Records Retention and Management Policy and Procedure

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Purpose

At Management Consultancy International (MCI), we recognise our obligation to retain certain records from our delivery of training and assessment services to students. The maintenance of a well-structured records retention system supports the continuous improvement of our operation and provides a basis for compliance with legal and quality assurance requirements. We are committed to retain records to ensure their accuracy and integrity.

Scope

This policy is relevant to all MCI and MCI Institute staff.

References

ASQA General direction Retention requirements for completed student assessment items

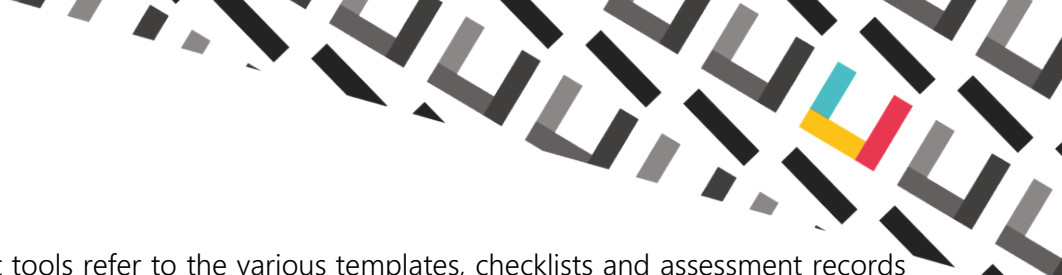Smart and Skilled Contract, Smart and Skilled Operating Guidelines clause 17.7

Definitions

For the purposes of this policy, records include:

Learner results: Training results include a record of the learner's details, date of enrolment and results of training and assessment. This should include what units of competency (including codes) and the result the learner achieved. This may include if the learner withdrew, was assessed as competent or not-yet-competent, was recognised as competent through an RPL process or was issued credit transfer for current competency held. Learner results also include all relevant data elements relating to the Australian Vocational Education and MCI Information Statistical Standard (AVETMISS).

Qualifications / Statements of Attainment: Qualifications and Statements of Attainment are documents issued to recognise the award of nationally endorsed and accredited outcomes. Qualifications and Statements of Attainment are formatted and prepared in accordance with the Australian Qualification Framework.

Completed assessment resources: Completed assessment resources include documents or other media where assessments evidence has been recorded by learners and assessment decisions are recorded by assessors. It may be a combination of templates, questionnaires, checklists, summary sheets, RPL tools, or records of feedback from assessors to learners. Assessment resources include all those items which substantiate the assessment decision made by an assessor. ASQA refer to these records as "Completed learner assessment items".

Assessment tools: Assessment tools refer to the various templates, checklists and assessment records that MCI uses over the term of its operations. This specifically refers to the retention of the versions (master copy) of tools used as opposed to retention of completed resources. The aim of retaining a record of versions used over time is to allow an appropriate record for future review by regulatory bodies.

Administrative records: Administrative records are those documents which are used to facilitate the learner's administration during their enrolment. Examples of administrative records are enrolment forms, privacy forms, requests for refund, etc.

Learner file: The learner file is simply the file location where all learner results, completed assessment resources and administrative records are retained in hard copy. This will usually be a standard office file and will be archived within an archive envelope at the end of the learner's enrolment.

RTO management records: RTO management records are those files which assist management and staff to coordinate RTO services. These may include policies and procedures, data registers, enrolment registers, attendance records, financial records and records of complaints and appeals.

Responsibilities

The responsibility for implementing the requirements of this procedure rests with the Administration Manager – Corporate and Institute.

Procedure

Storage of records

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

- Records must be kept securely to prevent them being accessed by any non-authorised personnel.

- Records must be kept confidential to safeguard information and to protect the privacy of learners.

- Records must be kept to avoid damage by fire, flood, termites or any other pests.

- Learner results and Qualification / Statements of Attainment must be backed-up in an electronic format and must be available to be retrieved at any time.

- Electronic data storage must be safe from destruction by fire or flood and should take account of the risk of component failure of a single storage device. Student data is also to be backed-up off site using the remote server. All other electronic data is backed up on Microsoft "One Drive".

Period of retention

MCI must comply with a range of record retention requirements including:

- ATO requirements relating to financial records

- NSW Smart and Skilled program requirements relating to training and assessment records, and

- ASQA General Direction: Retention requirements for completed learner assessment items Click Here. GENERAL DIRECTION Retention requirements for completed student assessment items

In determining our period of retention, MCI has selected retention periods beyond some requirements in order to simplify our approach and to ensure compliance with all requirements under the one approach. The following time periods are to apply to the retention of learner electronic records at MCI:

- **Learner results / Qualifications / Statements of Attainment**: Learner results relating to the training products that have been issued (Qualifications and Statements of Attainment) are to be retained for a minimum of thirty (30) years. This is essentially the AVETMISS compliant data contained within the organisations student management software.

- **Completed assessment resources:** Completed assessment resources (100%) are to be retained for a minimum of six months or three (3) years for NSW Smart and Skilled program students from the date on which the judgement of competence for the learner was made.

- **Completed assessment resources – That relate to High Risk Work Outcomes:** Completed assessment resources (100%) are to be retained for a minimum of seven (7) years.

- **Assessment tools:** Assessment tools (100%) are to be retained for a minimum of five (5) years.

- **RTO management records:** RTO management records are to be retained for a minimum of five (5) years. This requirement relates to the versions of these records.

- **Administrative records:** Administrative records are to be retained for a minimum of five (5) years. This requirement relates to the versions of these records and completed records.

Note: Records may be retained in hard copy or electronically.

Destruction of Records

MCI's CEO is the only person who can authorise (in writing) the destruction of records. Records are only to be authorised for destruction after the retention period has lapsed.

Documents identified for destruction are to be shredded before being recycled. The archive register must be updated in the notes section to identify that a particular record has been destroyed.

Document Revision History and Version Control

Approved by:

- Kim Middlemiss - RTO Operations Manager
- Vanessa Millicheap - Compliance Officer

Effective date: 23 September 2019