of
Enrolment Forms, including name, student identification number, contact and personal details and course enrolment details.	6 months following the date of completion, or withdrawal.
Enrolment variation	6 months following date of enrolment.
Change of personal details forms	Destroy when administrative use is

	concluded.
Recognition of prior learning applications, exemption application forms, and supporting information.	6 months following date of completion
Deferment or Withdrawal forms	6 months following date of enrolment.
Application for certificate forms	6 months following date of completion.
Electronic records of final results	30 years
Qualifications issued	30 years