

### Policy Objectives

To manage financial, business and statistical records consistent with legislation, standards and best practice to ensure that all information is readily identified, accessed, retrieved and protected where it is of a sensitive, confidential or private nature. To this end, CCAE Records Management policy and procedures will operate according to the 'Public Records Act 1973/Maintaining Records - Archive Act 1983' as a benchmark to measure for effective records management.

### Policy Aims

To organise the management of records to meet operational business needs, accountability, privacy and community expectations from creation to disposal, including transfer, destruction or retention as archives that document the functions, activities and transactions of CCAE's business decisions and actions. CCAE will create and operate a systematic records management system designed to enhance decision making processes for:

- + organisational accountability
- + compliance with legislative requirements
- + development of the business memory
- + essential current and strategic decision-making
- + determination of policies and procedures for the conduct of essential business operations.

### Procedures of Records Creation and Management

#### Document Control

- **Manager** shall authorise the issue of all documents relating to CCAE's scope of registration.
- All authorised documents and materials will maintain the date of issue and version number.
- **Office Administrator** will maintain a version control register of documents and the persons to whom they were distributed.
- When new/revised documents are issued, **Office Administrator** will archive previous versions of documents so that they cannot be used by staff in current/future operations.

#### Employee Responsibilities

- Employees, as records creators, are responsible for making and keeping complete, full and accurate records.
- Employees must ensure records are placed in authorised filing systems not in private or unauthorised filing systems.
- Employees must not remove, damage or in any other manner neglect, interfere with or destroy official records.
- **Manager** and **Office Administrator** will ensure staff can create, capture and maintain records of the functions, processes, activities and transactions they administer or carry out. Record keeping standards and procedures will be:
  - + Consistent
  - + Adequate
  - + Appropriate
  - + Easily understandable
  - + Accessible

#### Record-keeping Systems

CCAЕ uses VETtrak and AVETMIS applications to maintain, manage and provide access to its records to make and maintain complete, accurate and reliable evidence of business transactions via:

- the creation of records in the course of business activity and the means to ensure the creation of adequate records;
- the design, establishment and operation of record-keeping systems;
- the management of records used in business and as archives.

#### Correspondence Inwards

Correspondence in the form of letters, facsimiles or electronic mail messages are to be classified before they are passed for action or review. Processing includes attachment to the relevant file and may also involve document registration. Transmissions produced on plain paper machines can be processed as normal documents. A copy, or the original document, is to be placed on file and presented to the Board.

#### Correspondence Outwards

Correspondence outwards will carry a reference number (if applicable) of the file on which the sender is documenting the matter. A copy of the signed original is to be placed on file and presented to the Board.

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V3-20/08/07

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### Archiving files

- **Office Administrator** will oversee removal of past/closed files and placement in designated archive areas.
- Past/closed files not transferred to an archive area are to be shredded or disposed of in an appropriate manner.
- Archive files are to be kept alphabetically for each calendar year.
- Electronic records of training and assessment carried out in each calendar year are to be archived for that particular year.

### Accessing personnel files

- All individuals have a right to view their own personnel files and may do so upon request to the Manager.
- Personnel files may only be accessed by the **Manager**, the **Finance Officer** or an **Auditor** appointed by one of the following:
  - ✦ Skills Victoria
  - ✦ Adult Community and Further Education (ACFE) - Victoria
  - ✦ Victorian Registration Qualifications Authority (VRQA) – Victoria
  - ✦ Victorian Curriculum and Assessment Authority (VCAA) – Victoria
  - ✦ Department of Education and Early Childhood Development (DEECD) – Victoria
  - ✦ Department of Human Services (DHS) - Victoria
  - ✦ Department of Education and Training (DET) - NSW
  - ✦ Department of Education, Employment and Work Relations (DEEWR) – Federal
  - ✦ Department of Science and Training (DEST) - Federal
  - ✦ Australian Taxation Office (ATO) - Federal
- Access to a file by a 3<sup>rd</sup> party, other than as above, is only with written consent of the individual.

### Regulatory Environment

CCAIE is conscious of the regulatory environment in which it operates. This includes specific legislation affecting:

- records creation and formats
- records as evidence
- records retention
- records destruction
- custody of records
- control over access accessibility.

### Procedure for Retention and Disposal of Records

#### Electronic Records

Such records are represented in a form suitable for retrieval, processing and communication by a digital computer and include electronic organisers, computer-based diaries, appointment books and calendars, electronic mail, facsimile transmissions, computer disks and other storage devices. The **Statistical Officer** will update and maintain the AVETMISS database

#### Primary and Secondary Storage

Primary storage of records is on computer systems and in filing systems maintained within the General Office and archive rooms 1, 2 and 3. Electronic records are archived to back-up disks on a regular basis. A storage facility for inactive records is maintained within the CCAIE to comply with statutory requirements.

