

APPG021 Certificate Issuance Policy

Development Date	July 2022
Date of Approval	Aug 2022
Approved by	CEO
Last Date of Review	Feb 2025
References:	SRTOs NVETR Act ESOS Act Freedom of Information Act Privacy legislation

1. Purpose

- 1.1. This policy sets a broad framework for records management at ALLIED INSTITUTE in accordance with the requirements of the Public Records Office and addresses specific requirements of the Australian Skills Quality Authority and relevant departments for issuance of student records.
- 1.2. It also ensures that appropriate information management and security systems are in place to enable the departments and the staff members issue students' qualifications, records of results and statements of attainment documentation using an authorised system that is planned, controlled, recorded and monitored.

2. Scope

- 2.1. This policy applies to all paper and electronic certificates, qualifications, records of results and statements of attainment issued and retained by ALLIED INSTITUTE.

3. Responsibilities

- 3.1. A Student Experience Officer, as a delegated authority, has the responsibility for records management other than financial records across ALLIED INSTITUTE.
- 3.2. The General Manager is responsible for implementation and administration of this policy.
- 3.3. Any complaints or breaches in relation to this policy should be reported to the Chief Executive Officer in person or by email.

4. Definitions

- 4.1. **Student Records:** Mean all documents and records, paper-based or electronic, related to an enrolled student or ALLIED INSTITUTE
- 4.2. **Completed student assessment items:** The actual piece(s) of work completed by a student or evidence of that work, including evidence collected for an RPL process. An assessor's completed marking guide, criteria, and observation checklist for each student may be sufficient where it is not possible to retain the student's actual work. However, the retained evidence must have enough detail to demonstrate the assessor's judgement of the student's performance against the standard required (ASQA)
- 4.3. **Qualifications / Record of Results / Statements of Attainment issued:** This is a record of qualifications and or statements of attainment issued to students. The documents must meet the requirements of the Australian Qualifications Framework (AQF) Handbook and the endorsed training packages and/or accredited courses within the scope of the registered training

organisation's registration. Enough information to reproduce the qualifications/statements of attainment, including the date of issue, is required. A list of units of competency achieved by each individual student must also be retained.

- 4.4. **Student Assessment Records:** Mean specific records of completed student assessment items or works completed by a student during a course of study at any time as an enrolled student of ALLIED INSTITUTE
- 4.5. **Records Management:** Field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
- 4.6. **Securely retain:** To retain records in a manner that safeguards them against unauthorised access, fire, flood, termites or any other pests, and which ensures that copies of records can be produced if the originals are destroyed or inaccessible
- 4.7. **SEO:** Student Experience Officer.
- 4.8. **SETL:** Student Experience Team Leader.

5. Policy

- 5.1. Where a student completes, is cancelled or withdraws from a course and the student achieved competency in one or more Units of Competency in the qualification the student is enrolled at ALLIED INSTITUTE, the RTO will issue a qualification or statement of result
- 5.2. A student who met the requirements of a vocational education and training [VET] qualification and has no outstanding fees will receive:
 - 5.2.1. A Testamur when, and
 - 5.2.2. A Record of Results issued by ALLIED INSTITUTE to accompany the Testamur.
- 5.3. A student who completed one or more units or modules and has no outstanding fees will receive:
 - 5.3.1. A Statement of Attainment
- 5.4. The records management principles that enable ALLIED INSTITUTE to maintain a compliant and accountable record-keeping system;
 - 5.4.1. Must ensure ALLIED INSTITUTE is compliant and accountable in all areas of business;
 - 5.4.2. Must be managed, monitored and audited for compliance;
 - 5.4.3. Must be assigned to specific officers and implemented;
 - 5.4.4. Must be reliable and secure;
 - 5.4.5. Must be systematic and comprehensive; and
- 5.5. It is mandatory for all staff to ensure College records are recorded, managed and disposed of using records management systems such as the Student Management System and server-based electronic folder system.
- 5.6. ALLIED INSTITUTE will retain client records of attainment of units of competency and qualifications for a period of 30 years from the date on which the judgement of competence for the student was made; and as per the additional and specific requirements in accordance with the requirements of Schedule 5 (SRTO 2015).

6. Access and Security

- 6.1. Staff may have access to those records necessary to fulfil their duties.
- 6.1.1. Certain records of a confidential nature may have restricted access for the period of time in which they remain confidential. Access to records will be controlled through computer software and hardware access control features.
- 6.1.2. All College records will remain on campus unless authorised by the Chief Executive Officer in writing
- 6.1.3. Access shall be restricted and controlled to protect:
- 6.1.3.1. Privacy of personal information;
- 6.1.3.2. Intellectual property rights and commercial in confidence information;
- 6.1.3.3. Legal and other professional privileges;
- 6.1.3.4. Sensitive business records;
- 6.1.3.5. Editing and version control of documents
- 6.1.3.6. Unauthorised alteration or deletion
- 6.1.4. Access will be controlled where appropriate/necessary using a variety of techniques, including:
- 6.1.4.1. Security restrictions on electronic documents;
- 6.1.4.2. Restricted borrowing of hard copy files;
- 6.1.4.3. Secured file storage
- 6.2. All the students will have access to current and accurate records, of their participation and progress at ALLIED INSTITUTE, including competency records and results.

