

# Records Management Policy & Procedure

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## 1. Policy

- 1.1 Gippsland Institute of Technology employs an effective Records management policy and procedure.
- 1.2 The Chief Executive Officer is responsible for implementing this policy and reviewing its effectiveness in compliance with regulatory guidelines.
- 1.3 Records of student enrolment and attendance are maintained on the SMS.
- 1.4 Records of fees paid are maintained in an electronic accounting software package in compliance with the Financial Management policy and procedure.
- 1.5 Student and Staff records are maintained in their personal files.
- 1.6 All student and staff files are confidential, and documents kept in accordance with the Privacy policy and procedure.
- 1.7 The purpose of this policy and procedure is to ensure the accuracy, integrity and currency of records.
- 1.8 This policy is implemented in compliance with the requirements of the Data provision requirements 2012 and Standards for Registered Training Organisations (RTOs) 2015 Standard 3 and 7.

## Procedure

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### 2. Data storage and back up

- 2.1 All electronic records are backed up nightly and stored on and off site. The SMS collects and stores data in compliance with the current Student Statistical Collection Guidelines.
- 2.2 All hard copy assessment documentation is stored on site for a period of 6 months from cessation of studies. Hard copy enrolment documentation is stored for a period of one year from cessation of studies.
- 2.3 All student AVETMISS information including details of assessment results is stored electronically off site for a period of 30 years and made available to the National VET Regulator on request.
- 2.4 Gippsland Institute of Technology ensures that data will be provided to the National VET Regulator even if the Gippsland Institute of Technology ceases operating during this period. If Gippsland Institute of Technology sells the RTO, it will be the new owner's responsibility to store and supply the data for the mandated period.
- 2.5 Gippsland Institute of Technology ensures the required data is provided in electronic and/ or paper format at no cost to the National VET Regulator.
- 2.6 Data will be stored in a safe and secure location on and off site only accessible to appropriate personnel.
- 2.7 All students data is treated as confidential and access will not be given to a third party without the prior written consent of the student\*. \* Except where Gippsland Institute of Technology is obliged to provide data under law and to the National VET Regulator.
- 2.8 All electronic data is password protected with access rights provided to appropriate personnel.

## Record collection and maintenance

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Gippsland Institute of Technology collects and maintains up-to-date records relating to:

### 3. Staff

- 3.1 All staff records are stored in individual paper files and/ or electronically.
- 3.2 All staff files contain a staff file checklist that is to be established and maintained for the duration of employment plus one year.
- 3.3 All staff files contain the information identified in the staff file checklist.
  - Position description
  - Contract
  - Details of references undertaken
  - Current CV signed and dated
  - Completed skills matrix
  - Certified copies of vocational qualifications
  - Certified copies of training and assessment qualifications
  - Professional development log (with evidence of planned and completed activities)
  - Performance review record
  - Completed induction checklist
  - Any communication regarding conduct/ performance or other appropriate documents
- 3.4 Staff are provided access to their files. The Chief Executive Officer will arrange access within two working days of receiving the request.

### 4. Student records

- 4.1 Gippsland Institute of Technology collects AVETMISS information through our enrolment form and stores it on the SMS. National student identifier data will also be collected and stored as part of this process. AVETMISS details are stored for a period of 30 years. Appropriate arrangements are made if the RTO changes ownership or ceases operations.
- 4.2 A file is created for every student on the SMS. This contains: name and contact details, title of qualification, competencies, scheduled hours, timeframe for achievement, delivery mode/s, training to be undertaken, assessment details and arrangements, parties responsible for delivery, and assessment of each unit of competency, records of CT and RPL granted.
- 4.3 All hard copy student files contain a student file checklist that is established and maintained.
- 4.4 A completed and signed student enrolment form is kept in the file along with certified copies of any relevant qualifications.
- 4.5 Student attendance is recorded for each student contact. Attendance records are stored in compliance with the Attendance policy and procedure.
- 4.6 Student results are recorded after each assessment task on the assessment summary form S – satisfactory performance and U – Unsatisfactory performance. The overall unit result is recorded on the unit summary form C – Competent and NYC – Not Yet Competent.
- 4.7 The Training Manager reviews all unit assessment summary forms along with completed assessment evidence to verify competence.
- 4.8 The unit assessment summary form contains student's results and feedback on performance against a unit of competency.
- 4.9 On verification of results and evidence the Training Manager approves the result and the information is inputted into the SMS within 10 working days of unit being completed.
- 4.10 Student's results are recorded in this way until they have completed all the units of competency/ course.
- 4.11 All communications with a student are kept in the student's file. e.g. attendance communications, complaints or appeals documentation

