

# Records Management and Issuance of Certification Policy and Procedure

## Purpose

The purpose of this policy is to ensure that Communicare RTO maintains a robust, outcome-focused records management system that:

- Supports the delivery of quality training and assessment outcomes
- Ensures accuracy, integrity and accessibility of data
- Enables effective self-assurance, monitoring and continuous improvement
- Meets all requirements under the 2025 Standards for Registered Training Organisations, including Outcome Standards, compliance requirements and reporting obligations

## Scope

This policy applies to:

- All staff, contractors, trainers, assessors and third-party providers
- All student, training, assessment, compliance and business records
- All formats (digital and hard copy)
- All systems, including eSkilled SMS, LMS and the Course Content Creator

## Definitions

**Record** – Information created or maintained as evidence of training delivery, assessment, decision-making or business activity.

**Records Management System** – The coordinated processes, systems and controls used to manage records across their lifecycle.

**Outcome-Focused Compliance** – An approach where the RTO demonstrates how systems and practices result in quality learner outcomes, rather than relying solely on documented procedures.

**eSkilled SMS/LMS** – Communicare RTO's integrated system for learner management, training delivery, assessment and recordkeeping.

**eSkilled Course Content Creator** – A content development platform used to design, update and manage online learning modules, which are exported as SCORM packages and uploaded into the eSkilled LMS.

## Policy

### Outcome-Focused Records Management

Communicare RTO maintains a records management system that demonstrates:

- Learner progression, participation and outcomes
- Integrity and validity of assessment decisions
- Accurate certification and reporting
- Continuous improvement based on evidence

### Records as Evidence of Quality and Compliance

All records must provide reliable evidence of:

- Training and assessment delivery
- Learner engagement and progression
- Trainer and assessor activity
- Industry engagement and third-party delivery
- Compliance with regulatory and reporting obligations

The RTO uses these records to:

- Monitor performance
- Inform decision-making
- Demonstrate outcomes during audit and self-assurance processes

### Records Lifecycle Management

Communicare RTO manages all records across a defined lifecycle:

- Creation
- Storage
- Access
- Use
- Retention
- Disposal

This ensures clarity on:

- What records are required
- How long they are kept
- Who can access them
- How they are securely managed

## Digital System Integrity (eSkilled)

Communicare RTO operates a fully integrated digital records system:

- eSkilled LMS – captures learning and assessment activity
- eSkilled SMS – stores learner data, outcomes, certification and AVETMISS data
- eSkilled Course Content Creator – used to design, update and version online learning content prior to SCORM upload into the LMS
- The system ensures:
  - Real-time and accurate data capture
  - Centralised and controlled recordkeeping
  - Role-based access for all users
  - Regular system backups and data recovery capability, through the provider
  - Availability of evidence for monitoring, audit and reporting
  - Version control of learning materials through SCORM updates
  - Alignment between approved training content and learner-facing materials
  - Evidence of continuous improvement through documented content updates

## Data Accuracy, Integrity and Use

Communicare RTO ensures:

- All records are accurate, current and complete
- Data reflects actual training and assessment practices
- Learning materials and SCORM content reflect current training package requirements and approved updates
- Records are used to:
  - Monitor learner outcomes
  - Identify risks
  - Drive continuous improvement

## Security and Confidentiality

The RTO will:

- Protect records from unauthorised access, loss or damage
- Apply role-based access within eSkilled
- Maintain confidentiality of student and staff information
- Only release information with informed consent of the individual or where required by law or regulatory authority

## Accessibility and Transparency

Communicare RTO ensures:

- Records are accessible to authorised personnel when required
- Learners can access their own records upon request
- Records are readily available for audit, review and reporting
- Learners are provided access to their records within a reasonable timeframe upon request

## Retention and Disposal

Retention periods are documented in the Records Retention and Disposal Schedule, where Records are retained and disposed of in accordance with:

- Regulatory requirements
- Reporting obligations
- Organisational needs

## AVETMISS and Data Reporting

Communicare RTO ensures:

- Accurate capture of AVETMISS data within eSkilled SMS
- Annual submission to NCVET by 28 February
- Availability of supporting evidence for all reported data
- Ongoing validation of data accuracy

## Issuance of Certification

Communicare RTO ensures that Australian Qualifications Framework (AQF) certification documentation is issued in accordance with the 2025 Standards for RTOs, the AQF Qualifications Issuance Policy, and regulatory requirements.

