

Records Management

Purpose:	This policy and procedure has been developed to to ensure all records required to meet RTO standards and contracts are managed in a secure and safe manner and kept accessible for the required timeframe.
Reference:	NVETR Act 2011 ASQA – Standards for Registered Training Organisations (RTOs) 2015 <ul style="list-style-type: none"> • Clause 1.8 Assessment; • 3.4 AQF certification documentation SAS Contract, Policy, and Funding Guides
Who is responsible:	The Compliance Manager is responsible for: <ul style="list-style-type: none"> • Authorising and maintaining this policy and procedure. • Maintaining appropriate version control and currency of forms and templates. • Maintaining a Policy and Forms Register. • Conducting oversight and audit activities to ensure conformance. The Operations Manager is responsible for: <ul style="list-style-type: none"> • Ensuring all workers are provided an induction that covers this policy. • Maintaining all administrative, training and assessment, AVETMISS, and learner records and systems. • Addressing worker requests to access records. The Finance Manager is responsible for: <ul style="list-style-type: none"> • Maintaining integrity of the “S” Drive its continuous power supply and ensure regular back-up is functioning. • Addressing worker requests to access records. • Maintaining all registration, business management, financial, payroll and human resource, WHS records and systems. Workers are responsible to: <ul style="list-style-type: none"> • Using information and records management systems in compliance with this policy • Complying with all other records management obligation in other policies of WTA.
When:	Creation, change, storage and destruction of records.
Definition/s:	AVETMISS means the Australian Vocational Education and Training Management Information Statistical Standard Commercial in Confidence – any data, knowledge, or material that would be sensitive and valuable to the business and which is not already in the public domain. This can only be shared under a confidentiality agreement. Confidential – information that is restricted to those who need the details to perform functions directly related to the purpose for which it was obtained. Private – information that can be used to identify a specific individual. This can only be shared with expressed consent of the individual. Record/s – any data or documents created or collected and stored either in hard-copy or electronic systems. Restricted – data that, if disclosed or accessed without authorization, could lead to criminal charges and legal fines or cause irreparable damage to the company. Workers – refers to any staff, contractor or volunteer conducting work on behalf of Water Training Australia.
Scope:	This policy and procedure applies to the management of all records required by relevant RTO legislation, standards and contracts. This covers from marketing and engaging with clients and prospective learners to enrolment, training, assessment, completion and follow-on certification records management. Implementation of this policy will require reference to the following policies: <ul style="list-style-type: none"> • Privacy • VET Reporting

