



OSCAR INSTITUTE

RTO :21118

Record Keeping and Access



Table of Contents

1. Purpose.....	3
2. Scope.....	3
3. Trainers & Assessors.....	3
4. General Principles.....	4
5. Access to Records Procedure – Request made by Student or Staff Member.....	8
6. Access to Records Procedure – Request made by Another Party.....	9
7. Access to Records Procedure – Request made by ASQA.....	10
8. Destruction of Records Procedure.....	10
9. Record Management upon the Cessation of Operations Procedure.....	11



Record Keeping and Access

Purpose

Oscar institute recognise our obligation to retain certain records from our delivery of training and assessment services and we are committed to maintaining a well-structured records management system that ensures compliance with legal, regulatory and quality assurance requirements. This policy also establishes procedures for record retention, access and destruction, supporting operational excellence and the integrity of our training and assessment services.

Scope

This policy applies to:

- All staff; and
- All training, assessment, financial, administration and operational records.

Responsibilities CEO

- Ensures compliance with legislation, regulations and Standards for RTOs.
- Authorises record destruction after retention periods have lapsed.

RTO Manager

- Oversees the record retention, storage, management and backup processes.

Administrative & Support Staff

- Maintains student administrative records.
- Facilitates and processes record access requests from staff, learners and third-parties.

Trainers & Assessors

- Evaluates the adequacy of record storage and handling processes, recommending improvements in alignment with the continuous improvement policy, as required.
- Collects and document learner records and assessment outcomes accurately.
- Records detailed assessment feedback to substantiate assessment decisions.



- Maintains accurate and timely updates on student progress.

General Principles

At Oscar institute, we aim to:

- Be compliant with the requirements of and best practice management in line with:
 - o The ATO requirements for financial records;
 - o Fair Work's requirements for employee records;
 - o ASQA's general direction on record retention for completed student assessment items.
- Automate processes to minimise human error in data entry.
- Maintain all records in digital format, ensuring physical records are scanned and securely destroyed.
- Verify data accuracy upon entry into our systems.
- Implement security measures to prevent unauthorised access, loss or damage.
- Back up all records monthly to a secure cloud-based system.
- Ensure records are easily retrievable for internal or external use.
- Facilitate access to records for staff, learners or authorised third parties in a systematic and legal manner.

Types of Records to be Retained and Retention Periods

The following records are to be retained in a safe and secure location:

- RTO management and operations records – to be retained for a period of at least 5-years:
 - o Policies and procedures manuals
 - o Financial records
 - o Staff records, including:
 - Contractor or Employee Details Form
 - Employment Contract or Contractor Agreement



- Information of the qualifications held by the staff member (originals to be sighted and verified by the CEO and then returned to the staff member)
- National Police Check or Working with Children Check (if required)
- Professional Development (PD) Plan and the evidences of PD
- Resume
- Staff Induction Checklist
- Staff Reference and Credentials Check
- Superannuation Choice form (if an employee)
- Tax File Number Declaration form (if an employee)
- Trainer Matrix
- o Validation and moderation schedule and records
- o Records of industry engagement and stakeholder consultation
- o Records of internal audits and risk management
- o Records of advertising and marketing campaigns
- o Records of meetings
- o Written records of any critical incidents and remedial actions taken
- o Third-party agreements
- Learner administrative information – to be retained for a period of at least 5-years:
 - o Enrolment forms
 - o Confirmation of Enrolment documents
 - o Direct debit forms
 - o Payment Refund forms
 - o Extension and support requests
 - o Medical certificates



- Completed assessment records – to be retained for a period of at least 2-years from the date the learner completes their training program, or a period of at least 7-years for training products that relate to High Risk Work Outcomes:
 - o Completed assessment tools – that is the actual assessment tool the student used for assessment that contains their responses
 - o Marking guides
 - o Feedback forms
 - o RPL tools
 - o Assessment Checklists
- Learner personal and sensitive information – to be retained for a period of at least 30- years, such as:
 - o Full name
 - o Date of birth
 - o Address and contact details

Refer to our Privacy Protection policy for more details on what constitutes as personal and sensitive information.

- Learner training and assessment outcomes – to be retained for a period of at least 30-years

from the date the learner completes their training program:

- o Training and assessment (including any RPL) outcomes
- o Training start and end dates
- o Course and unit code and titles
- o Credit transfer information
- o Unique Student Identifier (USI) number
- o Information contained in their Qualification or Statement of Attainment documents. does not keep physical or electronic copies of a learner’s Qualification or their Statement of Attainment documents. This helps protect the integrity of the issued Qualification or Statement of Attainment documents and reduce the risk of any unauthorised duplication or fraud.



