



## 1.0 Policy

This policy is designed to ensure that Collins International College (CIC) is able to effectively manage administrative, record management and reporting requirements in accordance with the requirements of the RTO 2015 Standards, the ESOS National Code 2018 and ELICOS Standards 2018

This policy and procedure applies to administration, records management, and record retention of all records and details collected and maintained for training and assessment services delivered by CIC.

The policy and procedure also provides processes to ensure CIC can maintain compliance with all external reporting responsibilities (i.e. – AVETMISS, ASQA, Quality Indicators, ESOS Act and Department of Home Affairs).

## 2.0 Procedure

### 2.1 Responsibility of Records Management (refer to Attachment 1)

- The **CEO** has the responsibility to ensure that all business related and financial records are maintained appropriately. This includes but is not limited to:
  - Financial and annual reports
  - Business plans
  - Minutes of meetings relating to business operations and governance arrangements
- The **Head of Studies/Course Coordinator in coordination with Director of Admissions** has the responsibility for ensuring that all records relating to the delivery of training and assessment services are maintained appropriately. This includes but is not limited to:
  - All records of delivery and assessment arrangements
  - Staff records
  - All required records to ensure compliance against the RTO 2015 standards and ESOS National Code 2018 and ELICOS Standards 2018
- The **Records Officers** have the responsibility for the storage, maintenance and archiving of all training and assessment records. This includes but is not limited to:
  - Student records database
  - Records and evidence of training and assessment services and completion of any training and assessment services provided
- The **Records Officers** have the responsibility for the storage, maintenance and archiving of all student's administration records. This includes but is not limited to:



- All related administration paperwork and records relating to student enrolment, progress,
- The student contact details are to be updated twice every year, for every enrolled student. The dates specified are: **30<sup>th</sup> June and 15<sup>th</sup> November** of every year. Student contact details form would be used to update the details.
- **Trainers** and **Assessors** have the responsibility for the recording of student progress, assessment results, enrolment withdrawal or cancellation; providing feedback and recording interactions with students in relation to complaints or appeals (in the first instance);

The RTO is required to maintain a Student Record Management System that is able to collect AVETMISS. Wisenet is currently used and meets this requirement.

## **2.2 Retention of Student Training Resources and Assessment Instruments (refer to Attachment 2)**

The RTO is required to maintain all assessment instruments for all students for a period of 6 months beyond the date at which the student was deemed competent in the unit of competency unless the instruments are required for validation purposes.

Should the organisation activate any funding contracts, the period of retention will be extended to meet its contractual obligations.

Master copies of assessment and training materials and resources are also required to be maintained for a period of five years from the date the materials cease to be used within CIC.

## **2.3 Retention of Student Records and Assessments**

CIC is required to ensure that all records of training and assessment are securely maintained for the duration of the student's enrolment in the course and a further 2 years after completion or cancellation of the student's enrolment in the course.

To ensure these records are maintained the **Student Support Officers** are to ensure that appropriate records are retained as indicated in the schedule below:

### Hard Copy Student Files:

- Currently Enrolled Students

- CIC will maintain all student records (in hard copy) while a student is enrolled with us. This will include but is not limited to:

#### International Students:

- Application form
  - Letter of Offer (International Students Only)
  - Written agreement
  
  - COE (International Students Only)
  - Evidence of meeting IELTS and/or entry requirements not for domestics
  - Pre Enrolment/Training Form
  - Completed LLN Test and Review
- Completed / Cancelled Students
    - Hard Copy student files will be retained in full for a period of 2 years after the completion/cancellation of training and assessment in the course. These files will be archived as per the archiving processes in place.
  
