

## UTP24 – Record Management Policy and Procedure

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Title: UTP24 - Records Management Policy and Procedure

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## 1. Policy

This policy is to ensure a compliant, systematic approach to the archiving and retrieval of training and assessment records.

## 2. Scope

The Records Retention Policy and Procedure applies to the retention of records and documents for learning and assessment. This Policy does not cover the retention of financial records and documents for taxation and other legal obligations.

## 3. Responsibilities

The Records Retention Policy and Procedure is the responsibility of the Director of Compliance.

## 4. Definitions

NVR	National VET Regulator
Records	Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business <sup>1</sup>
Records Retention	The period of time, usually based on an estimate of the frequency of current and future use, and taking into account statutory and regulatory provisions, that records need to be retained before their final disposal. Sometimes also used to indicate the length of time records are to be retained in offices before being transferred to secondary storage
RPL	Recognition of prior learning
SNR	Standards for Registered Training Organisations 2015
Assessment tools	Assessment tools include the following components—context and conditions of assessment, tasks to be administered to the student, an outline of the evidence to be gathered from the candidate and evidence criteria used to judge the quality of performance (i.e. the assessment decision- making rules). This term also takes in the administration, recording and reporting requirements, and may address a cluster of competencies as applicable for holistic assessment.

Completed student  
assessment items:

The actual piece(s) of work completed by a student or evidence of that work, including evidence collected for an RPL process. An assessor's completed marking guide, criteria, and observation checklist for each student may be sufficient where it is not possible to retain the student's actual work. However, the retained evidence must have enough detail to demonstrate the assessor's judgement of the student's performance against the standard required.

## 5. Related documents

- Student records
- Student evaluation (Student Learning Survey, learner & employer questionnaires)
- Student information (Student handbook.)
- Training and Assessment materials (including Training & Assessment Strategies, RPL, Assessment tools and Completed student assessment items)
- Minutes of Management Meetings, General Meetings, Industry Meetings, Validation and Moderation Meetings
- HR records (trainers/assessors)
- Evidence of Interactions with VET Regulator &/or Funding Providers (if applicable)
- Work, Health & Safety records
- Unit Completion Sheet - UT10
- Qualifications Issuance Policy
- AVETMISS compliant data (Student outcomes)
- Award copies
- Complaints & Appeals Register
- Continuous Improvement Register
- Critical Incident Reports
- Certificate of Registration
- Service Agreements/Funding Contracts/Memorandums of Understanding (MOUs) (as applicable)
- Marketing/Advertising materials
- Other documents as deemed appropriate by the Director &/or the Continuous Improvement Committee
- UTF07 Archive Box Checklist
- UTF11 Student Enrolment Completion Checklist

## 6. Content

To ensure records are maintained in a safe and suitable condition, the following policy applies:

- Records for currently enrolled students are kept securely in a lock cabinet in the administration area to prevent them being accessed by any non-authorised personnel.
- Records are kept confidential to safeguard information and to protect the privacy of students, employers and UTAIT staff as per our Privacy Policy.
- Student results and Certificates / Statements of Attainment are backed-up and stored electronically in the Student Management System and are available to be retrieved by authorised persons at any time
- Electronic student records are regularly backed-up and kept off-site and kept for 30 years through the maintenance of Student Management System.
- All hard copies of completed student assessment items for each student, as per the definition above, for a minimum period of six (6) months from the date on which the judgement of competence for the student was made. Hard copies are kept in student's file. Scanned copies of student assessment items are kept 5 years after the completion/withdrawal of the student's enrolment.
- Hard copy records of student admin's file are kept for a minimum of two (2) years in archive.
- Where a complaint/appeal has been registered the student file (including all complaint/appeal records) is kept for a minimum of 5 years in archive.

## 7. Active Records

All UTAIT documentation is tightly controlled in pdf format and stored on UTAIT's web site. This ensures documentation be accessible to all staff so they can access and use UTAIT documents, however, editing is restricted to authorised persons.

Documentation records are created, securely managed and disposed of in accordance with the registering body's and legal requirements. Records of business activities are kept in accordance with state and commonwealth requirements. These records include, but are not limited to; Student records, Learning and Assessment records, Governance and Finance records.

Documents to be retained in student file:

- Application form
- Training plan
- IDs
- Credit transfer or RPL application form
- Copies of any qualification relating to Credit transfer or RPL

- Copy of any incident
- Complaints and appeal documents
- Assessment records
- Other documents relating to student's behaviour and plagiarism record
- Defer and suspension application
- Medical records
- Payment records
- Others

## 8. Electronic records

All UTAIT's students electronic records are controlled using Student Management System, which will include a field for the National Unique Student Identifier.

