

# ADMINISTRATION AND RECORDS MANAGEMENT POLICY AND PROCEDURE

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## **Purpose**

This procedure describes the processes whereby SSNT administers and manages all records and documentation relating to its delivery of training and assessment services.

## **Related AQTF 2007 standards**

Standard 2: The RTO adheres to principles of access and equity and maximizes outcomes for its clients.

Standard 3: Management is responsive to needs of clients, staff and stakeholders, and the environment in which the RTO operates.

## **Scope**

This procedure applies to all persons employed by or contracted to SSNT for the provision of training and assessment services or the maintenance of training records and documents.

## **Responsible parties**

The Manager, Student services is responsible for the control and issue of this procedure.

## **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.

For definitions relating to AVETMISS refer to the Victorian Registration and Qualifications Authority, VRQA.

For definitions relating to the Australian Qualifications Framework (AQF) refer to the AQF Implementation Handbook.

## **POLICY STATEMENT**

As a registered training organization, RTO, all SSNT records developed and used in the delivery of training and assessment services must be quality controlled. Further, that SSNT will preserve as evidentiary support of the organisation's training and assessment activity, student participation and service outcomes, all records of service for a period of no less than 30 years. This will be achieved by:

- maintaining up-to-date records of the qualifications and experience of all staff employed by or contracted to SSNT to deliver training and assessment services.

- maintaining current and accurate records of all enrolments, course participation, training outcomes and certification/statements of attainment issued.
- maintaining all records required by funding authorities in accordance with the relevant performance agreement and registration requirements for RTOs.
- maintaining a records management system that will ensure the confidentiality of staff and student records.
- assuring the safety and integrity of all records.
- ensuring that all training resources, materials, forms and procedures utilised in the management and delivery of RTO services by the SSNT are reviewed for currency by appropriately qualified staff and issued under a version control system. .
- implementing an effective financial records system to record all fees received from students, the issue details of all fees receipts, and where appropriate, the issue details of all fee refunds.
- ensuring that all certificates and statements of attainment issued by SSNT are recorded, and are checked for compliance with the requirements of the Australian Qualifications Framework (AQF) and relevant standards prescribed by the Australian Quality Training Framework (AQTF).
- ensuring that in the event of the closure of the SSNT, all such records developed and maintained as evidence of service delivery and student participation and outcome, will be forwarded to the State Authority, VRQA.

## **PROCEDURES**

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

### **Staff Records**

All staff involved in the delivery of SSNT's RTO services will have a staff file raised and maintained for the purpose of recording their:

- position and duty statements,
- qualifications and vocational competence,
- employment conditions or terms of contract,
- participation in induction processes
- professional development

Original documentation must be sighted to verify the authenticity of qualifications, references and industry awards. Copies on file must indicate the date sighted and by whom.

Disciplinary action or notices of complaints may also be noted on this file.

Staff files are held and maintained by relevant departmental or administrative managers. Staff may access information on their files on request to the HOD or Manager. Third party access must be cleared by the HOD or Principal and only for purposes relevant to the maintenance of records, ie to update records.

Staff are required to adhere to the SSNT's Privacy Policy.

### **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

- Interview Report
- Enrolment form
- Fees Arrangements
- Emergency Contact details
- Student Identification
- Applications for RPL or Mutual Recognition

Student records are to be entered and maintained on the SSNT database by administration. All enrolment changes, unit results, attendance records and changes to personal data must be forwarded directly to student administration for data entry. 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 are to make provision for student data access by SSNT staff or representatives of the Victorian Registration and Qualifications Authority for purposes relevant to the monitoring of student progress. All other data is to be held securely and in confidence.

### **Record of Fees/Refunds**

Prior to enrolment, all students are informed of fee structures and payment schedules. This is referenced more fully in *St 2.2 Before clients enroll or enter into a contract, The RTO informs them about the training, assessment and support services to be provided and about their rights and their obligations.*

However the record management of fees and refunds is governed under general course administration and is subject to audit.

Hence,

- All fees paid by individual students are to be receipted and recorded on the SSNT database.
- Any reasons for concessions or exemption from fees are to be noted on the receipt and/or placed on the student's file.
- Where an employer pays the fees on behalf of a student, the employer is to be invoiced for the appropriate tuition fee, clearly indicating on the invoice each student to whom the invoice applies. A copy of the invoice is to be placed on the student's file.
- Where a refund has been granted, the amount, date and reason for the refund are to be noted on the student's file and recorded on the SSNT database.
- In the event that the training delivered is being funded by the Victorian Registration and Qualifications Authority, residual claims for payment are to be lodged by the administration officer via the Internet home page.

### **AVETMISS Reporting**

SSNT does not compete for public funds for its RTO service delivery, and is not therefore required to lodge AVETMISS reports on an annual basis. The RTO does however, elect to collect data relevant to AVETMISS requirements for the purpose of planning and service improvement. This data is protected under the organisation's privacy policy and is stored using the SSNT electronic database.

### **Contract Management**

SSNT will establish a file for reporting all contracts or performance agreements for RTO service delivery. These responsibilities will be summarized and monitored using a register of all contracts or performance agreements relevant to its delivery of RTO

services. The register is to be managed by the Principal or his appointed officer and must include:

- Contract agreement identifier/number
- Party to whom contract is made
- Responsible officer
- Performance review requirements

The Contract File will include a MOU or similar that outlines the agreement between both parties as to quality assurance requirements. Where SSNT is the lead agent, it is required to take full responsibility for all compliance matters. The other party must be provided with a clear compliance role to support these quality requirements within the MOU. This is in compliance with Standard 3.2.

