RECORDS MANAGEMENT POLICY & PROCEDURE

1. Policy

This policy is designed to ensure that Alpine Institute is able to effectively manage administrative, record management and reporting requirements in accordance with the requirements of AQTF Essential Conditions and Standards for Initial Registration.

This policy applies to administration, records management, and records retention for training and assessment services delivered by Alpine Institute.

2. Procedure

2.1 Responsibility for Records Management

- The Corporate Services Administration Officer has responsibility for the compilation, maintenance and storage of all version controlled documents relating to training and assessment, corporate documentation including human resources, financial records, annual reports, etc.
- The Corporate Services Administration Officer has delegated the responsibility for the storage, maintenance and archiving of all training and assessment records in accordance with Essential Conditions and Standards for Registration and VRQA’s requirements to Student Administration. This shall be achieved through the implementation of the following procedures.
- The Alpine Institute is required to maintain a Student Record Management System that is able to collect AVETMISS data.
- In the event that Alpine Institute ceases operations, the Principal Executive Officer will provide the VRQA with AVETMISS complaint data and copies of student records both electronically and print versions, at no cost to the VRQA.

2.2 Retention of Student Training Resources and Assessment Instruments

The RTO is required to maintain student training resources and assessment instruments for a period of one (1) year from the date the materials cease to be used within the RTO. The Staff Administration Officer is to archive these documents/resources either in hard or soft copy to ensure access for at least one year.

2.3 Retention of Student Records and Assessments

The RTO is required to ensure that appropriate samples of student work are maintained for continuous improvement and validation purposes. This requires Administration to ensure that appropriate records are retained as indicated in the schedule below:

The RTO will maintain all student records while a student is enrolled with the RTO.

Each calendar year the RTO will ensure that 10% of completed students from each qualification on Scope of Registration are selected as sample files. These particular student files are to ensure that the following process is followed:

- Full hard copy participant record kept for one (1) year from date of completion of the training.
  - The information in the student file must include at a minimum:
    - the assessment schedule for each unit included in the enrolment
o a copy of all assessment tasks, including tests, assignment, role plays, projects etc for the selected files
o a copy of the overall results for the student for the selected unit

Electronic records:
Full electronic student records for all students will be retained for a period of thirty (30) years. This will be maintained in a format that is able to be transferred to the regulatory body as required.

2.4 Provision of student records to regulator
• Transfer of records will be consistent with contractual and legal requirements and the requirements of the Victorian Registration and Qualifications Authority. This may include regular reporting of various data relating to the training and assessment services provided by Alpine Institute.

2.5 Provision of student records to third parties
• Student records will be made available to auditors and reviewers engaged by Alpine Health to meet regulatory requirements set down by the VRQA and Department of Education and Training.

2.6 Document retention and disposal
• The retention and disposal of records will be managed in accordance with Alpine Institute’s Retention and Disposal of Records Schedule.
• All student records are stored securely at the Alpine Institute premises.
• The document retention period of all other documents, if not contractually required, shall be seven years.
• The manner of disposal after the retention period will be the responsibility of the Corporate Services Manager. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal.
• Alpine Institute will ensure retention and disposal obligations are consistent with the Public Record Act.
• The following time periods are to apply to the retention of participant records at AIFL:
  o Participant results/Qualifications/Statements of Attainment are to be retained for a minimum of thirty (30) years;
  o Completed assessment resources are to be retained for a minimum of two (2) years;
  o Administrative records are to be retained for a minimum of five (5) years;
  o Confirmation of an individual’s eligibility for government subsidised training, training plans and evidence of participation requirements under the VET Funding Contract are to be retained for a minimum of seven (7) years.
• Alpine Institute acknowledges that it has a responsibility to retain accurate copies of records to enable these to be transferred to the registering body should the Alpine Institute cease to operate. It is an NVR Standard requirement that RTOs who ceased to operate must provide the registering body with records of all participants in the format required by the registering body.

2.7 Secure storage of electronic records
• Student records and results are stored on the Alpine Institute’s Student Record Management System (VETTRAK)
• All electronic records are kept on a secure server that is backed up daily to tape and stored securely off site. This is the responsibility of Alpine Health’s ICT Department
• All VETTRAKK records are to be password protected
2.8 Enrolments and Participation

- All details of enrolment and ongoing participation in training and assessment are entered on the AVETMISS compliant Student Records Management System (VETTRAK).
- This database shall also contain records of student progress that shall be maintained by Corporate Administration.
- Records of student results are provided by the trainer to Corporate Administration on a form with the signature of the trainer and dated. These records are then verified by the Corporate Services Manager.
- Student results shall not be entered into the database without the verification of the Corporate Services Manager.
- Data shall be entered in a timely manner that reflects the student’s current status. This includes identifying the training and assessment that has been undertaken.

2.9 Monitoring Progress and Attendance

- The Corporate Services Administration Officer will be responsible for reviewing records of attendance and academic progress and report to the Human Resources Manager any evidence of poor attendance or academic progress.
- Where a student has poor attendance and/or academic progress they will be contacted by the Corporate Services Manager who will offer support services to assist the student.

2.10 Accounting Records

- All quotations, invoices and receipts will be retained by the Alpine Institute consistent with the Records Retention and Disposal Schedule.
- Funds received by the Department of Education and Training will be recorded through an identifiable general ledger account and recorded consistent with Alpine Health’s practices and policies for financial management.

2.11 Records Management Trainer Responsibility

- Trainers are obligated within 10 working days to ensure that the assessment, record, and report of units and qualifications completed is undertaken and confirmed with the Corporate Services Administration Officer for entering into VETtrak and SVTS.
- Details of record management responsibilities will be included in the trainer and assessor handbook, and will also be included in the position descriptions for relevant staff. Information on records management will be provided to new staff as part of the induction process.

2.12 Privacy and Student Access

Please refer to Privacy Policy for detailed information.

- Except as required under the VET Quality Framework, the Essential Conditions and Standards for Registration, Government Contracts or by law, information about a student will not disclosed to a third party without the written consent of the participant.
- Access by students to their personal records is available upon request to the Corporate Administration Department. Students may contact student administration to discuss a suitable time to view their file and access will only be granted once a student can confirm their identification.
- Student Access to the file will be granted only once written notification is received and the Student administration manager has validated the student’s identification.
- Access shall be provided within 2 days of confirming the student’s identification.
- Information that may be accessed includes progress, personal details, and any relevant details of the student’s enrolment that the Alpine Institute has collected.

2.13 Transfer of student records to another training institution
• For students requesting in writing transfer to another RTO in order to continue the training commenced with the Alpine Institute, Alpine Institute will make arrangements for the prompt transfer of the following records:
  o VTG eligibility
  o Statement of Attainment
  o Statement of Records
  o Transcript of any VTG claims made by Alpine Institute for the student

• Transfer of records will be undertaken with the consent of the student and with adherence to privacy and confidentiality requirements.