

Documents and Records Management Policy			
Document	Documents and Records Management Policy		
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Approved by	Chief Executive Officer	Date	01/2023
Relevant Standards	The National Code 2018: 2.4, 3.6, 5.3.5, 7.7, 9.1, 10.2.7		

1. Purpose

This policy sets a broad framework for records management at NVC in accordance with the requirements of the Public Records Office and addresses specific requirements of the Australian Skills Quality Authority and relevant departments for retention of student records.

It also ensures that appropriate information management and security systems are in place to enable the departments and the staff members manage their records and documents using an authorised system that is planned, controlled, recorded and monitored.

2. Scope

This policy applies to all paper and electronic documents and records created, maintained or retained by NVC, including student records and student assessment records.

3. Definitions

Documents: Mean units of information or object recorded in any format and on any medium (*AS ISO 15489 Part 1 Clause 3.10*) and may include writings, marks, figures, or symbols having a meaning for the person qualified to interpret them, or a map, plan, drawing or photograph.

Electronic Documents: Mean a collection of electronic form of data produced from creation or combination of text document, database, or spreadsheet, within NVC environment

Records: Information created, received, and maintained as evidence and information by NVC, in pursuance of legal obligations or in the transaction of business (*Source: AS ISO 15489.1 2002, Information and documentation – Records management 3.15*). A record may constitute:

- A written file note (hard copy or electronic);
- An email;
- A voice recording;
- Minutes/meeting papers;
- A report;
- Correspondence;
- A film or video recording;
- A facsimile

Electronic Records: Mean records generated, processed, communicated and maintained by means of electronic equipment and/or stored at in a medium which requires electronic or computer equipment to retrieve them

Student Records: Mean all documents and records, paper-based or electronic, related to an enrolled student or NVC

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 (ASQA)

RPL: Recognition of prior learning

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 (ASQA)

Student Assessment Records: Mean specific records of completed student assessment items or works completed by a student during a course of study at any time as an enrolled student of NVC

Records Management: Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records

(Source: AS ISO 15489.1 – 2002)

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

4. Legislative Context

- National Vocational Education and Training Regulator Act 2011 (Cth)
- Application of the AQF Qualifications Issuance Policy within the VET Sector
- Standards for Registered Training Organisations 2015
- Electronic Transactions Act 2000
- Evidence Act 1958
- Information Privacy Act 2000
- Freedom of Information Act (1985)
- Public Records Act 1973

5. Policy

5.1 All business and academic records created, processed, or received by NVC or by individuals acting on its behalf are the properties of NVC and subject to its control. This includes student records, student assessment records, surveys, internal reviews, reports and reports compiled by external consultants, independent committees and honorary bodies.

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5.2 The records management principles that enable NVC to maintain a compliant and accountable record keeping system

- Must ensure NVC is compliant and accountable in all areas of business;
- Must be managed, monitored and audited for compliance;
- Must be assigned to specific officers and implemented;
- Must be reliable and secure;
- Must be systematic and comprehensive; and
- Full and accurate records must be made and kept for as long as they are required for business, legislative and accountability purposes. To meet this principle, records must be created, captured, adequate, complete, meaningful, accurate, authentic, inviolate, accessible, useable, retained and preserved.

5.3 All the documents created by authorised persons must be stored and managed in the central and controlled repository of NVC server-based electronic folder system with appropriate version details as per college's *Version Control Policy*.

5.4 All documents and records, including emails and other electronic records, created or received shall be captured/saved and managed in college's server-based electronic folder system.

5.5 It is mandatory for all staff to ensure college's records are recorded, managed and disposed using the records management systems such as Student Management System, and server-based electronic folder system.

5.6 NVC will securely retain, and be able to produce in full at audit if requested to do so, all completed student assessment items (paper-based or electronic records, as applicable) for a student for;

The duration of the RTO's assessment appeal period; or

A period of six months from the date on which the judgement of competence for the student was made; or

The duration of the student's enrolment in a course;

- Whichever is the longer period.

5.7 All the students will have access to current and accurate records, of their participation and progress at NVC, including competency records and results. Past students may request a copy of their records by forwarding a written request to the CEO.

5.8 NVC will retain client records of attainment of units of competency and qualifications for a period of 30 years from the date on which the judgement of competence for the student was made; and as per the additional and specific requirements in accordance with the requirements of Schedule 5 (SRT0 2015).

6. Access and Security

6.1 Staff may have access to those records necessary to fulfil their duties.

- Certain records of a confidential nature may have restricted access for the period of time which they remain confidential. Access to records will be controlled through password access and access control features of computer software and hardware.
- All requests by external agencies or individuals for access to records of a personal nature, other than their own record, will be managed in accordance with NVC's *Privacy Policy*.
- college records will remain on campus unless authorised by the Chief Executive Officer in writing

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- Access shall be restricted and controlled to protect:
 - Privacy of personal information;
 - Intellectual property rights and commercial in confidence information;
 - Legal and other professional privileges;
 - Sensitive business records;
 - Editing and version control of documents
 - Unauthorised alteration or deletion
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- Access will be controlled where appropriate/necessary using a variety of techniques, including:
 - Security restrictions on electronic documents;
 - Restricted borrowing of hard copy files;
 - Secured file storage
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6.2 A backup copy of college's student management system and electronic document and records will be kept off the premises as an extra security measure. Off-site backup records will only be accessible by the CEO or a person authorised by the CEO in writing.

