



VET - Student Administration Policy & Procedures

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Purpose

The purpose of this policy and procedure is to outline Pine Learning’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.

Additionally, Pines Learning is contracted by the Victorian Department of Education and Training to provide funded nationally recognised training to Eligible Individuals under the Skills First Program. This policy and procedure contribute to compliance against the Contract.

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.

Contract means the VET Funding Contract for the Skills First Program issued by the Department.

Department means the Victorian Department of Education and Training.

Eligible Individual means an individual who is eligible for government subsidised training in accordance with the eligibility requirements set out in the VET Funding Contract and related guidelines.



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Evidence of Participation means evidence of an Eligible Individual's participation in training and assessment provided by the RTO, as detailed in Schedule 1 of the VET Funding Contract.

Guidelines about Apprenticeship/Traineeship Training Delivery means the most recent guidelines of that name issued by the Department from time to time.

Guidelines about Determining Student Eligibility and Supporting Evidence means the most recent guidelines of that name issued by the Department from time to time.

Guidelines about Fees means the most recent guidelines of that name issued by the Department from time to time.

Pre-Training Review means the process undertaken between the RTO and the prospective student to determine the most suitable and appropriate training for the Eligible Individual as described in Schedule 1 of the Contract.

Training Contract means the agreement signed by the employer and the Apprentice or Trainee (and a parent or guardian if applicable) specifying the type of Apprenticeship or Traineeship that will be undertaken. It details the training obligations of employers and Apprentices or Trainees. It also contains details on the commencement date for the training, the duration of the training period, at what workplace/location the Apprentice or Trainee will receive practical experience, and which Registered Training Organisation will provide the structured, off-the-job or workplace based training.

Skills First means the Skills First Program funded by the Department.

Skills First Student has the same meaning as Eligible Individual.

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.

Training Plan means the specific document created by the RTO for each Eligible Individual which communicates the Eligible Individual's enrolment, expected hours of engagement and all other requirements detailed in Schedule 1 of the VET Funding Contract.

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



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Policy

1. Systems and processes

- Pines Learning
 - 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 compactor at head office. 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 3 years past the date of completion or withdrawal.
 - Records all student information on its AVETMISS-compliant student management system, VETtrak. 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 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.
 - Submits all statistical reporting and claiming for training activity using SVTS on a monthly basis.
 - Ensures that all statistical reporting for any national recognised training delivered within Victoria, whether government-funded or fee-for-service is reported accurately and completely for each year by the 15th January of the following year.
 - Accesses the Epsilon database at least weekly in order to identify new trainees that have nominated Pines Learning as their training provider and to complete Training Contracts as required.

2. Record keeping

- Student records will be kept for the following minimum periods of time:
 - **Evidence of assessment decisions for fee-for-service students** are kept for a minimum of 6 months past the date of course completion or withdrawal.
 - **For VTG (government-funded students)**
 - Training Plans and Evidence of Participation will be kept for at least 3 years after completion/withdrawal so that the records may be audited upon request.
 - Records relating to a student's enrolment in a course including confirmation of eligibility and confirmation of fees will be kept for at least 7 years after completion/withdrawal so that the records may be audited upon request.
 - **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.
- Student records are stored and disposed of in line with the Public Records Act 1973 (Vic).



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- Students are able to access the records that Pines Learning holds about them by putting a request in writing using the *Access to Records Request Form* as per our *Privacy Policy*.
- Records will be made available to ASQA and the Department and their auditors upon request.