    - Each individual student file must include the following:

#### International Students:

- Enrolment information and paperwork (Application form, letter of offer, written agreement, COE, evidence of meeting IELTS requirements)
- A copy of all assessment tasks, including tests, assignment, role plays, projects etc. for all Units undertaken in the course (all assessment tasks must be marked)
- A copy of the Assessment Outcome Record Sheet for each unit
- Copy of Statement of Attainment or Qualification issued

The student files to be retained must include the following:

#### Student's Admin file:

- Enrolment forms and related Documents
- Course variation documents
- Student general request forms and related documents
- Any general communication with the students including letters.
- Complaints and Appeal related to general enrolment or fees & refund.

#### Student's Academic file:



- Students' academic timetable
- A copy of all assessment tasks (including tests, assignment, role plays, projects etc.) and related evidence of assessment for all units included in the student enrolment
- the learning outcome of every unit completed by the student in the ELICOS course with detailed teacher feedback given to the student
- A copy of the Assessment Outcome Record Sheet for each student for each unit
- Students certificate/SOA/Transcripts
- Intervention documents related to course progress and attendance
- Complaints and Appeals documents related to course progress and attendance

CIC will also maintain the electronic copy of all the receipts of payments made by the students under the written agreements for at least 2 years after the student ceases their study with us.

#### Electronic records:

Full electronic student records for all students will be retained for a period of thirty (30) years. This will be maintained in a format that is able to be transferred to the ASQA as required.

## **2.4 Retention of Fees paid records**

The receipt of the fees paid by the student along with the fees agreements will be retained as a hard copy and in the Accounting software (QuickBooks) by the Accounts Officer (Accounts Department) for 5 years as per the ATO requirement.

## **2.5 Enrolments and participation**

- All details of enrolment and ongoing participation in training and assessment are entered on the AVETMISS compliant Student Records Management System, Wisenet.
- This database shall also contain records of student progress that shall be maintained by the **Student Support Officers**.
- Student data shall be entered in a timely manner that reflects the student's current status. This includes identifying the training and assessment that has been undertaken as it occurs and maintaining an ability to provide up to date student records at any time.

## **2.6 Provision of student records to regulator**



Transfer of records will be consistent with contractual and legal requirements and the requirements of the National VET Regulator (Australian Skills Quality Authority- ASQA). This may include regular reporting of various data (i.e. Quality Indicators) relating to the training and assessment services provided by the RTO.

## 2.7 Document retention and disposal

### Student Records:

- All student records are stored securely at the RTO premises in line with the timeframes above.
- The manner of disposal after the retention period will be the responsibility of the **Student Support Officers**. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal.

### All other documentation:

- The document retention period of all other documents relating to the RTO operations, if not contractually or legally required, shall be seven (7) years the manner of disposal after the retention period will be the responsibility of the **Head of Studies/Course Coordinator/Admin Manager**. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal.

### Confidential Information

CIC will make all reasonable efforts to protect confidential information received from clients or partner organisations during the course of business operations. This information will not be disclosed without the prior consent of the client or partner organisation. Please refer to the consent declaration signed by the student in the written agreement.

## 2.8 Secure storage of electronic records

- Student records and results are stored on the RTO's Student Record Management System, Wisenet. All electronic records are kept on a secure server that is backed up daily. Copies of the daily back up are kept in 2 different places (including offsite locations). The daily back up is the responsibility of the IT Manager.

## 2.9 Privacy and Student Access

Please refer to Privacy Policy for detailed information.



- Except as required under the standards and ESOS act for Registered Training Organizations, Government Contracts or by law, information about a student will not be disclosed to a third party without the written consent of the student.
- Access by students to their personal records is available upon request to the Student Administration Department. Students may contact **Student Support Officers** to discuss a suitable time to view their file and, access will only be granted once a student can confirm their identification.
- Student Access to the file will be granted only once written notification is received and the **Student Support Officers** has validated the student's identification.
- Access shall be provided within 5 days of confirming the student's identification.
- Information that may be accessed includes progress, personal details, and any relevant details of the student's enrolment that the RTO has collected.
- Document request form is to be filled by the student and an access would be provided to relevant documents after verifying the student ID. A copy of the form can be accessed by **Student Support Officers** at the reception.

