

Records Management Policy

RTO Number 90198

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Contact	Executive Manager, NSW Health RTO
Consultation	NSW Health RTO Strategic and Steering Committee NSW Health RTO Operations and Compliance Committee
Applies to	NSW Health RTO
Related Policies	<ul style="list-style-type: none"> • Issuance of Certification • Student Management • Smart and Skilled • Training and Assessment • NSW Health Records Management Policy Directive • NSW Health Privacy Management Plan PD2015-036
Related Procedures	<ul style="list-style-type: none"> • Privacy • Capturing and Recording Student AVETMISS Information • Capturing and Recording USI • Managing Student Files • Issuance of Certification • Re-Issuance of Certification • Smart and Skilled • Student Enrolment
Forms and supporting documents	<ul style="list-style-type: none"> • RTO Filing Structure for VET Programs and Student Files • RTOEO Master Certificate Register • RTOEO Replacement Certificate Register • RTOEO Checklist for Issuance of Certification
Review date	4 February 2022

DOCUMENT HISTORY

Version	Issued	Author	Reason for Change
v2.0	February 2019	RTOEO	Set up a Standalone Policy and removed the Procedures to standalone documents
v3.0	March 2019	RTOEO	Addition of VET Student Loans Specific information
v3.1	May 2019	RTOEO	Addition of Student Management Policy and Student Enrolment Procedure
v3.1a	August 2019	RTOEO	Amended the titles of the RTO new Committees
v3.2	October 2019	RTOEO	Change from bullet points to numbering.
v3.3	March 2020	RTOEO	Addition of transfer of VET Student records to another RTO and destruction of personal information collected for the purpose of making an application. Updated record retention requirements for nursing qualifications vs non-nursing.
v3.4	February 2021	RTOEO	Added record retention requirements, item 28 – record retention requirements for audit purposes.
3.5	October 2021	RTOEO	Added online record keeping requirements

Issued by the Executive Manager, NSW Health RTO under the authority of the Chief Executive (CE)

Definitions

ARS	Assessment Record Summary
ASQA	Australian Skills Quality Authority, National Regulator for RTOs
Assessment	The process for collecting evidence and making judgements on whether competency has been achieved, to confirm that an individual can perform to the standard required in the workplace, as specified in a training package or VET accredited course.
Assessment Tools	<p>Includes, context and conditions of assessment, tasks to be administered to the student, an outline of the evidence to be gathered from the candidate and evidence criteria used to judge the quality of performance (i.e. the assessment decision-making rules). This term also takes in the administration, recording and reporting requirements, and may address a cluster of competencies as applicable for holistic assessment.</p> <p>NSW Health RTO uses the following documents:</p> <ul style="list-style-type: none">• Student Assessment Workbook (SAW)• Assessment Decision Criteria (ADC)• Competency Mapping Matrix (CMM), and• Associated policies, procedures and guidelines
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard.
Certificate	Issued to students who complete a full qualification (i.e. deemed competent for each UOC within the qualification).
CT	Credit Transfer.
MHL	My Health Learning – The NSW Health state-wide learning management system (LMS) that is used to manage student enrolments and progressions.
Program	AQF Qualification, Skill Set, Skill Cluster and standalone Unit of Competency, as well as accredited full and short courses and modules.
ROR	Record of Results – Issued with the Certificate. This document lists all the UOCs attained for the qualification.
SOA	Statement of Attainment - Issued to students who complete one or more UOCs including a skill set/skills cluster, stand-alone Unit of Competency or partially completes a full qualification.
RTOEO	NSW Health RTO Executive Office.
UOC	Unit of Competency.
USI	Unique Student Identifier.
VET	Vocational Education and Training.
VSL	VET Student Loans
VET Products	AQF Qualification, Skill Set, Skill Cluster and standalone Unit of Competency.

Purpose

NSW Health RTO may collect information, in the course of its business, from students, staff or persons seeking to enrol in RTO programs. Information may be collected either electronically, in hard copy format or by other means, including information that personally identifies individual users. It may also record various communications between individuals and the RTO.

The RTO manages all records associated with the operations of the RTO accurately and with integrity to meet the requirements of the VET Quality Framework, including the Standards for RTOs 2015 and all legislative and contractual requirements.

Scope

1. This policy applies to all staff including, any person working in a permanent, temporary or casual capacity, whether full time or part time, including volunteers, consultants, contractors, visiting staff (paid or honorary), board and advisory committee members and any person performing a public official function.
 2. Staff are required to comply at all times with this policy and procedures and with the NSW Health Privacy Management Plan PD2015-036.
 3. This policy applies to all personal information collected and all records associated with the operations of NSW Health RTO, including student and staff records.
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Policy

In managing records, NSW Health RTO will ensure that:

1. Privacy requirements as specified in the Australian Privacy Principles (APPs) set out in the Privacy Act 1988 (Cth) as amended by the Privacy Amendment (Enhancing Privacy Protection) Act 2012, the NSW Health Records Management Policy Directive, and the Health Records Management including data collection, registering and reporting requirements are met when collecting information from all clients, including staff and students.
2. Only authorised staff can access records.
3. All paper-based RTO records are kept in a secure location and are archived according to this Policy, Managing Student Files Procedure and the NSW Health Records Management Directive.
4. Electronic records are stored and kept securely on a file server/database that is routinely backed up by relevant server.
5. All current versions of policies, procedures, guidelines and templates are kept electronically on the password secured section of the NSW Health RTO web site. Where relevant, students will be provided with access to these documents.
6. It provides data as required and upon request to ASQA and funding bodies.
7. All students (internal and external) undertaking VET qualifications or single UOCs through NSW Health RTO delivery sites must complete their AVETMISS data requirements and obtain a Unique Student Identifier (USI) prior to, or on enrolment. No Student is to commence training until USI and AVETMISS data is successfully entered in My Health Learning.
8. NSW Health RTO will meet the requirements of the Student Identifier Scheme.