- 4.12 Students are provided access to their files, record of results, statements of attainment and certificates. Access will be granted by submitting a written request to the [iinfo@git.org.au](mailto:iinfo@git.org.au) or by submitting the student records access form to reception at each campus. The Training Manager will arrange access within 3 working days of receiving the request. Students are required to provide evidence of identity e.g. a driver's license.
- 4.13 All appropriate written agreements are stored in the student file.
- 4.14 If a student transfers to another provider, Gippsland Institute of Technology will transfer the student information that it holds to the provider that the student has transferred to within 30 days. The information to be transferred is identified in item 4.16 of this policy and procedure.
- 4.15 If during the period of registration Gippsland Institute of Technology voluntarily withdraws its registration, its registration has lapsed, does not renew the registration or has its registration cancelled by ASQA it will forward student records within 30 days to ASQA. The information to be transferred is identified in item 4.16 of this policy and procedure.
- 4.16 The person who is, or was, the nominated Chief Executive Officer of Gippsland Institute of Technology will ensure that the student records are sent in a digital form to ASQA at [studentenquiries@asqa.gov.au](mailto:studentenquiries@asqa.gov.au) or the relevant training provider if the circumstances identified in items 4.14 and 4.15 of this policy and procedure occur. The student records will include the following information for each student:
- family name, first name
  - residential post code
  - date of birth
  - student USI number
  - enrolment and commencement dates
  - code and title of qualification, course or program student enrolled in
  - codes and titles of units of competency completed and results (if applicable)
  - date the Certificate or Statement of Attainment was issued
- 4.17 Gippsland Institute of Technology collects Unique Student Identifier (USI) data from each enrolled student.
- 4.18 Students are requested to supply their USI at enrolment or prior to issuing a certificate or statement of attainment or prior to the NCVER data collection period. Gippsland Institute of Technology may also seek permission to collect the USI on the student's behalf. Written evidence of permission will be retained in such circumstances.
- 4.19 USI's will be requested on the Enrolment form. Gippsland Institute of Technology will advise students to request a USI from [www.usi.gov.au](http://www.usi.gov.au) if they do not have one at enrolment. Instructions on the USI website are to be followed.
- 4.20 Gippsland Institute of Technology will verify with the Register (at [www.usi.gov.au](http://www.usi.gov.au)) the USI collected from a student prior to processing the data by one of the following methods:
- One by one through the USI website
  - One by one through your USI integrated software that connects automatically to the USI Registry System
  - In batches of up to 500 USIs through your USI integrated software that talks to the USI Registry System
- 4.21 Certificates and statements of attainment are not issued unless a USI has been sourced and verified (unless an exemption applies under the Student identifiers Act 2014).
- 4.22 Where an exemption described in Clause 4.21 above applies, the RTO informs the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar.



- 4.23 Student personal data is processed as per this, Enrolment and Privacy policies and procedures. Student personal data is treated confidentially and securely stored and reported to the NCVER with the National Data Collection.

## 5. Fees

- 5.1 Students fee information is recorded in the SMS in accordance with the Financial Management policy and procedure.
- 5.2 Fee information recorded will be:
- Amount due for course
  - Amount paid to date for course
  - Balance due for course
  - Fee payment dates
  - Course cancellation/ refund information (where appropriate)

## 6. Assessment documentation

- 6.1 All student assessment documentation is stored for a period of 6 months after cessation of studies.
- 6.2 Assessment records stored include:
- Assessment tools
  - Completed assessment tasks,
  - Completed assessment and unit summary sheets,
  - Assessment schedule,
  - Supporting assessment documentation e.g. logbooks, case studies
- 6.3 RPL evidence is maintained in compliance with the RPL/CT policy and procedure.

## 7. Attendance

- 7.1 Student attendance is monitored in compliance with the Student support policy and procedure.
- 7.2 Attendance issues are recorded.
- 7.3 Students with attendance issues are identified and provided support as identified in the Student support policy and procedure.
- 7.4 All records relating to attendance issues and support provided are stored in the student file.

## 8. Enrolment documents

- 8.1 The following records are disseminated and stored during enrolment:
- Students are forwarded pre enrolment information via the student information handbook, letters, adverts and the website.
  - Students are also forwarded a Pre training review document that is returned and stored in their file.
  - Students complete an enrolment form.  
If a student wishes to apply for RPL/CT, the RPL/CT policy and procedure is followed. Supporting documentation to verify students have met entry requirements are checked and stored in the student file.
  - The appropriate fee payment is checked. Payment is processed according to the Financial Management Policy.
  - A confirmation letter is issued. A copy of the confirmation is stored in the student's file
  - The 'Office Use' section of Enrolment form is completed and stored in the student file.
  - Student's name is recorded on the class/ group list.

