

Records Management and Privacy Policy

Responsible Officer	Senior Management Team
Approved by	Senior Management Team
Review by	Andrea Clifford
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Next Reviewed	14/12/2016
Approved and commenced	01/07/2014

1. Purpose

1.1. Scope

To ensure that all records are maintained, stored and accessed according to governing regulations and legislation.

2. Audience

2.1. RTO Stakeholders and Employees

3. Definitions

ASQA	Australian Skills Quality Authority; national vocational education and training regulator.
ESOS	Educational Services for Overseas Students
HESG	Higher Education and Skills Group
Learning	Means the process followed by a learner. There are three types: a) Formal learning refers to learning that takes place through a structured program of instruction and is linked to the attainment of a formal qualification or award (for example, a certificate, diploma or university degree); b) Non-formal learning refers to learning that takes place through a structured program of instructions, but does not lead to the attainment of a formal qualification or award (for example, in-house professional development programs conducted by a business); and c) Informal learning refers to learning that results through experience of work-related, social, family, hobby or leisure activities (for example the acquisition of interpersonal skills developed through several years as a sales representative).
NVR	National Vocational regulator

RTO	Registered Training Organisation
SNR	Standard National Regulator
Student	Means an individual who is receiving, responding to and processing information in order to acquire and develop competence. This incorporates the processes of preparing and presenting for assessment
VET	Vocational Education and Training
VWA	Victorian WorkCover Authority

4. Policy Statement

- 4.1. AGB Training is committed to implementing best practice in its records management practices and systems. The AGB Training Compliance Manager will monitor the maintenance of all student records on AGB Training’s AVETMISS capable student records management database.

AGB Training will provide returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis, or as determined by the National VET Regulator.

AGB Training will comply with all Commonwealth requirements for the implementation of a national unique student identifier within all student records.

5. References

1. Privacy Act 1988 and the Australian Privacy Principles 2014
2. Australian Qualification Framework (AQF) and its Policies
3. Standards for Registered Training Organisations (RTOs) 2015
4. ASQA General directions
5. Education Services for Overseas Students Act 2000
6. Education Services for Overseas Students Regulations 2001
7. National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Student 2007
8. VET Funding Contract Victorian Training Guarantee Program
9. Vic Roads Training Standards
10. WorkSafe Training Standards

6. Procedure

6.1. Student files

All staff employed by AGB Training will be required to apply themselves to the following written procedures and safeguard confidential and personal information according to the Privacy Act 1988 and the Australian Privacy Principles 2014.

- AGB Training staff will record all student fee payments and details of refunds paid in VETtrak.
- Upon enrolment each student's personal details shall be entered into the AGB Training student database (VETtrak).
- Student personal details and records shall be maintained in a current up to date condition, updating of records will be within 24 hours upon advice of changes from a student.
- Students will have their contact details (current residential address, email and contact phone and mobile) reviewed by the student administration officers every 3 months and entered into VETtrak.
- Student records are backed up and maintained electronically at least weekly at an offsite location. All data entered into VETtrak is backed up by OzSoft daily.
- Only AGB Training staff directly involved with student welfare and or student results will have access to personal student details.

6.2. Participant access to records

All students have the right to access their records or student file at any time. This request must be done so in writing to the RTO Manager. Sufficient time must be provided to allow the RTO to retrieve the documents from archiving, if required. The documentation and file remain the property of the RTO to meet their regulatory requirements.

At the end of the retention period students may request that their file be returned to them instead of being destroyed. This request must be in writing to the RTO Manager prior to the completion of the retention period.

6.3. Third party disclosure

A student's enrolment, progress, behaviour and motivation can only be discussed with the student and/or parent or guardian if under the age of 18 years old. If a third party discussion is required written consent must be attained by the student, this can be collected through the use of referral forms or other documentation. No discussions can occur with a third party until this consent is provided.

All students are informed through the privacy notice that their files and data will be provided to regulatory bodies as required under legislation.

6.4. AVETMISS reporting

AVETMISS data for all students whether in receipt of government funding or paying fee for service must be reported through the student management system. AVETMISS data includes student demographics, background characteristics, training and outcomes achieved.

6.5. Privacy standards

Student's files are handled and stored in line with the Privacy Act 1988 and follow the 13 Australian Privacy Principles. All files are stored in a manner that safeguards them against unauthorised access, fire, flood, termites or any other pests, and which ensures that copies of records can be produced if the originals are destroyed or inaccessible.

All archiving is maintained at our Barwon Terrace site in a secure location. All requests to access the archived files must be done so through the Compliance Department.

6.6. Version Control Register

The Compliance Manager monitors the maintenance of control documents through the electronic version control register.

6.7. Archiving processes

Upon completion or withdrawal of a course the students file is audited and then placed into archiving. The file is recorded in the archiving register and then placed into the archiving box. Once the box is full it is stored on-site for archiving until the required retention dates.

The compliance administration team monitor the archive register and when the required retention dates are met they recall the documents. Once the box has been recalled the documents are then destroyed.

All course material including learner assessment packs, trainer and assessor guides, and Training and Assessment Strategies, are electronically archived when updates are made.

All files/documents are destroyed using a document destruction company. Documents are placed in a secured and locked container and collected as required by the destruction company.

6.8. RTO ceases operation or changes to business

The CEO and COO are responsible for ensuring that all business details are maintained and accurately reported to ASQA and HESG. Any changes to addresses, scope of registration and management must be reported to the governing bodies immediately.

If AGB Training ceases operation due to closure, suspension or cancellation of its registration the CEO is responsible for notifying ASQA and any government agencies that provides the RTO with government funding.

A copy of the student management system must be provided to ASQA and all hard copies either destroyed as per Public Records Act 1973 (Vic) or passed on to the CFO to be finalised as per the Australian Tax Office requirements.

6.9. Records retention

The following documents must be retained for the below durations as set by the relevant regulatory body.

Document	Retention duration	Governing body
Assessments	2 years	HESG
Assessment decision	Length of registration (ASQA) 2 years (HESG)	ASQA/HESG
Trainer / Assessment guides	Length of registration	ASQA
Attendance list	2 years	HESG
Business certification documentation	Ongoing	ASQA/HESG/ATO
Certificates	30 years	ASQA/HESG
Complete student file	6 months from course completion	ASQA
Copy of learning material	Length of registration	ASQA
CRICOS approval	Length of registration	ASQA
Fees charged/invoices	7 years	HESG/ATO
File notes	Length of registration (ASQA) 2 years (HESG)	ASQA/HESG
Financial viability risk assessment	7 years	ASQA/HESG/ATO
Fit and Proper Person declarations	Length of registration	ASQA
Internal audits	Length of registration	ASQA

Document	Retention duration	Governing body
Marketing material	1 year past contract completion	HESG
NYC assessments	30 years	ASQA/HESG
Public liability insurance cover	Length of registration	ASQA/HESG
RPL documentation	30 years	ASQA
Sample of assessments per course	Length of registration	ASQA
Samples of learning	Length of registration (ASQA) 2 years (HESG)	ASQA/HESG
SMS data	30 years	ASQA/HESG
Statement of attainment	30 years	ASQA/HESG
Training and Assessment Strategies (TAS)	Length of registration	ASQA
Training plan	Length of registration (ASQA) 2 years (HESG)	ASQA/HESG
Trainer HR documentation including qualification, matrices and current competencies	Length of registration	ASQA
Version Control Register	Length of registration	ASQA
Written Agreement	Length of registration	ASQA