



Institution	Mercury Institute of Victoria
Policy Name	Records Management Policy and Procedure
Policy Governance	Compliance Manager
Reference to Standards	National Code 2018 - Standard 3 Formalisation of enrolment and written agreements
Date of Approval	June 2020
Review Date	June 2021
Version No.	4.0

PURPOSE

The purpose of this procedure is to define the system used to:

- Assure the integrity, accuracy and currency of records
- Maintain up to date records of the verified qualifications and experience of Trainers/Assessors
- Maintain up to date records of enrolments and participation
- Maintain up to date records of fees paid and refunds given
- Manage recordkeeping requirements for overseas students as required by ESOS legislation, ESOS regulations and the National Code of Practice for Providers of Education and Training to Overseas Students 2018
- Records are routinely backed up and effectively protected
- Records are archived so that they are accessible and protected
- The Mercury Institute of Victoria meets requirements for retention, archiving and retrieval of information, in order to satisfy licensing authorities' requirements

Mercury Institute of Victoria establishes this policy and procedure to:

- Comply with the requirements of the National Code 2018 - 3 Formalisation of enrolment and written agreements

SCOPE

This Policy applies to all staff, students and associates of Mercury Institute of Victoria who create, process or store data and information:

- Date of birth and/or identifier number
- Qualification(s), course(s) and unit(s) of competency achieved including title and national code
- Date on which requirements for the qualification/s or unit/s of competency were achieved.

RESPONSIBILITY

The Compliance Manager is responsible for this procedure and to ensure that staff and students are aware of the application of this procedure and that staff implement its requirements.

REQUIREMENTS

- Student records must be retained and archived for 30 years in a form that is suitable for retrieval and transfer to third parties and in accordance with the requirements of the Regulatory Agency.
- An AVETMISS compliant student database maintained and backed up according the Data Backup Procedure.
- Confidential information obtained by the Mercury Institute of Victoria and committees individuals or organisations acting on behalf of the Mercury Institute of Victoria must be safeguarded.
- Except as required under the Standards for Registered Training Organisations or by law, information about students and staff is not disclosed to third parties without written consent of the student or staff member.
- Students and staff members are entitled to access their personal records (*Records Request Form*).
- Evidence of verification of the qualifications and experience of assessors and trainers



must be maintained (*Qualification and Currency Verification Form*).

- Document registers and the material listed in the Mercury Institute of Victoria version control folder must be readily accessible to any person required to perform any function for the Mercury Institute of Victoria.

1. POLICY

Administration Records

- Application Forms are completed and filed for all students. Data from the Application Form is entered on to the Student Management System.
- All the enrolment related forms are scanned in Student Management System and a hard copy is maintained in the Student's File.

Academic Records

- Competency records for each unit are maintained by Trainers, signed and dated by the Trainer and then forwarded to the Training Coordinator at the end of each study period.
- Based on the competency records forwarded by Trainers at the end of each study period the achievement of units of competency for each student is recorded on the Student Management System by the Training Coordinator, or whoever the Training Coordinator delegates to undertake this task.
- When it is believed that a student has completed all competencies required for the issuing of an award a transcript is printed and sent to the Administration Manager for review and checking.
- Students completing one or more units / modules but not a complete qualification will be issued a Statement of Attainment on completion of their studies or upon withdrawing from a course.
- When it is believed that a student is eligible for the issuing of a Statement of Attainment a transcript is printed and sent to the Administration Manager for review and checking.
- A Trainer in the program and the Administration Manager must verify eligibility for an



Award or a Statement of Attainment.

- Verification requires checking student module / unit completions against the qualification requirements or packaging rules in the curriculum / training package. Applicable rules will be those that applied at or after the time of enrolment up until the time of completion.
- After verification of eligibility an Award or Statement of Attainment will be prepared and issued to the student. *Qualifications Issuance Checklist* must be followed for each student prior to handing-over the qualification to the students.
- The date of issue, title of the Award or Statement of Attainment, and sequence number of the document is recorded in the Student Management System.
- Every year in June, Quality Indicator Survey Report is submitted to ASQA at the following in June each year lodge data following the ASQA requirements for the quality indicator system detailed at the following web site <https://www.asqa.gov.au/vet-registration/meet-data-provision-requirements/quality-indicator-reporting> for training activities completed in the previous calendar year:
 - the number of enrolments for each qualification code
 - the number of qualifications completed for each qualification code
 - the number of enrolments for each unit of competency or module
 - the number of units completed for each unit of competency or module
 - an indication of offshore operations.

