

DOCUMENTS AND DATA MANAGEMENT

SCOPE

Applies to all staff and contractors.

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will ensure that its document management and record keeping procedures meet the requirements of privacy legislation and the VET Quality Framework. We will retain records as required by standards and legislation. The RTO will ensure that an AVETMISS compliant database is used and that full AVETMISS compliant records are collected from all students, each calendar year, ready for reporting to NCVER. The RTO will retain evidence of planned, systematic monitoring of internal systems, strategies and practices including evidence of changes implemented or justification why changes are not made as a result of monitoring and review.

Documents and records will be secure and preserve confidentiality of all personal information on clients, students, contractors and employees. Where possible we will manage and secure documents electronically with a minimum of printed materials in our office.

PURPOSE

The purpose of this policy is to:

- Ensure the organisation complies with Standards for Registered Training Organisations, 2015: Standards 3.4, 3.6, 6.5, 7.5, 8.1, 8.2
- Ensure that the organisation fulfils its requirements to report their nationally recognised training to the National VET Provider Collection according to the National VET Provider Collection Data Requirements Policy. An update copy of the policy can be accessed via: <https://www.dese.gov.au/national-vet-data/resources/national-vet-data-policy>
- Outline the RTO's approach to document and data management

PRINCIPLES AND DEFINITIONS

- Meet ASQA's General Direction—Retention requirements for completed student assessment items.
- Meet 30 years of archive requirement.
- NCVER – National Centre for Vocational Education Research.

CONSEQUENCES OF NON-COMPLIANCE WITH POLICY

Any breach of this policy could impact on the RTO's registration and will be

managed in accordance with Human Resources Policy.

PROCEDURES

<p>STUDENT FILES</p> <p>Administration/Student Support Officer</p>	<ul style="list-style-type: none"> • Set up an electronic file for each student in RTO's student management system. Each record must contain all AVETMISS required data (and the Student Identifier and/ or evidence of verification of the Student Identifier), enrolment and payment details and course results. • All AVETMISS data collected at the time of enrolment should be uploaded into the student file, ready for reporting to NCVER each year (by the end of February). • AVETMISS NAT files are checked regularly to identify and rectify any errors in the data • Set up course files in RTO's student management system to ensure course information can be accessed by date, course name or course location.
<p>AVETMISS AND QI DATA</p> <p>CEO/ Director /Administration/Student Support Officer</p>	<p>REPORTING</p> <ol style="list-style-type: none"> 1. Report to NCVER on all AVETMISS data collected over a calendar year from every student, at the time of enrolment by the end of February in the following year. 2. Report to ASQA for QI data reporting.
<p>RETENTION OF STUDENT RECORDS</p> <p>Administration/Student Support Officer</p>	<p>a) Retain 100% of completed assessment items relating to each unit or module for six months from the date on which the decision on competence for the individual unit or module was made. If actual item cannot be retained (e.g. construction projects or perishable items), retain evidence, such as photographs, showing that the standard of the item or work completed justifies the assessment outcome. Completed assessment items such as assignments should not be handed back to learners or destroyed securely until the six-month period has expired.</p> <p>b) Retain all student records, including all AQF certification document issued by the RTO, in RTO's</p>

student management system for 30 years to enable reporting, analysis or reissue of qualifications or statement of attainment if required (refer also to Schedule 5 of the Standards for Registered Training Organisations 2015).

- c) Retain 100% of student result records, including all AQF certification document issued by the RTO, as electronic copies for 30 years in RTO's student management system. Record must show unit of competency, final summative result (C/NYC) and year.
- d) Retain 100% of records of Statements of Attainment issued and Qualifications issued as electronic copies for 30 years in RTO's student management system. Records must show certificate number.
- e) Electronically retain master copy of all assessment instruments and assessment guides.
- f) Electronically retain samples of marked student work and records of validation and improvement of assessment instruments.

RETENTION OF EVIDENCE OF RTO MONITORING AND IMPROVEMENT

Administration/Student Support Officer (With RTO/Training Manager oversight)

- 1. Electronically retain all records of planned and systematic monitoring and evaluation of RTO operations and partnership (if any) arrangements (this includes details of any management minutes, validation and moderation evidence and outcomes of industry consultation.)
- 2. Retain all records of changes made as a result of planned and systematic monitoring and review. Retain evidence to demonstrate and justify why changes are not made as a result of review.

RETENTION OF RECORDS OF COMPLAINTS AND APPEALS

Administration/Student Support Officer (With RTO/Training Manager oversight)

- a) Securely store records electronically of all complaints and appeals and their outcomes, and evidence of appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

CONFIDENTIALITY AND ACCESS TO RECORDS

Administration/Student Support Officer

- Maintain confidentiality in relation to all personal information about students and their training history.
- If a student requests access to their records, seek approval from RTO/Training Manager and proceed as instructed.
- Make sure student's USI details are recorded and verified in the RTO's student management system. Student's USI details are confidential information and should not be released to anyone without consulting the student and RTO/Training Manager.

CEO/ Director

- Establish a staff file for each employee and contractor Maintain up to date records on file including:
1. Signed letter of offer or contract
 2. Copies of certified qualifications
 3. Up to date resume that outlines vocational experience
 4. Professional development activities and evidence
 5. Payroll, Super and ATO declaration information

STORAGE AND BACKUP OF RECORDS

Administration/Student Support Officer

1. Clearly identify archived files including all AQF certification document issued by the RTO and store for possible retrieval for 30 years.
2. Archive paper records by year and store in a lockable safe or securely online.

CEO

3. Set up on site and/or off-site regular backup systems of all current and archived electronic data.

Accountant

4. Retain LIBERTY INSTITUTE OF HEALTH AND EDUCATION financial records as required by legislation at accountant's office.

DOCUMENT VERSION CONTROL

All staff

1. Include file name, date and version number clearly in the footer of all documents.
2. The CEO/Training Manager must approve all changes to controlled documents
3. Save all RTO documents on the LIBERTY INSTITUTE OF HEALTH AND EDUCATION server, if any or secure online storage or on RTO computer/s as approved by CEO/Director, and not on personal hard drives.

CORRESPONDENCE AND MARKETING DOCUMENTS CONTROL

All staff

- a) Use letterhead for all official correspondence
- b) Seek approval from CEO prior to the release of any marketing material or website content.

TRANSFER OF FILES IN THE EVENT OF THE CLOSURE OF THE RTO

CEO/ Directors

- a) In the event of the sale of the RTO, transfer all records to the new owner as part of the negotiation and sale process.
- b) In the event of the closure of the RTO, notify ASQA and follow the required process for the transfer of files as preferred by ASQA at that time.