7. Disclosure of Information

7.1. Information relating to a student will not be released without the written consent of the student, or where relevant, the student's parent or guardian with the exception of the requirements of disclosure in assisting with law enforcement agencies.

7.2. Disclosure to External Agencies may be made in certain circumstances as below:

Agency	Type of Disclosure
Police	Police may present a request in person or in writing. Requests are referred to CEO of ALLIED INSTITUTE. Verification of police identification will be made.
Legal firms, real estate agents and finance companies	With the written authorisation of the student.
Ombudsman	Information that the Ombudsman is empowered by law to request.

Freedom of Information	<p>Disclosure under the Freedom of Information Act (October 1985) usually excludes any personal information or identification.</p> <p>Requests must be in writing and state that the information is requested under the Freedom of Information Act. The Institute is allowed 45 days to respond to FOI requests.</p>
DHA	<p>Under the ESOS Act, DHA has the authority to request international student details. The department must provide a written request to release information.</p>
Regulatory Agencies	<p>Disclosure as required under the National Vocational Education and Training Regulator Act 2011 (Cth), including during compliance audits.</p> <p>No student record or document is removed from ALLIED INSTITUTE premises without the written authorisation of the CEO.</p>

8. Archiving and Disposal

8.1. All student results and records of completion are stored on College's electronic Student Management System, which has an up-to-date record of all student results.

8.2. Records, such as attainment of units of competency and qualifications that 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	Retention Period
Electronic records of results	<ul style="list-style-type: none"> - Permanent: minimum 30 years (before 01/07/2025) - 7 years following the completion of, or withdrawal from, the last enrolled year (After 01/07/2025)
Register of Qualifications issued	<ul style="list-style-type: none"> - Permanent: minimum 30 years (before 01/07/2025) - 7 years following the completion of, or withdrawal from, the last enrolled year (After 01/07/2025)
Records of attainment of units of competency and qualifications	<ul style="list-style-type: none"> - Permanent: minimum 30 years (before 01/07/2025) - 7 years following the completion of, or withdrawal from, the last enrolled year (After 01/07/2025)
Student assessment items and evidence of participation	<ul style="list-style-type: none"> - A period of six months from the date on which the judgement of competence for the student was made (Before 01/07/2025) - A period two years following the student's

Records	Retention Period
	completion of the training product (After 01/07/2025)
Qualifications/ Statements of Attainment issued	<ul style="list-style-type: none"> - Permanent: minimum 30 years (before 01/07/2025) - 7 years following the completion of, or withdrawal from, the last enrolled year (After 01/07/2025)

8.3. All official records of ALLIED INSTITUTE are to be disposed of in accordance with the Public Records Act 1973.

8.4. The retention, archiving and disposal of College records is to be managed by a person authorised by the CEO.

9. Audit and Review

9.1. A regular review of the document management process will be completed to ensure compliant record-keeping is maintained in all areas of ALLIED INSTITUTE.

9.2. ALLIED INSTITUTE's electronic records management system shall be reviewed every year to ensure compliance and best practices are maintained.

10. Storage Requirements

10.1. All records must be kept securely and confidential information must be safeguarded. Records must be kept securely to avoid fire, flood, termites or any other pests and be available for perusal by departmental auditors at a scheduled audit.

10.2. A backup of all records must be kept. If only electronic records are kept, the mechanism by which the material can be retrieved must be retained.

10.3. Information about a client must not be disclosed to a third party without the written consent of the client. Procedures must ensure clients have access to their personal records.

11. Transfer of student results and other records in the event of the RTO ceasing to operate

11.1. When ALLIED INSTITUTE ceases to operate, it must forward all student results, including student records (name, address, and any identifier such as date of birth) to the registering body. The documentation is to be a complete, accurate and ordered copy of all student results/details since initial registration.

11.2. The records must be in the form of an electronic copy or hard copy, and include software details. Copies of qualification/statements of attainment issued to students, and a list of the competencies/modules achieved for each student, must be included.

11.3. An organisation that delivers training to its own staff and continues to operate its core business after it relinquishes its registration status may continue to hold the student records to provide easy access to records for employees. These organisations are reminded that such records must be kept for 30 years.

12. Training Records Issuance

12.1. ALLIED INSTITUTE will issue a qualification or Statement of Attainment (SoA) within thirty (30) days of a student completing their training and or assessment where:

12.1.1. ALLIED INSTITUTE has evidence of the student achieving competencies

12.1.2. The student has no outstanding fees and charges, and

12.1.3. The student provided ALLIED INSTITUTE with:

12.1.3.1. A USI that was verified by ALLIED INSTITUTE, or

12.1.3.2. The authority to apply for a USI on the student's behalf.

12.2. Refer to Table 1 for the flow-chart.

13. Policy Control

Version	Date	Changes / Updates	Approved
1.0	Jul 2022	RTO Policy and Procedure of ALLIED INSTITUTE	CEO
	Jan 2025	Rewording of the policy for clarity	CEO

TABLE 1

