



## DAYSAFE PTY LTD

# Policy & Procedure – Records Management – Student Records

<b>Purpose</b>	The purpose of this Policy & Procedure (P&P) is to ensure that all DAYSAFE Student Records are managed effectively in accordance with legislative and Company requirements.
<b>Scope</b>	The term 'Student Record' covers all recorded information related to students who participate in training and assessment with DAYSAFE , whether it is in hardcopy or soft copy.  This includes: <ul style="list-style-type: none"><li>• databases;</li><li>• spread sheets; and</li><li>• electronic mail.</li></ul>
<b>Definition</b>	Training and Assessment Materials are those documents uses to support the training and assessment delivered by DAYSAFE . These are all documents that must be strictly controlled..

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## Inputs

### **Standard 3 - The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.**

3.4. - Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

3.6. The RTO meets the requirements of the Student Identifier scheme, including:

- a) verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;
- b) ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014;
- c) ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform 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; and
- d) ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

### **Schedule 5 - Application of the AQF Qualifications Issuance Policy within the VET Sector**

RTOs will:

- a) retain registers of all AQF qualifications or statements of attainments issued;
- b) retain records of AQF certification documentation or statements of attainments issued for a period of 30 years; and
- c) provide reports of Records of qualifications or statements of attainments issued to its VET Regulator on a regular basis as determined by the VET Regulator.

### **Standards 7 - The RTO has effective governance and administration arrangements in place.**

7.5. - The RTO provides accurate and current information as required by the Data Provision Requirements as updated from time to time.

### **Standard 8 - The RTO cooperates with the VET Regulator and is legally compliant at all times.**

8.1. - The RTO cooperates with the VET Regulator:

- c) by providing quality/performance indicator data; and
- f) in the retention, archiving, retrieval and transfer of records.

8.5. The RTO complies with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations.

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<b>Requirement</b>	<p>An RTO must retain records of qualifications and statements of attainment issued for 30 years. Where this has been gathered and retained full AVETMISS data, this would suffice. The RTO must retain sufficient data to be able to reissue a qualification or statement of attainment for the 30-year period, regardless of the storage method used.</p> <p>If the organisation ceases being an RTO, they must provide this information to the registration body in digital form.</p> <p>The RTO must ensure that current and past learners are able to access records of their achievements. All learners who hold a verified USI, and whose results have been reported into the USI system, will be able to access their records through the USI system.</p> <p>If a learner's achievements have not been recorded through the USI system, the RTO will need to have processes in place to ensure that this learner can access their records in another way.</p> <p>An RTO must only issue a qualification or statement of attainment to a learner after:</p> <ul style="list-style-type: none"><li>• the learner has provided a verified USI, or</li><li>• the RTO has applied for a USI on behalf of the learner.</li></ul> <p>The RTO must protect the security of all information related to USIs. They must put sufficient security measures in place to protect both digital and hard-copy records from loss, damage or unauthorised access. This may include storing records in locked cabinets, restricting access to data stored on networks and requiring strong passwords on all network-connected computers. Back-up copies of records are to be created and stored securely.</p> <p>Most student management systems are able to create and verify USIs automatically.</p> <p>An RTO must obtain and report full AVETMISS data for all learners; most student management systems can record and report AVETMISS data without additional entry.</p> <p>The RTO must meet legislative obligations including obligations under the State Records Act, the Privacy Act and Freedom of Information Act.</p>
<b>Reference Documentation</b>	<p>Other reference documentation which relates to this Policy &amp; Procedure includes:</p> <ul style="list-style-type: none"><li>• ASQA-General direction: Retention requirements for completed student assessment items</li></ul>
<b>Tools &amp; Templates</b>	<p>This P&amp;P is supported by the Tools &amp; Templates identified at each stage in the process.</p>

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<p><b>Policy</b></p>	<p>Daysafe uses a systematic approach to student records management that ensures it maintains accurate and complete information on the attainment of each student engaging in Nationally Recognised Training.</p> <p>The RTO manages student records systematically through the use of a Student Management System that has the capacity to:</p> <ul style="list-style-type: none"> <li>• retain client records of attainment of units of competency and qualifications for a period of thirty years.</li> <li>• provide the registering body with AVETMISS compliant data.</li> <li>• provide returns of client records of attainment of units of competency and qualifications to the registering body.</li> <li>• meet the requirements for implementation of a national Unique Student Identifier.</li> <li>• Has the capacity to:             <ul style="list-style-type: none"> <li>○ list of the correct national code and title of the Training Package, VET qualifications, VET accredited courses, modules or units of competency that the RTO delivers.</li> <li>○ generate an annual summary report to the Regulatory Body against the quality indicators on the previous calendar year's activities.</li> </ul> </li> </ul> <p>The RTO will maintain an effective Record Management System to ensure that these records are kept and reported as required.</p> <p>The RTO must meet legislative obligations including obligations under the State Records Act, the Privacy Act and Freedom of Information Act.</p>	
<p><b>Student Enrolment</b></p> <p><b>Output:</b></p> <p><b>Responsibility:</b></p>	<p>Completed enrolment forms are received from the student via email or are submitted on the day of the course.</p> <p>New Students are entered into PowerPro. Existing students are updated in PowerPro.</p> <p>Copies of enrolment forms.</p> <p>Office Manager</p>	<p><b>Tools &amp; Templates</b></p> <ul style="list-style-type: none"> <li>• <i>Daysafe Student Enrolment Form</i></li> <li>• <i>PowerPro</i></li> </ul>
<p><b>Unique Student Identifier (USI)</b></p> <p><b>Output:</b></p> <p><b>Responsibility:</b></p>	<p>Record and verify the students USI or apply for a USI To avoid any delays in issuing certification documentation, ensure that you apply for a USI on behalf of the learner at the time of enrolment.</p> <p>USI recorded in PowerPro RTO</p> <p>RTO Administration &amp; Compliance Coordinator</p>	<p><b>Tools &amp; Templates</b></p> <p>&lt;<i>Student Management System</i>&gt;</p>

