Records Management Policy

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Last review	29 December 2022
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Authority	Chief Executive Officer or Nominee
Next review	28 December 2023
Related policies	▪ Enrolment Policy ▪ Certificate Issuance Policy ▪ Additional Support Policy ▪ Training and Assessment Policy ▪ Continuous Improvement Policy
Related procedures	▪ Enrolment Procedure ▪ Additional Support Procedure ▪ Certificate Issuance Procedure ▪ Continuous Improvement Procedure
Forms and supporting documents	▪ Certificate template ▪ Record of Results ▪ Statement of Attainment ▪ Enrolment form

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PURPOSE

Error! Reference source not found.is committed to provide quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015) and the ESOS Legislative Framework and the Australian Privacy Principles. **Error! Reference source not found.** will ensure that it creates and maintains accurate records of all VET-related activities. It will also ensure that effective record keeping, and proper management of records is implemented in order to support and enhance its activities, guide decision making, and protect its interests and that of its stakeholders.

RELEVANT STANDARD(S): Standards for Registered Training Organisations (RTOs) 2015 Standard 8, 1.2 and 1.8.

SCOPE

This Policy applies to the management and all Australian Polytechnic Institute staff responsible in developing, updating, and disseminating records management materials ensuring that they adhere to all the processes and practices outlined in this document.

POLICY PRINCIPLES

Error! Reference source not found. is committed to implementing an effective and efficient records management processes for business, compliance and all training and assessment records and documentation, issuing certification documentation in accordance with the legislative and regulatory requirements. AuPI abides in the following policy principles:

1. **Electronic and Paper-based Records**
    1.1   All Australian Polytechnic Institute documents and emails are saved to the system network (server), which is backed up regularly by creating local soft copies and uploading additional copies to a safe and secure cloud website. (In case damage to local computer systems, caused by incidents like fires, render local soft copies inacessible.)

    1.2   Enrolments are entered into **Error! Reference source not found.**'s LMS and then archived for 7 years. Completed hard copy enrolment forms are stored in locked filing cabinets for 30 years.

    1.3   Learner Assessments results are entered in **Error! Reference source not found.**'s LMS and the electronic copy will be held on the LMS stored in the student's training file.

    1.4   Australian Polytechnic Institute scans and keeps electronic copies of the Learner Assessments Paperwork (Learner Assessments Paperwork will only be applied as needed – e.g., as part of additional support) in **Error! Reference source not found.**'s LMS. The records will be kept for at least two (2) years after the person ceases to be an accepted student.

    1.5   Student records of competencies achieved and Qualifications certificates and Statements of Attainment issued are to be archived (electronically) for a period of not less than thirty (30) years. (These records will be accessed and retrieved in the event of **Error! Reference source not found.**'s closure and forwarded to a suitable site.)

1.6 Australian Polytechnic Institute stores course payment receipts in secure electronic file in the LMS and will be made available for reissue upon learner request.

1.7 Australian Polytechnic Institute ensures it records, keeps, and secures the following in their relevant records/folders in its database or LMS:

    1.8.1. assessment of provider transfer requests

    1.8.2. complaints and appeals handling

    1.8.3. variations in enrolment load that may affect students' duration of study

    1.8.4. course progress of each student for which the student is enrolled

    1.8.5. records for granting courses credit

    1.8.6. current residential address (and mobile phone number and email address if any) of each accepted student who is enrolled or has paid any tuition fees

    1.8.7. assessment outcome of each approved unit completed by each

    1.8.8. copies of written agreements to which the provider and student are parties

    1.8.9. the amount of money paid by the student to the provider, including the separate identification of tuition fees and non-tuition

    1.8.10. the part and duration of the course to which the fees paid relate

    1.8.11. any amounts that have become payable by the student but have not been paid

    1.8.12. the amount that a student will be charged to access the student's records.

2. Reporting Compliance

2.1 Australian Polytechnic Institute will obtain and report full AVETMISS data for all learners through its LMS.

2.2 Australian Polytechnic Institute will provide an annual summary report of its performance against the learner engagement, employer satisfaction (if applicable) and competency completion quality indicators to ASQA (Quality Indicators) on an annual basis

2.3 Australian Polytechnic Institute will notify ASQA within 90 days of changes to the following:

    2.3.1. executive officer or high managerial agent

    2.3.2. financial administration status

    2.3.3. legal name or type of legal entity

    2.3.4. ownership, directorship, or control

    2.3.5. anything that may affect the fit and proper person status of a representative of the RTO

    2.3.6. any fundamental funding/revenue source

    2.3.7. the RTO's business strategy driven by a change to government policy

    2.3.8. delivery to apprentices or trainees employed under a training contract, or

    2.3.9. any other significant event.

2.4. Australian Polytechnic Institute will notify ASQA within 30 days of proposed changes to:

    2.4.1. Registered course (for approval):

        2.4.1.1. the course content and duration, including holiday breaks;

        2.4.1.2. the modes of study

2.5. Australian Polytechnic Institute will notify ASQA whenever a third-party agreement starts or ends. This covers for a third party providing any of the following:

    2.5.1. Training

      2.5.2. Assessment

      2.5.3. Educational and support services

      2.5.4. Activities related to the recruitment of learners

2.6. Australian Polytechnic Institute will provide a declaration annually on its compliance with the Standards for RTOs 2015 and the ESOS legislative framework on the dates set by ASQA.

3. Ceasing Operations

3.1 Australian Polytechnic Institute acknowledges the responsibility to transfer records to ASQA should the RTO cease to operate. Learner records of achievement are retained in Australian Polytechnic Institute's LMS and will be forwarded to ASQA within thirty (30) days of effectively ceasing to operate as an RTO.

3.2 Learner records of achievement will include:

      3.2.1 Learner's full name

      3.2.2 Complete Address

      3.2.3 USI number

      3.2.4 Date of Birth

      3.2.5 Student ID number

      3.2.6 Enrolment and commencement dates

      3.2.7 Complete code and title of qualification/skill set

      3.2.8 Complete codes and titles of units of competency completed and results (if applicable)

      3.2.9 Date of issuance (Certificates, Statements of Attainment)

4. Destruction of Records

4.1 Australian Polytechnic Institute acknowledges the responsibility to transfer records to ASQA should the RTO cease to operate. Learner records of achievement are retained in Australian Polytechnic Institute' LMS and will be forwarded to ASQA within thirty (30) days of effectively ceasing to operate as an RTO.

4.2 See the Records Management Procedure for further details.

MONITORING AND IMPROVEMENT

Australian Polytechnic Institute is responsible for all continuous improvement process in relation to the records management policy, ensuring that all staff, including those from third party providers, are complying with the provisions of this policy as well as the conditions of the NVR Act and any directions given by an NVR Regulator.

Data entry and records management is carried out by administration staff, in accordance with job description statements.

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REVISION HISTORY

Date / Version no.	Revision details	Person Responsible	Status	Comments
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1.1	First version provided by the registration consultant was reviewed. Minor changes were made	Dr Ehsan Ahmed	Reviewed	
1.2	Version 1.1 was reviewed and minor changes were made	Dr Ehsan Ahmed	Reviewed and uploaded to the AUPI website	Next review due 26 December 2023