

<b>Policy Owner</b>	Principal Executive Officer		
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## Student Record and Data Entry Policy

### Policy

Sydney City College of Management will ensure its records are accurate and will provide returns of client records of attainments of units of competence and qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. In addition, Sydney City College of Management will keep organizational records securely in line with this policy.

### 1.0 Data Entry Guidelines

1.1 Each individual staff member is responsible for ensuring accurate records within the scope of their tasks and responsibilities

1.2 SCCM staff are required to take a proactive approach to ensure that all records entered by the individual staff member are accurate and maintain the integrity of the Institute

1.3 SCCM Managers are responsible for ensuring the overall accuracy and integrity of records from within their department

1.4 The Principal Executive Officer and Principal are responsible for ensuring the overall accuracy and integrity of all Institute records

### 2.0 Data Entry Overview

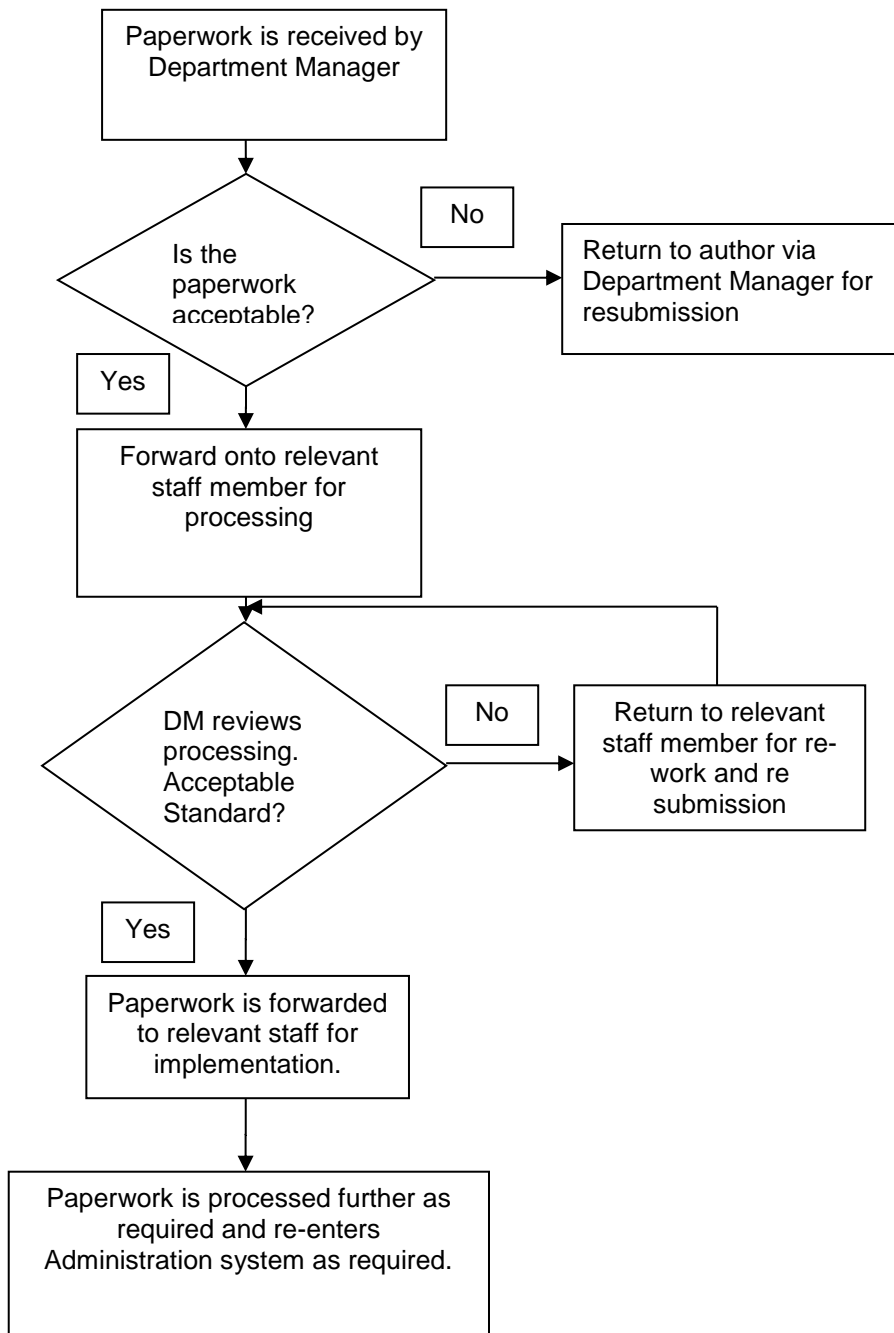
2.1 All Student related information is to be forwarded to the appropriate Department Manager

