

STUDENT RECORDS MANAGEMENT Procedures



RESPONSIBLE MANAGER: Registrar
CATEGORY: Student information and services
DATE APPROVED: 15 May 2009
RELATED POLICIES AND DOCUMENTS: [Public Records Office, Victoria, Authority for Records of Higher and Further Education Institutions](#)
[Privacy Policy](#)
[VET FEE HELP Policy](#)
[Assessment Policy](#)
[Assessment Procedures](#)
[Complaints Resolution Procedures](#)
[Freedom of Information Act \(1985\) Information](#)
[Information Privacy Act 2000](#)
[Commonwealth Privacy Act 1988](#)
[Health Records Act 2001](#)
[Higher Education Support Act 2008 \(HESA\)](#)

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Introduction

This procedure documents Institute practice for the management of all student records. It is written in accordance with the requirements of the Victorian Public Records Office and the Australian Quality Training Framework standards.

Definitions

The following terms are referred to throughout this procedures document.

Grievance	Complaints brought by or against a student/staff member and the process of investigation and resolution of the complaints. This includes but is not limited to grievances related to the misconduct of students or staff, and complaints regarding the appellation of results, or course content.
ICTS	SWTAFE Information Communication Technology Services Department
QLS	SWTAFE's electronic Student Management System

Requests for Student Information

Any external request for student records information should be made in writing and forwarded to the Registrar.

Disclosure of Student Information

Reference to the Institute [Privacy Policy](#) should be made when considering disclosure of student information to external organisations such as those listed on page 3.

Information relating to a student over sixteen years of age will not be released without the written consent of the student, or where relevant, the student's parent or guardian.

Parental consent must be obtained prior to the release of any information relating to students less than sixteen years of age.

The consent of a parent or guardian will be required regarding the disclosure of information relating to students with intellectual disabilities, who are deemed by the Disability Liaison Officer unable to judge the consequences of disclosure.

Student results

Statements of results are issued to apprentices and trainees on course completion. Otherwise all results are posted to students at the end of each year in which they are enrolled.

Students may obtain copies of their results by applying to the Student Management Department.

The Institute may withhold results or certification of a student should that student have any fees or fines outstanding or Institute equipment, library books or other equipment not returned.

Student references

Student references will not be provided on Institute letterhead unless countersigned by the CEO or an Executive Manager. Teachers may elect to provide personal references to students to assist them in seeking employment or further education, but they must not be on Institute letterhead.

Disclosure in Response to Requests from Outside Organisations

In all cases where an external body is provided with student records information, documentation of the disclosure will be retained for seven years.

Source of request	Information to be provided
Centrelink	The Social Security Administration Act provides Centrelink with the authority to request student details. Centrelink must provide a written request to release information.
Department of Veterans' Affairs (DVA)	Under the Veterans' Entitlement Act 1986, Section 128, DVA has the authority to request student details. The department must provide a written request to release information.
Department of Immigration, Migrant and Ethnic Affairs (DIMEA)	Under the ESOS Act, DIMEA has the authority to request international student details. The department must provide a written request to release information. Requests for information concerning international students are considered by the Associate Director (Development).
Police	Police may present a request in person or in writing. Requests are referred to the Director or Associate Director. Verification of police identification will be made.
Legal firms, real estate agents and finance companies	With the written authorization of the student.
New Apprenticeship Centres (NACs)	On an <i>Authority to Release Information Form</i> , signed by the student.
JobNet providers	On an <i>Authority to Release Information Form</i> , signed by the student.
WorkCover	Under the Occupational Health and Safety Act 1985, WorkCover has the authority to request student details. WorkCover must provide a written request to release information.
Subpoena	Information as required in the subpoena
Search Warrant	Information as required in the search warrant. A receipt must be provided for all documents, files or disks that are removed from the Institute.
Ombudsman	Information that the Ombudsman is empowered by law to request.
Auditor General	Information that the Auditor General is empowered by law to request.
Freedom of Information	Disclosure under the Victorian Freedom of Information Act (October 1985) usually excludes any personal information or identification. Requests must be in writing and state that the information is requested under the Freedom of Information Act, and accompanied by the prescribed fee. The Institute is allowed 45 days to respond to FOI requests. Such requests are considered by the Registrar. Decisions not to supply FOI requested information and appeals against the decision will be considered by the Director.

Exception to the above procedure

Reports on attendance and academic progress are regularly sent to employers of trainees and apprentices, where a Registered Training Agreement is in place, with the written consent of the student.

Storage and Archiving of Student Results

Electronic back-up and storage of records

All student results and records of completion are stored on QLS, which has a record of all student results since 1986.

The ICTS department performs a partial back-up of electronic files daily, with a full back-up of all files on Fridays. Back-up tapes are securely stored in an area physically separated from the server. This ensures that in the case of a catastrophic system failure no more than one day's data will be lost. To ensure the system is recoverable from the back-up tapes, the ICTS department has back-up and testing procedures.

When a replacement of the student management system software occurs, verification will be undertaken to ensure that student results data remains accessible.

Storage, retrieval and destruction of paper based student records

Hard copies of records, which are required to be stored, are maintained for a seven year cycle.

Records are secured in the Student Management Department and are only accessed by authorised staff.

Annually, files that have been stored for seven years are sorted into two groups:

- those to be retained for longer than seven years,
- those to be destroyed.

