



AMA SKILLS TRAINING

STUDENT RECORDS MANAGEMENT Policy & Procedure

Objective

This policy describes the systematic process by which AMA Skills Training will collect, maintain and manage adequate records in accordance with the requirements of the VET Quality Framework for NVR Registered Training Organisations.

Scope

This policy applies to all records in relation to the operation of AMA Skills Training and the process by which records are collected, maintained and managed by staff employed by or contracted to AMA Skills Training.

Definitions

Clients may also be referred to as students in this policy.

Policy Statement

- Data will be collected, collated, maintained, analysed and managed in accordance with the VET Quality Framework for NVR Registered Training Organisations.
- AMA Skills Training will retain student records of attainment of units of competency and qualifications for a period of no less than 30 years.
- Other records unless advised will be maintained as per statutory requirements, for example Section 286(2) of the Corporations Act requires **financial records** to be kept for seven years.
- Student Enrolment forms and Change of Personal Details forms will be retained for 2 years from completion of course.
- AMA Skills Training will retain master copies of training resources and assessment instruments for 1 year from the last day of operational use.
- Students completed assessment items will be securely retained and be produced in full at audit if requested to do so, all completed student assessment items for a student for:
 - the duration of AMA Skills Training assessment appeal period or
 - a period of six months from the date on which the judgement of competence for the student was made or

Student Records Management Policy	Form SRM	Modified 21/12/2016
Version 2.0	Page 1 of 7	Review 21/12/2017

- the duration of the students enrolment - **whichever is the longer period** (ref general direction: retention requirements for completed student assessment items:
<http://www.asqa.gov.au/media-and-publications/retention-requirements-for-completed-student-assessment-items.html>).
- Disposal of data after retention period will be via shredding data and placing into the secure data disposal bin, this will be completed by a minimum of two senior managers including the Training Manager and Chief Executive Officer (CEO may delegate to another senior manager) and documented in the Disposal Register.
- AMA Skills Training will ensure that, except as required under the Standards for NVR Registered Training Organisations or by law, information about a client is not disclosed to a third party without the written consent of the client (*refer Privacy Policy*).
- AMA Skills Training will provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator (*refer Qualification Issuance Policy*).
- Under the National Privacy Principles the student or staff member can access his/her personal information and may correct inaccurate or outdated information about them. (*refer Privacy Policy and Students Records Access form*).
- The version control policy describes the numbering system necessary to systematically track and control changes that will occur with documentation and subsequent revisions.
- The Training Manager will routinely check student records for accuracy and currency.
- A register of trainers and assessors is maintained.
- The safeguarding of client confidentiality will be maintained.
- Records will be maintained of enrolments, participation, fees paid and refunds given.
- All policies and procedures are reviewed on a yearly basis (*refer Version Control Policy*).

Note: There may be additional records management/retention requirements stipulated by State or Territory Governments or licensing authorities. The Training Manager for AMA Skills Training is responsible for checking the relevant requirements and updating policies and staff in this regard.

Storage and Backup

Electronic backups are completed on all files. This occurs in four categories.

1. Client Management System (CMS) (student records)
2. Marketing
3. Administration
4. Trainers Invoicing /Employee Information

Student Records Management Policy	Form SRM	Modified 21/12/2016
Version 2.0	Page 2 of 7	Review 21/12/2017

Safeguarding Records

The confidentiality of records will be maintained by:

- Electronic: password username entry to system with different access levels (relevant to role of person seeking access)
 - Passwords are pre-set to force a change every month
 - Backup tapes are locked in fire proof secure facility.
- Hard copy: secured in locked metal storage cabinet and within locked managers office.
- Archived: locked in secure storage room

Induction and professional development for all staff involved with records management.

Trainer and Assessors Records

All staff and persons working on behalf of AMA Skills Training as trainers and assessors will have their records securely maintained by AMA Skills Training for seven years from last day of employment with AMA Skills Training.

Qualifications and experience will be verified by the Operations Coordinator; evidence will be documented and maintained in the Trainers Register, Trainers Skills Matrix and Staff file.

Types of Records

AMA Skills Training maintains records of all activities related to the operation of the business. These include, but are not limited to:

Financial	Marketing	Business Planning & Direction
Corrective Actions	Partnerships Agreements	Trainer Qualifications
Training & Assessment Strategies	Consultation with Industry	Professional Development
Occupational Health & Safety	Complaints and Appeals	Position Descriptions
Risk Management Audit	Transitions	Performance Development
Continuous Improvement	Notifications to NVR	Trainer Supervision
Version Control	Assets and Equipment	Trainers Register
Backups	Training Resources	Management Review Report
Contracts	Employee CVs	Audit Report
Software Details	Trainer Matrix	Tax Installment Declaration
Employment Agreement	Contractor Agreement	Incident Report
Student Details	Student Fees and Refunds	Statistical Data
Qualifications	Statement of Attainment	Assessment Details
Employer Survey	Student Survey	Completion Rates
Observation Checklist	Class Timetable	Assessment Cover Sheets
Assessor Notes	Validation/Moderation	Enrolment Documentation

Student Records Storage

AMA Skills Training will retain student records of attainment of units of competency and qualifications for a period of no less than 30 years in electronic format.

Electronic backups are completed on a daily basis in regard to all categories above (*refer to Backup Procedure*). In respect to students records, AMA Skills Training secures all client records of attainment of units of competency and qualifications in the CMS. Two backup mechanisms are utilised, one via tape backup removed off site every week (*refer Backup Procedure*) and another via our Client Management Software which has a backup stored on our system and at the CMS vendors site.

