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|-------------------|---------------------------|
| Policy Name       | Records Management Policy |
| Date:             | 12 September 2019         |
| Responsible dept. | Learning & Development    |
| Current Version   | V3                        |

## PURPOSE

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To ensure CAL maintains records in a manner that ensures their accuracy and integrity.

## SCOPE

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This policy is applicable to all CAL employees, students and other endorsed CAL stakeholders.

## DEFINITIONS

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Records include the following:

- Any documents and/or information collected as part of a student's enrolment with CAL,
- Any documents related to training and assessment.

## POLICY STATEMENT

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All student personal and academic records will be maintained in CAL's AVETMISS 8 compliant learner management system (LMS). All student assessments and enrolment details will be maintained in CAL's electronic document management system and student and prospective contact, course progress and personal details are kept and maintained CAL's client relationship management system (CRM). All CAL's information management systems are hosted on private, secure servers and are remotely backed up daily. Access is password protected and restricted to authorised users.

Hardcopy records will be stored securely. For more information refer to CAL's Privacy Policy.

Except as required under the *Standards for Registered Training Organisations (RTOs) 2015*, Government or by law, CAL will not disclose personal student information to a third party without the written consent of the student.

Students may request access to their personal records by completing the Request to Access Personal Records Form, located on the CAL public website, as per the Request to Access Personal Records Policy.

CAL will ensure records are managed effectively by implementing a Version Control process for all records.

CAL will comply with all requests for the provision of records to the regulatory body ASQA and any other state bodies.

CAL will, as a registered training organisation, collect and report student Unique Student Identifier (USI) numbers, as a requirement under Commonwealth legislation and a condition of enrolment.

### Retention Timeframes

| Document type                 | Included documents                                                                                                                                                                                                                                                                                                                                                                                   | Retention period                              |
|-------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|
| Records of student results    | <p>This includes all of the following:</p> <ul style="list-style-type: none"> <li>• Name</li> <li>• Date of birth</li> <li>• Gender</li> <li>• Student identification number</li> <li>• Units of competency achieved, including unit code and date achieved</li> <li>• Qualifications/Statements of Attainment issued to that student</li> <li>• Qualification/unit codes and date issued</li> </ul> | 30 years                                      |
| Assessment tools              | <p>This includes all of the following:</p> <ul style="list-style-type: none"> <li>• Assessment tasks</li> <li>• Assessor marking guides</li> <li>• Training and assessment strategies</li> </ul>                                                                                                                                                                                                     | For the life of the training package          |
| Completed student assessments | <p>This includes all of the following:</p> <ul style="list-style-type: none"> <li>• Actual piece(s) of work completed by a student, or evidence collected for RPL</li> <li>• Completed assessor records</li> </ul>                                                                                                                                                                                   | 6 months from the date the judgement was made |

|                        |                                                                                                                                                            |         |
|------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| Complaints and appeals | <ul style="list-style-type: none"> <li>• Copies of complaints or appeals</li> <li>• Letters or emails of response</li> <li>• Complaint register</li> </ul> | 5 years |
|------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|---------|

### Disposal of Records

Any records that fall outside the retention period will be disposed of. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed prior to disposal.

### Closure of RTO

In the event that CAL ceases to operate, the College Principal will be responsible for submitting a copy of student records to ASQA as per the current requirements published on <https://www.asqa.gov.au/>

### Associated Documents

- PowerPro User Manual + Standard Operating Procedure
- InfoOrganiser User Manual + Standard Operating Procedure
- Salesforce User Manual + Standard Operating Procedure
- CAL Privacy Policy and Procedure
- Complaints Policy and Procedure + Form
- Appeals Policy and Procedure + Form
- USI Policy and Procedure
- Request to Access Personal Records Policy + Form
- ASQA General direction: Retention requirements for completed student assessment items  
<https://www.asqa.gov.au/>

| Policy Administration   |                                                                                                                       |              |                 |
|-------------------------|-----------------------------------------------------------------------------------------------------------------------|--------------|-----------------|
| Version                 | Date Approved                                                                                                         | Approved by  | Next Review Due |
| 1                       | 29 January 2014                                                                                                       | Helen Sabell | January 2015    |
| 2                       | 18 June 2018                                                                                                          | Helen Sabell | June 2019       |
| 3                       | 12 September 2019                                                                                                     | Sarah Sabell | September 2020  |
| Compliance References   |                                                                                                                       |              |                 |
| <b>Statutory</b>        | The <i>Standards for Registered Training Organisations (RTOs) 2015</i><br>Clauses: 1.9, 1.10, 2.1, 2.2, 6.5, 8.1, 8.2 |              |                 |
| <b>Industry</b>         | Vocational Education and Training (VET)                                                                               |              |                 |
| <b>Document Located</b> | E:\Public Documents\03_CAL Operations\CAL Policies\02_CAL POLICIES STUDENTS                                           |              |                 |