HVCBA Record Keeping and Data Management
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1. Purpose

The purpose of this guide is to:

- Document the record keeping and data management requirements of Registered Training Organisation (RTOs) and Assessors accredited under the HVCBA Scheme; and
- Ensure that appropriate record keeping principles are employed by RTOs, for training and assessment records and data.

2. Background

All NSW Government agencies are required to ensure that public records are properly managed in accordance with the NSW State Records Act 1998. HVCBA training and assessment records as defined below are considered public records and must be managed accordingly.

It is an offence to destroy public records without proper authority.

This guide supports Section 9 of the Accreditation Agreement for Heavy Vehicle Competency Based Assessment.

3. Training and assessment records

3.1 Definition

HVCBA training and assessment records include:

- HVCBA Log Books - Learner
- HVCBA Log Books - Assessors
- FCA/CT video recordings

3.2 Assessor record keeping requirements (excluding video recordings)

- Assessors are required to send HVCBA Learner Log Books to RTOs within 24 hours of completion of the FCA.

3.3 RTO record keeping requirements (excluding video recordings)

- RTOs are to retain all training and assessment records for a period of seven years from the date of the last entry.
- All training and assessment records must be managed in accordance with the Privacy Act.
- RTOs must make the training and assessment records available to Roads and Maritime for inspection when requested to do.
- RTOs must maintain the training and assessment records and keep them at the location specified in their HVCBA Accreditation Agreement.
- RTOs may archive records which are more than 12 months old at another location, provided the other location is also nominated in the Accreditation Agreement.

**NOTE**: Roads and Maritime no longer archives Log Books on behalf of RTOs.

- RTOs must keep all records secure, comply with all directions of Roads and Maritime in relation to the security of records, and maintain confidentiality in relation to the records.
- RTOs must notify Roads and Maritime immediately of any loss or destruction of any records.
- All records must be kept in English, and legible.
- Records may be recorded and stored electronically provided that the hard copies are archived. When Roads and Maritime exercises its audit rights, RTOs must provide either hard copies or copies of the electronic records as requested by Roads and Maritime.
• RTOs may safely and securely destroy some records which are more than seven years old provided that the RTO first gives 30 days written notice to Roads and Maritime, and Roads and Maritime does not object to the proposed destruction and the method to be used.

4. FCA/CT video recordings

**IMPORTANT**

Video recordings must be managed in accordance with the Privacy Act.

Video recordings must not be tampered with in any way.

4.1 Definition

From 1 December 2014 RTOs are contractually obliged to monitor and record HVCBA on-road components of FCAs/CTs via in-cabin video cameras, as specified by Roads and Maritime. A video camera must be in operation inside the cabin of the vehicle during the FCA/CT in order to capture and record the end-to-end on road assessment.

4.2 Assessor data management requirements

• The RTO/Assessor conducting the FCA/CT is responsible for monitoring and recording HVCBA on-road components of FCAs/CTs via in-cabin video cameras and downloading the footage.
  - In the situation where an Assessor conducting the FCA/CT is required to use the video camera of another Assessor/RTO and experiences technical difficulties downloading the footage at the completion of a FCA/CT, the two Assessors/RTOs should work together to ensure compliance with requirements.
  - If an Assessor is using an applicant’s vehicle for an FCA a portable camera must be used to capture and download FCA/CT footage in accordance with requirements.

• Video recordings in the camera system must be saved to a desktop/laptop computer using the following filename format:

  ‘HVCORS booking ID number’_‘Applicant’s full name’

  **Example:** 12345_JohnSmith

  In the absence of a HVCORS booking ID number, the manual booking reference number provided by Roads and Maritime must be used:

  **Example:** SEP14001_JoanneBrown

• Video recordings must not be tampered with in any way.

• Assessors must despatch within two days from completion of the FCA/CT, a copy of video recordings to RTOs.

Please refer to the HVCBA Scheme Specification - *Monitoring Heavy Vehicle Assessments using In-Cabin Cameras* for more detailed Assessor Data Management Requirements.

4.3 RTO data management requirements

• The video recordings must be protected from unauthorised access or loss, and must have the ability to be retrieved and made available when needed and not able to be deleted.

• The back-up of video recordings should be secure (eg virtual / cloud storage, off-site server, hard disk drive stored in a fire/flood resistant safe)

• Video recordings must not be tampered with in any way.

• Video recordings must be stored for a minimum of 2.5 years.

• A copy of video recordings must be provided to Roads and Maritime on request and if the RTO ceases trading.

Please refer to the HVCBA Scheme Specification - *Monitoring Heavy Vehicle Assessments using In-Cabin Cameras* for more detailed RTO Data Management Requirements.
5. Audits

As per Section 9 of the HVCBA Accreditation Agreement, RTOs must at all reasonable times give Roads and Maritime access to records and any other information maintained by the RTO or an Assessor in connection with assessments to allow Roads and Maritime to audit, inspect and monitor RTOs and each Assessor's performance.

In relation to FCA/CT video recordings, RTOs must ensure the following:

- Video recordings must be accessible to Roads and Maritime authorised staff at short notice for announced or unannounced Roads and Maritime on-site audits.
- RTOs must despatch within two days of receiving the request, a copy of specified video recordings to Roads and Maritime.
- At any point in time, Roads and Maritime expect RTOs will have readily accessible for audit video recordings for all FCAs/CTs conducted by their assessors from 1 December 2014 until five days prior. In other words, Roads and Maritime will assume RTOs are receiving video recordings from their assessors within five days from completion of the FCA/CT.
- Video recordings sent to Roads and Maritime must be of windows compatible file format.

**ASSESSORS REMEMBER**

- Send HVCBA Learner Log Books to RTOs within 24 hours of completion of the FCA/CT
- Despatch within two days from completion of the FCA/CT, a copy of video recordings to RTOs

**RTOs REMEMBER**

- Despatch within two days of receiving a request, a copy of specified video recordings to Roads and Maritime

6. Appendices

6.1 Terms and Abbreviations

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<tr>
<td>CT</td>
<td>Competency Test</td>
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<tr>
<td>FCA</td>
<td>Final Competency Assessment</td>
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<tr>
<td>HVCBA</td>
<td>Heavy Vehicle Competency Based Assessment</td>
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<tr>
<td>RTO</td>
<td>The HVCBA-accredited Registered Training Organisation</td>
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