3. Course enrolments, entry and admission

- Individuals wishing to apply to enrol in a course with Pines Learning 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.
- Applicants for government funded students will participate in a Pre-Training Review to ensure the course is suitable for the student and meets their goals, aspirations and learning needs, to determine if the student is eligible for government funding and to ensure Pines Learning is able to support the student appropriately in the course.
- 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 government-funded students** will undergo an eligibility assessment in line with the Department's Guidelines about Determining Student Eligibility and Supporting Evidence to confirm their entitlement. All eligible individuals will be informed of the future impact on funding entitlements and declaration will be signed off by an Authorised Representative of the RTO. To enrol in a government-funded course under the Skills First program:
 - Training must be upskilling the individual
 - An individual is eligible to commence a maximum of two government subsidised courses in any one year
 - An individual is eligible to undertake a maximum of two government subsidised courses at any one time
 - An individual is eligible to undertake a maximum of two government subsidised courses at the same level in a lifetime

There are some programs that enable the exemption of the above rules, including the Asylum Seeker VET Program and Job Trainer. These programs enable Pines Learning to accept enrolments despite some of the above eligibility criteria, however this must be supported by evidence accepted by the Department. Pines Learning has a limited number of exemptions it can apply to student enrolments. These are included in the Schedule 2 of the funding contract and are monitored by the VET Manager through SVTS

- All students will be required to sign a Student Agreement upon enrolment to show acceptance of the Enrolment Terms and Conditions.
- Students will be provided with a Confirmation of Enrolment Letter with details of the course they have been enrolled in, start and expected completion dates, trainer details, funding type (if applicable), all applicable fees including a statement of fees (if applicable) and study mode once the enrolment has been processed.

4. Student code of conduct

- All students are expected to abide by the *Student Code of Conduct* during their course and involvement with Pines Learning where students do not abide by the conduct, disciplinary action may be taken in line with Pines Learning's *Training and Assessment Policy and Procedures*.



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- The *Student Code of Conduct* is outlined in the Student Handbook.

5. Trainees

- All services provided for apprentices and trainees will be conducted in accordance with the additional requirements of the Guide to Apprenticeship and Traineeship Training Delivery issued by the Department.
- Training will not commence for trainees/apprentices before:
 - The creation of the Epsilon record
 - The trainer has conducted a workplace induction with the employer/ workplace supervisor of the trainee to:
 - Outline the supervisor's responsibilities
 - Outline the purpose of further contacts, and
 - Develop the Training Plan (in conjunction with the Trainee)
- Once all parties have signed the Training Plan, a copy will be provided to the trainee and the employer. As the Training Plan is a living document, all parties must continually update and maintain their copy.
- Trainees must be enrolled with Pines Learning and Training Plans signed within 3 months of the date of commencement of the Training Contract and Pines Learning will ensure they assist employers meet this requirement.
- Pines Learning will immediately notify the relevant Australian Apprenticeship Support Network (AASN) provider if the qualification on Epsilon is not appropriate or relevant to the trainee's duties and will request the employer to vary the contract.
- Trainees will have vocationally relevant individual Training Plans developed in consultation with the employer, RTO and apprentice/trainee to ensure it reflects the industry requirements and workplace setting.
- Pines Learning will notify the AASN within 2 weeks if the apprentice/trainee:
 - Does not enrol with the RTO or does not commence training
 - Withdraws from the course or does not commence training
 - Changes their employer
- Pines Learning will update Epsilon, thereby notifying the Apprenticeship Administration Unit of the VRQA within 2 weeks if:
 - There are any situations, including absences that may affect the trainee's completion of the Training Contract.
 - The trainee/apprentice completes their qualification and it is issued.
 - The trainee/apprentice changes their address.
- Pines Learning will inform the VRQA within 24 hours by email if Pines Learning becomes aware of the death of a trainee.
- Pines Learning will sign claim forms for employer incentives for trainees when training delivery commences and as appropriate for progression and completion claims.
- Pines Learning will make all reasonable provisions for the Trainee to achieve all competencies required for the Structured Training identified in the Approved Training Scheme within the nominal



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duration of the Training Contract and request an extension to the term of the Training Contract where required.

