

## Records Management

Policy Version Details			
Version Identifier	Last Updated	Author	Approved By
v24.3 April 2015	23 April 2015	RTO Manager	CEO

### Statutory and regulatory compliance

- Standards for RTOs 2015
  - Clause 1.2
  - Clause 1.3
  - Clause 1.7
  - Clause 1.8
  - Clause 1.13
  - Clause 2.1
  - Clause 3.4
- National Code 2007 Standards 2.1, 2.2, 3, 4, 5, 6, 7, 8, 9, 10, 12, 13, 14
- ESOS Act 2000 Section 19(1) and Section 21
- ESOS Regulations 2001 Regulation 3.04

### Related Policies

- Continuous Improvement
- Learner Support and Welfare Services
- Assessment
- Assessment Processes
- Credit Transfer
- Recognition of Prior Learning
- Staff Recruitment and Selection
- Record Retention
- Record Audits
- Document Version Control
- Privacy
- Fees and Charges
- Refunds
- Ethical Marketing
- Applications, Offers and Enrolments
- Enrolment Offer and Acceptance Agreement
- Learner Support Needs Records
- Education Agents
- Welfare of Younger Learners
- Transfer Between Registered Providers
- Complaints and Appeals

- Completion within Expected Duration
- Monitoring Course Progress
- Attendance
- Deferment, Suspension or Cancellation of Enrolment
- Critical Incidents
- Interaction with the Registering Body
- Plagiarism, Collusion and Cheating
- Language, Literacy and Numeracy
- Student Information System (the student database)
- Governance and Probity
- Compliance with Statutory Requirements

#### Related Documents

- Records register
- Records management responsibilities form
- Daily records check report
- Position description – Student Services Manager
- Position description – Records Management Officer
- Application to view student records
- Records management training register
- Document control register
- Register of staff with access to student records
- Student file register
- Current details questionnaire

#### Policy

IIPD has a set of procedures which ensure that active steps are taken to ensure the integrity, accuracy and currency of its records at all times.

IIPD ensures that records management procedures are compliant with all relevant government legislation and regulatory guidelines.

IIPD's Records Management Officer is responsible for the implementation of the organisation's records management policy and for information quality control.

#### Procedures

##### **Information to be kept in accordance with legislative requirements and regulatory guidelines**

The Student Services Manager is responsible for ensuring that information collected from and about learners meets the requirements of the relevant legislation and other requirements as advised by ASQA or other regulating bodies, from other government or non-government licensing authorities, and from government and non-government bodies with which IIPD has entered into contractual arrangements.

Information from and about learners includes:

- student enrolment records
  - the name and signature of the training participant

- the code and name of the unit of competency or units of competency in which the learner is enrolled
- the result consistent with assessment (e.g. a competency achieved/competency not achieved or RPL outcome)
- student assessment records
  - the type of evidence was used in the assessment
  - an assessment record supporting the learner activity in the Unit of competency or module
  - the date of the assessment
  - the name and signature of the assessor
- learner academic progress and attendance records
- assessment outcome records
- student feedback and unit evaluations
- student personal information
- details of fees paid and refunds made

#### **Ensuring the currency of student records**

The Student Services Manager is responsible for ensuring that all information held about learners is current. The Student Services Manager is responsible for distributing the “current details questionnaire” to all enrolled learners with the first five days of each term. The “current details questionnaire” verifies all contact details provided by each student. The details which are required to be provided by each student are current address, current mobile phone number, and current email address.

#### **Ensuring academic records are kept up to date**

The RTO Manager is responsible for ensuring that academic records for every student are up to date and available to the NVR regulator (currently ASQA) at any time upon request.

#### **Responsibility of the Student Services Manager**

Details of the responsibilities of the Student Services Manager in regard to ensuring that appropriate information is kept are documented in the position description of the Student Services Manager.

#### **Information quality control**

The IIPD member of staff delegated as the Records Management Officer has special responsibilities for the quality control of records management and for audits of records (refer to Record audit policy). The responsibilities of the Records Management Officer may be assigned to the Student Services Manager by the CEO, or an appointment to the role of Records Management Officer may be made by the CEO.

