

### Objective

The purpose of this policy is to:

- Outline the framework for the management of student records, their storage and quality assurance.
- Ensure the RTO systematically manages the recording, storage, communication, reporting and quality assurance of student records in line with legislative and regulatory requirements.
- Ensures that assessment (including recognition of prior learning) records are recorded and reported in accordance with the Principles of Assessment contained in Table 1.8-1 and the Rules of Evidence contained in Table 1.8-2 of the Standards for RTOs.
- Ensure that the CEAV Institute collects, uses stores, retains, archives and destroys information in our student record files according to the requirements of the funding and registering bodies and the legislative requirements of the Federal and State governments.
- Ensure that handling of student records is consistently inline with the Privacy Principles and that CEAV Institute manages and responds to any data breach or attempt at a data breach.
- Procedures for the effective management of student records are contained in the Assessment Procedure.

### Scope

This policy applies to the CEAV Institute (RTO 22523) including:

- Trainers and assessors
- Records and report staff
- Students
- Work placement organisations
- Managers across ACCE who take placement students.

### Policy

CEAV Institute collects, uses, stores, retains, archives, and destroys information in our student record files according to the requirements of the Commonwealth Privacy Act 1988 and Amendments, the Victorian Privacy Act 2000, Public Records Act 1973 (Vic) (PR Act) and upholds the National Privacy Principles and the Information Privacy Principles.

These principles encompass: Collection, Use and Disclosure, Data Quality, Data Security, Openness, Access and Correction, Unique Identifiers, Anonymity, Transborder Data Flows and Sensitive Information. *(For a summary of these principles refer to the Companion Document: Summary of the National Privacy Principles)*

CEAV Institute will uphold these Principles in the following ways:

#### 1. Collection

CEAV Institute will only collect information as required by its registering and funding bodies (for example AVETMISS data and information required to establish funding eligibility). CEAV Institute will

embed a Privacy explanation and disclosure into the enrolment form and discuss this with the individual at the time of enrolment. All enrolment information will be collected as far as possible from the individual and not from a third party.

### **2. Use and Disclosure**

CEAV Institute will only use an individual's information for its primary purpose (enrolling into a course) and will not pass any information on to a third party, other than that required by its funding and registering bodies, without the individual's written consent.

### **3. Data Quality**

CEAV Institute will ensure wherever possible the information it collects is accurate and up to date. CEAV Institute will check and update data in its Student Management System regularly and have processes by which individuals can have their information updated as required.

### **4. Data Security**

CEAV Institute will protect the personal information it holds from misuse, loss, unauthorised access, modification, or disclosure by limiting access to student files to authorised personnel, safe and secure storage of files and password protected access to the student management system by authorised personnel only.

### **5. Openness**

CEAV Institute has policies and procedures for the collection, storage, use and destruction of student records; these are available to students upon request.

### **6. Access and Correction**

CEAV Institute has a policy and procedure for student access to their records and this information is made available to the student through the Student Handbook. CEAV Institute also has processes for students to update their information if required.

### **7. Unique Identifiers**

CEAV Institute will use the unique student identifying numbers assigned to students by its registering and funding bodies as required by those bodies. CEAV Institute will not disclose these identifiers to a third party without the individual's written permission.

### **8. Anonymity**

Where possible, students of CEAV Institute will have the option of not identifying themselves when providing information, for example Student Satisfaction Surveys.

### **9. Transborder Data Flows**

CEAV Institute will only transfer information outside the state as required by its registering or funding bodies, for example AVETMISS data.

### **10. Sensitive Information**

CEAV Institute will not collect sensitive information about individuals without their consent and only as it applies to their ability to participate during their choice.

## **Collection of Individual Personal Information**

CEAV Institute collects the personal information of individuals for enrolment purposes. This would include proof of age documentation in the form of a Driver's Licence, Learner's Permit or Key Card. This is an organisational decision for integrity of student data. This information is contained in the enrolment form and emergency contact form and in the results entered into the Student Management System. Individuals are to

be informed of CEAV Institute’s policy and procedures for the collection, use, retention, and destruction of their records as well as their right to view and access their personal information as part of the enrolment process. This information is to be included in the Student Handbook.