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<p><b>During the Course</b></p> <p><b>Output:</b></p> <p><b>Responsibility:</b></p>	<p>Students are provided with the following documentation which they may retain:</p> <ul style="list-style-type: none"> <li>• Student Activity Book / Work Book /Learner Guide</li> </ul> <p>They are also provided with a copy of the Theory Assessment tool which they are to complete.</p> <p>The Trainer &amp; Assessor also completes copies of the following documentation for each student:</p> <ul style="list-style-type: none"> <li>• Practical Assessment Checklist</li> <li>• Record of Assessment</li> <li>• WorkSafe Record of Assessment</li> </ul> <p>At the completion of the training students are also requested to complete the AQTF Learner Questionnaire</p> <p>Once all assessment has been completed and marked all documentation is to be provided to the Office Manager to process.</p> <p>Completed Assessment Tools.</p> <p>Completed Records of Assessment – AQTF &amp; WorkSafe</p> <p>Completed AQTF Learner Questionnaire.</p> <p>Student</p> <p>Trainer &amp; Assessor</p>	<p><b>Tools &amp; Templates</b></p> <ul style="list-style-type: none"> <li>• <i>Student Activity Book / Work Book / Learner Guide</i></li> <li>• <i>Assessment Tools</i></li> <li>• <i>Records of Assessment – AQTF &amp; WorkSafe</i></li> <li>• <i>Learners Questionnaire</i></li> </ul>
<p><b>On Completion of the Course</b></p> <p><b>Output:</b></p>	<p>The student invoice, confirmation, any payment information and the Statement of Attainment is saved onto the students or companies' contact log on PowerPro.</p> <p><b>Storage &amp; Retention of Hardcopy Student Records</b></p> <p>Completed enrolment form, assessment tools, photo copy of ID, copy of Notice of Assessment and/or a record of assessment are to be collated and securely stored at the RTO in course folders in order of completion date.</p> <p>Once the statements of attainment have been issued and the invoices paid for each student, the records will be filed in an archive box marked by course with date range and placed in a secure room at the RTO.</p> <p>The RTO will retain these hard copy documents for a minimum of 5 years.</p> <p>Destruction of these documents is by shredder.</p> <p>Softcopy Student Records on PowerPro</p> <p>Hardcopy Student Records – filed &amp; archived</p>	<p><b>Tools &amp; Templates</b></p> <ul style="list-style-type: none"> <li>• <i>PowerPro</i></li> <li>• <i>Filing Cabinet</i></li> <li>• <i>Archive box</i></li> </ul>

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<b>Responsibility:</b>	Office Manager	
<b>Learner and Employer Survey Data Reporting</b>	Survey responses from students and employers will be imported into PowerPro as received. Submit annually to regulatory body by 30 <sup>th</sup> June.	<b>Tools &amp; Templates</b> • <i>PowerPro</i>
<b>Output:</b>	Completed survey data	
<b>Responsibility:</b>	Office Manager	
<b>Competency Completion Online System (CCOS) Reporting</b>	Report on numbers of commencements and completions for the reporting period. Submit annually to the Regulatory Body by 30 June.	<b>Tools &amp; Templates</b> • <i>CCOS report from PowerPro</i>
<b>Output:</b>	Completed data	
<b>Responsibility:</b>	Office Manager	
<b>AVETMISS Reporting</b>	Statistical information captured at time of enrolment. Entered into PowerPro. Reporting frequency, period and who to report to, to be advised.	<b>Tools &amp; Templates</b> • <i>AVETMISS report from PowerPro</i>
<b>Output:</b>	Completed data	
<b>Responsibility:</b>	Office Manager	
<b>Complaints &amp; appeals correspondence</b>	All documentation in regard to Complaints & Appeals by students are to be retained in hardcopy and actioned in accordance with Daysafe P&P - Complaints & Appeals	<b>Tools &amp; Templates</b> • <i>AVETMISS report from PowerPro</i> • <i>Daysafe P&amp;P - Complaints &amp; Appeals</i>
<b>Output:</b>	Completed data	
<b>Responsibility:</b>	Office Manager	

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**Key Performance Indicator:**

The effectiveness of the student records outlined in this P&P is to be measured by:

- All student enrolments are to be recorded on PowerPro.
- All student outcomes are to be entered on PowerPro.
- Statistical standard information is captured.
- All reports submitted in accordance with the Regulatory Body requirements.

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