

1. Purpose

To ensure that the required records such as enrolment, financial and assessment evidence is retained in line with the RTO Standards and any State Training Authority (STA) contracts. Belelmo Pty Ltd Essential Business Training - RTO 91492 will maintain effective, accurate, relevant records and reporting systems.

2. Compliance

This procedure relates to the following Standards: 1.8-1.12, 5, 7

3. Scope

This procedure is designed to ensure records and documents are kept effectively for production to any Regulator or any STA as required.

Quality Advisor is responsible for development and maintenance of the policy.

Admin are responsible for ensuring that records are stored correctly and information within those records is reported accurately.

RTO Manager are responsible for ensuring that record management is routinely checked for accuracy.

Director is responsible for performance management of staff who are identified as not conforming to the procedure.

Objectives

The assessment system is designed to ensure that assessment within the organisation:

- Ensure evidence is recorded and available upon request
- Meet obligations to:
 - Australian Skills Quality Authority (ASQA) / Training Accreditation Council (TAC)
 - State Training Authorities
 - National Privacy Principles
- Meet organisational commitments and obligations to access and equity

4. Policy Statement

The RTO will abide by the National Privacy Principles. Student information is not disclosed to anyone outside the RTO without the student's consent. Student records are confidential and available to the student only on request.

However, information provided by the students to the RTO may be made available to the Commonwealth and State Agencies.

The RTO keeps all records of student's results for 30 years in electronic format via the Student Management System.

Training Records (kept for 5 years from the date of course completion for funded courses and 6 months for fee for service courses)

These may include but are not limited to:

- Student enrolment forms and signed induction check list, copy of passport and Attendance records detailing date and time of training session together with trainer/assessor signature and unit of competency taught;
- Evidence of competency aligning to competencies issued;
- Records of assessments and work experience (if applicable);
- Transcripts of student's outcomes (kept for 30 years);
- Certificates and Statements of Attainment (kept for 30 years).

Administration Staff are responsible for maintaining and filing information on students' assessment outcomes. This information is entered into a student management system which is AVETMISS compliant software. Attendance percentages and unit of competency reports are updated and maintained on the student management system database.

Storage of Files and Records

- All staff student files are securely stored in locked filing cabinets.
- Student records are entered into the student database accurately and efficiently by the Administration Staff on to the student database management system.
- Student electronic records are backed up daily.
- Records of student results are kept for thirty years and will be transferred as advised by TAC if the RTO ceases to operate as an RTO.
- Once a student has completed their enrolment any hardcopy paperwork will be either scanned and loaded to the SMS or sent for archiving.

Students must bear the cost for re-issue of original Certificates and Statements of Attainment.

5. Quality and Continuous Improvement

Quality and continuous improvement will be achieved through the development, review and continuous assessment of procedures against Registered Training Organisations best practice assessment systems. For more information see Continuous Improvement Procedure, Industry Engagement Procedure and Validation Procedure.

6. Procedure

- Admin will be responsible for enrolling learners and ensuring all initial enrolment documentation is placed within the students file (hardcopy in a physical file and soft copy loaded to the profile on the SMS)
- Assessors are responsible for providing assessment evidence (refer Effective Assessment Policy) and Admin are responsible for ensuring this evidence is retained and recorded correctly in the SMS and/or their hard copy file.
- Admin are responsible for final file checks prior to issuance of any AQF documentation upon completion or cancellation of the course and subsequent archiving of the hard copy file.
- Quality Advisor will provide an annual review of the policy as well as spot check recording of files within internal audits.
- CEO or RTO Manager (if delegated) is responsible for ensuring that staff follow this procedure and any subsequent performance management to ensure it is adhered to.
- The CEO and owners are ultimately responsible for ensuring that records are available for Regulators.

7. Reporting of commencement and completion

All funded training data must be finalised within the calendar year that it is undertaken.

All FFS data must be reported and finalised no later than Jan 28 for the previous calendar year to allow for lodgement of AVETMISS in February.

Where previous data needs to be reported, this should be reported to the General Manager or CEO so that it can be updated in the students funded or USI records as advised by the Quality Advisor.

8. Evidence of Commencement and Completion for State Funding

Acknowledging that each STA has different standards for evidence of commencement and completion, the RTO has developed documentation to best evidence where students commence and complete training.

All trainers and administration will work to ensure that data is recorded correctly meaning that:

- Student details are recorded correctly on all documentation
- Students ensure that all signatures are recorded
- Dates of training are recorded and checked to ensure accuracy of the timeframes in which training was delivered
- Dates are entered into the SMS carefully and correctly to ensure accuracy of reporting (these dates are checked against the evidence again at the end of financial year and prior to completion of the qualification)

- Location of the training is recorded based on the location of the training delivered, while online assessment may take place, the location of training is the determinant for the reporting of delivery.

Refer to the Admin User Manual for specific details on checking and reporting in the SMS.

9. Policy Review

This policy will be reviewed each year and as a standing item, include details of the date it was reviewed and any changes.

- November 2022 – Initial creation

Policy Additions or Amendments

Separate to the mandated annual review, the policy may be varied at any time due to legislative changes or to fall in line with widely accepted best practices in the workplace. In the event of any changes, the policy will be updated, and relevant stakeholders advised.

<NAME> (Position)