### **Use of Individual Personal Information**

CEAV Institute will only use individual personal information for its primary purpose, enrolment into courses, the awarding of results/qualifications for those courses and as required by CEAV Institute’s registering and funding bodies. Individual personal information is kept in student files or in the Student Management System.

### **Storage of Student Records**

All personal information relating to a student is to be kept in their individual electronic student file. Student files are only to be accessed by authorised personnel such as RTO Student Services, the RTO Managers, and the relevant course Tutors/Trainers/Assessors. When not required by authorised personnel for updating or auditing purposes, student files are to be kept in locked filing cabinets or cupboards in rooms only accessed by CEAV Institute staff.

Access to the Student Management System is to be limited to authorised personnel, with various levels of access and is to be password protected.

### **Retention of Student Records**

Retention requirements:

<b>Documentation</b>	<b>Time Period</b>
Fee/s and Charges	7 years
Evidence of Eligibility for Funding	7 years
Training Plans	2 years
Financial Records	7 years
Evidence of Participation	2 years
Record of Attainment of Units of Competency	30 years
Record of Attainment of Qualification	30 years

Student files containing enrolment forms, fees and charges, training plans, evidence of participation and assessments are to be archived for 7 years. CEAV Institute will keep a record of student files and their destruction dates.

### **Archiving of Student Files**

Student files will be archived on site for 6 months after the completion of each course. After 6 months, archived files will be moved to the off-site storage facility. CEAV Institute will maintain a record of all archive boxes, their contents and where the boxes are stored to ensure that all files can be found and accessed as required. This is to be maintained and managed by Student Services.

### **Destruction of Student Files**

Files reaching their destruction date will be checked by delegated Education and Training staff, before being dismantled and destroyed. All sensitive documents are to be collected and destroyed by an authorised commercial company specialising in file destruction or by an authorised Education and Training staff on site. CEAV Institute will maintain a record of all files, their planned destruction date and their destruction date.

### Mandatory VET Activity Reporting Requirements

The standards for registration include a requirement that all registered training organisations (RTOs) must collect and report full Australian Vocational Education and Training Management Information Statistical Standard (AVETMISS) data in accordance with the National VET Provider Collection Data Requirements Policy. This includes data on all qualifications and statements of attainment, issued under the Australian Qualifications Framework (nationally recognised training), and applies to both funded and non-funded activity. The Policy outlines the requirements on RTOs in collecting and reporting their nationally recognised training to the National VET Provider Collection which is managed by the National Centre for Vocational Education Research (NCVER).

CEAV Institute collects and reports full AVETMISS data to SVTS on our monthly mandatory funding reporting. SVTS system submits the full data to NCVER.

### Definitions

### Quality Assurance

The RTO Manager and/or the delegated staff member is responsible for the regular review of student records, procedures, and activities. CEAV Institute has in place a range of quality assurance systems and mechanisms to ensure that student records are maintained and reported accurately.

### Related Documents

- Student Records Procedure
- Student Access to Records Procedure
- Student Access to Records Form
- Summary of the National Privacy Principles
- Student Portal
- Trainer Portal
- Assessment Cover Sheet and Feedback Form
- Assessment Validation and Moderation Policy
- Assessment Validation and Moderation Procedure
- Competency Assessment Sheet
- Student Complaints and Appeals Policy
- Student Complaints and Appeals Procedure

### Related Legislation

- Education and Training Reform Act 2006
- National Vocational Education and Training Regulator Act 2011, including the July 2020 amendments
- Commonwealth Privacy Act 1988 and Amendments National Privacy Principles

- Victorian Privacy Act 2008
- Privacy and Data Protection Act 2014 (Vic)
- Public Records Act 1973

**Approved by**

*The Committee of Management*

<b>Signed:</b>		<b>Date:</b>	02/02/2021
----------------	---	--------------	------------

**Review date**

**Effective from:** February 2021

**Review date:** February 2024