6. Skills First funding claims and reporting

- As Pines Learning is a funded provider in receipt of funds from the Department of Education and Training under the VET Funding Contract, monthly data will be submitted to the Department each month that includes all of the enrolment activity for the preceding month.
- Pines Learning ensures that all student results and attendance records are kept up to date on our student management system and records are not more than 14 days behind. Claims cannot be made for any enrolment activity that has occurred more than 60 days ago.
- All claims are based on Evidence of Participation and Evidence of Eligibility that meet the requirements of the VET Funding Contract.
- Where a student withdraws before completion of a unit of competency, the RTO will review the Evidence of Participation on file and calculate number of contact hours the student attended. An adjustment of any hours claimed will be made to the Department by updating the attended hours in Student management system.

7. Unique Student Identifiers and Victorian Student Numbers

- Pines Learning 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. For Skills First funded students, training will not be commenced until a valid USI has been provided.
- In addition to USI, all students up to the age of 24 will be required to provide their Victorian Student Number (VSN) upon enrolment or if they do not have one, a new VSN will be issued to them. All VSNs are verified prior to the issuance of any certification documents.

8. Completions

- Upon completion of a course, students will be issued with their certification documents in line with our *AQF Certification Policy and Procedure*. 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.
- For trainees and apprentices, the Epsilon record will be completed within two (2) weeks of completion.

9. 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 full 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 where applicable.
- **Skills First Students** – where formal notification is received from the student, the Program status Identifier *40 Official withdrawal* is used. Where the student has had no engagement for 60 days,



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Procedure	Responsibility
<p>C. Application screening</p> <ul style="list-style-type: none"> • If the PTR shows student is not suitable for the course, discuss alternative courses with the student. • If the student is seeking Skills First funding, discuss eligibility requirements and perform initial eligibility check. Discuss following requirements and conduct initial check if student is eligible according to: <ul style="list-style-type: none"> – the ‘upskilling’ requirement – the ‘2 in a year’ limitation – the ‘2 at a time’ limitation – the ‘2 at level’ limitation • Students enrolling in a foundation skills course must not have a diploma level or higher qualification at the time of enrolment. • If the student is not eligible for government funding advise the student that full fees will apply and inform the student of full course fees and payment options. • If the student is a trainee advise the trainer/assessor of the Training Contract commencement date (if known). Training must commence within 3 months of the commencement date and cannot commence until the Training Contract is registered on Epsilon. • Create student file in line with Part 4 of this procedure. 	<p>Coordinator</p>
<p>D. Check Epsilon weekly for trainees/apprentices</p> <ul style="list-style-type: none"> • If the RTO is offering Traineeships, check the Epsilon system at least weekly to identify if new individuals have nominated the RTO as their preferred provider. If there are individuals who have nominated the RTO as their preferred provider, contact the student and the workplace and conduct the Application Screening process as outlined at Part C below? • Enter basic student and employer details in VETtrak: <ul style="list-style-type: none"> – Student name, address and contact details – Workplace details – Epsilon information including AAC, Training Contract Commencement Date, Registration Number and Epsilon number. – Any other information that is available at this point. • Send the Course Outline including applicable fees and Student Handbook to the student for their information. 	<p>Admin staff</p>
<p>E. Pre-Training Review for Skills First funded students</p> <ul style="list-style-type: none"> • Contact the student and arrange a time to complete the Pre-Training Review. This must be conducted individually and face-to-face. Where it is a workplace based course or a traineeship/apprenticeship, ensure a representative from the workplace will also be available at the Pre-Training Review. 	<p>Coordinator</p>



