

Record-Keeping Policy

Purpose and Scope

To ensure that all records are kept according to our requirements and that the Lead Institute meets the Data Provision Requirements (Clause 7.5)

Policy

Lead Institute stresses the importance of accurate and consistent record keeping with its entire staff. Record Keeping is conveyed as being an integral aspect of the company's compliance obligations under the Standards for Registered Training Organisations 2015.

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Student Information

Records of the following, amongst other items, are maintained:

- Student enrolment records
- Student attendance records
- Student assessment records
- Student work
- Student/Employer Workplace Agreements
- Student workplace experience and learning
- Fees paid and refunds given
- Details of complaints and appeals

The above records will be kept for:

- A period of 2 years *or*
- The duration of the student's enrolment *or*
- The duration of an Appeals application whichever is the longer period.

Records of results, qualifications and Statements of Attainment for all students are stored in individual student files and the nominated Learner Management System at a central location. These records and records of summative assessment sheets will be kept for a period of 30 years.

If Lead Institute ceases to operate, it will transfer, within five (5) working days, all records to the Registering Body and ensure all participants have all received a copy of their records.

Collection of Information

Personal information will not be collected unless:

- 1) The information is collected for a purpose directly related to student or staff member; and
 - 2) The collection of the information is necessary for or directly related to that purpose.
- Personal information will not be collected by unlawful or unfair means.

Where personal information is collected for inclusion in a record or in a generally available publication Lead Institute will take reasonable steps to ensure that, before the information is collected or, if that is not practicable, as soon as practicable after the information is collected, the individual concerned is generally aware of:

- 1) The purpose for which the information is being collected;
- 2) If the collection of the information is authorised or required by or under the law the fact that the collection of the information is so authorised or required; and
- 3) With whom the information may be shared (such as the Australian Government or Tuition Assurance Scheme).

Where Lead Institute solicits and collects personal information for inclusion in a record or in a generally available publication it will take reasonable steps to ensure that:

- 1) The information collected is relevant to that purpose and is up to date and complete; and
- 2) The collection of the information does not intrude to an unreasonable extent upon the personal affairs of the individual.

Students are encouraged to liaise with Lead Institute staff to ensure their details are accurate and up to date.

Learner Management System

Lead Institute has purchased and implemented the use of an AVETMISS compliant Learner Management System (LMS). Nominated staff within the Lead Institute are specifically trained in how to record and extract data related to students and our training services.

Information that the LMS is able to record, amongst other things, include:

- Student demographics like age, gender, ethnicity and disability information
- Personal details, e.g. address, phone numbers, etc.
- Course selection of each student
- Training Progress Reports for each student
- Assessment outcomes for each student
- File notes of all interactions and communications with the student
- Payment and refund details
- Copies (scanned or photo) of certificates / qualification / Statement of Attainment issued
- Disciplinary actions (if applicable)
- Details of complaints and appeals

File Note Policy

Lead Institute implements a File Note Policy with regard to student records and information. Any changes to a student's enrolment or training activities will be captured using a File Note system that will include the date, a short description of the relevant item and the name of the person who actioned it.

File notes will be kept against a student's enrolment on the Learner Management System. Hard copy file notes may also be kept in the student's hard copy file as appropriate.

Electronic Back-up Policy

Electronic files are kept up to date and backed up regularly each day. The backup copy is to be kept offsite or in a fireproof and flood-proof safe.

Contact Details

Lead Institute will endeavour to obtain the latest contact details for every student on a six (6) monthly basis via a range of communication strategies.

Privacy

All records are dealt with in accordance with Lead Institute confidentiality and privacy guidelines.

Secure Storage or Disposal of Records

Lead Institute will store and dispose of all records which contain sensitive information, or information about its students or staff members, in a secure manner. This may include leasing a locked, document disposal waste bin or other machinery as required.