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Purpose

The purpose of this policy and procedure is to outline LEAD College's approach to ensuring it manages student records and administration effectively.

Along with other policies and procedures, this contributes to ensuring compliance with Clauses 1.7, 1.8, 3.6, 5.1, 5.2, 5.3, 5.4 and 7.5 of the Standards, as well as the ESOS Act 2000 and the National Code of Practice for Providers of Education and Training to Overseas Students 2018 Standards 2, 3, 7, 8, 9 and 10.

Definitions

ASQA means Australian Skills Quality Authority which is the national VET regulator and the RTO's registering body

AVETMISS means Australian Vocational Education and Training Management Information Statistical Standard

ESOS Act means Education Services for Overseas Students Act 2000

National Code means National Code of Practice for Providers of Education and Training to Overseas Students 2018

PRISMS means Provider Registration and International Students Management System

SMS means an AVETMISS-compliant Student Management System

SRTOs means the Standards for RTOs 2015 – refer definition of 'Standards'

Standards means the Standards for Registered Training Organisations (RTOs) 2015 of the VET Quality Framework which can be accessed from www.asqa.gov.au

Student Identifier means a unique number assigned to an individual by the USI Registrar, in accordance with the Student Identifiers Act 2014

TPS means the Tuition Protection Service which is an initiative of the Australian Government to assist international students whose education providers are unable to fully deliver their course of study.

USI means Unique Student Identifier, and has the same meaning as 'Student Identifier'

Policy

1. Systems and processes

- LEAD College:
 - 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 a file for each enrolled student and stores these in lockable filing cabinets/compact/other at head office. (change as appropriate) Each student file includes copies of all relevant documents relating to the student's enrolment, delivery and certification. Student files are archived at the end of a student's course and kept for a minimum of 2 years past the date of completion or withdrawal. (6 months is required by ASQA for assessment)

retention for VET students. However, records of the students contact details, the Student Agreement and the outcome of the assessment for each unit must be kept for international students studying VET). You may need to change this if you are delivering government funded courses.)

- Records all student information on its AVETMISS-compliant student management system, (insert name). Information stored in this system includes mandatory statistical enrolment questions, class attendance, course enrolment information, results and unit attainment, correspondence and records of issuance of AQF certification.
- Stores records of course, qualification and unit attainment and issuance for at least 30 years as required by ASQA in its student management system.
- Regularly conducts internal audits of student files to ensure the records are accurate and complete. Any issues identified during a student file audit will be rectified and root cause of the issue identified to avoid re-occurrence.

2. Record keeping

- Student records will be kept for the following minimum periods of time:
 - **Evidence of assessment decisions for VET students** are kept for a minimum of 6 months past the date of course completion or withdrawal.
 - **Records of unit attainment and issuance of a qualification or statement** will be kept for a period of thirty (30) years on the student management system as required by the Standards.
 - For international students studying VET courses: Evidence of the following is kept for a minimum of 2 years past the date of course completion or withdrawal:
 - **Outcome of assessment for each unit (including RPL or course credit decisions)**
 - **Student contact details**
 - **Student Agreements and receipts for all payments received from a student on an agreement**
 - **Records of student transfer requests and request assessments and decisions**
 - **Critical incidents involving the student and remedial action taken**
- Students are able to access the records that LEAD College holds about them by putting a request in writing using the *Access to Records Request Form* as per the *Privacy Policy*.
- Records will be made available to ASQA and their auditors upon request.

3. Course enrolments, entry and admission

- Individuals wishing to apply to enrol in a course with LEAD College can do so by following the procedures outlined on the relevant Course Outline and in our Student Handbook.
- Individuals must demonstrate that they meet the entry criteria for a course stated on the Course Outline.
- Where the student is not deemed suitable for enrolment, the application will be denied and the reasons will be provided to the student in writing.

