

## 1.0 Purpose

The purpose of this policy is to set the standard for record management and outline how records are to be managed for learners in Vocational Education and Training (VET) at the RTO.

The purpose of the procedure is to outline the processes and roles and responsibilities of staff in regards to the completion, access, correction and maintenance, storage and destruction of learner's information.

## 2.0 Scope

This policy and procedure is for Sonic HealthPlus, Registered Training Organisation (RTO Code 51535), and includes:

- All VET learners
- All VET staff, and
- All VET training facilities, including online.

This policy and procedure excludes records for non-accredited courses at Sonic HealthPlus.

## 3.0 Responsibilities

Learner's roles and responsibilities include:

- To ensure their details are up-to-date within learning and student management systems
- To ensure they keep a copy of submitted assessments as the RTO retains all original documents
- To ensure they securely retain their certificate documentation issued by the RTO.

Trainers and assessor roles and responsibilities include:

- To encourage learners to keep their details up-to-date within learning and student management systems
- Retaining all marked assessment documents as per the below policy and procedure, and
- Note significant communications with learners in the learner's file in the Student Management System.

The RTO Coordinator's roles and responsibilities include:

- To monitor the record keeping practices of RTO staff
- Ensure RTO staff implement expected record keeping practices expected by the RTO, and
- Ensure record keeping procedures are maintained, implemented, and reviewed.

#### 4.0 Definitions

<b>ASQA</b>	Australian Skills Quality Authority.
<b>Assessor</b>	Is a person who assesses a participants competence in accordance with Standards for Registered Training Organisations (RTO's) 2015; Clauses 1.13 to 1.16.
<b>AVETMISS</b>	Australian Vocational Education and Training Management Information Statistical Standard.
<b>Attendance Records</b>	Are records of actual time periods the learner has be present and/ or engaged in training and assessment as required by the course. This information also includes all time periods the learner has been absent.
<b>Confidential Record</b>	A confidential record is the recorded information related to a learner's training and assessment that is judged to be highly sensitive.
<b>Completed Assessment Item</b>	Any document of assessment completed and resulted by an assessor e.g. Workbook, Exam, Practical Observation assessment.
<b>Cumulative Record</b>	Are records of information related to a student's training and assessment progress.
<b>LMS</b>	Learning Management System.
<b>Personal Information</b>	Means personal information as defined by the Freedom of Information and Protection of Privacy Act, such as name, citizenship, address, date of birth etc.
<b>Participant Record</b>	Means the collection of records for a participant/learner, that is, a participant's attendance, confidential, cumulative, and personal records collectively.
<b>Learner's Records Management</b>	Is the procedures related to the creation, collection, distribution and use (including access and transfer), updating, protection, Organisation, storage, maintenance and retention, and closure of the learner's records.
<b>Significant Communication</b>	A significant communication is an exchange between the learner and trainer which is worthy of attention, such as granted or denied assessment extensions; individual learner requirements, or reasonable adjustment made.
<b>SMS</b>	Student Management System.
<b>RTO</b>	Registered Training Organisation.
<b>Trainer</b>	Is a persons who provides training in accordance with Standards for Registered Training Organisations (RTO's) 2015; Clause 1.13, 1.14 and 1.16.
<b>Training Product</b>	Is a nationally recognised unit of competency, or accredited course, skill set, or qualification.
<b>USI</b>	Unique Student Identifier.
<b>VET</b>	Vocational Education and Training.

## 5.0 Legislative Context

This policy and procedure reflects the following legislations, regulations, standards, and/or guidelines:

- Standards for Registered Training Organisations (RTO's) 2015; Standard 1; Clause 1.8
- Standards for Registered Training Organisations (RTO's) 2015; Standard 8; Clause 8.5
- National Vocational Education and Training Regulator Act 2011, and the
- Privacy Act 1988.

## 6.0 Policy Statement

Learner records are imperative to ensuring the smooth coordination of a learner's training and assessment, internally and externally to the RTO. Internally effective record management facilitates:

- Efficient learner course progression, and
- Prompt issuance of certificate documentation.

External effective record management facilitates:

- A learner's transition into further studies at other educational organisations
- Providing state and commonwealth mandatory statically data, such as AVETMISS compliance declarations, and
- Supplying information to educational governing bodies, such as ASQA.

The minimum standard for learner record management is that all learner records are to be well maintained, contain accurate complete and current information. Also the management of these records is conducted in a consistent, efficient, effective, accurate, and accountable manner.

Sonic HealthPlus is committed to complying with the Information Privacy Principals as defined in the Commonwealth of Australia Privacy Act 1988. Therefore the RTO respect's learner's rights to privacy, and any personal information that is provided by our learners, to the RTO will be considered confidential.

Learner records of VET students are ultimately the property of the RTO and it is the responsibility of the RTO Coordinator to establish and maintain the policy in the every-day duties of learners' record management.

## Content

The RTO will only collect information from a learner that is required to carry out legitimate educational activities. Information will be collected in a legal and just manner, and where practical personal information will be collected directly from the learner. The primary content collected includes learner enrolment details and academic records.

