

# Student Records Management Policy and Procedure

## 1.0 Purpose

The purpose of this policy and procedure is to outline Future Force's approach to ensuring it manages student records and administration, including data reporting effectively.

## 2.0 Responsibilities

The Directors are responsible for ensuring this policy and procedure is implemented.

## 3.0 Scope

This policy and procedure covers all of Future Force's training and related services.

## 4.0 Definitions

*Accredited short course* means a course accredited by the VET Regulator in accordance with the Standards for VET Accredited Courses that leads to an AQF statement of attainment.

*AQF certification documentation* is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

*AQF qualification* means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

*Assessment* means the process of 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.

*Authenticated VET transcript* has the meaning given in the Student Identifiers Act 2014.

*AVETMISS* means the national standard for the collection, analysis and reporting of VET statistical information.

*Bridging unit* means a Unit of Competency which is not part of a full qualification in which the student is enrolled and which is required to assist the student to successfully complete the full qualification.

*Certificate* refers to an official document attesting a completion of the relevant course or training.

*Code* means the unique identifier for units of competency, skill sets, VET accredited courses, modules, AQF qualifications or training packages as required by the Standards for Training Packages and Standards for VET Accredited Courses.

*Competency* means the consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

*Statement of Attainment* refers to a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

*Record of Results* outlines the results of the relevant Module/ Units associated with a course or training.

*Qualification* refers to the result of an accredited complete program of learning that leads to formal certification that a graduate has achieved learning outcomes as described in the Australian Qualifications Framework (AQF).

*Student* refers to either a fee for service student or a full time trainee or anyone participating in a Nationally recognised training course.

*VET* means vocational education and training.

## **5.0 Policy**

Future Force:

- maintains sound administrative practices and processes to ensure secure and effective management of student records.
- has established processes for managing student records – this includes processes for managing course applications and enrolments, student files, results and attendance, course completions and withdrawals.
- maintains an electronic file for each enrolled student that is stored securely in a commercial online system, VETtrak, that only authorised staff have access to. Each student file contains copies of all relevant documents relating to a student's application, enrolment, course delivery and completion.
- records all student information on its AVETMISS-compliant student management system, VETtrak. Information stored in this system includes mandatory statistical enrolment questions, class attendance, course enrolment information, results, correspondence and issuance of AQF certification.
- regularly conducts internal audits of student files to ensure the records are accurate and complete and meet all requirements including funding, such as the Skills First Program. Any issues identified during a student file audit will be rectified and root cause of the issue identified to avoid re-occurrence.
- student records are kept for the minimum periods of time as outlined in the relevant legislation, ASQA Directions and funding requirements.
- student records are all stored and disposed of in line with the Privacy Principles and Public Records Act as outlined in Future Force's Privacy Policy & Procedure.

Future Force will always maintain full and accurate records about any funded training delivered, including retaining evidence in support of each payment of a subsidy that it claims for each participant's:

- eligibility
- progression and support
- completion, and
- post course evaluation.

In relation to funded places, Future Force ensures that all accounts and financial records are kept separate from any other accounts and financial records received under other funding arrangements.

## **6.0 Procedure**

### **6.1 Course Enrolments, Entry and Admission**

Individuals wishing to apply to enrol in a course with Future Force can do so by following the procedures outlined in Future Force's Application and Enrolment Policy & Procedure and summarised in the *Student Handbook*. Individuals must demonstrate that they meet the entry criteria for a Certificate III course promoted by Future Force on Future Force's website or elsewhere. All applicants must complete an *Application Form & an Enrolment Form* which is stored on the student file.

Applicants will participate in a Pre-Training Review process to ensure the course is suitable for the student and to ensure Future Force is able to support the student appropriately in the course.

All students (or their parents/guardians for under 18 year old students) are required to sign a Student Declaration as part of the Enrolment Form to show acceptance of the Enrolment Terms and Conditions. A copy is placed on the student's file.

Students receive details of the course they have been enrolled in, start and expected completion dates, trainer details (as soon as appointed), all applicable fees including a schedule of fees, study & assessment modes as well as Future Force's *Fees, Charges & Refund Policy & Procedure*, and *Complaints & Appeals Policy & Procedure*, available on Future Force's website and summarised in the Student Handbook. Evidence is collected through the *Application Form & Enrolment Form*. A copy of the *Schedule of Fees* is also added to the student file.

All applicant and student information and data is collected in line with the AVETMISS VET Provider Collection Specification 7.0 (up to 31 December 2018) and 8.0 (from 1 January 2019) and the most recent National VET Data Policy requirements.

Future Force will retain the following information, necessary to enable the re-issue of a qualification or statement of attainment if required, for a period of 30 years:

- full name
- date of birth (for identity checks only)
- mailing address
- contact telephone numbers
- email address
- course enrolment
- results
- certificate issued.

### **6.2 Industry Relevant Training Plan**

All students who are studying a Nationally recognised certificate level course have a vocationally relevant individual *Training Plan* developed in consultation with the student, and where relevant, the student's Host employer or employer, to ensure it reflects the industry requirements and workplace setting. A copy is provided to the student and as the *Training Plan* is a living document, Future Force and the student will update, and mutually accept any change/s to the training plan as required. Signed copies of the Training Plan are kept on the student file.

### **6.3 Unique Student Identifier**

Future Force complies with the requirements of the Student Identifiers Act 2014. This means that it collects Unique Student Identifiers (USI) from students upon enrolment and ensure USIs are verified prior to the issuance of any certification documents (refer to *USI Policy & Procedure*).

### **6.4 Creating a Student File**

As a new student applies for and/or enrolls in a course, create a new file for them. Files should be labelled with: SURNAME, First name and the VETtrak issued student number.