Policy:	<p>Water training Australia (WTA) recognises the need to maintain appropriate records to operate, improve, and protect the business of the RTO as well as to meet compliance obligations under various acts.</p> <p>To meet our requirements as an RTO WTA has developed various systems to maintain records in hard-copy and digital format as suited to their purpose and processing. These systems are designed to:</p> <ul style="list-style-type: none"> • maintain records in a safe and suitable condition; • prevent them being accessed by any non-authorized personnel; • protect privacy (without limiting access by regulators); • protect from loss and corruption due to fire, flood, pests, and/or other disasters; and • ensure accessibility to be retrieved at any time and to be collated for inspection or audit by regulators within 5 business days. <p>WTA uses many standard templates, tools, and forms to create and manage information. These documents are managed using version controls to prevent un-authorized change and to support auditing/review of historical activity for compliance and improvement.</p> <p>Version control requires:</p> <ul style="list-style-type: none"> • preservation of each version for the required retention period, • recorded reasons for and nature of the changes, • authorisation, and • the date of change. <p>Record systems for hard-copy or digital provide for access by regulators on-site or by administrator level access as relevant. This includes being able to efficiently locate the file and/or record system that contains the required records.</p> <p>Hard-copy record location is at the head office to ensure the availability of site access at all times.</p> <p>Digital systems are managed to ensure:</p> <ul style="list-style-type: none"> • accessibility within 5 days; • security; • regular back-ups; and • read, write/modification privileges prevent unauthorised changes. <p>When digitising records they are checked to ensure they remain legible, reproducible, and protected from change.</p> <p>WTA must keep records to meet legal obligations, manage finance and risk, support decision making, and support operational objectives. This includes a wide range of documentation. Retention timeframes for records vary by use and context as per guidelines below:</p> <p>Records retention schedule:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Category</th> <th style="text-align: left;">Examples (not limited to)</th> <th style="text-align: left;">Location/s</th> <th style="text-align: left;">Retention</th> </tr> </thead> <tbody> <tr> <td>Registration – Records related to RTO registration term and scope.</td> <td>ASQA Registration; Licencing; Annual statements and declarations</td> <td>“S” Drive Icare</td> <td>indefinite</td> </tr> <tr> <td>Business Management – Records required under the governance policy</td> <td>ASIC Registration; Contracts & agreements; Strategic and operational plans; Meeting agendas and minutes</td> <td>“S” Drive SharePoint</td> <td>at least 5 years unless their purpose extends</td> </tr> </tbody> </table>	Category	Examples (not limited to)	Location/s	Retention	Registration – Records related to RTO registration term and scope.	ASQA Registration; Licencing; Annual statements and declarations	“S” Drive Icare	indefinite	Business Management – Records required under the governance policy	ASIC Registration; Contracts & agreements; Strategic and operational plans; Meeting agendas and minutes	“S” Drive SharePoint	at least 5 years unless their purpose extends
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				beyond this timeframe
	Financial transactions – Records to manage finances, accounts payable and receivable, and payroll.	Invoices, receipts, claims, ATO records, etc...	Xero “S” Drive	at least 5 years unless their purpose extends beyond this timeframe
		all records used to determine the wages and allowances paid (e.g. time sheets, pay grade assessment, end of employment, etc...).	Xero “S” Drive	Kept for a minimum of 6 years.
	HR Records – Records used to manage the workforce	worker contracts, position descriptions, credentials, Professional Development records, etc...	SharePoint	Kept for a minimum of 7 years.
	WHS – Records used to manage and monitor safe work practices and any incidents.	Kept for	SharePoint	at least 5 years unless their purpose extends beyond this timeframe, or are related to ongoing investigations, or claims and then to be retained for 5 years after resolution.
	Administrative Records – records that support the conduct of its services, their quality management and continuous improvement	marketing information, course information, schedules and bookings, emails and correspondence, complaints, appeals, feedback, evaluations/surveys, industry engagement, validations, trainer delivery reports, continuous improvement, etc...	SharePoint Icare	at least 5 years unless associated with a funded delivery program and then it must be kept for 7 years from the end of the program contract.
	Training and assessment activity – Records related to training product offerings and systems to deliver training and assessment.	TASs, industry consultation, third-party agreements, advertising, marketing, client contracts, training needs analysis, SME agreements, quality control, policy and procedure versions, template versions, internal and external audit, etc...	SharePoint	5 years unless associated with a funded delivery program and then it must be kept for 7 years from the end of the



				program contract.
	Learner Records – records to support all AVETMISS reported data and funding claims collected in enrolment, participation and support, progress and outcomes.	Pre-enrolment information including the (CIO, PTR, Funding eligibility form and records, Learner Handbook, Induction Record, any Support Plans, etc...) Enrolment and consent forms; Funding and Concession eligibility, co-contribution fees, Training plans, ERA's, Learner Training Logbooks and regular review evidence; Complaints and issue handling; Records of Participation; Assessor Version Tool; Completed and assessed Learner Version Tool and all required attachments including Records of Assessment, On-the-Job-verification and re-submissions; Copies of Qualifications and Statement of Attainments issued; Any evidence required to support payment claims, ('NYC' outcomes, Withdrawal Outcomes, Gap Training, etc...)	SharePoint	at least 5 years unless associated with a funded delivery program and then it must be kept for 7 years from the end of the program contract.
	AVETMISS Data –	Refer to the VET Reporting Policy.	ICARE	maintained for at least 30 years from the issuance of a qualification or statement of attainment.

	<p>Data Collection and Document Creation</p> <p>WTA collects data for several purposes as set out in our Privacy Policy. All personal and sensitive information is collected and managed in accordance with our Privacy Policy.</p> <p>All new documents should be consistent with the corporate colour scheme, include our logo and version control details. Documents and emails that contain private, confidential, restricted, or commercial in confidence information are to be clearly marked as such.</p> <p>Document/Records Access</p> <p>Learner Access</p> <p>All learners have the right to access and view their own records. Learners can request this verbally or by written request to WTA Administration. Learner access to their file is managed under the Privacy Policy.</p> <p>Worker Access</p> <p>Management staff will have access to worker files as necessary to manage relevant aspects of their engagement with WTA.</p> <p>Workers have the right to access and view their own records. Workers may access their file by request to the Operations Manager or Finance Manager.</p> <p>Access to Records by External Agencies</p> <p>Except as required under the VET Quality Framework for Registered Training Organisations, Government Contracts or by law, information about a learner will not be disclosed to a third-party without the expressed consent of the learner. Information that may be accessed includes records of enrolment, participation, progress, and assessment, as well as any other relevant details of the Learner's enrolment that WTA has collected. This will be conducted in accordance with our Privacy Policy.</p> <p>Treatment of Records on Ceasing Operation</p> <p>WTA has a responsibility to retain accurate records and to enable these to be transferred to ASQA should WTA cease to operate as an RTO. This includes records for all learners with a completion outcome in the 30 years prior to notification of ceasing operation. This will be managed by our SMS system (ICARE) under our Vet Reporting Policy.</p> <p>Destruction of Records</p> <p>Records will be reviewed periodically and assessed for retention requirements as above. If the records contain personal information they will be securely destroyed when their retention requirements have lapsed.</p> <p>Review of this Policy</p> <p>This Procedure will be revised as required and annually from last major revision</p>
<p>Process:</p>	<p>Records Management Systems:</p> <p>Hard-Copy Filing System:</p> <p>Some files are maintained in hard-copy at the head office organised by topic and in alphabetical order. Records are filed and maintained by Admin Staff according to role functions and duties.</p> <p>Each learner's personal details shall be filed in the designated learner file and stored in a locked filing cabinet.</p> <p>Contents of hard-copy learner files are retained for at least 6 months after assessment of the final unit of competency on their training plan.</p> <p>Records are digitised before destruction of hard-copies and retained for required retention timelines as per the policy above.</p> <p>Server Files</p>