#### Qualifications and Statements of Attainment

- Upon notification from a trainer that a student/trainee has satisfactorily completed, withdrawn or partially completed his/her training, the **Office Administrator** shall verify the student's entitlement to a certificate or statement of attainment from the student records system.
- The **Statistical Officer** will print an AQF compliant certificate/statement of attainment for issue to each student, in accordance with the authority specifications and packaging/course guidelines.
- Each certificate/statement of attainment issued is to be recorded in the certificate register by the **Statistical Officer**, and a copy placed on student file.

#### Staff qualifications and experience

- All applicants for positions, both permanent and contract, are to provide resumes including verified copies of qualifications and other supporting documents. Certification of these documents can be made by Administrative staff.
- All employees must provide a current Police Check and Working with Children Check
- Referees, where verified, are to be documented and placed in the individual's file.
- All units of competence for which the individual will be delivering training and/or assessing must be noted in the Qualifications Training Plan, a copy of which is maintained by the Manager.
- All professional development undertaken by the individual is to be recorded and placed on the individual's file as well as the Professional Development file located in the Manager's office.
- All individual staff files are to be securely stored in locked metal filing cabinets.

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## Student files

- All individual student files and copies of work for audit purposes are to be securely stored in locked metal filing cabinets.
  - ✦ the enrolment form
  - ✦ copy of any training agreement or contract
  - ✦ signed training plan
  - ✦ visitation record
  - ✦ attendance record,
  - ✦ record of contracts,
  - ✦ assessment records,
  - ✦ training materials,
  - ✦ copies of certificates/statements of attainment issued,
  - ✦ any notes made by the trainer/assessor about the student/trainee.
- **Receptionist** to enter student enrolment data into VETtrak
- **Trainer/assessor** to enter 'notes' on student progress into VETtrak
- **Statistical Officer** to enter training outcomes into VETtrak for upload to EVETMISS
- All student electronic records are to be backed up prior to the commencement of work each day.
- Backed up records are to be located in the locked safe and off site with Manager.
- All records are to be kept for the mandatory period required by authorising bodies, and transferred to the Office of Training and Tertiary Education if CCAE ceases operations as an RTO. This excludes copies of student's work which is to be retained for audit purposes only

## Administrative Procedures for Records Management

- **Files** can be circulated within CCAE but taken off-site unless approved by the Manager.
- **Correspondence Inwards** in the form of letters, facsimiles or electronic mail messages, are to be classified before they are passed for action or review. Processing includes attachment to the relevant file and may also involve document registration. Transmissions produced on plain paper machines can be processed as normal documents.
- **Correspondence Outwards** is to carry the reference number (if applicable) of the file on which the sender is documenting the matter. A copy of the signed original is to be placed on the file.
- **Duplicate Records** are discouraged except where endorsed copies of records are necessary to maintain the integrity of the official file or an advance copy has been taken. The practice of copying documents for duplicate or parallel filing systems is to be discontinued.

## Administrative Procedures for Retention and Disposal of Records

- **Retain:** Records cannot be destroyed before the expiry of the minimum retention period.
- **Archive:** The physical transfer to CCAE Archives which must take place by arrangement with the **Office Administrator**.
- **Electronic Records:** Electronic records identified for permanent retention will be archived by CCAE. These must be migrated and refreshed as required to ensure access and readability, in accordance with statutory requirements.
- **Destroy:** Records can only be destroyed in accordance with authorisation from the Manager. Destruction must be done in an approved manner such as shredding. Prior to destruction, records must be listed in generic groupings and the list authorised by the Manager and Office Administrator. The destruction list must be retained permanently for purposes of accountability.
- **Electronic Mail Messages:** Electronic mail messages created or received by employees in connection with official business are to be treated as records. They will be backed up electronically.
- **Temporary Records:** Those records, which are of short-term, temporary informational value with virtually no requirement for retention and can be disposed of when their reference value ceases.
- **Files:** Contain records of organisational activity, decisions and outcomes and, as an information resource, support and facilitate decision-making.
- **File Numbers:** A sequential numbering system is used for central, administrative and policy files. The year of creation precedes the primary number and a forward slash (/) is used as a separator. The file number is a unique identifier and a reference number that can be used as a locator or finding aid. The file number has no relationship to the subject of the file.
- **Student Files:** Student files are to be retained until expiration of the retention period and a minimum of three years.

## Evaluation

This policy will be reviewed bi-annually

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