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Procedure	Responsibility
<ul style="list-style-type: none"> • LLN Assessment: Ask the student to complete the LLN assessment. <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 noted on the LLN assessment and on the Training Plan. An individual support plan must be developed in line with the <i>Training and Assessment Policy and Procedure</i>. • Determine which course is the most suitable for the student. This must include consideration of: <ul style="list-style-type: none"> – The student’s existing educational attainment – The student’s capabilities, aspirations and interests – Likely job outcomes from the student’s development of new capabilities and skills – The suitability of the learning methods, strategies and materials used in the course for the student – The LLN levels of the student – Any individual support that might be required and whether this can be provided by the RTO. • Pre-Training Review Form: Conduct the Pre-Training Review by completing the Pre-Training Review Form. Complete each question on the form with the student and take clear notes of student responses to help determine and document the process and student suitability for the course • Do not recommend for the student to enrol in a course if it is an inappropriate level of that student. For example, enrolling students in courses on the Foundation Skills List where they do not require additional competencies in this area would not be appropriate. • If a course is suitable for the student, document this on the end of <i>Pre-Training Review Form</i>. Provide a rationale that demonstrates why the course is suitable for the student, considering all the information in the Pre-Training Review. Indicate which of the Skills First Objectives the training aligns with and a rationale for the qualification selected as suitable for the student and the most suitable training option for the student. • Fill in and provide the student with the Student Agreement that includes a Statement of Fees. • If the student is continuing with enrolment, complete the rest of the documents to finalise the enrolment. Ensure a rationale for recommending enrolment is documented on the <i>Pre-Training Review Form</i>. If a course is not suitable for the student, document the reasons why, explain the reasons to the student and do not continue with the remaining steps. 	
<p>F. Complete remaining enrolment paperwork for students who are enrolling – Skills First Students</p>	<p>Coordinator</p>



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Procedure	Responsibility
<ul style="list-style-type: none"> • Student Eligibility Declaration Form: Ask the student to complete the student section of the <i>Student Eligibility Declaration</i>. Ensure it is completed in full and signed. • Take copies of evidence required as outlined on the Declaration. These must be either: <ul style="list-style-type: none"> – A certified copy. – Original document sighted, and a copy is taken which must be confirmed in writing by the person who sighted the original by indicating on the document 'Original sighted' date and signature of person who has sighted the ID. • Certified copies that are emailed or faxed ARE NOT ACCEPTABLE. • Determine if the student is eligible for funding under the Skills First Program in accordance with the requirements set out in the <i>Guidelines about Determining Student Eligibility and Supporting Evidence</i>. • Ensure the student meets the following: <ul style="list-style-type: none"> – 'Upskilling' requirement – the '2 in a year' limitation – the '2 at a time' limitation – the '2 at level' limitation <p>Some initiatives have been developed by the Department to waive some of the above eligibility rules in some instances and Pines Learning has been allocated some eligibility exemptions as per schedule 2 of the contract.</p> • If the student is not eligible for government funding advise the student that full fees will apply and inform the student of full course fees and payment options. • Sign the RTO section of the <i>Student Eligibility Declaration Form</i>, stating full name, position and date. • Determine if the student is eligible for a concession rate (government funded students at Cert I – Cert IV level only). Refer to <i>Fees and Charges Policy and Procedure</i>. Take a copy of concession card, or other associated evidence, if applicable. • Student Agreement: Ask the student to fill in and sign the <i>Student Agreement</i> which includes the <i>Statement of Fees</i>. Ensure the student keeps a copy. • Enrolment Form: Ensure the Enrolment Form is completed accurately, signed and completed in full including the section at the end on <i>USI Authority</i> and Student Declaration and parent/guardian signature must be obtained for students under 18 years of age. Check that all questions on Enrolment Form have been answered and follow up with student if not. • Training Plan: Create the <i>Training Plan</i> as per part 2 of this procedure and ask the student to sign in agreement. • Employer Agreement: Where training is being delivered in the workplace, fill in the <i>Employer Agreement</i> and ask the Employer to sign in agreement. 	



