

**Title:** Student Records

**Procedure Number:** RTO-SM-PO002

**Approvals**

This procedure has been approved for use by the signatures below as the current edition, together with all amendments as listed below:

**All other amendments are unapproved**

|  |  |  |
| --- | --- | --- |
| **Job Title** | **Name** | **Approval Signature** |
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1. SCOPE & PURPOSE

This procedure is to ensure that Fluid Maintenance Australia (FMA) maintains accuracy, integrity, accessibility and confidentiality of records.

Fluid Maintenance Australia (FMA) is committed to respecting the privacy of student’s records. However, laws in all jurisdictions in which FMA conducts training may require the release of student records or personal information contained in student records and thereby may override this policy. Examples of such laws include those relating to taxation, the ombudsman, social security, immigration, higher education, judicial processes and criminal law enforcement. Emergencies may also necessitate the release of student record information, and students may access their own student records.

FMA will disclose student records and student record information in the specific, exceptional circumstances described below.

This policy relates to all records kept either on paper or electronically by FMA.

1. POLICY
	1. **Record Requirements**

The following data must be maintained and archived for a prescribed period as outlined in the *Standards:*

* Statements of Attainment;
* Record of training commencement and completion dates;
* Training & Assessment Plans;
* Attendance lists;
* Student assignments;
* Assessment results;
* Moderation, validation and continuous improvement records for assessment, training and delivery;
* Organisational documentation regarding compliance with the *Standards.*
* Student enrolment forms;
* AVETMISS statistical information;
* Student communications.
	1. **Student Privacy**

All records will be kept in a manner that will ensure the privacy of student information. Refer to the FMA Privacy Policy for more information.

* 1. **Disclosure to meet Legal Obligations**

Information may be released by the Quality/HR Manager, or approved delegate, where appropriate on advice of FMA’s Solicitor, to the extent permitted or required by law.

While there may be some variation in the laws of particular jurisdictions and the release of information they require or authorise, examples of release to meet legal obligations may include release:

* In response to a subpoena or search warrant;
* To cooperate with authorities undertaking an investigation of breach of the law including the criminal law;
* In response to a request from an ombudsman or a request under freedom of information legislation;
* To an external person or body authorised to act on behalf of the University;
* To relevant bodies administering social service benefits or immigration permits;
* To professional registration bodies to establish the entitlement of graduates to practise; and
* To the extent required by any other present or future laws in the jurisdiction.

* 1. **Disclosure in Emergencies**

Student record information may be released in the event of an accident or an emergency or where FMA believes the use or disclosure of the information is necessary to respond to, lessen or prevent a serious and imminent threat to a student’s life, health, safety or welfare or a serious threat to the health, safety or welfare of the public.

Student record information may also be released where the student becomes incompetent to manage his/her affairs, on the authority of a power of attorney, or of a parent or guardian in the case of a minor, or of a legal guardian. In such circumstances personal information may be released to the police, medical or hospital personnel, civil emergency services, the student’s legal representative or nominated emergency contact person or such other person where FMA reasonably believes this would address the identified threat.

It is essential to establish the credentials of any person to whom information is to be released, and to obtain authority to release the information from the Quality/HR Manager (or approved delegate) unless to do so would cause unreasonable delay in the circumstances. If the Quality/HR Manager (or approved delegate) is unavailable, authority to release may be obtained from the Director of FMA.

* 1. **Use of Information within Fluid Maintenance Australia**

* + 1. Use by Staff

Information relevant to the conduct and administration of FMA functions, eg teaching and research, information technology services, fee collection, equity and access and student conduct may be accessed by and communicated to staff responsible for or involved in the conduct of such functions.

Where a student has, in writing, asked a staff member to provide the student with a reference, the student’s records may be made available to the staff member.

* + 1. Disclosure with Student Authorisation

In accordance with the Fluid Maintenance Australia’s Privacy Policy students may access any personal information that FMA holds about them subject to any exceptions in relevant legislation. Requests for access to, or release of, personal information should be made in writing to the Quality/HR Manager

1. PROCEDURE
	1. **Management of Records System**

Fluid Maintenance Australia staff collects information systematically. See the Continuous Improvement Procedure for a more detailed procedure explaining how data is collected at Fluid Maintenance Australia.

Management are responsible for confirming that the collection of information by Fluid Maintenance Australia meets registration and licensing requirements.

All staff are required to ensure that records are complete, consistent, accurate and up to date as relevant to their respective roles within Fluid Maintenance Australia.

All staff must ensure that confidentiality and privacy are maintained at all times.

Fluid Maintenance Australia backs up and archives records to ensure accessibility and security.