The server is managed by a service provider to ensure security and regular back-ups are maintained. It is protected from loss or corruption due to power loss with a continuous power supply.

Computer Files:

Workers are to maintain software updates on their computers and ensure records are emailed and filed on SharePoint appropriately and in a timely manner to protect from accidental loss.

OneDrive should be set to back-up Documents, Pictures, and Desktop folders.

Workers need to have their computer online at regular intervals and allow OneDrive to synchronise files to function effectively.

SharePoint Files

SharePoint is an encrypted cloud-based system allowing access only to registered users according to role privileges assigned. It is managed by the Operations Manager under the administrator role and by an IT service provider to ensure access privileges can be granted in an efficient time frame if required by regulators requesting access. The system is security protected by the provider and contains tools for restoring changed or deleted files. If files are moved or re-named care must be taken to advise other users. Files should only be restored by administrators after confirming the latest version is being restored.

Cloud-based App's

WTA uses the following cloud-based information management solutions to ensure security and accessibility. Each has user defined roles and password protected access.

- Icare for the Student Management System Database.
- Xero for Financial and payroll.
- Moodle for learning and assessment content delivered online
- Teams for internal collaboration and training.

Records Handling:

General:

Workers should not keep local copies of forms and templates these are accessible in the latest format on SharePoint.

E-Files being worked on should be copies of files with the original retained on SharePoint to ensure previous versions are not overwritten. When modified, files should be renamed to indicate process or version control changes and the old file moved to an archival folder.

E-Files are not to be transported in removable drives unless they are password protected and securely destroyed at the end of life according to the procedure below.

RTO Management Records:

Only designated personnel will access and maintain records of the employment history and qualifications of all workers contracted by the RTO.

Administrative Records:

Administrative records are to be completed in electronic format where possible and if completed in hard-copy format must be digitised as soon as possible. All documents are to be stored in the appropriate file location on SharePoint.

Documents are to be checked to be complete and legible at the time of filing and rectified immediately if not.

Learner Records

Only WTA staff directly involved in learner welfare and or learner results will have access to personal learner details.

When a learner has completed all the requirements for their enrolment, all learner records are confirmed to be recorded in SMS and digitised to an e-file on SharePoint. Admin staff must confirm that files are complete (as per the Conduct Effective Training and Assessment Policy) and rectify any missing or incomplete

	<p>records immediately. Paper documents are then archived for a period of six months.</p> <p>In order to ensure accuracy, integrity and currency of learner record of participation and progress, all data collected from the Enrolment to Assessment final results are collected and checked by admin staff and are entered and filed in a timely manner into the Student Management System (Icare) and SharePoint files as per the filing structure scheme.</p> <p>Version Controls:</p> <p>When updating policies, procedures, forms, templates or tools, care must be taken not to overwrite the current version, the person recommending changes must note the nature of the changes and email them to compliance@watertrainingaustralia.com.au. The document will be reviewed, quality assessed and the change control log within the document will be updated with the date of change; new version number; role authorising the change, and summary of the changes. Old versions will be archived and the latest version made available and notification will be sent as relevant.</p> <p>Destruction of Records</p> <p>When hard-copy records are identified as ready for destruction, will be either shredded or incinerated as suitable.</p> <p>E-files shall be destroyed by secure shredding tools or by re-formatting the drive.</p> <p>Review:</p> <p>All staff will be given an induction regarding this policy and annual refresher PD.</p>
Relevant Records:	N/A