## Use

The RTO will only use learner's information collected for its primary purpose. That is, the original reason for collecting the information. The RTO may also use the information to provide products and services, to communicate with learners and staff, and to communicate with nominated people in the event of an emergency. Otherwise learners will be approached for consent to be given to the RTO to use their information for any other reason.

## Storage

The RTO ensures suitable storage arrangements for hard and soft copy information is available at each of its training sites. These storage arrangement will safe guard personal information from misuse, loss, unauthorised access, modification, or disclosure. Storage arrangements will also safeguard records against fire, flood, termites or any other pests.

Soft copy records are preferred however records may be in hard copy. The primary storage place for learner information and their records is the Student Management System (SMS). The SMS is a web based on-line education system for housing learner and training and assessment information. The RTOs SMS vendor, Business Applications (bsnapps) is accredited with *International Organisation for Standards ISO/IEC 2700 Information security management systems* and 'back-ups' their data nightly to ensure information and records remain secure.

## Access

The RTO will provide a learner access to, and correction of their personal information held by the RTO at no charge in accordance with Commonwealth Privacy Act 1988 where an individual has the right to access their personal information unless prohibited by law.

Circumstances however where the RTO is not required to provide access includes:

- Where personal information other than health information would pose a serious threat to the life or health of an individual
- Where health information would pose a serious threat to the health of an individual
- Access for inconsequential or vexatious use
- When the information relates to existing or anticipated legal proceedings between the RTO, Sonic HealthPlus and/or the individual, and
- Where providing access would be unlawful.

If a learner would like to examine their information a request should be made, in writing, to the RTO Coordinator who should comply within 30 days.

Staff members of the RTO shall have access to relevant portions of a learners records in order to perform their duties. RTO staff members requesting information must have legitimate need to request the information. The request is to be made to the RTO Coordinator, in writing which may be via email, who will approve or deny access to the information.

## Changes or Corrections

Learners are encouraged to review and update any incorrect personal information throughout their studies. Learners can request updates and corrections of their details via a trainer and assessor or the RTO administrator staff.

## Transfer

Automatic transfer of information will occur within the RTO, for educational purposes only. For example a learner's name will be transferred from the Student Management System (SMS) to the Learning Management System (LMS) so the learner can commence their studies in the LMS.

## Archival

See *Procedure* below.

## Destruction

All learner records will be disposed in line with the Australian Privacy Principles and Public Records Act. When the RTO no longer needs personal or training information the RTO will take reasonable steps to destroy the information or ensure that it is de-identified, for example placing hard copy documents in the shredding/confidentiality bins used at Sonic HealthPlus.

## 7.0 Procedure

The following table outlines types of records within the RTO and their expected management.

Record Type	Record Description	Storage Location	Storage Period
Pre-enrolment information	Marketing and advertising material such as: - Course Catalogues - Proposals - Training Table of Costs - Web information	Sonic Health Plus/RTO Drive  Record each document version	Min. 5 years
USI Information	Personal identification data required to verify USI	'Enrolment' section of SMS	Min. 30 years
Confirmation of enrolment	Training Confirmation Email	Training@SonicHealthPlus.com.au	Min. 5 years
Fees and refunds	Invoices and Receipts	Finance Department as Sonic HealthPlus	As per Sonic HealthPlus policy and procedure
Course progress	Notes regarding assessments results and other course progression activities	'Documents' and 'Communication' sections of SMS	Min. 5 years
Learner interactions	Significant activities in a learners student lifecycle	SMS in 'Communications' section	Min. 5 years

Record Type	Record Description	Storage Location	Storage Period
Completed and marked assessment evidence (Non-government funded)	The actual pieces of work completed by a participant or evidence of that work, including evidence collected for an RPL process such as assessment workbook or workplace workbooks.	LMS for learner in online training  Sonic Health Plus/RTO Drive  Records Management for learners in face-to-face or combination training	Min. 1 year past from the course completion date.  1 year required for validation purposes.
Assessment activities	Assessment items created for the training product such as workbooks, practical assessments, benchmarking guides and RPL Kits.	Sonic Health Plus/RTO Drive/Accredited Courses	Min. 30 years
Assessment judgements	The results of an assessment activity that is if a learner is deemed 'Satisfactory' or 'Not Yet Satisfactory'	'Asses Task' in SMS	Min. 30 years
Unit of competency results	The grade given to a Unit of Competency that is 'Competent', 'Not Yet Competent', 'Credit Transfer', 'Recognition of Prior Learning'.	'Unit Info' in SMS	Min. 30 years
Complaints and appeals	All investigation materials, correspondence, and outcomes with learner regarding a compliant or appeal	'Documents' in SMS	Min. 10 years
Certificate documentation	Testamurs Records of Results Statements of Attainment	'Enrolment' section in SMS	Min. 30 years past the last date of course completion
Withdrawals	Withdrawals by learner or withdrawals initiated by RTO	'Enrolment' section in SMS	Min. 30 years past withdrawal date

## 8.0 Related Documents

[International Organisation for Standards ISO/IEC 2700 Information security management systems](#)