- All students will be required to sign a Student Agreement upon enrolment to show acceptance of the Enrolment Terms and Conditions.
- Fees will only be accepted following acceptance of the agreement by the student.
- The Student Agreements for International Students will only use links to provide information other than that listed below, and include the following details, written in plain English:
 - Course and enrolment details including:
 - Course or courses in which the student is to be enrolled including the expected course start date, the location at which the course will be delivered, and the mode/s of study for the course.
 - Any prerequisites necessary to enter the course or courses, including English language requirements.
 - Any conditions imposed on the student's enrolment.
 - Fee information including:
 - All tuition fees and non-tuition payable by the student for the course, the periods to which those fees relate and payment options (including that the student may choose to pay more than 50 per cent of their tuition fees before their course commences).
 - Amounts that may or may not be repaid to the student (including any tuition and non-tuition fees collected by education agents on behalf of the registered provider).
 - Processes for claiming a refund.
 - The specified person/s other than the student, who can receive a refund in respect of the overseas student identified in the written agreement.
 - A plain English explanation of what happens in the event of a course not being delivered, including the role of the TPS.
 - Terms and Conditions including:
 - The requirement to attend of 20 hours face-to-face scheduled course contact per week for the course.
 - The circumstances in which personal information about the student may be disclosed by the registered provider, the commonwealth including the TPS, or state or territory agencies, in accordance with the *Privacy Act 1988*.
 - Internal and external complaints and appeals processes, in accordance with standard 10 (complaints and appeals).
 - State that the student is responsible for keeping a copy of the written agreement as supplied by the registered provider, and receipts of any payments of tuition fees or non-tuition fees.
 - A statement that "this written agreement, and the right to make complaints and seek appeals of decisions and action under various processes, does not affect the rights of the student to take action under the *Australian consumer law* if the *Australian consumer law* applies".

- A requirement that the student while in Australia and studying with that provider, must notify the registered provider of his or her contact details including the student's current residential address, mobile number (if any) and email address (if any), who to contact in emergency situations and any changes to those details, within 7 days of the change.
- Students will be provided with a Letter of Offer along with their Student Agreement.

4. Student code of conduct

- All students are expected to abide by the *Student Code of Conduct* during their course and involvement with LEAD College. Where students do not abide by the conduct, disciplinary action may be taken in line with LEAD College's *Training and Assessment Policy and Procedures or Teaching and Assessment Policy and Procedures*.
- The *Student Code of Conduct* is outlined in the *Student Handbook*.

5. Unique Student Identifiers

- LEAD College complies with the requirements of the Student Identifiers Act 2014 as required by Clause 3.6 of the Standards. This means that we collect Unique Student Identifiers (USIs) from students upon enrolment and ensure USIs are verified prior to the issuance of any certification documents.

6. Completions

- Upon completion of a course, students will be issued with their certification documents in line with our *AQF Certification Policy and Procedures* for VET students and as outlined in this Policy. These will be issued within 30 days of completion, provided that all fees have been paid.
- Records of completion and issuance are stored on each student's file.

7. Withdrawals

- Students who wish to withdraw from their course are required to fill in a *Withdrawal Form* and return it to our head office.
- Where fees have been paid, a student may wish to apply for a refund using the *Application for a Refund* following our *Fees and Refunds Policy & Procedures*.
- Withdrawals will prompt the issuance of a Statement of Attainment for VET students.

Procedures

1. Enquiry, application and interview

Refer

- SRTOs: Clauses 1.7, 3.6, 5.1, 5.2 and 5.3
- National Code: Standards 2 and 3

Procedure	Responsibility
<p>A. Student enquires about a course</p> <ul style="list-style-type: none"> • When a student enquires about a course, provide them with full details of the course they are considering enrolling in. This must include the <i>Pre-enrolment information Pack</i>, <i>Course Outline</i>, applicable fees, <i>Student Handbook</i> and the <i>Enrolment Form</i>. 	<p>Academic Admissions Officer</p>
<p>B. Student applies to enrol</p> <ul style="list-style-type: none"> • Upon receipt of a completed Enrolment Form, review the documentation for completeness. This includes checking: <ul style="list-style-type: none"> – Enrolment Form information is complete. – All required information has been provided. – If applying for a course that has entry requirements or pre-requisites, required evidence has been provided (as indicated on the Course Outline) such as verified copies of qualifications, transcripts, CV, English Language documentation (if required for international students) or other as specified. • Once an <i>Enrolment Form</i> is received, enter basic student details in the student management system: <ul style="list-style-type: none"> – Student name, address and contact details – Forms received 	<p>Academic Admissions Officer</p>
<p>C. Application screening</p> <ul style="list-style-type: none"> • Contact the student and complete the <i>Application Screening Checklist</i> with them to determine their initial suitability. • This can be done over the phone or face to face. • If the student is not suitable for the course, discuss alternative courses with the student. • If the student is ready to proceed, arrange entry interview. • Record the details of the application screening process on the student management system. • Create student file in line with Procedure 3 (below). 	<p>Academic Admissions Officer</p>
<p>D. Entry Interview</p> <ul style="list-style-type: none"> • Contact the student and arrange a time to complete the Entry Interview. This may be conducted as part of a group enrolment session or via phone/skype if preferred. 	