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Procedure	Responsibility
<ul style="list-style-type: none"> Forward all paperwork to the office within 2 working days of completion. 	
<p>G. Enrolment session for fee-for-service students</p> <ul style="list-style-type: none"> Contact the student and arrange a time to complete the Enrolment Session. This may be conducted as part of a group session or may be completed at the first class. LLN Assessment: Ask the student to complete the LLN assessment. <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 and Procedure</i>. Ensure the course is suitable for the student. This must include consideration of: <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. If the course is suitable, continue to complete the rest of the documents to finalise the enrolment. If Credits are applicable, conduct Credit assessment in accordance with the <i>Credit Policy and Procedure</i>. Student Agreement: Fill in the Student Agreement which includes the Statement of Fees. Ensure it includes an accurate quote of applicable fees. Ask the student to sign in agreement and acceptance of the terms and conditions. Enrolment Form: Ensure the Enrolment Form is completed, signed and completed in full including the section at the end for USI Authority. Check all questions in Enrolment Form have been answered. Parent/guardian signature must be obtained for students under 18 years of age. Employer Agreement where required: Where training is being delivered in the workplace, fill in the Employer Agreement and ask the Employer to sign in agreement. Forward all paperwork to the office within 2 working days of completion. 	Coordinator
<p>H. Workplace induction – for trainees and apprentices</p> <ul style="list-style-type: none"> Training cannot commence for trainees and apprentices until a workplace induction has been completed with the workplace supervisor/ employer by the Trainer/Assessor. Ensure this has been received prior to the commencement of training. Log on student management system. 	

2. Processing enrolments

Refer



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- SRTOs: Clauses 7.5, 8.1
- Contract: Schedule 1: Clauses 3, 4, 20, 21, 22

Procedure	Responsibility
<p>A. Processing enrolment paperwork</p> <ul style="list-style-type: none"> • Complete the <i>Enrolment Processing Checklist</i> to ensure all paperwork required has been received. The following documents must be held on each student file: <ul style="list-style-type: none"> – Signed and dated Enrolment Form. – Eligibility Declaration form (for students seeking and eligible for Skills First funding) completed IN FULL. – Any other documents required to confirm eligibility as applicable, such as Training Referral Letter for Retrenched Workers; Automotive Supply Chain Training Initiative Letter; or Back to Work email from State Revenue Office. – Copy of identification documents (noted with ‘Original sighted’ and date). – Copy of concession card, pensioner or Veteran’s Gold Card where applicable or any other documents required to demonstrate fee concession or waiver in line with <i>Fees and Charges P&P</i>. – Completed LLN, that has been marked by the trainer/assessor. – Completed and signed <i>Student Agreement</i>. – Completed and signed <i>Training Plan</i> (for apprenticeships/traineeships, must be signed by the workplace as well). This may be received after the first class or visit in some instances. • Where a trainee does not accept the enrolment and return the <i>Student Agreement</i>, update Epsilon record to “POL unknown” and notify AAC within 2 weeks. • Keep copies of all documents and file in student file – refer next section. • Update student details in VETtrak: <ul style="list-style-type: none"> – Add personal details – Add statistical data from enrolment form – Enroll in relevant course – Add commencement date – Add to timetable /occurrence – Add Traineeship details – Give student access to online portal – Provide student with access to online learning • Ensure correct funding source identifier is selected: <ul style="list-style-type: none"> – For eligible individuals who are not under a referral form and are NOT under a Training Contract (not apprenticeships/traineeships) select funding source identifier P 	<p>IMO/Coordinator</p>



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Procedure	Responsibility
<ul style="list-style-type: none"> – For eligible individuals who are not under a referral form and who ARE under a Training Contract (apprenticeships/traineeships) select funding source identifier L – For fee-for-service students, select funding source identifier S • For all Credits issued record an AVETMISS outcome code of 60 against units achieved as Credit in VETtrak. • Where concession or fee waiver has been determined, update tuition fee in VETtrak and tuition fee identifier. 	
<p>B. USIs</p> <ul style="list-style-type: none"> • Ensure student has provided or provided a verified USI. • Where the student has provided their USI, validate it using the USI portal or through VETtrak. • Where the student has not done one of these options correctly, advise the student that their enrolment is on hold until this has been provided (either the verified USI must be provided, or the USI Authority & valid identity). 	IMO
<p>C. Raise invoices</p> <ul style="list-style-type: none"> • Refer to <i>Fees & Refund Policy & Procedure for invoicing procedures</i>. 	Admin staff
<p>D. Send Confirmation of Enrolment letter</p> <ul style="list-style-type: none"> • Admin staff will send out confirmation email after enrolment with receipt of payment made. 	Admin staff

