

1. Purpose

All due professional care and respect will be given to the confidentiality of Vocational Education and Training information acquired during the operation of Mentor Human Resources Pty Ltd (Mentor) as a Registered Training Organisation and staff members will ensure conformity to all relevant privacy legislation.

Student records comprise all information relating to individual students in all forms including hard copy and electronic records. Mentor only collects information from a student which is relevant to their training, progress and course delivery. All training and assessment achievements are recorded.

2. Compliance Referencing

Mentor is bound by the *Privacy Act 1988* and *Information Privacy Act 2000* and has adopted the *Information Privacy Principles* contained in privacy laws as the minimum standards in relation to handling personal information in the provision of its services.

Standards for RTOs 2015; Standards 3 and 4

3. Storage of Information

The Manager is responsible for management of all Mentor student records. All students enrolment details and evidence of participation, are recorded manually (in an individual student file) and/or electronically. Results of assessment are entered on both records.

All student evidence is scanned onto Mentor secure server. Electronic results are entered into the student management system, maintained on a secure server which is backed up on a daily basis and are to be accessible for up to 30 years.

A student record may include the following:

- Enrolment form
- Pre-Training Review
- LLN assessment
- Eligibility Form – for Funded Students
- Training plan
- Attendance records
- Assessment tasks
- RPL/Credit Transfer application where applicable
- Statement of Attainment/Certificate
- Proof of identification

4. Management of Student Records

Mentor Administration staff manage student records and information. Access to student records and student management systems used by Mentor and external bodies is restricted to these positions.

All Training Services delivered by Mentor to students must be supported by Evidence of Participation (EOP) for each unit of competency, such that a reasonable judgement regarding the students participation in Training Services can be made.

Mentor will document evidence of engagement by the Student in the learning and/or assessment activity by maintaining EOP on the student's hard copy or online file.

EOP will contain the Students name or identification number, a unit of competency identifier and a date expressed in day/month/year format.

Mentor will ensure that following minimum specifications will be met in relation to evidence of student engagement in learning and/or assessment activity:

- If the period between the Activity Start Date and Activity End Date (inclusive) of the unit of competency is one (1) month or less, one (1) point of EOP per unit of competency must be provided; or
- If the period between the Activity Start Date and Activity End Date for the unit of competency is greater than one (1) month, two (2) points of EOP per unit of competency must be provided:
 - One (1) point must be within the first month and one (1) point must be within the last month of learning and/or assessment as identified by the reported Activity End Date.
 - The two (2) points of EOP provided must be two different items of evidence

Mentor ensures that the only points of EOP that will be acceptable are:

- Evidence of work submitted relating to engagement by the Student in the unit of competency.
 - At a minimum, this evidence must contain the Students name or identification number, a unit of competency identifier and a date expressed in day/month/year format.
- Mentor's Trainer notes based on communication between the trainer and Student, establishing the Students involvement in the learning and/or assessment activity of the unit of competency:
 - This includes personal interviews, telephone, e-mail, or other communication modes on the engagement of a student in learning and/or assessment activity of the unit of competency. This may include reference to notes from another person working alongside the trainer, for example an industry expert or workplace supervisor;

- A Training Provider endorsed attendance roll:
 - The roll must be recognised by Mentor as a tool to record attendance as a part of its normal processes; contain the signature and name of the Trainer who conducted the training sessions, and the date; and show that the actual unit of competency was delivered at the point at which the student is marked on the roll (i.e. endorsed each time the Student is marked on the roll). Where the roll indicates that the student has only attended the first class of an enrolment period, Mentor will provide supporting documentation demonstrating that there was engagement in the learning and/or assessment activities of the unit of competency during that class.
- Primary documentation that provides evidence of assessment:
 - Primary documentation is a secure record that indicates an actual result consistent with assessment. Evidence of a Students results must have an endorsement at the unit of competency level that confirms the accuracy of the information such as the signature of the Mentor Trainer, their name and position. For all RPL outcomes, only the primary assessment tool used for any skills recognition assessments will be accepted.
- Login and engagement with learning and/or assessment activity required for the unit of competency
 - Where a Student has a secure login to specific learning and/or assessment activity (for the unit of competency) in which they are enrolled, the login record demonstrating on-line engagement with the learning and/or assessment activity can constitute Evidence of Participation. The login record must evidence the Student undertaking learning and/or assessment activity. A login record indicating the student received training materials alone is not sufficient Evidence of Participation. Records must also indicate that Mentor has checked with the Student that they are continuing to engage across the unit of competency

5 Withdrawal

All withdrawals (Outcome Identifier – National Code “40”) must be reported within the year of the scheduled commencement in training and no later than two months from the point of withdrawal, unless extenuating circumstances prevent this from occurring (or by the final data submission date for the collection year as advised by the Department, whichever is earliest)

When withdrawing a Student from formal training. There are four possible scenarios by which a student withdraws from a Program Enrolment.