Procedure	Responsibility
<ul style="list-style-type: none"> • Course Entry Interview Form: Conduct the entry interview by following the items on the checklist. Check off each item once it has been completed, taking notes about each step where applicable. • LLN Assessment Ask the student to complete the LLN assessment at the Entry interview. <ul style="list-style-type: none"> – Mark the LLN assessment and determine appropriate LLN levels based on the marking guide. Determine whether the student has suitable skills to enrol in the course and whether or not additional support would be required. – If the student requires additional support, ensure this is documented on the LLN assessment. An Individual Support Plan should be developed in line with the <i>Training and Assessment Policy & Procedures</i>. • Make a decision about whether the student is suitable for the course, based on: <ul style="list-style-type: none"> – The skills and job outcomes the student wants to achieve by completing the course. – The LLN levels of the student and any individual support that might be required and whether this can be provided by the RTO. Complete an <i>Individual Support Plan</i> if required. • Document the decision on the Entry Interview Form and forward all paperwork to the office within 2 business days. 	
<p>E. Finalise Agreements (prior to training commencement)</p> <ul style="list-style-type: none"> • Fill in the Student Agreement, which includes the Statement of Fees. Ensure it includes an accurate quote of applicable fees and detail any other paperwork required to process enrolment. • Send to the student along with the following as applicable (unless already received) <ul style="list-style-type: none"> – Employer Agreement where an employer is payment for the training this is required. – If the student is applying for RPL, forward the RPL application kit as per the process outlined in the Training & Assessment Strategy. – If the student is applying for Credit, include a Credit application form. – Deposit/Enrolment Fee invoice (once issued, if paying own fees). 	Academic Admissions Officer
<p>F. Raise invoice</p> <ul style="list-style-type: none"> • Once the signed Student Agreement has been received, create an invoice for deposit or tuition/concession fees and any other applicable fees, in line with the <i>Student Agreement</i> and the <i>Fees & Refund Policy & Procedure</i>. • Provide to fee payer along with Student or Employer Agreement as applicable. • Keep copies of all documents and file in student file 	Academic Admissions Officer

2. Processing enrolments

Refer

- SRTOs: Clauses 7.5, 8.1
- National Code: Standard 3

Procedure	Responsibility
<p>A. Processing enrolment paperwork</p> <ul style="list-style-type: none"> • Once the Enrolment Fee has been paid, complete the <i>Enrolment Processing Checklist</i> to ensure all paperwork required has been received. The following documents must be held on student file: <ul style="list-style-type: none"> – Signed and dated <i>Enrolment Form</i> – Completed <i>LLN Assessment (as per requirement)</i> – Completed and signed <i>Student Agreement</i> • Keep copies of all documents and file in student file – refer next section. • Where the student has provided approval (in the Enrolment Form) for the RTO to generate the USI, see below for steps. • Update student details in student management system: <ul style="list-style-type: none"> – Add personal details – Add statistical data from enrolment form (if available) – Enrol in relevant course – Add commencement date • Ensure correct funding source identifier is selected: <ul style="list-style-type: none"> – For fee-for-service students, select funding source identifier & add others as applicable • If Credits are applicable, conduct Credit assessment in accordance with the Credit Policy and Procedure. • For all Credits issued record an AVETMISS outcome code of 60 against units achieved as Credit in student management system • CREDITS and RPL MUST be approved by the National Compliance Manager and/or the Academic Campus Manager. 	<p>Academic Admissions Officer/ Academic Campus Manager and/or National Compliance Manager</p>
<p>USIs</p> <ul style="list-style-type: none"> • Ensure the <i>Enrolment Form</i> received previously is accurate, signed and completed in full including the section at the end on USI Authority. • Ensure student has provided or been issued with a verified USI or given permission for LEAD College to create a USI on their behalf, as well as provide a valid form of identity (as listed on the Enrolment Form). • Where the student has not done one of these options correctly, advise the 	<p>Academic Admissions Officer</p>