Future Force stores all documents, copies of letters, USI, application form and pre-screening documents relevant to admission and enrolment in the student file.

Access to the student files is restricted only to the authorised Future Force staff members: trainers and assessors, support service staff including accounts and payroll. Paper based files are held in secured locations and are never held on staff desks or in open areas. Electronic files are only accessed through the restricted drive on the Future Force intranet.

### **6.5 Recording Attendance and other Progress as relevant**

Attendance is recorded on the Training Plan Part II (TPII) and progress updated on both Training Plan Parts II & III. Future Force will also maintain a record of date, time and location of the training and assessing of each student through the on-line Cloud Assess system.

### **6.6 Recording Results**

As training and assessment activities are completed, the relevant Trainer/Assessor will record outcome results on the TPII & III and results entered into VETtrak. Evidence of participation and assessment are held on the student file and include: TPII & TPIII, in addition to Cloud Assess Assessment Reports.

Future Force records all assessment outcomes in VETtrak within 20 working days of receipt to ensure reporting is accurate and up to date and that students may be issued appropriate qualifications in a timely manner.

When updating, Future Force always checks the following:

- date noted on the document corresponds with the date on the training plan
- correct student file has been selected in VETtrak to update
- confirming the USI
- correct unit of competency is being updated
- (if a funded place) evidence of a Participant Agreement
- if unit was assessed as RPL, ensure it is noted accordingly to ensure correct contact hours are claimed
- if unit was a Credit Transfer acceptance, ensure it is noted accordingly to ensure that it is not claimed
- never changes course commencement date once it has been recorded and the student has been claimed, and
- never changes a unit of competency commencement date if the training on the unit of competency has already been stated.

Future Force ensures the following codes are used when recording in VETtrak:

<b>Outcome</b>	<b>Code</b>
Competency achieved/pass	20
Competency not achieved/fail	30
Withdrawn	40
RPL started but result not yet available	50
RPL granted	51
RPL not granted	52
Credit transfer	60
Commenced and due to finish next calendar year	70
Non Assessable Enrolment – satisfactory completed	81
Non Assessable Enrolment – withdrawn or not satisfactorily completed	82
Not yet available	90

Future Force keeps copies of any correspondence sent to a student electronically in the student's 't-drive' file, and in hard copy in the student's admin file. This includes notes & letters about progress, attendance reminders, emails to the student and/or their employer, etc. Copies of TPII & III are maintained in the student operational file as well as electronically in the student individual t-drive file.

Future Force also keeps copies of all invoices sent to the student/ the third party that has arranged to pay the student fees and any incidental charges.

### **6.7 Completions**

Future Force checks whether all fees have been paid by or on behalf of the student to give an indication of timeframes required and follows up outstanding fees if applicable.

Future Force checks that the records held in VETtrak match the records in the student file.

Completions are processed within 20 calendar days of the date of completion, or the date of all final fees being paid, whichever is latest.

Upon completion of a course, students will be issued with their certification documents in line with Future Force's Certification Issuance Policy.

These will be issued within 30 days of completion, subject to all fees having been paid and a USI (or evidence of a granted exemption from the USI Registrar) is in place.

Future Force records of completion and issuance are stored on each student's file and entered into VETtrak to ensure accurate annual AVETMISS reporting.

Updates are made to the student record in VETtrak. This includes:

- changing enrolment status to Completed.
- adding an end date to the enrolment –the date of the final assessment.

In relation to funded places, to ensure payment, an AVETMISS Result Code for each Unit of Competency will be recorded against each funded student.

### **6.8 Student Withdrawals**

Students who wish to withdraw from their course are requested to notify us in writing. E-mail is sufficient for this purpose.

Withdrawals will prompt the issuance of a *Statement of Attainment* where applicable in line with the *Issuing Qualifications Policy & Procedure*.

### **6.9 Student Access to Records**

Students may access the records that Future Force holds about them by putting a request in writing to Future Force's management.

Students will be supervised by a Future Force staff member when accessing their file and may not take a copy of any document without the permission of Future Force.

### **6.10 ASQA, Government and its Delegates' Access to Student Records**

All records will always be made available to ASQA, governments and their delegates on request in a timely manner. This includes access to facilities, premises, staff and all documentation.

All Future Force staff and any related third party (where relevant) commits to full cooperation with ASQA, governments and their delegates.

### **6.11 Archiving of Student Records**

Once a student has completed or withdrawn from their course, all hard copy documents file can be archived. Future Force uses Guardian Storage for its document archiving, which ensure that documents may be retrieved promptly upon request.

Files are retained in archives as outlined on the Table of Records:

Summary of key documents:

- full evidence of assessment decisions are kept for a minimum of 6 months past the date of course completion or withdrawal.
- student Cloud Assess Assessment Records are kept for a further 7 years.
- record of issued AQF certification documentation for 30 years.

#### **6.12 Disposal of Student Files**

Student files that have met the above requirement and are out of the timeframes required for retention will be disposed of securely.

Authority to dispose is only given in accordance with Future Force's Table of Records.

### **7.0 Forms and Records**

The following forms should be used in conjunction with this procedure:

- FORM Application
- FORM Enrolment
- TEMPLATE Training Plan Parts I, II & III
- TEMPLATE AQF certification (eg. certificate and statement of attainment)
- SUPPORTING DOCUMENT Trainee & Student Handbook
- SUPPORTING DOCUMENT Future Force Table of Records

The following references should be read in conjunction with this procedure:

- POLICY AND PROCEDURE Application & Enrolment
- POLICY AND PROCEDURE Fees & Charges & Refunds
- POLICY & PROCEDURE Privacy