

## DOCUMENT AND DATA MANAGEMENT

### PURPOSE

Nurse Training Australia (NTA) will ensure that its document and data management and record keeping procedures meet the requirements of legislation and the Standards for RTO's 2015 and National code 2018 Standard 3.6.

Data, documents and records will be secure and preserve confidentiality of all personal information on clients, students, contractors and employees. Where possible we will back up and secure documents electronically with a minimum of printed materials in our office.

### Standard 8 for RTO's 2015 Clause 8.1 f Clause 8.5 Legislation

### National Code 2018 Standard 3.6

### PROCESS

#### Client, student and course documents storage and retrieval (table)

We will retain data and records as required by standards and legislation. There are passwords and log-ins required for the data retained in various software programs:

Item	Software & Files	Description	Period	Number
<b>Student Details and Results</b>	RTO MANAGER AVETMISS Data Offsite back up	Database showing personal details (to AVETMISS standard), unit of competency final result and qualification issuance and date (with verified USI)	30 yrs	100%
<b>Qualifications</b>	RTO MANAGER AVETMISS Data Offsite back up	Database showing personal details (to AVETMISS standard) and USI Record of Qualifications and Statements of Attainment with certificates numbers	30 yrs	100%
	Scanned files	Scanned copy of Qual and transcript of results or S of A	5 yrs	100%
<b>AVETMISS annual report</b>	RTO MANAGER AVETMISS NCVER report	AVETMISS is reported to NCVER annually and validated reports are kept on RTO server	30 yrs	100%
<b>Completed assessment item (incl RPL portfolio)</b>	Hard copy files or scanned electronic files	Students completed assessment tasks (summative). The assessors completed marking forms and feedback to student that will provide full information on the ALL assessment tasks completed or RPL evidence summary details and the assessor judgements. Administration's verification of student records and results for approved entry to AVETMISS Data in RTO Manager system	ASQA retention of assessment item guidelines Minimum 6 months after each unit completed	100%

<b>Student files</b>	Hard copy files and scanned	Each student file will be retained in hard copy or RTO Manager system. Minimum in file completed and signed - - enrolment form, and/or training plan, USI permission, induction, variations, final results, certificate or S of A, case notes, refunds, withdrawals, complaints, appeals Records of Written agreements as well as receipts of payments made by international students after the person ceases to be an accepted student.	Minimum 2 years	100%
<b>Courseware and Assessment instruments</b>	Server	Master copy of courseware and assessment instruments and related forms. Able to show transition management and learner transition with changes to Training Package.	Minimum 3 years	100%
<b>Third party arrangements and monitoring</b>	Hard copy files and scanned Server	Signed third party agreements, notifications to ASQA, records of communications, monitoring and quality assurance	Minimum 5 years	100%

### Version control

The key documents related to the approval of the RTO and the scope of registration are listed below and are subject to Version Control with file name and version date clearly identified in the document. Where possible, automatic footers will update the Version History information.

- i. Policies
- ii. Procedures
- iii. Forms
- iv. Course plans, assessment tools and learning materials
- v. Major documents relating to compliance
- vi. Other documents as specified by the Administration and Compliance Manager

### Controlled and uncontrolled documents

The documents with version control are retained on our server and called “controlled documents”. When documents are printed and used by staff or contractors for various reasons or adapted they become “uncontrolled documents”. For this reason, we discourage printing of documents.

### Training Packages and course documents

The Director of Studies is responsible for ensuring that the RTO is using current versions of learning and assessment materials. This is managed by:

- Receiving notification of changes to training packages on [www.training.gov.au](http://www.training.gov.au)
- Managing course materials through the server
- Undertaking course review at least annually which includes checking training package codes

### General administration records

All other information received or sent by the organisation will be stored electronically where

possible.

### Correspondence and use of letterhead

Official correspondence will use company letterhead and header and footer templates.  
Official emails will use standardised signatures

### Marketing documents

All marketing material is tracked by version control and must be authorised by the Directors or Marketing Manager before release.

- Primary marketing information is approved by the manager
- Located on the website
- The “live” document is the latest version
- Our website and marketing material is systematically reviewed at least annually which includes reviews against Standards for RTO’s 2015 and National Code 2018.

### Accounts records

The book keeper will keep the banking and accounts records in a lockable cabinet or on server and accounting files and folders away from public areas.

The payroll information will be kept in a locked cabinet and on the server.

The accounting program will have secure password protection.

### Trainer and Assessor human resources records

Staff files with copies of certified and verified qualifications will be kept up to date and secure in a filing cabinet in the main office or scanned copies may be kept in Server. Staff files are not accessible without permission from the Administration and Compliance Manager.

## BACK UP OF DATA, REMOTE SERVER STORAGE AND OFFSITE STORAGE

The main computer is backed up every night by an offsite server.

The RTO Manager system is backed up by a remote server.

Data	Users	Log-in /passwords required	Back up
<b>Customer Relationship Management (RTO MANAGER) and Outlook</b>	Marketing Manager Course Advisors Administration Officer	YES	Back up on computer Back up to remote server
<b>Student management System (SMS) RTO MANAGER</b> <i>Software program</i>	Directors Administration and Compliance Manager Administration Officer	YES	Web based Offsite back up Data reports saved to server regularly Annual NCVER AVETMISS reports validated and submitted annually Back up to remote server

<b>Accounts Software Software program</b>	Directors Administration and Compliance Manager Book Keeper	YES	Back up of compressed data file on computer Back up to remote server
<b>Hard copy and scanned records / files</b>	Administration and Compliance Manager Director of Studies Administration Officer	N/A	Kept in lockable filing cabinets on site. Scanned files in server backed up to remote server.
<b>Compliance documentation Server</b>	Directors Administration & Compliance Manager External VET consultant	YES	Server file management for shared files and documentation under continuous review Includes history of regulator audits Cloud based software applications are used for maintenance of quality assurance records and retained in remote managed servers

## ARCHIVING OF RECORDS

Student hard copy files are organised by course code / alphabetical / and commencement date / year.

Student soft copy files are organised in RTO Manager system. Reports can be extracted or student files can be searched and retrieved using the RTO Manager system.

Archived files (hard copy) are clearly identified by Year / Course / Alphabetical  
When stored this will facilitate later recognition and access by authorised personnel.

Office and accounts records are organised by year and archived and stored in a lockable filing cabinet. The Accountant will retain Company financial records as required by legislation at his office.

## TRANSFER OF FILES AND DIGITAL RECORDS IN THE EVENT OF THE CLOSURE OF THE RTO

In the event of the sale of the company, the records transfer will be handled as part of the negotiation.

In the event of the closure of the RTO, the regulator will be notified and the RTO will investigate the required process for the transfer of electronic /digital records as required by the Regulator at that time.