Those which are required to be stored for a period of longer than seven years are retained securely in archival storage, and are only accessed by authorised staff.

Records scheduled for destruction are placed in a locked container and forwarded to a specialist document destruction facility.

Records Retention - Student Management Department

Copies of the following completed forms are retained by the Student Management Department for the stated retention periods:

Information retained	For a minimum period of
Enrolment Forms, including name, student identification number, contact and personal details, concession card details and course enrolment details.	7 years following the completion of, or withdrawal from, the last enrolled year.
Enrolment variation	7 years following date of enrolment.
Change of personal details forms	Destroy when administrative use is concluded.
Recognition of prior learning applications, exemption application forms, and supporting information.	7 years following date of enrolment.
Withdrawal forms	7 years following date of enrolment.
Application for certificate forms	2 years
Electronic records of final results	Indefinitely
Register of qualifications issued	Indefinitely
Scholarship application – including applications, supporting documentation, references, copies of prior learning results, testimonials.	7 years following completion of the delivery of scholarship/prize.
Listing and copies of information disclosed to external organisations.	7 years after disclosure.

Records Retention - Teaching Departments

Copies of the following student information are retained in secure storage in the Teaching departments for the stated retention periods and may only be accessed by Departmental staff or Student Management staff:

Information retained	For a period of
Course/subject application information (eg. application forms, references, supporting documentation, records of prior learning, examples of prior work).	1 year following completion of or withdrawal from the course.
Student selection information (eg. interview results, entry test paper, decision documentation).	1 year following completion of or withdrawal from the course.
Evidence of attendance (eg. roll books, attendance sheets, correspondence regarding attendance/non-attendance, medical certificates).	2 years following date of last entry
Evidence of student participation – see full details below of evidence that is acceptable in the annual OTTE invalid enrolment audit. *	2 years following date of last entry

*Note:

Each year Skills Victoria conducts an audit of student enrolments. The following items provide acceptable, valid evidence of student participation in a unit of competency or module.

Current options include any one of the following:

- Evidence of work submitted for that unit of competency or module. These could include, for example, interim assessments including completed examination papers, practicum reports, assignments, supervisor reports, observation reports.
- Instructor notes relating to personal interviews, telephone calls, email or other communications with the student relating to their participation in the unit or module.
- A SWTAFE endorsed attendance roll, provided it can be shown that the unit or module was delivered at the time the student was marked on the roll.
- A secure paper based or electronic record that indicated an actual result (e.g. a pass, a mark – not a zero; or grade for the unit or module.) This result should have an endorsement at the delivery level that confirms the accuracy of the record.
- A signed statement from relevant, authorised institute staff affirming the student's participation which indicates:
 - A full explanation of why the primary recording documentation (see above) is not available
 - A signed and dated statement containing a full explanation of the evidence being provided and affirmed.

Note: External auditors will determine if the evidence provided is sufficient. A signed document merely stating that the student participated will not meet the verification requirements.

- Evidence of student secure log-in (e.g. via MyCourse) to a specific learning activity relating to the unit or module.
- For distance and flexible modes of delivery, records of staff/ student engagement in a learning activity in the unit or module, that indicates that the student has commenced working on the materials received.
- Verification of clustered delivery of units or modules. Where, for the purposes of delivery or assessment, units or modules are clustered together, the evidence must provide evidence of participation at the unit or module level. Supporting evidence may include:
 - An accompanying lesson plan, showing the training planned and delivered at the unit or module level
 - A notation on a roll that indicates which unit or module was actually delivered in a session

Teacher Entry of Student Results on QLS

Student results are entered and stored electronically on QLS by authorised, appropriately trained staff.

Teachers are restricted to entering results for the classes/modules they are recorded against on QLS.

Process for 'other' Result Entry

If any of the following results need to be entered for a student, teachers must complete the appropriate paper work and forward to the Student Management Department.

The Student Management Department will then enter these results on QLS.

Withdrawal	Complete an ' Enrolment Amendment ' form. <i>(Withdrawn after commencing)</i>
Exemption	Complete an ' Exemption Application ' form
RPL	Complete a ' Recognition of Prior Learning ' package.

Other Information to be retained

Grievances

Student complaints and grievances are managed and mediated by the Client Services Manager.

These records relating to students are to be forwarded by the Client Services Manager to the Student Management Department, to be stored with the student's record:

Information retained	To be retained for a period of
Grievances where a penalty or disciplinary action occurred, (including complaints forms, records of interviews, correspondence, reports, summaries, committee minutes.)	15 years following date of decision.
Grievances where no penalty or disciplinary action occurred, but may include a reprimand, (including complaints forms, records of interviews, correspondence, reports, summaries, committee minutes.)	7 years following date of decision.
Grievance – where the incident is found to be false or not proven.	Destroy if the CEO determines that the record should be erased.

Occupational Health and Safety

These records relating to students are to be forwarded by the Human Resources Department to the Student Management Department, to be stored with the student's record:

Information retained	For a period of
Any incident or accident relating to Occupational Health and Safety as part of an OHS and/or Workcover file.	15 years from the date of the incident.

Career counselling

Career counselling including case files, client career files, interview response forms, completed surveys and questionnaires are retained by the Student Access and Equity Team.

Personal Counselling

Provision of support and assistance in personal matters by a counsellor are retained by the Personal Counsellor.