## 9. Responsibilities

To ensure records are maintained in a safe and suitable condition, the following responsibilities apply:

- The **Director - Compliance** implements suitable arrangements to comply with the requirements of this policy and the requirements of the NVR Standards. This includes the management of records and data storage facilities and the application of records retention procedures.
- **Administrative team** ensure that procedures for the archiving and storage of records are applied, including the backing up of electronic data. Administrative support staff will monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required. Administrative support staff liaise with Trainers and Assessors to ensure that approaches to records handling are consistent throughout UTAIT operations.
- **Trainers / Assessors** ensure student records are appropriately gathered during and at the completion of a training program and are suitably bundled and packaged in accordance with records archiving procedures, including:
  - Liaising with administrative support staff to ensure that their practices are aiding the efficient retention of student records
  - Ensuring student records are fully completed with sufficient information recorded to allow an independent review of the assessment decision by a third party
  - The interpretation of assessment evidence has suitably detailed comments to

- support their assessment decision
- Identify opportunities for improvement in accordance with the continuous improvement policy as required
- Use authorised UTAIT records only to record student progress and the outcomes of assessment activities.

## 10. Procedure

### 10.1. Archiving Procedure

The following procedure is followed by all UTAIT staff when archiving student records:

#### 10.1.1 Trainees / Assessors

- Retain all documents which record information about the evidence collected during assessment. Note that students are encouraged to retain a copy of any work they have produced and submitted as evidence toward the assessment. Work submitted in an electronic version must also be retained and is to be gathered on a suitable electronic storage media such as a CD, disk, or flash-drive for archiving.
- Trainer / Assessor completes, signs and dates Unit Assessment Tools
- Trainer/Assessor completes UT10 - Unit Completion Sheet
- The assessment tools and UT10 - Unit Completion Sheet are submitted to UTAIT administrative support.

#### 10.1.2 Administrative support

On receipt of the completed student's file, the administrative support staff:

- Check against UT10 - Unit Completion Sheet all documents submitted by trainer/assessor have been accounted for
- Sort and place student records into the student's completed course file
- Check that the student has completed the training program via the student management system (Student Management System)
- Check the front of each unit assessment has the UT10 - Unit Completion Sheet
- Training Director check the student file and quality check the certificate or Statement of Attainment and sign off the training plan
- Raise the appropriate qualification or Statement of Attainment
- CEO sign the qualification or statement of attainment
- Photocopy qualification or Statement of Attainment. Original is posted to the student.
- Soft copy of award is archived in Student Management System (kept for 30 years)
- Photocopied awards placed with Archive List and kept in the Certificates Issued Folder
- Student's folder is allocated an Archive Box number.

- Complete Enrolment Completion Checklist
- Update the UTAIT database (Student Management System) to record the completion of the student's training and enrolment.
- Record Archive Box number in Student Management System
- When the box is full, deposit the box within the designated secure storage area.
- Records are signed in and out of Student Management System when in use.

#### 10.1.3 Student access to records

- Current and past students are entitled to have access to their academic record on written request. Students who request to access their records are to be provided with this access at the earliest opportunity but no later than 7 calendar days.
- They may view their record in the presence of a representative from UTAIT. The student will need to provide photo identification prior to any access will be granted. Students who wish to access or sight their computerised or paper record retained by UTAIT will be permitted to do so during office hours (9am to 5pm, Monday to Friday).
- Access will need to be arranged prior with the Director of Training. Records are not be removed from UTAIT. Students are permitted to take notes on information appearing on their record. The student file is not to be taken away from UTAIT premises. There is no charge for a student to access their personal information however no photocopying or photography of any portion of the student file is permitted.
- The file remains the property of UTAIT and is to be retained to comply with regulatory requirements. In complying with the Australian Privacy Principle 13; if an individual identifies that there is error with the personal information being kept by UTAIT; a request to amend the information can be made. Corrections will be made within seven days from the error being identified and a notation will be made on the individuals file. There is no charge to correct an individual's file.
- Written requests should be sent to: Director of Training.

### 10.2 Period of retention

The following time periods are to apply to the retention of student records at UTAIT:

- **Student results / Qualifications / Statements of Attainment.** Student results / Certificates and Statements of Attainment are retained for a minimum of thirty (30) years.
- **Completed assessment resources.** All completed student assessment items for each student, as per the definition above, for a minimum period of six (6) months from the date on which the judgement of competence for the student was made.
- **Complaints and Appeals.** Where a complaint/appeal has been registered the student file is kept for a minimum of 5 years in archive.

### 10.3 Destruction of Records

The following procedure is followed by all UTAIT staff for record destruction:

- Administration conduct bi-annual checks to identify records for destruction
- Administration complete the Archive Summary Register. The Archive Summary Register lists details of Archive Boxes identified for destruction, it contains; Archive Box number, Date Archived, Destruction Date, Approval Signature, Administration staff person responsible, Destruction Company Name
- The Director - Compliance authorises the destruction of records by signing the “Approval for Destruction” section on the Archive Summary Register. Records will only be authorised for destruction by the Director - Compliance after the retention period has lapsed.
- The Archive Summary Register is updated to identify that a particular record has been destroyed
- Administration staff organise destruction by an external approved provider
- Archived boxes are collected by an external approved provider
- The Archive Summary Register is completed by adding the details of the destruction company and destruction date.



## Revision History

Version	Continuous Improvement Reason	Continuous Improvement Change
1.0	Original document	
1.1	=	