The Records Management Officer is required to make daily checks on the quality of records management and to have appropriate daily discussions with staff who are responsible for records. The Records Management Officer is required to ensure that all information supplied to learners is sufficient, correct, accurate, consistent, fair and current, and to make recommendations to the IIPD Management Committee for improvements to information and records management procedures.

#### **Staff responsibilities for records**

Staff who are nominated as responsible for the development, filing and management of records must ensure that those records are consistently checked for accuracy and currency and that they are maintained in a consistent format. Work instructions in relation to records management and records documentation are noted in the position descriptions of staff with responsibility for these tasks.

## **The Records Register**

Information about staff responsibility for records is recorded by the Information and records Management Officer in the Records Register. Changes to staff responsibilities for records (and therefore updates to the Records Register) may occur when:

- there are changes to staff responsibilities (as documented in revised position descriptions .)
- new staff are employed, or
- there are improvements to policies and procedures associated with information and records management.

The records register is updated by the Information and Records Management Officer whenever one of these events occurs.

All changes to staff responsibilities for records are recorded in the Records Register by the Records Management Officer ..

Each entry in the records register identifies the record type, all staff members previously responsible for the maintenance and management of records of that type, and the staff member currently responsible. Each entry in the records register is signed by the Student Services Manager. The records register is reviewed regularly by the CEO.

### **Records management responsibilities form**

When a staff member's responsibilities for records is changed, the CEO will provide the staff member with revised work instructions in relation to records management and records documentation and delegate the development of a revised position description. The CEO will notify the staff member in writing of the change in responsibilities. This is done by use of the "Records management responsibilities" form.

### **Daily checks on the quality of records management**

The Records Management Officer is required to make daily checks on the quality of records management and to have discussions about the quality of records management on a daily basis with those staff who are responsible for records. Information about the daily records management check is documented by the Information and Records Management Officer in the Daily Records Check Report.

### **Accuracy and currency of records**

The Records Management Officer will meet with the CEO monthly (during the final week of the month at a date and time specified by the CEO) to discuss the accuracy and currency of records. This meeting is referred to as the monthly information and records management meeting.

The Records Management Officer will make recommendations during these meetings as necessary about improvements to the policy and procedures for ensuring the accuracy and currency of records.

The Records Management Officer must make an appointment with the CEO should issues with the accuracy or currency of records which require immediate rectification be identified. The CEO will then instigate corrective action as necessary.

### **Feedback on records management**

Feedback on the effectiveness of records management is gathered by use of student satisfaction surveys and staff surveys, interviews with learners, staff and other stakeholders, records audits (according to the continuous improvement schedule), spot checks of records (upon the instigation of the CEO), and reports of the Student Services Manager. Please refer to the record audit policy and procedures for details.

The Records Management Officer is required to make recommendations during the monthly records management meeting with the CEO about the effectiveness of information which is collected regarding the quality of records management, and the means of collection of that information.

Subsequent to these meetings, the CEO will issue instructions for the implementation of improved methods of collection of data about the effectiveness of records management and new and different information to be collected, as necessary.

#### **Access to records**

The Student Services Manager is responsible for ensuring that all staff and learners have easy access to records. Learners may request access to their records by use of the “application to view student records”, which they may obtain from the reception desk.

#### **Informing learners how to gain access to their records**

Learners are informed about how to gain access to their records in the student handbook (provided to learners on enrolment), in the orientation presentation, on notices placed on notice boards at various locations at the IIPD campuses, by use of the student portal and by trainer/assessors at the beginning of each unit. The responsibility of trainer/assessors for informing learners of the availability of access to their records is a topic in the trainer/assessor induction process.

Learners should be provided with prompt responses to queries at the reception desk about the procedures for gaining access to their records.

#### **Standard documents**

Standard documents will be issued within ten working days after being requested by a student at the reception desk.

Standard documents are defined as:

- statements of attainment
- revised CoEs
- outcomes of applications for credit transfers
- outcomes of applications for deferment, suspension or cancellation
- outcomes of applications for letters of release
- outcomes of applications for RPL

#### **Non-standard documents**

All other documents are classified as non-standard documents.