6.3 All the students will have access to current and accurate records, of their participation and progress at NVC, including competency records and results. Current students must make an appointment with Student Administrative Manager or the Academic Manager to access their records. In most cases, the records can be provided immediately. However, a standard time period of 48 hours will apply to student requests from the date/time the access is granted. Past students may request a copy of their records by forwarding a written request to the Academic Manager.

7. Disclosure of Information

7.1 Information relating to a student will not be released without the written consent of the student, or where relevant, the student's parent or guardian with the exception of the requirements of disclosure in assisting with law enforcement agencies.

7.2 Disclosure to External Agencies may be made in certain circumstances as below;

Agency	Type of Disclosure
Police	Police may present a request in person or in writing. Requests are referred to CEO of NVC. Verification of police identification will be made.
Legal firms, real estate agents and finance companies	With the written authorisation of the student.
Ombudsman	Information that the Ombudsman is empowered by law to request.

Freedom of Information	<p>Disclosure under the Freedom of Information Act (October 1985) usually excludes any personal information or identification.</p> <p>Requests must be in writing and state that the information is requested under the Freedom of Information Act. The Institute is allowed 45 days to respond to FOI requests.</p>
DIBP (Now DIBP)	<p>Under the ESOS Act, DIBP (Formally DIAC) has the authority to request international student details. The department must provide a written request to release information.</p>
Regulatory Agencies	<p>Disclosure as required under the National Vocational Education and Training Regulator Act 2011 (Cth), including during compliance audits.</p> <p>No student record or document is removed from NVC premises without the written authorisation of the CEO.</p>

7.3 In all cases where an external body is provided with student records information, documentation of the disclosure will be retained for seven years.

8. Archiving and Disposal

8.1 All student results and records of completion are stored on college's electronic Student Management System, which has an up-to-date record of all student results.

8.2 college's server is configured to backup all electronic files and data on a daily basis. A full server back-up of all files is performed each month. Back-up tapes are securely stored in an area physically separated from the server. This ensures that in the case of a catastrophic system failure no more than one day's data will be lost. Hard copies of records, which are required to be stored, are maintained for a seven-year cycle. Records are secured in the Student Administration Office and are only accessed by authorised staff.

8.3 All records are identified and segregated into three groups:

1. Records to be retained for up to than seven years
2. Records to be retained for longer than seven years
3. Records to be destroyed

Records, such as attainment of units of competency and qualifications that are required to be stored for a period of longer than seven years are retained securely in archival storage and are only accessed by authorised staff.

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Records	Retention Period
Application and enrolment forms, copies of supporting documents, personal and contact details, student agreement, student interview records, completed forms for general administrative services, applications for various student services, benefits, support and general correspondences	7 years following the completion of, or withdrawal from, the last enrolled year
Electronic records of results	Permanent: minimum 30 years
Register of qualifications issued	Permanent: minimum 30 years
Records of attainment of units of competency and qualifications	Permanent: minimum 30 years
AVETMISS Data	Permanent: minimum 30 years
Student assessment items and evidence of participation	The duration of the RTO's assessment appeal period; or A period of six months from the date on which the judgement of competence for the student was made; or The duration of the student's enrolment in a course; - Whichever is the longer period
Student or staff grievances where a penalty or disciplinary action occurred with supporting documents	Permanent
Student or staff Grievances where no penalty or disciplinary action occurred with supporting documents	7 years following date of decision
OHS incidents and actions, including work cover claims	Permanent
Policies, procedures and strategic plans	Permanent
Minutes of executive and other committee meetings	Permanent
Decisions on student transfer request, RPL and course credit outcomes, complaints and appeals processes	2 years after the student ceases to be an accepted student
Critical incident and remedial action taken by the RTO	2 years after the student ceases to be an accepted student
General business documents including financial records	7 years after they are prepared, obtained or transacted, whichever occurs latest

8.4 All official records of NVC are to be disposed of in accordance with the Public Records Act 1973. This requires the use of an authorised retention and disposal authority to determine how long records must be kept (8.3), which records may then be destroyed.

8.5 The retention, archiving and disposal of college records is to be managed by the Operations Director or a person authorised by the CEO in writing.

9. Audit and Review

9.1 A schedule of on-going records management audits (generally part of an annual internal audit) shall be developed and implemented to ensure compliant record keeping is maintained in all areas of NVC.

NVC's electronic records management system shall be reviewed every year to ensure compliance and best practice are maintained.

10. Responsibilities

A designated Records Management and Data Officer, as a delegated authority, has the responsibility for records management other than financial records across NVC.

The Campus Manager is responsible for implementation and administration of this policy.

Any complaints or breaches in relation to this policy should be reported to the Chief Executive Officer in person or by email to: info@nvc.edu.au

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