



# **STUDENT RECORDS MANAGEMENT POLICY AND PROCEDURE**

**PP.14**

**1.0 Objective**

**1.1** This policy describes the systematic process by which AAPA will collect, maintain and manage adequate records in accordance with the requirements of the VET Quality Framework for NVR Registered Training Organizations.

**2.0 Definitions**

**3.1** Client means a learner, enterprise or organization that uses or purchases the services provided by AAPA. .

**3.0 Record Keeping**

**3.1** Data will be collected, collated, maintained, analyzed and managed in accordance with the VET Quality Framework for NVR Registered Training Organizations.

**3.2** AAPA will retain student records of attainment of units of competency and qualifications for a period of at least 30 years (refer to PP.16 – Qualification Issuance Policy).

**3.3** Other records unless advised will be maintained as per statutory requirements, for example Section 286(2) of the Corporations Act requires **financial records** to be kept for seven years.

**3.4** Students' completed assessment items will be securely retained and produced in full at audit if requested to do so. All completed student assessment items for a student is for:

3.4.1 The duration of AAPA's assessment appeal period or

3.4.2 A period of six months from the date on which the judgement of competence for the student was made or the duration of the students enrolment - whichever is the longer period.

3.4.3 A period as stipulated in the relevant state or federal funding contract in the case the training and assessment was under funding arrangement.

**3.5** AAPA will ensure that, except as required under the Standards for RTOs 2015 or by law, information about a client is not disclosed to a third party without the written consent of the client (refer PP.15 – Privacy Policy).

**3.8** Under the National Privacy Principles the student or staff member can access his/her personal information and may correct inaccurate or outdated information about them. (refer PP.15 – Privacy Policy).

- 3.9 A register of training staff is maintained.
- 3.10 The safeguarding of client confidentiality will be maintained.
- 3.11 Records will be maintained of enrolments, participation, fees paid and refunds given.
- 3.12 All staff and persons working on behalf of AAPA as training staff will have their records securely maintained for two years from the last day of employment with AAPA.
- 3.13 Evidence of qualifications and experience will be documented and maintained in the Trainers Register, Trainers Skills Matrix and Staff file.

#### **4.0 Safeguarding Records**

- 4.1 The confidentiality of records will be maintained by:
  - 4.1.1 Hard copy: securely stored in metal storage cabinet. Only designated staff has access to files.
  - 4.1.2 Archived: securely locked in the purpose built archive building. Only designated staff has access to archived files.

#### **5.0 Student Records Procedure**

- 5.1 AAPA admin team is responsible for maintaining up to date records of enrolment and data entry of results.
- 5.2 Students can submit any change of personal details through Learner App which is assigned to each enrolled student at the induction day of the enrolment. In the case that personal details need to be changed such as change of names, students can submit Student Change of Details (F.42) with supporting documents. Changes will then be updated in Wise.NET by AAPA admin team. .
- 5.3 AAPA admin team is responsible for the resulting and issuing of testamurs and statements of attainment and maintaining currency of data in Wise.NET and also in hard format. (PP.16 – Qualification Issuance Policy).
- 5.4 RTO Manager or the designated person will facilitate ongoing Professional Development to staff regarding use of Wise.NET and other records management processes relevant to their roles.
- 5.5 New staff will receive Professional Development (PD) in Wise.NET and other records management processes during induction (1<sup>st</sup> week).

- 5.6** Ongoing PD is scheduled at the end of each calendar year and is facilitated by RTO Manager (refer F.07 – Planning Review Schedule) if required.
- 5.7** AAPA admin team is responsible for data maintenance.
- 5.8** The completed student files are placed into archive box and categorized by student family names in alphabetic order before sent to the secure archive building.
- 5.9** Record and retrieval from archive is managed by RTO Manager.
- 6.0 USI – Unique Student Identifier**
- 6.1** AAPA participates in the Student Identifier Scheme (USI) from 1<sup>st</sup> Jan 2015.
- 6.2** Wise.NET is a fully integrated student database with USI system approved by NCVET with the function of verifying the USI.
- 6.3** AQF certification documentation will only be issued to students who have provided the verified USI or sent the Declaration of Consent to authorize AAPA to apply for USI on their behalf. USI can either provided by email which will be deleted after receipt, or over the phone. New students from 1<sup>st</sup> Jan 2015 have been given the options to input the USI on the secure student portal.
- 6.4** In the case that students authorize AAPA to apply for USI on their behalf, only staff with the approval of RTO Manager can do so.
- 6.5** All the identification documents provided by students for USI application purposes only will be destroyed after the USI process completes.

## **7.0 Associated Forms**

F.42 – Student Change of Details

## **8.0 Associated Standards**

Refer to: [Clause 3.1-3.4, Clause 3.6, Clause 7.5, Clause 8.1]

Responsibility: AAPA admin team

Approved by: AAPA Executive Chairman