1. The student has engaged in some learning activity and or assessment, and has then notified the training provider of their withdrawal before finalisation of the requirements for successful completion of the Program Enrolment (‘Formal Withdrawal’);
2. The student has engaged in some learning and/or assessment activity, and then stopped attending or submitting assessments (i.e. discontinued) without notifying the training provider (‘Apparent Withdrawal’);
3. The student has engaged in some learning activity and or assessment, and has then negotiated a deferral of studies (with an intent to resume at a later date in the same Program Enrolment) with the Training Provider before finalisation of the requirements for successful completion of the Program Enrolment (‘Deferral’); or

4. The student has not engaged in any learning and or assessment activity for the program.

When withdrawing a student, Mentor will ensure that the students is always withdrawn from:

- Program Enrolment – Qualification
- Subject Enrolment – Unit of competency

Program Enrolment:

When withdrawing a Students Program Enrolment, Mentor will first ascertain the type of withdrawal it is. There are 3 types of withdrawal.

- Formal Withdrawal (Official)
 - If a student advises a training provider (verbally or in writing) that they will not be continuing in a program enrolment, this constitutes a formal withdrawal.
- Apparent Withdrawal
 - If a student fails to advise a training provider (verbally or in writing) that they will not be continuing in a program enrolment but discontinues training with the provider this constitutes an apparent withdrawal. At what point this occurs is up to the individual provider.
 - It is expected that, when becoming an aware of an apparent withdrawal (such as a student ceasing to attend classes), training providers will attempt a reengagement process before undertaking a withdrawal process.
- Deferral
 - If a student and a training provider agree (verbally or in writing) that the student's engagement in their current Program Enrolment will pause for a specified period of time, and then re-start under the same or similar terms and conditions, this would constitute a deferral. A deferral may later become either an apparent or a formal withdrawal.

Once Mentor is aware of the withdrawal type, admin staff will update the Student Management System changing the Enrolment from Active to withdrawn and then changing the program enrolment status to either:

- Withdrawn Official (40)
- Withdrawn Apparent (41)
- Withdrawn Deferred (42)

Subject Enrolment:

When withdrawing a Students Subject Enrolment, Mentor will first ascertain the type of withdrawal it is. There are 3 types of withdrawal.

- **Formal Withdrawal (Official)**
 - If a student advises a training provider (verbally or in writing) that they will not be continuing in a program enrolment, this constitutes a formal withdrawal.
- **Apparent Withdrawal**
 - If a student fails to advise a training provider (verbally or in writing) that they will not be continuing in a program enrolment but discontinues training with the provider this constitutes an apparent withdrawal. At what point this occurs is up to the individual provider.
 - It is expected that, when becoming an aware of an apparent withdrawal (such as a student ceasing to attend classes), training providers will attempt a reengagement process before undertaking a withdrawal process.
- **Deferral**
 - If a student and a training provider agree (verbally or in writing) that the student's engagement in their current Program Enrolment will pause for a specified period of time, and then re-start under the same or similar terms and conditions, this would constitute a deferral. A deferral may later become either an apparent or a formal withdrawal.

Once Mentor is aware of the withdrawal type it is it then will do one of the following:

Withdrawn Official and Withdrawn Deferred

- Mentor will withdraw the subject enrolment in its Student Management System using the official date of withdrawal either indicated on Mentor's withdrawal form or the date of correspondence from the student to Mentor indicating their withdrawal. Mentor will determine the hours the students attended formal training and update the hours claimed accordingly.

Withdrawn Apparent

- Mentor will withdraw the subject enrolment in its Student Management System using the last date the student attended that subject (note there could be a different withdrawal date for each subject). Mentor will determine the hours the students attended formal training and update the hours claimed accordingly.

6. Security

Student records are stored securely in accordance with the *Public Records Act 1973* and *Information Privacy Principle 4*.

Hard-copy student records: Stored in secure filing cabinet in-house.

Electronic student records: Standard procedures are applied to ensure the security of data held on computers.

These include, but are not limited to:

- Established security access levels
- User identification and password codes
- Cyclical changes to passwords
- Established frequencies for backup of data

7. Archiving

All student records will be archived electronically and kept for 30 years. No student records are deleted before this time, in line with any Service Agreement and Standards for Registered Training Organisations (RTOs) 2015 requirements.

Hard-copy student records older than 12 months are stored electronically on server. Any interim hard-copy files which have not yet been scanned into storage on server are held securely on the premises. All records are accessible for audit purposes.

Mentor will delete related video links for superseded courses to minimise data storage; the identifying link within the actual program will remain for reference.

8. Release of Student Information

Mentor does not release any student enrolment details or results to any party, including employers, without the consent of the student.

Information will only be released in accordance with an authorisation signed by a student. The signed authorisation shall be retained on the student's file.

Students are entitled to access any information on their personal and training records in accordance with Privacy Legislation and *Information Privacy Principles 5-7*. Applications for release of information should be made in writing to Mentor on the Request for Copies of VET Information form.

Students must allow ten working days for the requested information to be supplied.

9 WorkSafe Courses

Mentor delivery of WorkSafe approved courses will ensure that course records be maintained for seven years and will be made available for inspection at the request of WorkSafe Victoria.

10. Related Documents

Enrolment form
Training plan
Attendance records
Assessment tasks
RPL/Credit Transfer Application
Request for Copies of VET Information form
Statement of Attainment/Certificate