If the Student Services Manager agrees to the issue of a non-standard document, it will be available to the student who requested it within ten working days of the request.

#### **Feedback on access to records**

Staff feedback on the effectiveness of access to records is gathered from the staff survey (conducted every term) and staff interviews, which are conducted according to the program specified in the annual continuous improvement schedule. One of the issues on which staff are asked to comment is the effectiveness of their access to student records.

Student feedback on the effectiveness of access to records is gathered from the student services satisfaction survey which is conducted each term. One of the issues upon which learners are asked to comment is the effectiveness of their access to records.

Summary information from the staff and student surveys is collated by the Student Services Manager and considered and reviewed by the IIPD Management Committee. If analysis of the information collected indicates a need for improvements to the policy and procedures for access to records, the CEO will issue the necessary instructions.

Improvements to the policy and procedures for records management may be recommended to the CEO by any staff who have responsibility for records management or have contact with learners on record management issues.

If, based on recommendations from such staff, the CEO determines that improvements are required in the policy and procedures for information and records management, instructions will be issued and changes in position descriptions and supervision guidelines made as necessary.

The Student Services Manager is responsible for providing timely response to all contributors of feedback about access to records. Please refer to the policy on providing feedback to contributors to continuous improvement.

#### **Evaluating the effectiveness of the management of student records**

Discussions of the effectiveness of the management of student records are noted in the minutes of meetings of the IIPD management committee. The effectiveness of the management of student records is evaluated by use of:

- the records audit checklist (please refer to the record audit policy)
- records of interview with staff who have responsibility for the management of student records
- student services satisfaction survey responses
- student services satisfaction summary reports
- staff survey responses
- staff survey summary report
- student interview records

#### **Ensuring consistency of format of student records**

Staff with responsibility for student records are required to keep those records in a consistent format. This requirement is documented in the position descriptions of all such staff. The Student Services Manager is responsible for ensuring that staff do this diligently and thoroughly.

Various processes are in place for checking for consistency of record formats, including:

- the records audit checklists
- the daily inspections of records by the Information and records management officer
- discussions between the Academic Director and staff who are responsible for records

#### **Student file register**

The student file register is maintained by the Student Services Manager. It must be updated every time a student file is accessed. Student files can be accessed only by staff members who are authorised to do so.

#### **Providing guidance to staff who are responsible for records**

The Student Services Manager is responsible for providing guidance to staff who are responsible for records. All staff with responsibility for records are provided with detailed written instructions on the IIPD information and records management policy and procedures. All such staff are familiarised upon induction with the procedures for records management and record retention.

The position descriptions for all staff who have responsibility for records management indicate that previous demonstrated experience in records management is mandatory. All staff hired to positions involving the management of records will be provided with an information and records management mentor for the first three months of their employment. The mentor will be a senior experienced staff member with responsibility for records management, normally the Student Services Manager. This duty is documented in the position description of the Student Services Manager.



The effectiveness of the provision of guidance to staff who are responsible for records forms a key performance indicator to be monitored at the annual performance review of the Student Services Manager.

#### **Professional development in information and records management**

Professional development in information and records management will be organised for staff as necessary by the Student Services Manager in consultation with the RTO Manager. Information about attendance of training in records management, and the features and benefits of the training, is recorded in the records management training register. The Student Services Manager is responsible for maintaining this register.

#### **Records kept on learning support needs**

Information about the support needs of learners and the learning support provided to learners is kept in each student's learner support needs booklet. Please refer to the Learning Support Needs Booklets policy.

#### **Recording assessment results**

Assessment results are submitted to the Academic Director by assessors in spread sheet format. The results are entered into the student management system (the student database) by the Student Services Manager or a delegated staff member. Please refer to the assessment policy

#### **Secure storage of student records**

The Student Services Manager is responsible for ensuring that student records are held securely and that unauthorised access is prevented. At IIPD, all student records are kept in locked filing cabinets in areas to which only identified student services staff are allowed access. Only the Student Services Manager, the Academic Director and the CEO have access to the records room. The CEO may provide access to the records room to other student services staff upon request. The Student Services Manager maintains the Register of staff with access to student records.