Records Management Policy

1.Purpose:

The Australian Skills Quality Authority (ASQA) standards for Registered Training Organisations (SRTO's 2015) require that an RTO cooperates in the retention, archiving, retrieval and transfer of records.

NDA is committed to maintaining an efficient, secure and robust records management system to ensure that benchmarks for quality and compliance are met. This policy is strongly connected to and should be read in conjunction with NDAs **Privacy Policy**.

2.Scope:

This policy applies to all NDA documents and records. This policy applies to all NDA staff.

3.Definitions:

3.1– Record

A record is a document, or an object, in any form (including any electronic form) that is, or has been, kept by reason of any information or matter that it contains or that can be obtained from it or its connection with any event, person, circumstance or thing. For the purpose of this policy and record management within NDA, these records include:

- Completed assessments
- Student results
- Administrative records
- Assessment tools
- RTO management records
- Student files

4.Policy Principles:

Learner records are imperative to ensuring the smooth coordination of a learner's training and assessment. The minimum standard for learner record management is that all learner records are to be well maintained, contain accurate complete and current information. The management of these records is conducted in a consistent, efficient, effective, accurate, and accountable manner.

NDA will only collect information from a learner that is required to carry out legitimate educational activities. Information will be collected in a legal and just manner, and where practical personal information will be collected directly from the learner. The primary content collected includes leaner enrolment details and academic records.

To conform to quality assurance requirements, all NDA records will be stored and archived according to records management procedures:

- VETtrak, the Student Management System is to be backed up to the network at the COB daily or on completion of data entry.
- NDA's system network is backed up at the COB daily and the database is backed up hourly.
- Quality Indicator Reports are to be uploaded in accordance with the AQSA guidelines.

Client records will only be accessed by staff as required. Paper copies of staff records will be kept in a locked filing cabinet accessible only by the managing director and the pay officer. Paper copies of student records are not retained. Any paper records received will be uploaded and stored electronically in VETtrak or in NDA's system network.

NDA must comply with a range of record retention requirements including:

- ATO requirements relating to financial records.
- State Funding Authority requirements relating to training and assessment records, and
- ASQA retention requirements for completed student assessment items.

Records will be retained for the following periods:

- Record of Results will be retained for a minimum of thirty years.
- Completed assessment resources will be retained for a minimum of five years from the date of student completion of, or withdrawal from training.
- Assessment tools are to be retained for a minimum of five years.
- RTO management records are to be retained for a minimum of five years.
- Administrative records are to be retained for a minimum of five years.

When records are no longer being actively used, they are moved to NDA's Archive drive. Once the retention period has expired, they will be deleted from this drive.

5.Relevant Legislation and Standards:

NDA has regulatory obligations that are recognised in this policy. This policy and the resulting practices recognise the Standards for Registered Training Organisations (SRTOs)2015, specifically clauses 2.1, 3.4, 7.5, 8.1, 8.2, 8.4, 8.5. This policy also recognises NDA's legal obligations in relation to access and equity under relevant legislation. The relevant legislation includes:

- Privacy Act 1988
- Right to Information Act 2009

6.Forms and Relevant Documents:

Privacy Policy

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Creation Date: 08/06/2021
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Version: 2.1 Updated by Bonnie Britton
Last updated on: 5/05/2023 3:13:00 PM