Certification will:

- Only be issued to learners who have been assessed as meeting all requirements of the training product
- Be issued within 30 calendar days of the learner being assessed as competent and completing the training product
- Only be issued where all agreed fees have been paid
- Only be issued once the learner's Unique Student Identifier (USI) has been verified (unless an exemption applies)

Communicare RTO ensures that:

- All certification issued is accurate, complete and aligned with AVETMISS data
- Records of certification issuance form part of the RTO's records management system and are retained in accordance with regulatory requirements

## Governance and Accountability

Communicare RTO ensures:

- Clear responsibility for records management at all levels
- Ongoing monitoring of system effectiveness
- Use of records in governance, risk management and decision-making

## Procedure

### Record Creation and Capture

- All activities must be recorded accurately within eSkilled
- Trainers must record participation, assessment outcomes and feedback
- Administrative staff verify completeness and accuracy
- Updates to learning materials are created and maintained within Course Content Creator and exported as version-controlled SCORM files
- Certification issuance records, including issuance date and verification checks, are recorded and maintained within eSkilled

### Data Management (eSkilled)

- All learner data is entered and maintained in eSkilled SMS
- All training and assessment activity is recorded in LMS
- Data is reviewed regularly to ensure accuracy
- Updated SCORM files from the Course Content Creator are uploaded into the LMS to ensure learners access the most current approved version of content

## Document Control

Communicare RTO ensures the effective version control of learning content:

- All learning materials are developed and updated within the Course Content Creator
- Each approved update results in a new version-controlled SCORM file being uploaded to the LMS
- Superseded versions are retained or archived as evidence of changes and continuous improvement
- Version history demonstrates alignment with training package requirements, validation outcomes, industry feedback and continuous improvement activities
- Access to current versions are controlled at a unit-level to ensure learners and trainers use only the most up-to-date approved content

## Storage

- Primary storage: eSkilled (secure digital environment)
- eSkilled as a service provider ensures their systems include backup and security controls
- Hard copy (if any) must be securely stored

## Access Control

- Role-based permissions are applied
- Access is monitored and restricted
- Third-party providers receive controlled access

## Monitoring and Review (Self-Assurance)

- Records are regularly reviewed for:
  - Accuracy
  - Completeness
  - Alignment with actual practice
- Internal audits to be conducted prior to reporting Annual Declaration on Compliance with TAC
- Findings are analysed and used to inform continuous improvement and risk management actions
- Learning content is reviewed and updated within Course Content Creator based on feedback, validation and continuous improvement outcomes

## Retention and Archiving

- Records are retained in accordance with the schedule below
- Archived records remain accessible for audit and reporting

## Disposal

- Disposal occurs only after approved retention periods
- Requires authorisation from the RTO Manager
- Must ensure confidentiality (secure deletion/shredding)
- Disposal actions are recorded

## Certification and Reporting

- Certification is issued based on verified assessment outcomes recorded within eSkilled
- All required conditions (competency achieved, USI verified, fees paid) must be confirmed prior to issuance
- Certification must be issued within 30 calendar days of the learner completing requirements
- Administration staff are responsible for verifying records prior to issuing certification
- Records of certification issuance are maintained within eSkilled SMS
- AVETMISS data is validated to ensure consistency with certification issued

## Third-Party Record Responsibilities

Communicare RTO ensures all third-party providers:

- Use eSkilled systems for training, assessment and recordkeeping
- Maintain accurate, complete and current records
- Provide evidence supporting assessment decisions
- Comply with all Communicare RTO policies

Communicare RTO will:

- Monitor third-party performance and records
- Conduct regular reviews and monitoring visits
- Retain full responsibility for all records and outcomes

## Records Retention & Disposal Schedule

Record Type	Examples	Retention Period	Storage	Disposal
Student Outcomes & Certification	Testamur, Record of Results, Statement of Attainment, issuance records	30 years	eSkilled SMS	Secure retention
Enrolment Data	Personal details, USI	Min. 5 years	eSkilled SMS	Secure deletion
Assessment Records	Outcomes, feedback	Min. 5 years	eSkilled LMS / SMS	Secure deletion
Assessment Evidence	Samples, validation evidence	Based on risk & validation needs	LMS	Secure deletion
Participation Records	Attendance, engagement	Min. 5 years	LMS	Secure deletion
Learning and Assessment Materials	SCORM files, module versions, content updates	Duration of use + 5 years	Course Content Creator / LMS	Archive/delete securely
Staff Records	Qualifications, PD	Employment duration + legislative period	SharePoint	Secure deletion
Complaints/Appeals	Records and outcomes	Min. 5 years	SMS / SharePoint	Secure deletion
AVETMISS Data	Submissions, reports	Min. 5 years	SMS	Secure retention

## Responsible personnel

### RTO Manager

- Oversees the records management system and provides governance oversight
- Ensures records management practices are effective and aligned with regulatory requirements
- Authorises the disposal of records

### Quality and Compliance Coordinator

- Monitors compliance with records management requirements
- Implements and supports self-assurance processes
- Conducts reviews to ensure accuracy, completeness and ongoing improvement of records management practices

### Administration Team

- Maintains data accuracy in eSkilled
- Manages AVETMISS reporting
- Ensures record completeness

### Trainers and Assessors

- Record training and assessment outcomes
- Maintain accurate learner records

### Third-Party Providers

- Maintain records within eSkilled
- Comply with RTO requirements

### All Staff

- Create accurate records
- Maintain confidentiality
- Follow this policy

## Related documents

2025 Standards for Registered Training Organisations

TAC Records Management Fact Sheet

AVETMISS Reporting in 8 Steps – NCVET Fact Sheet

Privacy and Confidentiality Policy and Procedure

Assessment System and Validation Policy and Procedure

Complaints and Appeals Policy and Procedure