9. All Student information in the LMS must satisfy AVETMISS requirements and is submitted to NCVET each year before the end of February for the previous calendar year's training activity.

Privacy and Confidentiality

10. All records will be kept confidential to safeguard information and to protect the privacy of students and staff.
11. Results for students who are employees of NSW Health will be made available to the employee's manager.

Collection and use of Personal information

12. Personal information from individuals will only be collected using fair and lawful means.
13. Only information that is necessary for the functions of RTO will be collected.
14. Sensitive information will only be collected with the consent of the individual and if that information is reasonably necessary for the functions of the RTO.
15. Information requested from individuals by NSW Health RTO will only be used to provide details of study opportunities, to enable efficient course administration, to maintain proper academic records, to assess an individual's entitlement to government assistance and to report to government agencies as required by law.
16. If an individual chooses not to provide information, NSW Health RTO may be unable to enrol that person in a course or supply them with appropriate information.
17. NSW Health RTO will destroy any personal information collected from an individual solely for the purpose of making an application to undertake a program, as soon as practicable after the application is made or it is no longer needed for that purpose, unless required by or under any law to retain the information.

Transfer of VET student records to another registered training organisation

18. NSW Health RTO will notify ASQA if VET student records relating to a VET student are transferred to the organisation from another registered training organisation.

Disclosure of personal information

19. Personal information about students may be shared with the Australian and New South Wales (NSW) State Governments and designated authorities including the Australian Skills Quality Authority (ASQA), the Commonwealth Department with responsibility for administering the Vet Student Loans Act 2016, the NSW Department responsible for administering the Smart and Skilled Program or the VET in Schools Program, organisations and contractors that deliver courses in conjunction with NSW Health RTO. This information includes personal and contact details, course and unit enrolment details and changes.
20. NSW Health RTO will collect the personal information required under the Data Provision Requirements 2012 and to disclose that personal information to the National Centre for Vocational Education Research Ltd (NCVER).
21. Personal information will not be disclosed unless:
 - the individual concerned is reasonably likely to have been aware, or made aware that information of that kind is usually passed to that person or organisation;

- the individual concerned has given written consent to the disclosure;
 - NSW Health RTO believes on reasonable grounds that the disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or of another person;
 - the disclosure is required or authorised by or under law;
 - the disclosure is reasonably necessary for the enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue.
22. Where personal information is disclosed for the purposes of enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the purpose of the protection of the public revenue, NSW Health RTO will include in the record containing that information a note of the disclosure.
23. Any person or organisation that collects information on behalf of NSW Health RTO or to whom personal information is disclosed will be required to not use or disclose the information for a purpose other than the purpose for which the information was collected by them or supplied to them.

Students' and Program Record Retention Requirements

24. NSW Health RTO has a systematic process in place for the retention of records as per the NSW Health Records Management Policy.
25. For audit purposes:
- 25.1 **All RTO records must be kept**, reviewable and able to be updated based on RTOEO requirements and audit results or legal requirements, for **at least 7 years** from enrolment.
- 25.2 **Nursing student records** must be kept, reviewable, based on RTOEO requirements and audit results or legal requirements, **indefinitely**.
26. Records of **Assessment Record Summaries, Certificates, Record of Results and Statements of Attainment** must be kept for at least **30 years** so that students may be reissued with replacement certificates at any time during this 30-year period.
27. Retention **of student assessment items** for all students and for all assessment tools must be kept for a minimum of 3 years from the time a student is deemed competent.
28. Where possible, copies of student assessments are kept electronically in a secured location with password protection.
29. Original documents of student assessment items must be returned to students as soon as possible after assessor feedback and marking.
30. In the event that NSW Health RTO ceases to exist, NSW Health RTO will provide all student records to ASQA in an electronic form where possible.

Student Right to Access and Correct Records

31. Students can access their records at a mutually agreeable time and at no cost.
32. If an individual considers their personal information to be incorrect, incomplete, out of date or misleading, they can request that the information be amended in writing.
33. Where a record is found to be inaccurate, a correction will be made as soon as practical.
34. There is no charge for making a request to correct personal information.

Issuing Qualifications and Records of Results

35. A register of all Certificates and SOAs issued is kept electronically at NSW Health RTO Executive Office.
36. Records for Nursing qualifications issued will be retained for the working life of students/employee.
37. Records for other certifications (other than nursing) issued will be retained **for a minimum of 30 years**.
38. NSW Health RTO will provide reports of records of certifications issued to ASQA as required.

NSW Health Registered Training Organisation

St Leonards NSW

Level 2, 1 Reserve Road
St Leonards NSW 2065

Office hours:
Monday to Friday
8:00am – 5:00pm

T: 02 9844 6551

E: hsnsw-rto@health.nsw.gov.au

W: heti.nsw.gov.au/nswhealthrto