- Full details of the enrolment process can be found in the Student enrolment policy and procedure.
- Enrolment documentation is stored for the period of enrolment plus two years.

## 9. Issuing Certificates, Statements of Attainment & Records of Results

- 9.1 Statements of Attainment, Certificates and Records of results will only be issued through the authorisation of the Chief Executive Officer or their delegate.
- 9.2 Gippsland Institute of Technology will only issue Statements of Attainment, Certificates and Record of results for the course and/ or unit/s of competence on its Scope of registration.
- 9.3 A certificate will be issued to students who have successfully completed a whole qualification. On the back of the certificate a record of results will be printed. Certificates and Record of results are not issued unless the student USI has been sourced and verified (unless exemptions apply).
- 9.4 A Statement of attainment will be issued to students who partially complete a whole qualification and/ or successfully completed the unit/ s of competence that they have undertaken. Statements of attainment are not issued unless the student USI has been sourced and verified (unless exemptions apply).
- 9.5 Prior to issuing a Statement of attainment/ updating the SMS, completed student files will be reviewed by a person independent from the assessment process to ensure all the evidence is in place. If evidence is omitted, the student file is returned to the assessor to address.
- 9.6 Prior to issuing a Statement of attainment/ updating the SMS, samples of the completed student files are moderated (in accordance with Training and assessment policy and procedure) by a person independent from the instance of the assessment process to ensure that the assessment criteria have been appropriately applied for each task.
- 9.7 In instances where its identified that the assessment criteria have not been appropriately applied, the student file is returned to the assessor to address. A discussion will take place with the assessor to highlight, discuss and implement remedial action where required.
- 9.8 Once the review is complete, its confirmed that all the required evidence is in place and the assessment criteria has been consistently applied then the file can be processed as complete.
- 9.9 At the end of a course/ unit/s of competence, a printout of the course/ unit/s completion details from the SMS is obtained.
- 9.10 The Training Manager will cross reference the students on the certification list with assessment results to verify competency has been achieved and evidence is archived to support this. Statements of attainment/ Certificates, Records of results are then issued where relevant.
- 9.11 Certificates, Statements of attainment and Records of results are printed using the standard templates. All documents will include a watermark and/ or embossed logo and/ or a seal for security measures.
- 9.12 All graduates who have completed a full course of learning that leads to the award of an AQF qualification receive a Certificate and a Record of results.
- 9.13 Certificates provided to students will include the following:
  - the full name of person receiving the qualification using the wording "This is to certify that (insert student full name) has fulfilled the requirements for .....
  - awarded AQF qualification by its code and full title;
  - date issued;
  - authorised signatory;
  - the AQF logo or the words, *The qualification is recognised within the Australian Qualifications Framework*;
  - the Nationally Recognised Training (NRT) logo
  - RTO name, RTO number, name, seal/ watermark or corporate identifier.
  - The following elements are included as applicable:
  - industry descriptor, e.g. Engineering;

- occupational or functional stream, in brackets, e.g. (Fabrication);
- the State / Territory Training Authority logo (only where use of the logo is directed by State / Territory Training Authorities, e.g. within User Choice contracts);
- where relevant, the words, 'achieved through Australian Apprenticeship arrangements'; and
- where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.

9.14 Record of results provided to students will include the following:

- Gippsland Institute of Technology RTO number, name, seal/ watermark or corporate identifier.
- the words: Record of Results
- name of person receiving the qualification;
- date issued;
- authorised signatory;
- identify each unit of competence with the unit code and full title
- the words: This Record of results identifies the units of competence that the candidate successfully completed to achieve the (insert course details)

9.15 Statements of Attainment provided to students will include the following:

- Full name of person receiving the statement using the words: This is a statement that (insert name of student) has attained .....
- units successfully completed by the code and full title;
- date issued;
- authorised signatory;
- A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units
- the Nationally Recognised Training (NRT) logo
- RTO number, name, seal/ watermark or corporate identifier.

The following elements are to be included on the statement of attainment as applicable:

- the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities);
- the words 'These competencies form part of [code and title of qualification(s)/course(s)]' (if units successfully completed were part of a full course e.g. Diploma)
- the words, 'These competencies were attained in completion of [code] course in [full title]'; (to be used for accredited courses only that begin with "Course in...")
- where relevant, the words, 'these units / modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.

9.16 A photocopy of the Certificate and Record of results or the Statement of attainment is placed in the student file.

9.17 The Certificate and Record of results or the Statement of attainment is issued to the student within 20 working days of the student completing assessment process for their course.