Hard copies of records of attainment of units of competency and qualifications are maintained in two registers:

1. Certificate Register (form QUALCR)
2. Statement of Attainment Register (form QUALSAR) on site for a period of 2 years, then disposed of via secure method.

Hard copy data is securely stored in the client records storage file in the Operation Coordinator's office.

Record Keeping

AMA Skills Training uses a Client Management System (CMS) which maintains all records of student details including enrolments, training and assessment and progress. It also generates compliance to the VET Quality Framework and has the capacity to provide the NVR with AVETMISS compliant data and is used to generate Certificates/ Diplomas & Statements of Attainment. The software supplier is not able to withhold student records under any circumstances. A copy of testamurs, statements of attainment and academic transcripts will be kept in the student's academic file, scanned copies kept in electronic format in the CMS and backed up to tape drive.

Records provided to NVR

AMA Skills Training will provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. AMA Skills Training will provide the NVR upon request with AVETMISS compliant data including information about students, their courses, units of activity and qualifications completed.

Withdrawal of Registration

Should AMA Skills Training withdraw its registration, it will return its Certificate of Registration to the NVR within 10 working days of the date the withdrawal takes effect. All client records of attainment will be forwarded to NVR with 10 working days of the date the withdrawal registration. This will include: students full name, student ID number (generated by our CMS), students date of birth, students Unique Student Identifier (USI), title and national code of qualification/s, or course/s and unit/s completed, and completion date/s.

Student Records Management Policy	Form SRM	Modified 21/12/2016
Version 2.0	Page 4 of 7	Review 21/12/2017

Student Records Process

- The data entry officer is responsible for maintaining up to date records of enrolment, data entry of results and learners access to their records via approval from Operations Coordinator.
- Changes of student personal details will be documented firstly on the Student Change of Details form and filed in the student administration file with the appropriate documentation that supports changes – the student terms and conditions of enrolment allows 10 days for students to advise AMA Skills Training of the change taking effect.
- Changes will then be updated in the CMS by data entry officer.
- The Chief Executive Officer in consultation with the Operations Coordinator is responsible for overall management and review of the CMS.
- The Chief Executive Officer is responsible for the resulting and issuing of testamurs and statements of attainment and maintaining currency of data in the CMS and also in hard format. (*refer Qualification Issuance Policy*).
- The Operations Coordinator in consultation with Chief Executive Officer will facilitate ongoing Professional Development to staff regarding use of the CMS and other records management processes relevant to their roles.
- New staff will receive Professional Development (PD) in CMS and other records management processes during induction (1st week).
- Ongoing PD is scheduled to take place at quarterly intervals and is facilitated by the Operations Coordinator (*refer Planning Review Schedule*).
- The Operations Coordinator is responsible for data maintenance and backup.
- The Chief Executive Officer is responsible for secure storage of tapes (as per backup procedure) and checking restore functionality of data backup system.
- A final closeout check of the student’s admin and academic files is completed by the Operations Coordinator; a copy of the award documents is placed into the students file and then placed into archive box and categorised by end course date with student ID and then moved into the secure archive room.
- Record and retrieval from archive is managed by the Chief Executive Officer with a second witness being the Operations Coordinator or another senior staff member delegated by the CEO.

Disposal of Documents

Due to space constraints, it is not viable or an efficient use of AMA Skills Training facilities to store all data. As such, the following process applies:

- AMA Skills Training maintains all units of competency training and assessment information for a minimum period of 1 year from completion of the unit; this includes master copies of student assessments and training resources.
- The Operations Coordinator is responsible for managing the retention of records and will also complete the disposal of records at end 1 year post completion of course.

Student Records Management Policy	Form SRM	Modified 21/12/2016
Version 2.0	Page 5 of 7	Review 21/12/2017

- Documentation which is to be disposed of will be entered into the document disposal register and verified final authorisation by both the Operations Coordinator and CEO (CEO may delegate to another senior manager).
- Records will be disposed of via use a shredder and removed by a document destruction company.

In the case where the amount of hard copy documentation is beyond space availability, and is not approved for disposal, the Operations Coordinator will manage the process of conversion into electronic copy of documentation.

Student Access of Records

It is our intent to ensure that learners have timely access to their records. We maintain 'up to date' records relating to enrolment and ongoing participation, a CMS is used for this purpose. The CMS is managed by the data entry officer and monitoring and overall management and review by the Training Manager.

To access their records, students are required to contact the Training Manager and request the Student Records Access form, which they will need to fill out and sign and return to Training Manager.

Upon receipt of the completed form, the Training Manager will provide student access to records of their participation and progress.

Responsible parties

The Chief Executive Officer is responsible for the control and issue of this policy (this may be delegated).

The Operations Coordinator is responsible for providing the NVR with AVETMISS compliant data.

The Operations Coordinator is responsible for the administration and execution of the policy and procedures.

The data entry officer is responsible for maintaining up to date records of enrolment, data entry of results and learners access to their records via approval from Operations Coordinator.

The Chief Executive Officer in consultation with the Operations Coordinator is responsible for overall management and review of the CMS.

The Operations Coordinator will facilitate ongoing Professional Development to staff regarding use of the CMS and other records management processes.

The Operations Coordinator is responsible for data maintenance and backup.

Student Records Management Policy	Form SRM	Modified 21/12/2016
Version 2.0	Page 6 of 7	Review 21/12/2017

The Chief Executive Officer is responsible for secure storage of tapes (as per backup procedure) and checking restore functionality of data backup system.

The Operations Coordinator and Chief Executive Officer are responsible for the disposal of documents and recording details in the document disposal register.

Policy developed by:-

Signature: Date:

Print name:

Checked and confirmed by:-

Signature: Date:

Print name:

Comments:

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