2.2 Upon receipt of any information, the Department Manager will review the material for accuracy, completeness and relevance to its intended purpose

2.3 Inaccurate, illegible, incomplete or other information that is not in a finished, acceptable standard, will be returned to the responsible individual for rectification and resubmission

2.4 Once the Department Manager has determined the material is suitable for processing, the material will be forwarded to the appropriate staff member for onward processing

## Flow Chart Representation



### 3.0 Records Guidelines

3.1 All hard copy records including individual Student records must be stored in a locked, secured office area. This is the Principal's responsibility

3.2 All electronic records must be protected by password access and computer viruses, firewalls and spyware protection software. Electronic records contained will typically include (but are not limited to):

- Continuous improvement records
- Training and assessment strategies
- Individual trainer records, including verified CV's and certified copies of qualifications
- Assessment validation documentation and records
- Complaints and appeals records
- Any contracts or associated records
- Records of qualifications issued
- Client feedback
- Minutes of staff meetings
- Assessment results for appeal or validation
- Student enrolment records
- Participation records
- Attendance records
- Course progress records
- Deferment, suspension or cancellation records

3.3 The Principal is responsible for conducting a weekly back up of SCCM's computer systems to an external removable hard drive. The backup is then kept securely offsite

3.4 In the event that Sydney City College of Management ceases to operate as a RTO, the Institute will transfer all records to the National VET Regulator in the appropriate format and detail, as specified by the National VET Regulator, at the time of ceasing RTO operations

3.5 All other records, including training records, taxation records, business and commercial records etc. will be retained for a period of 7 years

3.6 The Principal will ensure that the Institute collects, records and submits AVETMISS data to the National VET Regulator as required by the National VET Regulator.

3.7 The Principal will provide returns of the Institute's client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. In April of each year, the Principal will complete the Competency Completion Report for the previous calendar years activities (January – December) and submit the report via the Competency Completion Online System (CCOS) to the National VET Regulator prior to 30<sup>th</sup> June.

3.8 The Principal will ensure that Sydney City College of Management systematically collects, analyses, acts upon and submits quality indicator data relating to the previous calendar years activities, to the National VET Regulator by the 30<sup>th</sup> June

each year.

3.8.1 In week 5 of Terms 2 and 4 of each academic year, the Student Services Manager distributes the Learner Questionnaire to all current students and Employer Questionnaire (where relevant) to the employers of current students. Note that students and employers may only complete the relevant questionnaires once throughout the individual students course enrolment for the purpose of the quality indicator data submission.

3.8.2 The Student Services Manager then collects the completed Learner and Employer Questionnaire's and forwards them to the Student Services Officer for entry into the AQIS Manual Entry Template (Learner) and AQIS Manual Entry Template (Employer), which is due by the conclusion of week 6 of the Term

3.8.3 In week 7 of the Term, the Student Services Manager sends the completed templates to the AQTF Quality Indicator Service (AQIS) who collate the data into a comprehensive benchmark report. Upon returned receipt, the Student Services Manager analyses the report and provides it, along with recommendations to the Principal

3.8.4 The findings are discussed and analysed further in the Management meeting and final improvement actions are decided by the Principal

3.8.5 Where possible, the improvements are implemented by the conclusion of the following Term in line with the Institute's continuous improvement policy and stakeholder feedback policy