* 1. **Record System**

For all records, Management will decide and communicate to all staff the:

* Medium for the storage of records;
* Location of the records;
* Persons responsible for maintenance of records;
* Persons authorised to retrieve the records.

For all records, Management will:

* Ensure that records are suitably identified, filed and stored to enable easy retrieval.
* Ensure that each learner’s records are linked to their national unique student identifier upon request by the registering body.
* Ensure the security of records.
* Ensure that all records are updated as and when required.

All student records are kept in the student filing cabinet. Electronic copies of all results and assessments are to be kept on the RTO Management System backed up as per FMA data storage requirements.

All Students are enrolled into the Student Management System by the training administrator.

* 1. **Back Up and Security**

* Fluid Maintenance Australia will ensure that records are properly stored in the designated areas.
* Fluid Maintenance Australia will ensure that only authorised persons have access to records.
* Fluid Maintenance Australia will back up all electronic records into the cloud.

* 1. **Archiving**

* Fluid Maintenance Australia will archive and store records in a secure location.
* Fluid Maintenance Australia will archive sufficient information on client results to be able to issue a certified copy or transcript of results from an original qualification or statement of attainment if required, for a period of 30 years.
* Fluid Maintenance Australia will ensure that accurate records can be transferred to the training authority on cessation of business.

* 1. **Disposal of Records**

Fluid Maintenance Australia will confirm that all regulatory and legal requirements have been met before disposing of non-student records.

* 1. **Compliance Records**

Management will ensure that the following records are managed in accordance with compliance requirements:

* All changes due to continuous improvement activities and systems are documented;
* All changes to learning and assessment strategies are documented;
* All changes to assessment and assessment moderation processes are documented;
* All changes or updates to staff qualifications and experience is verified and documented;
* All changes, improvements or other as a result of the complaints and appeals process are documented in accordance with the Complaints & Appeals Policy & Procedure;
* All changes to training provided on behalf of Fluid Maintenance Australia will be documented;
* All changes to documentation due to maintaining compliance with changes to legislation will be documented.

Staff;

* All staff will be informed of their record keeping duties in their position description and induction.
* Management must inform all staff of changes to their record keeping duties.
* Management must confirm that staff keep records in accordance with Fluid Maintenance Australia policies and procedures at all times and will do so through the internal audit process as well as regular spot checks.

* 1. **Improvements to Records Management**

Records management is subject to QMS-QU-PR002 Internal Auditing and QMS-QU-PR006 Continual Improvement Procedure.

The following improvements must be documented:

* Checks on records system (for example, during internal audits);
* Changes to record keeping roles and responsibilities;
* Updates to record keeping software;
* Staff information and training regarding records;
* Archiving arrangements;
* Feedback from stakeholders regarding records.
1. DOCUMENTATION & RECORDS

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Number and Title** | **Document Storage Location** | **Record Location** | **Retention Period** | **Responsibility** |
| RTO-SM-PO002-FM01 Student Enrolment Form | RTO MS Documents | Student Files | 5 Years | Quality/HR Manager |
| RTO-SM-PO002-FM02a Student Registration Form | RTO MS Documents | Student Files | 5 Years | Quality/HR Manager |
| RTO-SM-PO002-FM02b Student Registration Form (Group) | RTO MS Documents | Student Files | 5 Years | Quality/HR Manager |
| RTO-SM-PO002-FM03 Unique Student Identifier (USI) Application Form | RTO MS Documents | Student Files | 5 Years | Quality/HR Manager |

1. REFERENCES

Australian Skills Quality Authority’s (ASQA) Standards for Registered Training Organisations 2015 **(*“the Standards”)***

National Vocational Education and Training Regulator Act 2011

Privacy Act 1988

Student Identifiers Act 2014

QMS-QU-PR001 Control of Documents & Records Procedure

QMS-QU-PR002 Internal Auditing Procedure

QMS-QU-PR006 Continual Improvement Procedure

RTO-CG-PO001 RTO Compliance Policy

RTO-TA-PO001 Training & Assessment Policy

RTO-SM-PO001 Student Code of Conduct Policy

RTO-CG-PO003 Complaints & Appeals Policy

QMS-HR-PO004 Privacy Policy

1. AMENDMENT RECORD

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Version** | **Amendment** | **Page** | **Description** | **Date** |
| 1 | 0 | All | First Issue. This procedure was formerly FMA-RTO-PO0010 and FMA-RTO-PO0014. Full review of procedure to be inline with requirements of ISO9001:2015 | 06/10/2016 |

**THIS DOCUMENT IS NON-CONTROLLED WHEN PRINTED**

**To be used for reference purposes only**

**Refer to the electronic copy for latest revision**