- o The reason they are undertaking the training
- o Any apprenticeship or traineeship information (if applicable)
- o Commencing program identifier
- o Training delivery location and mode
- o Funding source
- o STA funding information (if applicable)
- Training and assessment resources and tools – to be retained for a period of at least 5- years:
 - o Training and assessment strategy for each training product
 - o Learning resources such as PowerPoint presentations, workbooks and learning texts
 - o Assessment mapping plan
 - o Assessment tools (every version developed)
 - o Marking guides (every version developed)
 - o Session plans

Compliance

This policy aligns with Standards for RTOs 2025:

- Standard 4.1 – The RTO operates with integrity and is accountable for the delivery of quality services.
- Standard 4.2 – Roles and responsibilities are clearly defined and understood.
- Standard 4.3 – Risks to VET students, staff and the RTO are identified and managed.
- Standard 4.4 – The RTO undertakes systematic monitoring and evaluation to support the delivery of quality services and continuous improvement.
- Compliance Requirements – information management.

Failure to comply with this policy can have serious consequences, including but not limited to:



- For the RTO – non-compliance with regulatory standards, operational inefficiencies and data integrity issues, and penalties or reputational damage.
- For Staff Members – staff found to have knowingly or negligently failed to comply with this policy and any associated legislative or regulatory requirements may face disciplinary actions.
- For Learners and Clients – non-compliance could lead to issues accessing information we hold about them and their training and assessment outcomes.

Continuous Improvement

- An internal audit is to be conducted at least once per year to assess our compliance with this policy and the relevant legislative and regulatory requirements. The audit schedule is outlined in our Continuous Improvement Schedule and areas for improvements are documented in our Continuous Improvement Register.
- Feedback from staff, learners, clients and industry stakeholders will be used to inform improvements to compliance processes and the effectiveness of our operations.

Related Documents

- Continuous Improvement Register
- Continuous Improvement Schedule
- Staff Archive Record
- Staff Information Release Form
- Student Archive Record
- Student Handbook
- Student Information Release Form

Access to Records Procedure – Request made by Student or Staff Member

1. Request submission

- i. Learners requiring access to their records are to complete a Student Information Release Form – which can be obtained from the Administrative & Support Staff.
- ii. Staff who require access to their records are required to complete a Staff Information Release Form – which can be obtained from the Administrative & Support Staff.



2. Acknowledge request

- i. A letter confirming receipt of their request for information is to be sent within 2 business days informing we will facilitate access to records in a systematic and legal manner within 2 business days.

3. Respond to request

- i. The Administrative & Support Staff is to assist the learner to facilitate prompt access and we are to organise for the learner to access their records within 2 business days.

Access to Records Procedure – Request made by Another Party

1. Request submission

- i. Where another party is requesting access to a learner's records, they are required to complete a Student Information Release Form – which can be obtained from and submitted to the Administrative & Support Staff.
- ii. Where another party is requesting access to a staff member's records, they are required to complete a Staff Information Release Form – which can be obtained from and submitted to the Administrative & Support Staff.

2. Acknowledge request

- i. A letter confirming receipt of their request for information is to be sent within 2 business days informing them that we will seek approval from the learner or staff member to release the requested information and the potential turnaround time is approximately 10 business days.

3. Respond to request

- i. The Administrative & Support Staff is to contact the learner or staff member via e-mail informing them of the information request received and to seek permission from the learner or staff member to release this information.
- ii. The learner or staff member is to be instructed to respond with instructions via e-mail as to whether they agree to or reject the release of information to the other party.
- iii. If approved: Once a response is received from the learner or staff member, we are to release the information to the requesting party within 2 business days.



- iv. If rejected: Once a response is received from the learner or staff member, we are to inform the requesting party that the learner or staff member has declined their request for release of information within 2 business days.

Access to Records Procedure – Request made by ASQA

1. Request submission

- i. Where we receive a request from ASQA for learner information, a note is to be left on their file together with the official communication from ASQA requesting for the student's information.

2. Learner informed

- i. A letter informing the student that ASQA has requested for information, our obligations as an RTO and the type(s) of information requested is to be sent out within 1 business day.

3. Respond to request

- i. The Administrative & Support Staff is to provide ASQA with the requested information within 1 business day, unless extenuating circumstances apply such as the CEO being in hospital or our systems (which we hold subscriptions to and are not the end owners of) are inaccessible due to maintenance. In which case, we are to communicate the reasons as to why and request for an extension.

Destruction of Records Procedure

1. Confirm retention period

- i. Confirm the retention period of the record type, as specified in this policy above to determine whether it is operationally sound and lawful for us to destroy the specific record.

2. CEO approval

- i. The CEO is the only person authorised to destroy the records after the retention period has lapsed.
- ii. Approval must be obtained from the CEO to destroy the specific record.

3. Record management



- i. The student's file must be updated to indicate that a particular record has been destroyed.

Record Management upon the Cessation of Operations Procedure

1. Download records

- i. All student records are to be downloaded from our Student Management System in .csv format.

2. Send the files to ASQA

- i. Forward ASQA an electronic copy of the records for each student who was enrolled in a course during the RTO's entire period of registration within 30 calendar days of the date the cessation taking effect which contains:

- Full name
- Date of birth
- Address (including post code)
- Student ID number
- Unique Student Identifier (USI)
- Training start and end dates
- Training and assessment outcomes
- Code and title of qualifications
- Code(s) and title of unit(s) of competency(ies)
- Date the Qualification or Statement of Attainment documents were issued