Address and contact details

Remind students during Orientation Day of the requirement to advise the Mercury Institute of Victoria of their current contact details, including residential address, postal address, mobile phone number and email address (within one week). Students can do this by filling out the *Change of Student Contact Details Form* with our Administration Department.



Maintain the current residential address as supplied by the student in the Student Management System.

At least once every six months require students to review and update their current contact details, including residential address, postal address, mobile phone number and email address.

Assessment and training staff

- Copies of up-to-date CVs of assessing and training staff must be maintained on file and reviewed in accordance with the continuous improvement procedure. Staff CVs must be signed and dated by the staff member.
- The Trainers/Assessors resume must include copies of qualifications and information about relevant experience.
- Trainers with overseas qualifications must have them assessed by a recognised assessing authority against the Australian Qualifications Framework. Overseas qualifications can also be assessed by some state government authorities.
- Evidence of verification of qualifications and experience must be maintained and filed with CVs using the verification checklist (*Qualification and Currency Verification Form*).
- Trainer competencies must be mapped against the units they are training and assessing in a way that demonstrated the Trainer is competent to train and assess each unit.

Confidentiality and access to records

- Student Information is collected in order to meet obligations under the ESOS Act and the National Code of Practice for Providers of Education and Training to Overseas Students 2018; and to ensure student compliance with the conditions of their visas and their obligations under Australian immigration laws generally. The authority to collect this information is contained in the Education Services for Overseas Students Act 2000, the Education Services for Overseas Students Regulations 2001 and the National Code of Practice for Providers of Education and Training to Overseas Students 2018. Information collected can be provided, in certain circumstances, to the Australian Government and designated authorities and, if relevant, the Tuition



Protection Service. In other instances information collected can be disclosed without student consent where authorised or required by law.

- Students/Staff/Third Party wishing to access student / staff records must put the request in writing to the Administration Department using the *Records Request Form*.
- Third Party may be defined as 'Education Agents, Lawyers, Counsellors, Migration Agents, other RTOs'
- The Administration Manager will then arrange for supervised access at a mutually suitable time.
- Students/Staff/ Third Party must view the records at Mercury Institute of Victoria and cannot take records away from Mercury Institute of Victoria Campus.
- Student/Staff may receive only a soft copy of the requested document(s)
- Third party will only receive a written confirmation about the details of the document(s) and not the document or its soft copy.
- The Administration Manager must process the request to access the student records within 10 working days
- The Administration Manager must verify the student's signature on the *Records Request Form* if the request has been made by an Third Party.
- Students should be provided with prompt responses to queries at the reception desk about the procedures for gaining access to their records.

Document Review

- Policies – once a year
- Forms – once a year
- Checklist – once a year
- Agent Performance Review- once a year before agreement expires
- Student administration file – once every six months

Document Disposal Procedure

- The documents/data are disposed as per the record keeping responsibilities and timelines



policy.

- These documents could include student academic information (assessment tools to judge competency, assessment cover sheets, RPL applications and outcomes, Credit Transfer Applications and Outcomes) and Admin related documents (Complaints and appeals form, incident report form, student support form, and other request forms)
- Academic related documents are disposed via a specialised document disposal service provider once a year. Invoice and corresponding payment record for every document disposal activity is to be maintained.
- Administration related documents are disposed at campus using a professional shredder once every six months.
- For disposal of student assessments activities, only the competency record sheets are to be retained for every unit for which unit has been assessed. The competency record sheets are filed in the assessment record folders.
- Upon disposal of the documents, a corresponding entry is made in the *Document Disposal Register*.

Accuracy and currency of records

- The Administration Manager will meet with the CEO monthly (during the final week of the month at a date and time specified by the Administration Manager) to discuss the accuracy and currency of records. This meeting is referred to as the monthly information and records management meeting.
- The Administration Manager will make recommendations during these meetings as necessary about improvements to the policy and procedures for ensuring the accuracy and currency of records.
- The Administration Manager must make an appointment with the CEO should issues with the accuracy or currency of records which require immediate rectification be identified. The Administration Manager will then instigate corrective action as necessary (*Continuous Improvement Register*).



Version Control

- Changes in the RTO documents (including assessment tools, policies, forms, registers, checklist) must be recorded for version control in the *Version Control Register*
- The Version control register is maintained by the Administration Manager and saved on Google Drive
- Date of Implementation, changes made in the document, changes done by, and next review date must be recorded in the Version Control Register.