

Record Management Policy

1. Purpose

The purpose of this policy is to establish a framework needed for effective records management at Hawk Institute. Hawk Institute will establish and maintain effective security measures to safeguard the records from unauthorised access or use (including amendments of records that is inconsistent).

Hawk Institute will ensure that full and accurate hardcopy and/or electronic records for all training services provided by Hawk Institute are maintained in sufficient details to allow the department to determine Hawk Institute's compliance with standards and legislations.

This policy will set down rules regarding the control, storage, access, retention and disposal of records for the organisation to ensure:

- Documents can be easily located by staff, auditors and other stakeholders as appropriate to their needs;
- Official documentation is compliant with all relevant legislative and accreditation requirements;
- Changes to official documentation (including forms, policies and processes) are tracked and authorised by staff with the appropriate authority level;
- Official documents are presented in a consistent manner.
- Documents are retained and disposed of as per the Retention and disposal schedule.

Record Control and Management policy has been drafted in accordance of Standards for RTOs 2015 Clause 8.1, ASQA general direction-Retention requirements for completed student assessment items and VET Funding contracts 2018-2019 clause 10.3, 10.4, 10.5, 10.6, 10.7.

2. Scope

This policy applies to administration, records management, and record retention of all records and details collected and maintained for training and assessment services delivered by Hawk Institute.

3. Responsibility

- 3.1. CEO and Administration Manager will be responsible for implementation of this policy.
- 3.2. As per the ASQA guidelines, Hawk Institute will securely retain, and be able to produce in full at audit if requested to do so, all completed student assessment items for each student for a period of six months from the date on which judgement of competence for the student was made.
- 3.3. Hawk Institute will provide access of the records to the regulatory bodies upon request in following circumstances:
 - a. in accordance with any applicable legislation;
 - b. to the Victorian Auditor-General or Victorian Ombudsman on request in writing;
 - c. to National VET Regulator ASQA;
 - d. to a government representative on request in writing; and
 - e. to the Department of Education and Training Victoria or an authorised representative of the Department for any purpose connected with this VET Funding Contract.

4. Policy Principles

4.1. The principles underpinning this policy statement are:

- Ease of access to stored documents;
- Consistency in quality, format, presentation and organisation;
- Compliance with legislative requirements

5. Procedure

5.1. Responsibility of Record Management

- 5.1.1. CEO will ensure that all business related and finance records are maintained appropriately. This includes but is not limited to:
- Annual and financial reports
 - Strategic Plans
 - Meeting minutes related to Hawk Institute's operations.
- 5.1.2. Administration Manager has responsibility for ensuring that all records relating to delivery of training and assessment services are maintained appropriately. This includes but is not limited to:
- All records of delivery and assessment arrangements
 - Staff records
 - All required records to ensure compliance against the standards for registered training organisations 2015.
- 5.1.3. Student Administration has the responsibility for the storage, maintenance and archiving of all training and assessment records. This includes but not limited to:
- Student records database
 - Records and evidence of training and assessment services.
 - All related administration paperwork and records relating to student enrolment, progress, and completion of any training and assessment services provided.

5.2. Storage of Documents

The institute currently stores all the hard copy records of current students as well as other records at a secured space at Hawk Institute. The soft copy is stored in the students' management systems. All electronic records are kept on a secure server that is backed up regularly.

Hawk Institute will retain records in a manner that safeguards them against unauthorised access, fire, flood, termites or any other pests, and to ensure that copies of records can be produced if the originals are destroyed or inaccessible. Records may be kept in hard copy or electronic format.

- 5.3. **Retention of Student Training and resources and Assessments Instruments:** Hawk Institute will maintain master copies of all training resources and assessment instruments for all staff to access as required. These training resources and assessments instruments will be maintained for a period of one (1) year from the date the materials cease to be used within Hawk Institute.
- 5.4. **Retention of Students records and Assessments:** Hawk Institute will ensure that all records of training and assessments are securely maintained for the duration of the student's enrolment and a further 6 months after completion or cancelation of student enrolment. To ensure that records are maintained, Administrative department will take appropriate measures and retain the records as indicated in the schedule below:

Hard Copy Student files:

- Currently enrolled students, these records includes but is not limited to:

- Enrolment form
- The assessment schedule for each unit included in the enrolment (Training Plan)
- Pre training review (Including LLN testing, and any CT/RPL applications)
- Completed/Cancelled students
- Hard Copy student files will be retained in full for a period of 6 months after the completion of training and assessment. These files will be archived when required or as per the procedures.
- Each individual student file includes the following:
 - Enrolment form
 - The assessment schedule for each unit included in the enrolment.
 - Copy of all assessment's tasks, including tests, assignments, role plays, projects etc. for all units undertaken in the course (all assessments must be marked).
 - A copy of the assessment outcome record sheet for each unit.
 - A copy of the statement of Attainment or qualifications issued.

Note: A certification register will be maintained which will have all the records of students. It is to be noted that issuing, recording certificates will be maintained as per issuance of Testamurs policy which also involve checking that Unique Student Identifier is not displayed on the Certificates.

Electronic Records

Full electronic student records (records indicating enrolment details, units of competency started and completed and the Qualification/ Statement of Attainment issued) 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 ASQA as required.

Provision of student records to regulator

Transfer of records will be consistent with contractual and legal requirements and the requirements of the National VET Regulator (Australian Skills Quality Authority- ASQA). This may include regular reporting of various data (i.e. Quality Indicators) relating to the training and assessment services provided by the RTO.

5.5. Document Retention and Disposal

Student Records:

All student records are stored securely at Hawk Institute premises.

The manner of disposal after retention period will be responsibility of student Administration. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal.

All other Documents

The document retention for all other documents (like staff records) relating to Hawk Institute's operations, if not contractually or legally required, shall be Seven (7) years.

The manner of disposal after the retention period will be the responsibility of the CEO. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal. It is important to maintain confidentiality at all times.

6. Privacy and Student Access

Hawk Institute will ensure that all records are handled in line with the Privacy Policy. Please refer to Privacy Policy for detailed information.

- Except as required under the standards for Registered Training Organisations 2015, government contracts or by law, information about a student will not be disclosed to a third party without the written consent of the student.
- Access by students to their personal records is available upon request to the student 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 student administration 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 course progress, personal details, and any relevant details of the student's enrolment that Hawk Institute has collected.

Note: It is to be noted that only authorised person will be given access to the records.

7. Monitoring and review of records.

On an annual basis, Hawk Institute will conduct an internal audit against the standards for Registered Training Organisation 2015 and this will include reviewing all Hawk Institute records to ensure compliance is being maintained.

Student files will also undertake regular reviews and meeting minutes related to Hawk Institute's operations to ensure information is included as required.