

P.09.01

INFORMATION AND RECORD KEEPING POLICY

1.0 INTRODUCTION

AVETA will create and maintain full records of its academic and administrative activities.

2.0 REFERENCES

- ESOS Regulations (2001): Part 3
- ESOS Act (2000): Part 3, Division 1, 21
- Standards for Registered Training Organisations (RTOs) 2015
- Australian Skills Quality Authority (ASQA) General Direction: Retention requirements for completed student assessment items (20 Feb 2013)
- VET Funding Contract – Clause 9.3 & 9.4 Public Records Act 1973 (Vic) (PR Act)

3.0 DEFINITIONS

Securely retain: To retain records in a manner that safeguards them against unauthorised access, fire, flood, termites or any other pests, and which ensures that copies of records can be produced if the originals are destroyed or inaccessible. Records may be in hard copy or electronic format.

Assessment: The process of collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard expected in the workplace, as expressed by the relevant endorsed industry/enterprise competency standards of a training package or by the learning outcomes of an accredited course.

Assessment tool: 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.

4.0 RECORD KEEPING AND DESTRUCTION OF RECORDS

Accounts and Records: as extracted from the VET Funding Contract

9.3 The RTO must implement and administer a Recordkeeping system that creates and maintains full and accurate hard copy and/or electronic Records for all Training Services provided by the RTO. The record keeping system must comply with all applicable standards issued under the *Public Records Act 1973* (Vic) (PR Act).

9.4 The RTO must store and ensure the security of all Records in accordance with all applicable standards issued under the PR Act.

9.6. Subject to Clauses 9.7 and 9.8, the RTO must only dispose of Records in accordance with standards issued under the PR Act (including the General Retention & Disposal Authority for the Records for Higher and Further Education Institutions) and in accordance with any specific instructions provided by the Department from time to time.

Reference - PROS 10/13: Guideline 3: Destruction -The following methods do not meet all the destruction objectives outlined in section 3 and should not be used as means of record destruction.

Shredding without Subsequent Pulping

Shredded records (without being pulped) can be reconstructed using new technologies and thus this process is not irreversible.

If AVETA uses a Contractor to destroy records it will ensure –

- that any contract relating to the handling of records will contain a clause, as described in s. 17(2) of the Information Privacy Act 2000, through which information privacy is transferred from AVETA to the contractor.
- It remains the responsibility of AVETA to ensure that destruction is performed appropriately.
- That if records are being transported by contractors or by AVETA a closed truck will be used. If not practicable, the records should be secured by a cover. If the records are of a sensitive nature, they should only be transported in a closed and lockable vehicle with locks engaged.
- The Contractor will provide a certificate of destruction as part of their agreement with the AVETA. The certificate will also specify the method of destruction used.

9.7 The RTO must not dispose of any Records:

a) that are required as part of enrolment processes to confirm an individual's eligibility for government subsidised training under this VET Funding Contract, including records required under Schedule 1, and to confirm the application of fees in accordance with the requirements of this VET Funding Contract, for at least seven (7) years after the relevant Eligible Individual has completed or withdrawn from the relevant training course or qualification in which they are enrolled; or

b) related to Training Plans for at least two (2) years after the relevant Eligible Individual has completed or withdrawn from the relevant training course or qualification in which they are enrolled; or

c) related to Evidence of Participation requirements under this VET Funding Contract, including but not limited to assessment records, for at least two (2) years after the relevant Eligible Individual has completed or withdrawn from the relevant module or unit of competency in which they are enrolled.

The following table sets out the records (for International and Domestic students) that AVETA must maintain and their retention periods:

Record	Period of Retention	
	INTERNATIONAL STUDENTS	DOMESTIC STUDENTS
Pre- Enrolment Form & Pre-Training Review	Not Applicable	<p><u>The Pre-enrolment Form</u> that confirms an individual's eligibility for government subsidised training under the VET Funding Contract, and to confirm the application of fees in accordance with the requirements of this VET Funding Contract</p> <ul style="list-style-type: none"> for at least seven (7) years after the relevant Eligible Individual has completed or withdrawn from the relevant training course or qualification in which they are enrolled <p><u>Pre-Training Review Assessment</u> Completed and signed by applicant and the assessor</p> <ul style="list-style-type: none"> for at least seven (7) years after the relevant Eligible Individual has completed or withdrawn from the relevant training course or qualification in which they are enrolled
<p>Enrolment Form</p> <ul style="list-style-type: none"> AVETA Version controls its Enrolment Form and in this way is able to ensure that only the current version is used and is able to produce historical versions on request. 	2 years	<p><u>The Enrolment Form</u> that confirms a student's place in the a course on AVETA's scope of registration as well as confirming an individual's eligibility for government subsidised training under this VET Funding Contract; and to confirm the application of fees in accordance with the requirements of this VET Funding Contract.</p> <ul style="list-style-type: none"> for at least seven (7) years after the relevant Eligible Individual has completed or withdrawn from the

		relevant training course or qualification in which they are enrolled
<u>Student Contact Details Confirmation :</u> (a) the student's current residential address; (b) the student's mobile phone number (if any); (c) the student's email address (if any); (d) any other details prescribed by the regulations.	Every 6 months	Not Applicable
<u>Training Plans</u> Training Plans will be developed and signed but no later than four (4) weeks after training commencement.	Not Applicable	<u>Training Plans</u> for at least two (2) years after the relevant Eligible Individual has completed or withdrawn from the relevant training course or qualification in which they are enrolled
<u>Records of assessment</u> (a) If a student completes an approved unit of study for a course; and (b) If the student's progress in that unit is assessed; the provider must record the outcome of the student's assessment for the unit.	6 months	2 years
<u>Evidence of Participation</u> Evidence of Participation – Point 1 (a) AVETA endorsed attendance roll Evidence of Participation – Point 2 (b) Evidence of work submitted relating to engagement by the student in the unit of competency	6 months – (b) only	2 years - (a) & (b)
<u>Retention of records –</u> (a) Assessment outcomes	<ul style="list-style-type: none"> • 2 years after the person ceases to be an accepted student • However, the records do not need to be kept up-to-date after the cessation 	7 years
<u>List of all the provider's agents;</u> (a) published on AVETA's website	Up to date	Not Applicable
<u>Written agreements</u>	2 years	Not Applicable
<u>Provider to pay refund</u>	Within 4 weeks after receiving a written claim from the student.	As directed

Internal Audits	Annual	Completed six (6) months from the Commencement Date and once each calendar year
Insurances	TPS Records are kept up-to-date	<p>AVETA will maintain until 7 years after expiry of the Term all appropriate insurances at an adequate level to cover the provision of the Training Services to Eligible Individuals and any risk, loss or damage arising out of or caused by the performance of those Training Services, including insurance for workers compensation, public liability, professional liability, professional indemnity and property.</p> <ul style="list-style-type: none"> • The insurance policies must include public liability insurance of not less than \$20 million per event