Record Keeping Policy

Fluid First Aid is committed to implementing quality systems of records management that ensure retention, archiving, retrieval and transfer of records meet legislative requirements and the NVR Standards for RTO's 2015.

We will ensure all documents and electronic records are kept in a safe, secure and confidential manner as required by the Privacy Act 1998.

Procedure

Storage and Retention

All data and staff and learner records will be maintained and stored as paper or electronic files in accordance with legislative requirements. Current electronic records will be password protected. Only staff whose duties relate to learner administration or welfare will have access to learner records.

Archived records will be stored and retained as follows:

- Electronic – backed up to cloud storage system Ammonite

- Paper – scanned and converted to a digital format, and originals destroyed immediately.

The following records will be retained

- Learner Information: to be retained for a minimum of 2 years. This includes: enrolment form, USI Privacy notice (if applicable), correspondence, notes of meetings, final results, Qualification or Statement of Attainment, fees paid and refunds made, deferrals or withdrawal requests, complaints and/or appeals records including outcome of complaint/appeal. If trainee – copy of training plan.

- AVETMISS Records (including learner results): to be retained for 30 years.

- Assessments (including RPL): to be retained for a minimum of 6 months after assessment judgment is made. This includes copies of learner assessments and assessor feedback and judgments of competence.

- Training and Assessment materials: to be retained for 5 years. This includes all master copy documents relating to course delivery.

- Copies of Qualifications/Statements of Attainment issued Learner attendance records: to be retained for 30 years.

- Third Party Arrangements: to be retained for 5 years. This includes copies of agreements or MOU's, copies of notification to ASQA, correspondence and evidence of monitoring of services delivered.

- Funded Programs – data and records will be collected and retained according to the specifications and guidelines of any funded program we deliver.

Archiving

When Course documents are archived they will be stored in a manner which makes them readily accessible by clearly marking the year, course name and start date.

Learner files will be archived alphabetically by year or can be attached to the course documents.

Learner Records

- All reasonable steps will be taken to ensure that the personal information collected is accurate, up to date and complete; this includes updating information if advised it is out of date or incorrect.

- Unique Learner Identifiers will be collected from all learners at enrolment.

- On reasonable request, learners can have access to their records.

- Qualifications and Statements of Attainment will be reissued on reasonable request and with relevant fee payment providing a USI has been provided by the learner.

- Third parties will be given access to learner information only on receipt or written consent from the learner; this includes employers.

- Access to learner records may be provided where required by government bodies or law

enforcement agencies. In all other instances learners will be informed with who and why their personal information will be shared.

General Record Keeping

- Up-to-date employment records will be kept for all staff.

- Qualifications and records of professional development will be maintained for all staff and contracted trainers and assessors.

- All Certificates, Statements of Attainment and any duplicates issued will be recorded in the Certificates register.

- Version control is applied to all documents according to the Version Control Policy and will ensure that only the latest versions are issued or reissued.

- If in the event we cease business we will ensure all records are transferred to the relevant agencies.

Version Control

- Version control is applied to all documentation and the release and availability of documentation that is approved for use is tightly controlled in google docs and the Learning management system.

- The key documents related to the registration of the RTO and the scope of registration are listed below and are subject to Version Control with file name and version date clearly identified in the header or footer of the document.

- These are controlled documents:

    – Policies and Procedures

    – Training and Assessment Strategies

    – Course Information Manuals and Fee Schedules

    – Assessment tools

    – Administrative forms

    – Other Compliance Documents

- Documents may only be amended with the approval of the RTO Manager.

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