## 2.10 Monitoring and review of records

- On an annual basis, CIC will conduct an internal audit against the Standards for Registered Training Organisations and this will include reviewing all RTO records to ensure compliance is being maintained. This process is supported within the Quarterly Review Schedule and the Quality Management Policy and Procedure.
- Student files will also undertake regular reviews to ensure information is included as required. This includes use of the 'Student File Checklist'.

### **Attachment 1: Schedule for Records Management of Training and Assessments:**

TRAIN AND ASSESS LEARNERS		
Step	Responsibility	Required documentation
<b>Note:</b> <b>Trainers</b> and <b>Assessors</b> are to conduct training as outlined in the <i>Training and Assessment Strategy [TAS]</i>		
Use a variety of delivery methods to meet requirements of training package and ensure a high level of learner engagement, taking into account individual learning styles.		



TRAIN AND ASSESS LEARNERS		
Step	Responsibility	Required documentation
<p><b>1. Prior to enrolment</b> based upon the Pre Enrolment Engagement and Assessing Student's Qualification, Experience &amp; English proficiency policy &amp; procedures and Formalisation of enrolment and written agreement policy and procedure</p>	<p><b>Student Support Officer Director of Admissions</b></p>	<ul style="list-style-type: none"> <li>- Application forms</li> <li>- Qualification documents</li> <li>- Minimum English requirement evidence</li> <li>- Visa copy</li> <li>- Letter of Offer</li> <li>- Written Agreement</li> <li>- COE</li> <li>- Pre Enrolment Training Review Form</li> <li>- LLNT Test and review</li> </ul>
<p><b>2. Conduct</b> Student induction according to the <i>Student Induction Policy &amp; Procedure</i> and discuss information in the <i>Student Information Handbook</i>.</p>	<p><b>Student Support Officer</b></p>	<ul style="list-style-type: none"> <li>-Student Induction policy and procedure</li> <li>-Student Induction Feedback and Agent Services Survey</li> <li>-Unique Student Identifier-Authorization Form</li> </ul>
<p><b>3. Ensure</b> sign-off by learnersto confirm that they have attended the induction session.</p>	<p><b>Student Support Officer</b></p>	<ul style="list-style-type: none"> <li>-Student Induction policy and procedure</li> <li>-</li> <li>-Student Induction Feedback and Agent Services Survey</li> </ul>
<p><b>4. Conduct</b> the course trainings as per the session plans</p>	<p><b>Trainer and Assessor</b></p>	<p><i>Student Assessment Tools and Assessor Guides</i></p>
<p><b>5. Declare</b> any conflicts of interest to ensure ethical and fair assessment.</p>	<p><b>Trainer and Assessor</b></p>	<p>Email to Course coordinator and SSO (Records Management)</p>





TRAIN AND ASSESS LEARNERS		
Step	Responsibility	Required documentation
6. Implement <b>co-assessor</b> arrangements when there are any <b>conflicts of interest</b> and record details in the TAS.	<b>Course Coordinator/ Trainer and Assessor</b>	<i>Training and Assessment Strategy [TAS]</i>
7. <b>Record</b> Student course progress in <a href="#">Wisenet</a> student management system	<b>Records Officer</b>	<i>Student Assessments and relevant forms to be signed by the <b>trainers</b> in the student assessments including feedbacks on students.</i>
8. <b>Enter</b> participation in SMS.	<b>Records Officer</b>	WISE.NET
9. <b>Retain</b> all executed forms for the student in assessing criteria.	<b>Assessor /Records Officer</b>	<i>Documents as per the Records management policy and procedure</i>
10. <b>Add</b> all student documentation to Student file.	<b>Records Officer</b>	<i>Documents as per the Records management policy and procedure</i>
11. <b>Conduct</b> training according to the <i>Delivery plan</i> for each unit.	<b>Trainer and Assessor</b>	TAS
12. <b>Complete</b> an <i>Enrolment withdrawal or cancellation form</i> and <i>Student Enrolment Summary report</i> to record learners who withdraw or cancel their enrolment.	<b>Student Support Officer</b>	<i>Enrolment withdrawal or cancellation form</i>
<b>Note:</b> If a learner started training but withdrew before assessment was complete, evidence of participation (one piece), must be provided with the <i>Enrolment withdrawal or cancellation form</i> .		