Procedure	Responsibility
<p>student that their enrolment is on hold until this has been provided (either the USI or the USI Authority & valid identity provided).</p> <ul style="list-style-type: none"> Where the student has provided approval for the RTO to generate the USI: <ul style="list-style-type: none"> Follow the online process for generation of a USI for the student – by logging into the USI portal -https://portal.usi.gov.au/org/ Notify the student in writing of the USI that has been generated on their behalf. Where the student has provided their USI, validate it using the USI portal or through the student management system. Once validated, destroy the evidence provided for this purposes by shredding/blacking out all identifying details in the copy provided. Do not destroy original documents, these should not have been provided but if provided by accident, organise to either return via registered mail or in person 	
<p>B. Send Confirmation of Enrolment letter</p> <ul style="list-style-type: none"> Customise to suit the information the student needs prior to commencing training -e.g. timetable information, what to bring to first class along with all relevant enrolment information such as who is their trainer/assessor, how to contact them etc 	Academic Admissions Officer

3. Student files

Refer

- SRTOs: Clauses 3, 5.4 and 7.5, 8.1
- National Code: Standard 3, 7, 8, 9, 10
- ESOS Act

Procedure	Responsibility
<p>A. Create student files</p> <ul style="list-style-type: none"> As a new student enrolls in a course, create a new file for them. Files should be labelled with: <ul style="list-style-type: none"> SURNAME, First name Store all documents and copies of letters/ correspondence relevant to admission, enrolment session and enrolment in the file. File in the filing cabinet/ compactor/other in alphabetical order by surname. 	Academic Admissions Officer/Student Support Officer
<p>B. Manage/ update student files</p> <ul style="list-style-type: none"> Throughout the student's course, file all documents relating to the student in the student file once they have been processed accordingly. This includes: <ul style="list-style-type: none"> Assessment evidence and records of assessment outcomes All student correspondence Receipts of payments for tuition and non-tuition fees 	Academic Admissions Officer/Student Support Officer/International Student

Procedure	Responsibility
<ul style="list-style-type: none"> – Warning letters – Intervention Plans – Requests e.g. for course transfer or deferral or suspension (also see Course Transfer P&P and Deferral, Suspension and Cancellation P&P) – Contact records – Critical incident reports and remedial action taken involving the student 	Support Coordinator
<p>C. Keep copies of correspondence and fees</p> <ul style="list-style-type: none"> • Keep copies of any correspondence sent to a student in the students file. This may also be stored electronically against the student's record in the SMS. This might include letters about progress, attendance reminders, emails to the student etc. • Keep copies of invoices sent to the student in the student's file. 	Admissions Officer/Student Support Officer/International Student Support Coordinator
<p>D. Changes to agreement</p> <ul style="list-style-type: none"> • If there are any changes to agreement with student during their course, such as changes to training arrangements, assessment arrangements, changes to agreements with third parties, the student must be advised in writing in accordance with Clause 5.4 of the Standards. • Any changes to the agreement must be mutually agreed to by all the parties. 	Admissions Officer/Student Support Officer/International Student Support Coordinator
<p>E. Archive student files</p> <ul style="list-style-type: none"> • Once a student has completed/withdrawn or transfer from their course, the file can be archived, however must be kept for a minimum of 2 years past the date they ceased to be enrolled. See clause 2 of this policy in relation to minimum retention periods for different types of records. 	Admissions Officer/Student Support Officer/International Student Support Coordinator
<p>F. Disposal of student files</p> <ul style="list-style-type: none"> • Dispose of student files that have met the above requirements and are out of the timeframes required for retention by placing them in the secure paper disposal bin for collection. (MUST be secure shredding application) 	Admissions Officer/Student Support Officer/International Student Support Coordinator

4. Results, attendance and other progress

Refer

- SRTOs: Clause 7.5, 8.1
- National Code: Standard 6

Procedure	Responsibility
<p>A. Record results</p> <ul style="list-style-type: none"> • As training/teaching and assessment activities are completed, trainers will send in 	Administration Officer/internati

