

## 1. Purpose

NextGen Skills is committed to providing quality training and assessment products and services in accordance with the Standards for Registered Training Organisations (SRTOs 2015). This Policy ensures that NextGen Skills maintains a systematic, compliant approach to the effective management of all records.

## 2. Policy Statement

NextGen Skills is committed to implementing effective and efficient records management processes for business, compliance and all training and assessment records and documentation, in accordance with legislative and regulatory requirements.

## 3. Definitions

**3.1 The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.**

**Record** means a written, printed, or electronic document providing evidence that activities have been performed.

**Student Identifier** has the meaning given in the *Student Identifiers Act 2014*

## 4. Policy Principles

### 4.1 Records

Records on operations include:

#### 4.1.1 Records for Audit Purposes

- a) Attendance rolls;
- b) Records of assessment;
- c) Delivery and Assessment Plans and Training and Assessment Strategies;
- d) Assessment tools and instruments;
- e) RPL assessment records;
- f) Policies and Procedures;
- g) Marketing materials;
- h) Staff qualifications;
- i) Complaints and appeals
- j) All financial records (including income and expenditure), Fees charged, refunds;
- k) Enrolment and Assessment records relating to delivery and performance agreement held with the State Training Authority (DTWD).

Period of retention: 5 years

#### 4.1.2 Records of Student results, Qualifications and Statements of Attainment issued

- a) Student personal details;
- b) Activity dates;
- c) Qualification code, title and date completed
- d) Units of competency code, title and outcome
- e) Funding source
- f) Testamur/Statement of Attainment issuance date

Period of retention: 30 years

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## 4.1.3 Compliance Records

- a) Continuous improvement activities and systems;
- b) Validation plan, activities and outcomes;
- c) Industry consultation;
- d) Training and assessment resources;
- e) Quality Indicators;
- f) Evaluation;
- g) Audit.

Period of retention: 5 years

## 4.1.4 Business Records

- a) Business planning processes;
- b) Financial management records;
- c) Staff records; including selection, induction; professional development, performance review;
- d) Third party Partnership arrangements;
- e) Marketing and advertising approvals;
- f) Legislative and regulatory requirements;
- g) Workplace health and safety.

Period of retention: 5 years

## 4.2 Electronic Records

- a) NextGen Skills Student Management System (VETtrak) is backed up on a daily basis.
- b) All NextGen Skills documents and emails are saved to the system network (server), which is backed up daily and weekly and stored externally.
- c) Electronic Records will be uploaded to relevant reporting databases in accordance with the reporting requirements.
- d) Quality Indicator Reports are to be uploaded in accordance with the Quality Indicator Guidelines.

## 4.3 Paper-based Records

- a) Paper Records are stored in secure cabinets for a period of not less than 12 months.
- b) Paper records are archived annually, for an additional four (4) years at our training centre or at a secure off-site storage facility.
- c) Paper Records can be destroyed after five (5) years.

Note: Records of Student results, Qualifications and Statements of Attainments issued prior to January 2010, will be systematically digitized and retained for 30 years. Records from that date onwards have been lodged electronically with CQR (2010-2017) and Total VET Activity (June 2017 onwards).

## 5. NextGen Skills Responsibilities

The Training Manager of NextGen Skills is responsible for ensuring compliance with this policy.

All staff are responsible for ensuring compliance with privacy and confidentiality of records, including non-disclosure of computer logins and passwords.

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Enrolments are entered into, and hard copies scanned into the RTO VETtrak Database.

Assessments results are entered into, and hard copies scanned into the RTO VETtrak Database.

Qualifications and Statements of Attainment will be issued in accordance with the **Issuing of Qualifications Policy**. Copies of all Qualifications and Statements of Attainment issued will be stored inside the RTO VETtrak Database.

Client receipt for course payment will be held in the MYOB Accounting system.

### 6. Access and Equity

NextGen Skills **Access and Equity Policy** applies to student access to their own personal records.

### 7. Monitoring and Improvement

All records management practices are monitored by the Training Manager of NextGen Skills and areas for improvement are identified and acted upon.

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