Where government funded programs are not taken up, or performance agreements not entered in to, SSNT will adjust its audit schedule to read N/A, and exclude this from review. Otherwise, all performance requirements will be recorded and reviewed during and at the end of the contract period or as agreed within the MOU.

### **Record Privacy and Access**

All records maintained by SSNT are subject to the laws of privacy (2002). As such, it is a requirement that records be held in a secure environment, safeguarded against loss, damage or unauthorised access. Accordingly:

- Staff files may only be accessed by the Principal, the relevant Head of Department or an auditor appointed by the Victorian Registration and Qualifications Authority.
- Student files may only be accessed by the administration officer for the purpose of updating those student files, or by the Principal, relevant Head of Department or auditor appointed by the Victorian Registration and Qualifications Authority, for the purpose of reviewing training participation and progress.
- All individuals have a right to view their own files and may do so upon request and proof of identification to student administration.

Privacy and access procedures are made clear to all parties at induction (staff), orientation (students) or during course information sessions for intending students. Access to a file by a third party other than as above can only be provided with the written consent of the individual.

Refer to SSNT Privacy Statement and Policy available on the website.

### **Version Control**

All documents and materials raised and used in the delivery of SSNT's RTO services must be managed under a version or document control system. This aims to ensure that all parties have access to current and accurate information that has been approved for release and use in the delivery of services.

It is a requirement therefore that:

- the Deputy or Quality Assurance Manager shall authorise under the direction of the Principal or advice of HODs, or Manager, Student Services the issue of documents, materials and forms for use in the day-to-day operations of the SSNT.
- the Quality Assurance Manager, in conjunction with the Manager, Student Services, shall maintain a register of documents, materials and forms issued for

use in the SSNT. The register shall be referred to as the “Version Control Register”.

- the Version Control Register shall be used to record the document name, purpose, id number, version number or issue date, nos of pages and the authority responsible for its review, monitor and distribution.
- when a new/revised document is issued, the Quality Assurance Manager, in conjunction with the Manager, Student Services, will notify all relevant staff of the change of issue, and remove the outdated version from circulation.
- the version control register shall be used as a tool for monitoring ‘documents and materials in use’ and to inform audit processes. Auditors will check for currency of documents and materials in use.
- all training materials must be managed in the version control system and issued only under the authority of staff suitably qualified to determine the relevance and value to the training program (s). The same staff are responsible for reviewing these materials on an annual basis and ensuring their release is warranted.

Refer to St 1.1, 2.1 and 3.1.

### **Awards Management**

The issue of awards by the SSNT is governed by its scope of registration and the guidelines specified in the AQF Implementation Handbook. The process for issuing awards is largely an administrative one.

- All student training outcomes are to be recorded on the attendance register by the lecturers (trainers/assessors). On completion of a unit of training, this record is to be lodged with the Administration Officer and uploaded to the SSNT database.
- The Administration Officer is responsible for monitoring student progress and if necessary advising the appropriate Head of Department if a student’s progress needs to be reviewed.
- 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 VRQA logo (refer to NRT logo specifications document or VRQA Logo Use document)
- The administration officer verify the student's entitlement to a certificate or statement of attainment from the student records system and prepare their issue.
- The Principal or Deputy is to authorise the printing of AQTF compliant certificates and statements of attainment for issue to each student, and act as authorised signatory in conjunction with the relevant HOD
- Each certificate/statement of attainment issued is to be recorded in the student file.

Refer to St 2.3 and 2.5.

## Archive Management

### *Daily Record Management*

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

- All hard-copy records are to be stored in locked metal filing cabinets, and their access supervised by the Manager, Student Services or appointed Administration Officer or Heads of Department.
- All electronic records are to be maintained on the SSNT's database accurately and efficiently by the administration officers.
- All electronic records are to be backed up at the end of each day, and weekly backups stored securely off the premises.

### *Archiving files*

All records are to be kept for thirty years or transferred to the Victorian Registration and Qualifications Authority should SSNT cease to operate as an RTO. This requires all records that are not required for day-to-day management or that are no longer current, to be managed as archived records. As such:

- All closed student files are to be stored with Student Administration for a period of two years in secure metal filing cabinets marked 'completed files'. After the two year anniversary of completion/closure, records are to be moved into the permanent archive for a period of thirty years.
- From three – thirty years an electronic record of student participation and results and any legal (ie fee or statutory action/registration) are to be kept. This electronic record is what is passed over to VRQA on SSNT closure if records are less than 30 years old.
- The Database file is to be attached to use or compare with the current record system.
- The current record system must be able to be read in excel (ie csv, xls etc)
- File contents not being transferred from the completed file to the archive are to be shredded and disposed of in an appropriate manner.
- Archive files are to be kept alphabetically for each calendar year.
- 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 Manager, Student Services and the policies and procedures governing records security and access.

See also “Records Archive Procedure” for specific archiving details and retrieval processes.

## **ASSOCIATED DOCUMENTATION**

- Audit Schedule
- Certificate Register
- Logo Specifications and Recognition Statement Guidelines (ANTA and VRQA)
- Certificate and Statement of Attainment Proforma
- AVETMISS Guidelines
- Version Control Register
- Fees Invoice/Receipts System
- Archive Register
- Archive Procedure
- Professional Development Log
- Staff Management
- Financial Management
- Code of Practice