TRAIN AND ASSESS LEARNERS		
Step	Responsibility	Required documentation
13. <b>Complete</b> variation, and/or withdrawal or cancellation actions and retain the forms with the learner's enrolment documents.	<b>Student Support Officer</b>	<i>Student file records management policy and procedure</i>
14. <b>Conduct</b> formative assessment regularly.	<b>Trainer and Assessor</b>	<i>Assessment tools Assessment marking guide and feedback (Assessor guide)</i>
<b>Note:</b> Formative assessments may also provide evidence towards a decision on competence.		
15. <b>Conduct</b> summative assessments.	<b>Trainer and Assessor</b>	<i>Assessment tools Assessment marking guide and feedback (Assessor guide)</i>
16. <b>Mark</b> assessments	<b>Trainer and Assessor</b>	<i>Assessment tools Assessment marking guide and feedback (Assessor guide)</i>
17. <b>Respond</b> to requests for extension or special consideration in a timely manner.	<b>Student Support Officer</b>	<i>Student request form</i>



TRAIN AND ASSESS LEARNERS		
Step	Responsibility	Required documentation
<b>18. Give</b> appropriate feedback to students on submitted assessments within <b>14 working days</b> from the due date set for assessment activity.	<b>Trainer and Assessor</b>	<i>Assessment tools</i>  <i>Assessment marking guide and feedback (Assessor guide)</i>
<b>19. Comply</b> with confidentiality service standards.	<b>Trainer and Assessor</b>	<i>Service Standard Confidentiality and Privacy policy and Procedures</i>
Note: All results of student assessments will remain confidential. Access to assessment results will be provided only in accordance with Federal and State privacy legislation.		
<b>20. Respond</b> to requests for assessment appeals.	<b>Intervention Officer</b>	<i>Complaints and appeals policy</i>
<b>21. Request</b> feedback from learners and respond if necessary.	<b>Trainer and Assessor</b>	<i>Unit feedback form</i>
<b>Note:</b> This information will be used as part of the course <i>Training and assessment procedure – Review and improve [E2-P1d]</i> .		
<b>22. Retain</b> unit feedback forms in the unit delivery folder.	<b>Trainer and Assessor</b>	Unit delivery folder
<b>23. Add</b> all student documentation to Student file.	<b>Records Officer</b>	<i>Student assessments file</i>
<b>24. Enter</b> a final assessment result into SMS within <b>10 business days</b> of the due date of the final assessment.	<b>Records Officer</b>	Wisenet Student Management System [SMS]



TRAIN AND ASSESS LEARNERS		
Step	Responsibility	Required documentation
<p><b>Note:</b> Assessment Result codes are:</p> <p style="padding-left: 40px;">C                      Competent</p> <p style="padding-left: 40px;">NYC                    Not Yet Competent</p>		
25. Archive all completed assessments.	Records Officer	
<p><b>Note:</b></p> <p><b>Trainers/Assessors</b> must retain the following items for <b>each</b> student in <b>every</b> unit of competency in which she or he is enrolled:</p> <ul style="list-style-type: none"> <li>· All completed student assessment tasks (for each unit of competence).</li> </ul> <p>Or, where this is impractical (e.g. practical demonstrations such as performing a welding technique or building a cubby house), for each unit:</p> <ul style="list-style-type: none"> <li>· a completed matrix showing the assessment mapping of the Training Package requirements or accredited course requirements for each unit of competence</li> </ul> <p>AND:</p> <ul style="list-style-type: none"> <li>· an observation checklist with sufficient detail and context</li> <li>· photo file/s, labelled with the student ID, unit/module &amp; assessment codes and date</li> <li>· assessment feedback sheet with sufficient detail</li> </ul>		
26. Add all student documentation to Student file.	Records Officer/ checked by Admin Manager	Student File