9.18 Once the above has been completed the Certificate or Statement of attainment is recorded with its certificate/ statement of attainment number, qualification code, qualification name, candidate name & candidate ID and date in the certificate register.

9.19 The CEO reviews the Industry Skills Advisory Committee (or replacement's) and AQF website <http://www.aqf.edu.au> for identification of changes that may impact certification.

9.20 All certificates are provided directly to the student (not a third party or employer).



- 9.21 Candidates must have paid all agreed fees due to Gippsland Institute of Technology prior to being issued a certificate, Record of results or Statement of attainment.

## 10. Archiving records

- 10.1 Student records are archived at the completion of each course. All student records are archived. The Training Manager is responsible for ensuring all required information has been entered into the SMS prior to archiving.
- 10.2 The following procedures are adhered to when archiving;
- Archive boxes are provided.
  - Student files are stored within their course folders, using dividers to separate each. Files are placed alphabetically to allow for easy future access if necessary. Where possible, ensure that like courses are archived together.
  - Documents to be archived are identified in this policy and procedure.
  - Boxes are clearly labeled on the lid using black text, with the year and the courses the box contains.
  - Archive boxes are kept in the storage facility for 6 months.

## 11. Quality indicator data

- 11.1 Gippsland Institute of Technology collects and acts on quality indicator data in compliance with our Continuous Improvement policy and procedure.
- 11.2 Gippsland Institute of Technology employs Learner Engagement and Employer Satisfaction questionnaires.
- 11.3 Student enrolment and completion data is recorded in the SMS.
- 11.4 In June each year the following information is submitted to the regulator for the previous year's training activity (1 January to 31 December).
- learner engagement data collected from samples of students for each unit delivered
  - employer satisfaction data collected from samples of employers for each unit delivered

## 12. Reporting AVETMISS Data

- 12.1 Gippsland Institute of Technology collects AVETMISS data at enrolment or prior to certification or prior to reporting the data to NCVER.
- 12.2 Gippsland Institute of Technology securely stores AVETMISS data on the student management system.
- 12.3 Gippsland Institute of Technology extracts and validates AVETMISS data from the SMS including correcting any errors. (1 January to 31 December from previous years training activity). This includes:
- the data collected on the Enrolment form for each student (and USI if collected after enrolment)
  - the number of enrolments for each qualification on scope
  - the number of qualifications completed for each qualification
  - the number of students continuing for each qualification
  - the number of enrolments for each unit of competency on scope
  - the number of units completed for each unit of competency
  - the number of students continuing for each unit of competency
- 12.4 Gippsland Institute of Technology registers (via the NCVER website) with the NCVER to access the AVETMISS reporting software.
- 12.5 Gippsland Institute of Technology reports AVETMISS data to NCVER in February each year for the previous year's activity.
- 12.6 AVETMISS data is reported via the NCVER validation software accessed on the NCVER website.

- 12.7 Gippsland Institute of Technology will, where instructed by the student, source the Unique Student Identifier on the student's behalf. Students are provided the option to instruct Gippsland Institute of Technology to undertake this process on the enrolment form. All student enrolment forms are maintained for the mandated period.
- 12.8 Proof of identity is sought from the student prior to Gippsland Institute of Technology carrying out the above process.
- 12.9 Unique Student Identifiers are sourced via the NCVER website by following instructions on the website.

### 13. External organisations

- 13.1 All records relating to third party arrangements, Workplace delivery/ work placement agreement, external partnerships, external appeals body and outsourced services are kept in the relevant file. This will include the nature of the arrangement, a written agreement if appropriate and other relevant documentation.
- 13.2 Records will be kept for the period of the arrangement plus one year.

### 14. General

- 14.1 All documents are developed and or amended in compliance with the Version Control policy and procedure.
- 14.2 The Document Register is amended to reflect new document development and or amendment.

#### Documents to be employed when implementing this policy and procedure:

- Enrolment form
- Student information handbook, letters, adverts and the website
- Staff file checklist
- Trainer/ assessor matrices
- Staff professional development log
- Staff performance review record
- Pre training review form
- Certificates/ statements of attainment
- Guidelines for use of NRT logo
- Guidelines for AQF logo and certificates
- Marketing review record
- Student and employer questionnaires
- Student file checklist
- Attendance Record
- Assessment tools
- Third party agreement
- Third party review
- SMS
- Privacy Act 2000
- Public Records Act 1973
- Electronic transactions Act 2000

### Revision history

Creation/ Revision Date	Comment	Created/ Revised by
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21/8/20	Policy and procedure created	CEO
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