Nexgen Institute of Australia

NIA PPI20 Records Management Policy and Procedure

NIA_PPI20__Records_Management_Policy_and_Procedure_V.1
Nexgen Institute of Australia | RTO Code 31770 CRICOS Provider No 04151H | www.nexgen.edu.au | enquiries@nexgen.edu.au | Campuses: Melbourne

Page **1** of **9**

enquiries@nexgen.edu.au ✉
1300 318 747 ☎
www.nexgen.edu.au 🌐

Contents

1. Table of Reference

Distribution	All staff and students
Related Entities	Active Transition Training Pty Ltd trading as: Nexgen Institute of Australia
Related Documents	Student Handbook All company policies and procedures
Statutory References	National Vocational Education and Training Regulator Act 2011 Standards for RTO's 2015: National Code of Practice 2018 Standard 9 ESOS Act 2000
Legislative context	Commonwealth Human Rights and Equal Opportunity Commission Act 1986 Commonwealth Disability Discrimination Act 1992 Commonwealth Disability Standards for Education 2005 Anti-Discrimination and Human Rights Legislation Amendment (Respect at Work) Act 2022 Copyright Act 1968

2. Policy

Nexgen Institute of Australia (NIA) This policy is designed to ensure that Nexgen Institute of Australia is able to effectively manage administrative, record management and reporting requirements in accordance with the requirements of the Standards for NVR Registered Training Organisations.

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

The policy and procedure also provides processes to ensure NIA can maintain compliance with all external reporting responsibilities (i.e. – AVETMISS, Quality Indicators).

3. Scope

This policy applies to all trainer, assessors, students, and staff who use GAI within our educational institution, to use GAI in a way that reflects our values and principles and aligns with legislative requirements and all NIA policies and procedures.

4. Requirements

This policy and procedures cover the:
- actions to be taken in the event of a critical incident
- required follow-up to the incident
- records to be kept of the incident and action taken.

Critical incidents include, but are not limited to:
- missing students
- severe verbal or psychological aggression or abuse
- death, serious injury or any threat of these
- natural disaster
- domestic violence, sexual assault, drug or alcohol abuse.

For international students, the *Educational Services for Overseas Students Act 2000* (ESOS Act) requires the NIA to notify the regulatory authority and the government agency issuing the student's visa as soon as practical after an incident occurs to an international student. In the case of a student's death or other absence affecting the student's attendance, the incident will need to be reported via the PRISMS.

For international students, when a student dies or sustains serious injury, NIA may be required to assist the student's family. This may include:
- hiring interpreters

NIA_PPI20__Records_Management_Policy_and_Procedure_V.1

Nexgen Institute of Australia | RTO Code 31770 CRICOS Provider No 04151H | www.nexgen.edu.au | enquiries@nexgen.edu.au | Campuses: Melbourne

Page **4** of **9**

making arrangements for hospital/funeral/memorial service/repatriation

obtaining a death certificate

assisting with personal items and affairs, including insurance issues

assisting with visa issues (in the case of international students).

Response to the critical incident needs to be analysed to contribute to the continuous improvement of the NIA's policy and procedures.

5. Procedure

Responsibility for Records Management

The CEO has the responsibility to ensure that all business related and financial records are maintained appropriately. This includes but is not limited to:

Financial and annual reports

Business plans

Minutes of meetings relating to business operations and governance arrangements

The RTO Manager/Training Manager has responsibility for ensuring that all records relating to the 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 NVR Registered Training Organisations

The authorised personnel handling the records have the responsibility for the storage, maintenance and archiving of all training and assessment records. This includes but is not limited to:

Student records database NIA

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

The RTO is required to maintain a Student Record Management System that can collect AVETMISS data. Axelerate is currently used and meets this requirement.

Retention of Student Training Resources and Assessment Instruments

The RTO is required to maintain master copies of all training resources and assessment instruments for all staff to access as required. These training resources and assessment instruments are also required to be maintained for a period of one (1) year from the date the materials cease to be used within the RTO.

The authorised personnel are to archive these documents/ resources either in hard or soft copy to ensure access for at least one year.

Retention of Student Records and Assessments

The RTO is required to ensure that all records of training and assessment are securely maintained for the duration of the student's enrolment and a further 6 months after completion or cancellation of the student's enrolment.

To ensure these records are maintained the authorised personnel in each department are to ensure that appropriate records are retained as indicated in the schedule below:

Hard Copy Student Files:

Currently Enrolled Students

The RTO will maintain all student records (in hard copy) while a student is enrolled with the RTO. This will include 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 academic files will be retained in full for a period of 6 months from the date on which the decision on competence for the individual unit or module was made. These files will be archived as per the archiving processes in place.

Each individual student file must include the following:

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)

A copy of all assessment tasks, including tests, assignment, role plays, projects etc. for all Units undertaken in the course (all assessment tasks must be marked)

A copy of the Assessment Outcome Record Sheet for each unit

Copy of the Statement of Attainment or Qualification issued

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.

Enrolments and participation

> All details of enrolment and ongoing participation in training and assessment are entered on the AVETMISS compliant Student Records Management System aXelerate.

> This database shall also contain records of student progress that shall be maintained by Student Support team/authorised personnel.

> Student data shall be entered in a timely manner that reflects the student's current status. This includes identifying the training and assessment that has been undertaken as it occurs and maintaining an ability to provide up to date student records at any time.

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.

Document retention and disposal

Student Records:

All student records are stored securely at the RTO premises in line with the timeframes above.

The manner of disposal after the retention period will be the responsibility of the General/RTO Manager. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal.

All other documentation:

The document retention period of all other documents relating to the RTO 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 General/RTO Manager. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal.

enquiries@nexgen.edu.au ✉
1300 318 747 ☎
www.nexgen.edu.au 🌐

Secure storage of electronic records

Student records and results are stored on the RTO's Student Record Management System aXelerate.

Privacy and Student Access

Please refer to Privacy Policy for detailed information.

Except as required under the Standards for NVR Registered Training Organisations, 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 Support team. Students may contact the Student Support team 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 the Student Support team 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 progress, personal details, and any relevant details of the student's enrolment that the RTO has collected.

Monitoring and review of records

On an annual basis, NIA 'swill conduct an internal audit against the Standards for NVR Registered Training Organisations and this will include reviewing all RTO records to ensure compliance is being maintained.

Student files will also undertake regular reviews to ensure information is included as required.

6. Responsibilities

The RTO/General Manager should be advised as soon as possible following the news or observation of any Critical Incident Event affecting or likely to affect the safety or welfare of enrolled students.

In the event of a Critical Incident Event the RTO/General Manager shall:
assess the level of risk and type of Critical Incident and the required resource implications
apply the appropriate intervention measures to the level of risk and type of critical incident
report any relevant resource implications directly to the NIA or the CEO.

7. Version Revisions

12 months from the date of this version, or as required.

8. Review Date

Version Number	Date	Reason for change	Prepared By	Approved By
V.3	20/06/2024	Updated and improved	RTO Manager (SC)	CEO (HH)

NIA_PPI20__Records_Management_Policy_and_Procedure_V.1

Nexgen Institute of Australia | RTO Code 31770 CRICOS Provider No 04151H | www.nexgen.edu.au | enquiries@nexgen.edu.au | Campuses: Melbourne

Page **9** of **9**