TRAIN AND ASSESS LEARNERS		
Step	Responsibility	Required documentation
<p><b>Note:</b> Upon request at the CIC reception, a <i>Statement of Results</i> can be issued to any student who has paid their course fees at any stage throughout their training by completing the Student request form. Students must present their Student ID card as proof of identity.</p>		

## Attachment 2 Schedule for storage, retention and archiving

### RETENTION AND DISPOSAL SCHEDULE

Type of Record	Location	Responsible Person	Retention Period
<b>Human Resources</b>			
Staff Personal Files	Admin Manager's office and the server	Head of Studies/Course Coordinator/ Admin Manager	7 years after date of separation
<b>Training</b>			

# Records Management Policy & Procedure



**COLLINS  
INTERNATIONAL COLLEGE**  
MELBOURNE

**CRICOS CODE:03887J RTO CODE:45652**

Career Solutions Group Pty Ltd The Trustee for Career Solutions Trust

Type of Record	Location	Responsible Person	Retention Period
Qualifications/Statements of Attainment issued to each individual student must be retained (may be electronic or hard copy, and must contain enough information to reproduce the qualification Statement of Attainment, if required).  A list of units of competency achieved by each individual student must also be retained.	Wisenet	<b>Records Officer</b>	30 years 100%
Student Results Records (may be electronic or hard copy and should show, for each unit of competency, the final summative result - usually a notation of competent/not yet competent; and the date of final summative result).	Wisenet	<b>Records Officer</b>	30 years 100%
Assessment Instruments and Assessor's Marking Guides/Criteria/Observation Checklist.	CIC Server	<b>Trainers &amp; Assessors / Records Officer</b>	As per <i>General Direction: Retention Requirements for Completed Student Assessment Items</i>

# Records Management Policy & Procedure



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Career Solutions Group Pty Ltd The Trustee for Career Solutions Trust

Type of Record	Location	Responsible Person	Retention Period
Completed Assessment Items	(Records Management Room )	<b>Records Officer</b>	As per <i>General Direction: Retention Requirements for Completed Student Assessment Items</i>  6 months from the date competency is achieved in the unit with 10% of the assessment work stored up to 1 year for validation purposes
ELICOS Academic progress feedback form	(Records Management Room )	<b>Records Officer</b>	2 Years
Student Identification information required for the USI.	Wisenet	<b>Student Officer Support</b>	
Records of Enrolment and Student Participation.	Wisenet	<b>Student Officer Support</b>	5 years
Records for International Students (includes Records of Assessment outcomes, learning outcomes, effective review, revision and delivery of courses.)	Wisenet/ PRISMS	<b>Student Officer/Records Officer Support</b>	2 years after the person ceases to be an accepted student
<b>Quality Management</b>			
Customer Complaints	Wisenet	<b>Student Officer / Support Admin Manager</b>	3 years
Appeals	wisenet	<b>CEO/ Head of Studies/Course Coordinator/ Admin Manager</b>	1 year

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Type of Record	Location	Responsible Person	Retention Period
Client/Stakeholder Feedback	CIC Server	Head of Studies/Course Coordinator/ Admin Manager	5 years
Internal Audits	CIC Server	Head of Studies/Course Coordinator/ Admin Manager/CEO	2 years
<b>Financial Management</b>			
Financial Management Records including Fees paid records	CIC Server/ Accounting software	Accounts Officer	5 years (as per ATO requirements)

## Relevant Documents:

- Quality Management Policy & Procedure
- Student Induction Policy & Procedure
- Student Contact Details Form
- Results of the Students

## Other Relevant Documents:

- Time tables
- Student files (Admin & Academic)