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| TYPE OF DOCUMENT: | POLICY |
| TITLE: | ADMINISTRATION AND RECORDS MANAGEMENT |
| DOCUMENT NUMBER: | POL0602 |
| VERSION NUMBER | 2.0 |

POLICY STATEMENT

Perth Boat School is committed to maintaining effective and efficient administrative and records management processes for training and assessment activities in accordance with legislative and regulatory requirements.

Perth Boat School will:

- * implement and maintain effective administrative and records management procedures consistently to assure the integrity, accuracy and currency of all records in accordance with the requirements of the AQTF;**
- * ensure that all training and assessment records are stored securely, including backup of electronic records;**
- * ensure student records are retained, archived and able to be retrieved for a period of 30 years;**
- * ensure the safeguarding of any confidential information;**
- * ensure that clients have full access to their personal records;**
- * ensure it complies with all external reporting requirements;**
- * ensure that except as required under the Standards for RTO's or by law, that information about a client is not disclosed to a third party without prior written consent; and**
- * ensure all other records consistent with the contractual and legal requirements are retained, archived and able to be retrieved in accordance with these contractual and legal requirements.**

Perth Boat School will maintain up-to-date records of the verified qualifications and experience of all staff and persons working on behalf of Perth Boat School as trainers and assessors (including those operating under a partnership arrangement), of enrollments and participation, and of fees paid and refunds given.



ADMINISTRATION AND RECORDS MANAGEMENT

1.0 INTRODUCTION

Perth Boat School, as a registered training organisation (RTO), is committed to providing quality training and assessment in accordance with the Australian Quality Training Framework (AQTF). As such, Perth Boat School is required to have written policies and procedures for effective administration and records management processes.

2.0 POLICY PRINCIPLES :

- 2.1 Perth Boat School keeps complete and accurate records of the attendance and progress of participants, as well as financial records that reflect payments and charges and the balance due, and provides copies of these records to participants on request.
- 2.2 All training and assessment achievements are recorded.
- 2.3 Full security in accordance with AQTF Standards is provided for student records including assessment results and Statements of Attainment issued.
- 2.4 Perth Boat School provides for protection of electronic records by a backup process and storage off-site, along with computer system access being on an approval basis only, protected by the use of passwords.
- 2.5 All students who enrol are recorded both manually (in an individual student file) and electronically. Results of assessment are entered on both records.
- 2.6 Participation records are maintained for all students both manually (Course File) and electronically (both course and individual);
- 2.7 All client records are treated as confidential information and cannot be divulged to other parties without prior written permission of the student.
- 2.8 All client transactions including fees paid and refunds given are recorded immediately both electronically and manually.
- 2.9 A register of trainers and assessors is maintained and kept current, including their current competencies and qualifications in accordance with standard 7.
- 2.10 **Hard Copy Files** - Current student & course files are stored in a locked filing cabinet. These are kept on the business premises for 12 months.
- 2.11 **Archive Files** – Files older than 12 months are placed in secure archive boxes and stored off site with Recall.
- 2.12 **Computer Data** - Standard procedures are required to ensure the integrity and security of the data held on computers. Procedures include at least the following:
 - established security access levels
 - user identification and password codes
 - cyclical changes to passwords
 - established frequencies for the creation of backup disks or tapes, and storage off the premises
 - provision of secure and fire-isolated storage for backup data



- prohibition on the use of unauthorised software packages
- established guidelines for the borrowing or personal use of PC's.

TAC Requirements

The Office of the Training Accreditation Council has released a “Guidance to Registered Training Organisations (RTO) on Retention, Archiving Retrieval and Transfer of Student and Assessment records”. This information is an excerpt from that document and forms some of the policy principles for this policy at Perth Boat School.

There are three different types of records that Perth Boat School will keep:

- Audit Records
- Appeals Records
- Assessment records

The table document on the following page summarises those requirements.



| Record Category | Description of records to be kept | Period of Retention |
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| Audit Records | <ul style="list-style-type: none"> • Attendance rolls that show the names of students, the units of competency identifies and/or name, date/s of attendance and signature or initial of trainer/lecturer • Records of assessment and/or training record books that show the date of assessment/s unit/s of competency, student name and outcome of assessment/s • Training delivery and assessment policies and strategies for all qualifications/ courses. • Assessment tools and instruments • Recognition of prior learning assessment records • All AQTF policies and procedures • All financial (including income and expenditure), enrolment and assessment records relating to any delivery and performance agreement held with the Department of Education and Training <p>NB: there is no requirements to retain originals or copies of student work for auditing purposes, however it is recommended that some examples of student work are retained for moderation purposes.</p> | Five years |
| Appeals records | <ul style="list-style-type: none"> • Sufficient evidence of assessments may include the marking guide, criteria, training record book, workplace evidence and/or observation checklist for each student. If it is possible to keep students completed assessment items, copies of these or other evidence such as a picture or the assessment piece – these items should also be kept to support the assessment decision. | Length of the appeals period |
| Records of Student results, Qualifications and Statements of Attainment issued | <ul style="list-style-type: none"> • RTO name • RTO number (State/national) • Full Student name • Student date of birth and/or identifier number • Qualification/s, course/s and unit/s of competency achieved including title and national code. • Date on which requirements for the qualification/s and unit/s of competency were achieved. | 30 years |

3.0 SUPPORTING DOCUMENTATION

Perth Boat School documentation which supports the implementation of this Policy includes:

- Perth Boat School Filing System
- F02_01 Student Daily Training Record
- F02_02 Training Attendance Record

4.0 PROCEDURES :

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| RETENTION, ARCHIVING & RETRIEVAL OF RECORDS | 02 - 01 |
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| Step One: Retention of data |
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- 1 All student records will be complete and accurate and recorded manually and electronically, including (but not limited to) personal details, enrolment details, assessment results, fees paid in advance and refunds given. Further details regarding records management of fees, see Financial management policy. Further details regarding records for refunds see Refunds policy.
- 2 Student training and assessment records will be recorded manually and electronically.
- 3 All manual student records will be kept in accordance with Enrolments policy. These records will be kept on-site for 12 months, filed in a filing cabinet in a secure room.
- 4 Student electronic records will be entered into the student management system, backed-up and stored off site.
- 5 Trainer /Assessor records will be maintained in an up to date manner.

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| Step Two: Confidentiality |
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- 1 All records will be kept confidential (See Privacy Policy) and cannot be divulged to other parties without the prior written permission of the individual.

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| Step Three – Access |
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- 1 Individual students will be provided access to all of their records.

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| Step Four – Archiving |
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- 1 Student records will be archived both electronically and manually and kept for 30 years.
- 2 Other records will be kept as per statutory requirements.
- 3 Aged documents will be archived using the following procedures:
 - Files older than 12 months are placed in secure archive boxes and stored off site with Recall
- 4 Records will be packed in archive boxes and categorised by date.