3.8.6 In April of each year, the Student Services Manager will review implementation of the previous academic year (January – December) Learner and Employer questionnaires and will ensure that the policy has been implemented correctly

3.8.7 The Student Services Manager will then complete the Quality Indicator Annual Summary Report and present it to the Principal for review

3.8.8 The Principal will ensure the Quality Indicator Annual Summary Report is submitted to the National VET Regulator prior to 30<sup>th</sup> June of that year

3.9 In line with clause 3.6 of the Standards for Registered Training Organisations (RTOs) 2015, Sydney City College of Management will ensure that it meets the requirements of the Student Identifier Scheme through implementation of its Unique Student Identifier (USI) policy. Specifically, this includes:

- Verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose
- Ensuring that we do 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
- Ensuring that where an exemption described in clause 3.6 of the Standard for Registered Training Organisations (RTOs) 2015 (b) applies, we 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

- Ensuring the security of Student Identifiers and all related documentation under our control, including information stored in our student management systems

3.10 Sydney City College of Management will ensure that any confidential information acquired by us, as well as individuals, committees or organizations acting on our behalf, is safeguarded

3.11 Access to individual Student training records will be limited to those required by the Standards for Registered Training Organisations (RTOs) 2015 such as:

- trainers and assessors to access and update the records of the Students whom they are working with,
- management staff as required to ensure the smooth and efficient operation of the business,
- Officers from the National VET Regulator or their representatives for activities required under the Standards for Registered Training Organisations (RTOs) 2015

Or those required by law such as:

- people as are permitted by law to access these records (e.g. subpoena / search warrants / social service benefits / evidence act)

Or

- Students authorising releases of specific information to third parties in writing
- the Student's themselves, after making an application in writing

Access to Student records is to be made directly to the appropriate Departmental Manager in the required form available from SCCM reception in person.

#### 4.0 Retention of Records

RECORD	RESPONSIBILITY	LOCATION	STORAGE	DISPOSAL
Assessment Tools and Marking Guides/Criteria/ Observation Checklist	Director of Studies	RTO Office	Computer system	7 years
Attendance, Course Progress, Deferment, Suspension, Cancellation and all other communication between the student and the college throughout	Student Services Manager	RTO Office	Filing Cabinet	7 years

enrolment				
Completed Quality Indicator Questionnaires	Student Services Manager	RTO Office	Filing Cabinet	1 year
Completed Student Assessment Records	Director of Studies	RTO Office	Locked Filing Cabinet	2 years after completion
Details of Advertising	Marketing and Admissions Manager	RTO Office	Filing Cabinet	3 years after approval
Details of Appeals	Student Services Manager	RTO Office	Filing Cabinet	7 years
Details of Complaints	Student Services Manager	RTO Office	Filing Cabinet	7 years
Details of Feedback	Student Services Manager	RTO Office	Filing Cabinet	1 year
Details of Qualifications and Statements of Attainment issued to Students	Principal	RTO Office	Computer system	30 years from date of issue
Details of RPL Applications	Director of Studies	RTO Office	Filing Cabinet	7 years
Details of Student "Reasonable Adjustment"	Director of Studies	RTO Office	Filing Cabinet	7 years
Quality Indicator Data and Annual Reports	Principal	RTO Office	Filing Cabinet	7 years
RTO Enrolment Forms	Marketing and Admissions Manager	RTO Office	Filing Cabinet	7 years
RTO Policy and Procedure Documentation	Compliance Manager	RTO Office	Filing Cabinet	7 years after obsolescence
RTO Staff Induction Records	Principal	RTO Office	Filing Cabinet	7 years after leaving company
Student Electronic Records of Results showing result and date of result for each unit of competency	Principal	RTO Office	Computer system	30 years from date of completion
Student Record Access forms	Student Services Manager	RTO Office	Filing Cabinet	7 years
Trainer/Assessor CVs	Director of Studies	RTO Office	Filing Cabinet	7 years after leaving company

**Related Documents**

- Student Document Request Form
- Staff Position Descriptions

**Related Policies**

- All Policies and Procedures