Procedure	Responsibility																		
<p>completed documents such as outcome records, task cover sheets, visit reports, training plans, contact records, attendance rolls and other documents. These must be reflected in the student management system as relevant.</p> <ul style="list-style-type: none"> Accurately record all assessment outcomes in the student management system within 5 working days of receipt. Discuss with manager if data for course and unit commencement is incorrect in the student management system. Ensure following codes are used for VET students when recording results in the student management system. <table border="1" data-bbox="268 613 1102 920"> <thead> <tr> <th>Outcome</th> <th>Code</th> </tr> </thead> <tbody> <tr> <td>Competent</td> <td>20</td> </tr> <tr> <td>Not competent</td> <td>30</td> </tr> <tr> <td>Withdrawn</td> <td>40</td> </tr> <tr> <td>RPL started but result not yet available</td> <td>50</td> </tr> <tr> <td>RPL granted</td> <td>51</td> </tr> <tr> <td>RPL not granted</td> <td>52</td> </tr> <tr> <td>Credit transfer</td> <td>60</td> </tr> <tr> <td>Commenced and due to finish next calendar year</td> <td>70</td> </tr> </tbody> </table> <ul style="list-style-type: none"> Training events may also need to be stored in the SMS in another section. Record as relevant (e.g. Workplace Visit and its date etc recorded as an Event, Checklist etc) Keep a copy of the documents in the student's file. 	Outcome	Code	Competent	20	Not competent	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	<p>onal Student Support Coordinator</p>
Outcome	Code																		
Competent	20																		
Not competent	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																		
<p>B. Record attendance</p> <ul style="list-style-type: none"> For attendance rolls for classes, mark whether each student in the class was present or absent in the student management system. In some cases, an attendance roll may trigger an update to the outcome code for a particular unit for students who attended. In this case, update unit outcome codes as relevant for units covered during the class. File attendance rolls in the <i>Class Attendance Roll</i> folder. 	<p>Trainer and Assessor</p>																		
<p>C. Record other progress as relevant</p> <ul style="list-style-type: none"> Other records of progress, events or activities may be provided that require an update in the student management system – e.g. record contacts as an event, checklist etc. Keep records in the student file of all documents. 	<p>Admission Officer and International Student Support Coordinator</p>																		

5. Withdrawals

Refer

- SRTOs: Clauses 7.5, 8.1
- National Code: Standard 9

Procedure	Responsibility
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Procedure	Responsibility
<p>A. Process withdrawals</p> <ul style="list-style-type: none"> • To withdraw from a course, a student must fill in and return a <i>Withdrawal Form</i>. • For international students, withdrawals must be processed as per the Deferral, Suspension and Cancellation P&P. • Upon receipt of the withdrawal form, conduct a Student File Audit using <i>Student File Audit Checklist</i> and follow up any issues identified or make recommendations for improvement if systemic issues have been identified. • Ensure the student management system has all completed units of competency recorded. • Withdraw the student from the course on the student management system. This includes: <ul style="list-style-type: none"> – Changing enrolment status to Withdrawn/Cancelled. – Adding an end date to the enrolment. – Changing any commenced units to a withdrawn outcome code of 40 and changing unit end date to date of withdrawal. – Removing the student from any classes they were booked into. – Removing the student from portal or online learning access (if applicable). – Advising trainer/assessor • Ensure all fees have been charged. Notify accounts team to follow up outstanding amounts. Assess refund eligibility if applicable in line with <i>Fees & Refund P&P</i>. • For VET students, identify eligibility for a Statement of Attainment. Issue in accordance with <i>AQF Certification Policy and Procedures</i> if eligible. • Conduct a Student File Audit and follow up any issues identified or make recommendations for improvement if systemic issues have been identified. • Archive student file as per section above. 	<p>International Student Support Coordinator/Student Issuance</p>

6. Completions

Refer

- SRTOs: Clauses 3.3, 3.4, 7.5

Procedure	Responsibility
<p>A. Process completions</p> <ul style="list-style-type: none"> • Completions must be processed within 30 calendar days of the date of completion, or the date of all final fees being paid, whichever is latest. • First check that all required units for the qualification/course have been completed and recorded in the student management system • Check whether all fees have been paid by the student to give an indication of 	<p>Administration team</p>

Procedure	Responsibility
<p>timeframes required. Follow up outstanding fees if applicable.</p> <ul style="list-style-type: none"> • Check that the records held in the SMS match the records in the student file. • Conduct a Student File Audit and follow up any issues identified or make recommendations for improvement if systemic issues have been identified. • Updates must be made in the student management system. This includes: <ul style="list-style-type: none"> – Changing enrolment status to Completed. – Adding an end date to the enrolment – this should be the date of the final assessment. – Removing the student from portal or online learning access (if applicable). – Awarding the qualification/ statement in line with the <i>AQF Certification Policy and Procedure</i> as per this procedure. • Ensure students have a verified USI on file. The qualification cannot be issued if there is no verified USI. • Ensure the student's VSN is recorded, if applicable. • Issue testamur, statement of attainment and/or record of results in accordance with <i>AQF Certification P&P</i> (as long as all fees have been paid). • Archive student file as per section above. 	

Document Control

Document No. & Name:	Student Administration Policy and Procedure
Quality Area:	Student Support Progression
Author:	LEAD College Compliance Team
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Approved By:	National Compliance Manager
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