



Department	Vocational Education & Training		Author(s)	RTO Manager	
Quality Controlled Document No. & Title	10.0	Records Management Policy and Procedure	Approved	RTO CEO	
Version	1.2		Authorised	RTO Academic Board	
SRTOs 2015	Standards 2, 6.5 and 8.1, Schedule 5(4) ASQA General Direction: Retention of Completed Student Assessment Items		Distribution	Internal	RTO Staff Admin Support Staff
				External	N/A

1.0 Policy Overview

All records will be kept securely, and confidential information will be safeguarded. Records will be kept to avoid fire, flood, termites or any other pests, and be available for perusal by personnel authorised by the Registering authority.

A backup of all records stored electronically will be kept. Electronic backups are made using an online backup service such as iDrive or Carbonite. The backup process is continuous. A copy to USB of all critical files is also made weekly and kept offsite by the Marriott Academy CEO.

Information about a client will not be disclosed to a third party without the written consent of the client. Procedures will ensure clients have access to their personal records. The organisation's Privacy Policy shall cover all such procedures and requirements.

Marriott Academy shall maintain client records using an AVETMISS compliant electronic database. Should the organisation cease to operate as an RTO, then contact shall be made with the regulatory authority in order to negotiate the transfer of all data as required.

2.0 Backup & Retrieval Schedule

2.1 Learner Enrolments and Results Keep 100% for 30 years

Where Learners have been enrolled on the Administrative Software System, the maintenance of such records shall be deemed to be compliant with regulatory authority requirements.

2.2 Qualifications Keep 100% for 30 years

A record of qualifications issued to each individual Learner shall be retained in a Register. The Register shall be retained both in an electronic and a hard copy format. The electronic version shall be backed-up as per the organisations backup and retrieval policy. The Register must contain information that shall enable the RTO to identify a past client and reproduce the qualification(s) issued to clients. The minimum information requirements are:

- 2.2.1 *Family name and first name*
- 2.2.2 *Residential postcode*
- 2.2.3 *Date of birth*
- 2.2.4 *Enrolment/commencement date*
- 2.2.5 *Code and title of course*
- 2.2.6 *Codes and titles of modules/units of competency*



2.2.7 *Modules/units of competency assessment results*

2.2.8 *Credentials and date issued*

2.2.9 *RTO TOID*

2.3 **Retention of Student Assessments (ASQA)**

Marriott Academy will need to keep sufficient evidence of how the assessment was made so as to justify the decision if there is an appeal. This includes evidence collected for an RPL and/or Credit Transfer process. Where Learner assessment materials are in an electronic format, the RTO will retain all completed assessments for a Learner for the duration of the Learner's enrolment. Where assessments are submitted in hard copy, then all such materials will be retained only for the duration of the appeal period of three (3) months after the result was issued.

Marriott Academy shall securely retain, and be able to produce in full at audit if requested to do so, all completed student assessment items for a student for:

- a period of six months from the date on which the judgement of competence for the student was made

or

- the duration of the student's enrolment
- whichever is the longer period.

2.4 **Apprentices/trainees**

For apprentices/trainees the assessor's completed marking guide/criteria/observation checklists (or the assessment items themselves) shall be retained for each unit of competency for 12 months after the expiration of the apprenticeship/traineeship.

2.5 **Quality Assurance**

A master copy of critical documentation shall be retained both in electronic format and hard copy. The electronic version shall be backed-up in accordance with the organisation's backup and retrieval policy.

2.6 **Personnel Records**

The RTO shall keep on file the following documents for RTO staff, for the duration to their employment, upon cessation of employment, for 12 months after the end of the appeal period:

2.6.1 Certified copies of qualifications

2.6.2 Verified up to date CVs, which must be personally signed.

2.6.3 Staff Qualifications and Experience Matrix, which must be personally signed.

2.7 **Data Entry and Records Management**

2.7.1 Student Enrolments

All students shall be required to complete an enrolment form. Data shall be entered by the RTO Administrative Assistant and a "Client Enrolment Confirmation Report" shall be printed for all students.

A copy of the 'Client Enrolment Confirmation Report' provided to students. Students are required to check all information and make any



changes/modifications as required. The student is required to sign and date the Report.

The RTO Administrative Assistant shall review the signed forms and initial to indicate that all data is correct.

2.7.2 Student Results

All trainers are required to complete and submit an Assessment Record, for each Unit of Competency in which a student has been enrolled in November of the year in which training and assessment has been conducted, or as otherwise directed by the RTO Manager.

Student Assessment Records are required to be signed and dated by the trainer and the student.

On receiving completed hard copies of Assessment Records, the RTO Administrative Assistant shall verify each Assessment Record to ensure that the documents have been completed correctly, and signed/dated as required.

Once Assessment Records have been verified, the RTO Administrative Assistant shall enter student results on the RTO database.

A Student Competency Completion Report shall be printed for each class. Reports shall be provided to students at least three (3) working days prior to end of each semester.

2.7.3 Retention of Student Assessment Records

Hard copies of Student Assessment Records shall be retained for six (6) months after results have been issued, in accordance with the RTO appeals period and ASQA student assessment retention requirements.

2.7.4 Eligible students shall be issued with a Certificate or Statement of Attainment by the end of the first week of February in the year following the submitting of Assessment Records. A Statement of results shall be printed on the reverse side of Certificate qualifications. A Statement of Attainment shall be issued to eligible students who exit the course early, but who have completed one or more accredited Units.

3.0 RTO Policies, Procedures and Forms

3.1 Marriott Academy shall retain all policies, procedures and forms in both MS Word and PDF formats. The PDF version shall be for distribution, the format ensuring that no unauthorised changes are made to any document.

4.0 VET Data Privacy Notice

4.1 The following statement shall be included in the Marriott Academy Student Enrolment Application Form.

When you enrol as a student in a vocational education and training (VET) course, your registered training organisation (RTO) collects personal information so they can process and manage your enrolment.

Your RTO is required by law (under the National Vocational Education and Training Regulator Act 2011 (Cth) (the NVETR Act)) to disclose the personal



information collected about you to the National VET Data Collection kept by the National Centre for Vocational Education Research Ltd (NCVER).

The NCVER is authorised by law (under the NVETR Act) to disclose your personal information to us, the Department of Education, Skills and Employment (the department).

How we handle and use your personal information

The department is authorised by law, including the Privacy Act 1988 (Cth) (the Privacy Act) and the NVETR Act to collect, use and disclose your personal information to fulfil specified functions and activities.

The department will collect, hold, use and disclose your personal information for a range of activities, including:

- administering VET, including program administration, regulation, monitoring and evaluation
- facilitating statistics and research relating to education, including surveys and data linkage
- understanding how the VET market operates, for policy, workforce planning and consumer information.

The department is also authorised by law (under the NVETR Act) to disclose your personal information to:

- another Commonwealth authority
- a person engaged by the Secretary of the department to carry out an activity on behalf of the department, if that authority or person satisfies any prescribed information safeguard rules for such a disclosure.

For information about the department's broader approach to handling personal information across all the areas it administers, please see the department's privacy policy.

To correct your information

If you would like to seek access to or correct your personal information, in the first instance, please contact your RTO.

To make a complaint or ask a question

If you think we may have breached your privacy you may make a complaint at privacy@dese.gov.au. To ensure that we fully understand the nature of your complaint and the outcome you are seeking, we prefer that you make your complaint in writing.

For further information about our complaint handling processes please see our Privacy Complaint Handling Procedures.

If you wish to ask a question about this VET Privacy Notice, please email VET-DataPolicy@dese.gov.au

