

POL018 RETENTION OF RECORDS POLICY

This policy applies to both Southern Training Organisation RTO#91378 and MBA Group Training Limited RTO#88163

This policy outlines the approach of, and method adopted by, the RTO regarding the safe storing, archiving and disposal of student records, in accordance with Standard 3.4, 8.1, 8.2 and Schedule 5 of the Standards for Registered Training Organisations (RTOs) 2015. This policy applies to all nationally recognised training provided on the RTO's scope of registration.

RTO OBLIGATIONS

MBA GT and STO recognise our obligation to retain certain records from our delivery of training and assessment services to clients. The maintenance of a well-structured records retention system supports the continuous improvement of our operation and provides a basis for compliance with legal and quality assurance requirements.

We are committed to ensuring that all learner records are to be well maintained, contain accurate, complete and current information, and that the management of these records is conducted in a consistent, efficient, effective, accurate and accountable manner.

STORAGE OF RECORDS

To ensure records are maintained in a safe and suitable condition, the following is to apply:

- Records will be kept securely to prevent them being accessed by any non-authorized personnel. All electronic pathways must be given access permission.
- Records are to be kept confidential to safeguard information and to protect the privacy of students, employers and RTO staff.
- Records are to be kept as so to avoid damage by fire, flood or pests. Electronic files are stored via cloud-based services and archived documentation is stored off site via Grace Records Management.
- Student results and Qualification/Statement of Attainments are stored in the student management system, VETtrak, are backed up and stored electronically in SharePoint and are easily accessible.
- Paper-based records are either stored in an individual student file or course folder in a lockable cabinet in the training administration area and are kept up to 12 months after completion of training and assessment. Keys are issued to authorised personnel and access to MBA GT is via a swipe card.
- All email correspondence is sent through either VETtrak or training@mba.org.au.
- All electronic documents will be named, stored and managed as per the QA023 Records Management Procedure to ensure consistency, searchability and retrieval.

PERIOD OF RETENTION

MBA GT/STO must comply with a range of record retention requirements, including:

- ASQA retention requirements for completed student assessment items,
- State Funding Authority requirements relating to training and assessment records, and
- ATO requirements relating to financial records.

The following table outlines the types of records within the RTO and their expected management and retention period.

Record Type	Record Description	Storage Location	Storage Period
Administrative records	Documents used to facilitate the student's administration during their enrolment: <ul style="list-style-type: none"> • Enrolment/Eligibility forms • Release of personal information forms • Invoices/Receipts 	Electronically in MBA Group Training SharePoint. Paper-based documentation is stored in a lockable filing cabinet in the training administration area.	7 years
Student results	Training results include a record of the student's details, date of enrolment and the date and results of training and assessment. This should include the unit of competency and the result that was achieved: <ul style="list-style-type: none"> • Competent • Not Yet Competent • RPL/CT • Withdrawn etc. 	Electronically in VETtrak.	30 years
Qualifications/ Statements of Attainments/ Record of Results	Certificates, Records of Results and SOA's are documents issued to recognise the award of nationally endorsed and accredited outcomes and are formatted and prepared in accordance with the AQF.	Electronically in VETtrak. Paper-based documentation is stored in a lockable filing cabinet in the training administration area.	30 years
Student file	File location where all student records, including student results, completed assessment resources and administrative records are retained: <ul style="list-style-type: none"> • Student administrative records • RPL or CT granted supportive documents • LLN assessments/Student Support plans • Progress Reports • Training Plans • Evidence of participation in training and assessment (attendance records, completed assessments etc.) 	Electronically in MBA Group Training SharePoint Paper-based documentation is stored in a lockable filing cabinet in the training administration area.	7 years

	<ul style="list-style-type: none"> Copies of qualification certificates, or SOA's issued 		
RTO management records	<p>Files which assist management and staff to coordinate RTO services:</p> <ul style="list-style-type: none"> Policies and procedures Attendance registers Complaints and Appeals Register Student Support Register RTO export reports Financial records Quality indicator/Survey reports 	Electronically in SharePoint.	7 years

ADMINISTRATION

On notification of a student's enrolment/completion or cancellation from their elected course/qualification, the administration staff are to:

- As enrolment documents are received, administration staff are to set up the student's enrolment record and training information in the student management system, VETtrak. File structures are to be created, and relevant documents scanned and appended the relevant electronic file as per the QA023 Records Management Procedure.
- Once enrolment is confirmed, administrative staff are to send a confirmation email to the student and if necessary, the employer/client, directly from VETtrak.
- Communications sent throughout the training and assessment, including support and progression reports, should be sent directly through VETtrak. All training and assessment evidence are to be stored accordingly in the relevant course folders in SharePoint, and any paper-based documentation is to be stored in the relevant filing cabinet.
- Once the student has completed the required course/ unit/s of competency and assessment evidence received from the trainer/assessor, administration staff are to record the results, scan and save assessments to the relevant folder in SharePoint, and update the enrolment status in VETtrak to record the completion of the students training and enrolment.
- Once the QA013/QA022 Completion Procedure has been conducted, create the Award as per the POL004 Certificate Issuance Policy and send the applicable course completion email via VETtrak, with the relevant Certificate or Statement of Attainment attached.
- Once completion has been finalised, administration staff can proceed with archiving records as per QA011 Archiving Process and update the relevant/current [Archive Records 2024.docx](#) document.

USI DATA AND USAGE

Student Identifier details and all related documentation under the control of the RTO will be kept secure. This includes information stored within VETtrak. User profiles and password protections for VETtrak are to be used by RTO staff to prevent any unauthorized access to USI information. Where the RTO assisted the student to create their USI, additional documentation stored will be disposed/deleted once the students USI has been successfully created. Further information on the Unique Student Identifier can be accessed via:

<https://www.usi.gov.au/>

ARCHIVING AND DESTRUCTION OF RECORDS

All paper-based records previously utilised by the RTO will be sent off-site to Grace Record Management for archiving before destruction of files occurs. Refer to QA011 Archiving Process for how the RTO archives student records.

The Compliance Manager is the only person who can authorise the destruction of training records, and records are only to be authorised for destruction after the retention period has lapsed. Documents identified for destruction are to be shredded before being recycled and the archive register will be updated in the notes section to identify that a particular record has been destroyed. Electronic documents will be archived or deleted by the Compliance Manager where required.

TREATMENT OF RECORDS ON CEASING OPERATION

In an unlikely event, if the RTO ceases its operations, we acknowledge our responsibility to retain accurate copies of records to confirm the training and assessment each student has completed, and to enable those to be transferred to ASQA within 30 days of ceasing operation.

DOCUMENT INFO

Relevant Standards: Standards for Registered Training Organisations (RTOs) 2015 – Standard 3, Standard 8 and Schedule 5

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