3. Training Plans

Refer

- Contract: Schedule 1: Clause 7, Guidelines about Apprenticeship/Traineeship Training Delivery

Procedure	Responsibility
<p>A. Check Training Plans for Skills First students</p> <ul style="list-style-type: none"> • Pines Learning will create a Training Plan for each student enrolled in a Skills First course generated through VETtrak. • Ensure Training Plans are prepared within 4 weeks of commencement of training. For trainees, the RTO, trainee and employer must sign the training plan. it must not be signed before the record of the Training Contract has been registered on Epsilon. • Ensure the Training Plan is filled in, in all relevant sections, in detail and includes relevant information identified at the Pre-Training Review, including support needs. Ensure it has been signed by the RTO and each individual. 	IMO/Coordinator



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Procedure	Responsibility
<p>B. Check updated Training Plans</p> <ul style="list-style-type: none"> At the end of the course, ensure the Training Plan has been completed and all details provided on the Training Plan are accurate. For trainees Ensure all signatures have been collected as required for completion. 	LMO

4. Student files

Refer

- SRTOs: Clauses 3, 5.4 and 7.5, 8.1
- Contract: Clauses 9.7, 9.8 and Schedule 1: Clause 3, 4, 7, 8, 11, 14

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 The file is allocated a unique code, which is recorded in the Filing System – Set up of Files. Store all documents and copies of letters etc. relevant to admission, enrolment session, pre-training review and enrolment in the file. File in the compactor in numerical order as per spreadsheet on G Drive. 	IMO/Admin staff
<p>B. Manage/ update student files</p> <ul style="list-style-type: none"> Throughout the student's course, file all paper documents relating to the student in the student file once they have been processed accordingly. This includes: <ul style="list-style-type: none"> Updated training plans Evidence of participation Assessment evidence and records of assessment outcomes All student correspondence Contact records An electronic file is also set up for each student under the course code, using the electronic file is file no, first name, last name Any student letters or email correspondence is saved in the electronic file and will have the student's name and the date of the letter or email in the document name, with the year first, then month, then day. For instance, "20181028 Progress letter to Jane Smith". This ensures that the documents are listed in date order and can easily be retrieved. 	IMO
<ul style="list-style-type: none"> Keep copies of correspondence and fees 	LMO



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Procedure	Responsibility
<ul style="list-style-type: none"> • Keep copies of any correspondence sent to a student in the student's 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. • Communication Logs are created for the purpose of recording any relevant information about, or communications with, a particular student. The log enables the relevant staff to individually record information so that a full picture of student contact, issues, concerns or performance can be documented and referred to as required. • The electronic Communication Log is created for the student and saved under the student electronic file. • All notations in the log are linked to a unit/subject if applicable and are dated and include the name of the person making the note. <p>The types of items or correspondence saved in the Communication Log include, but are not limited to, one or more of the following:</p> <ul style="list-style-type: none"> • Details of formally requested extensions on one or more assessment tasks, • Notations for when a student is more than three weeks late in submitting an assessment task, without written approval. • Notations for when a student has been absent for all classes for one or more units/subjects (refer to Section 4). • Communication with a student who is consistently missing classes, or leaving early/coming in late. • Details of when a student has advised in advance that they will miss all classes for one or more units/subjects, or will miss more than three classes for any reason. • Details of when a trainer has reported concerns about the student's participation or attitude in class. • Details of when concerns have been reported from the practical placement centre. 	
<p>C. 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. Any changes to the Training Plan must be signed by the student and the trainer and workplace if student is a trainee. 	Coordinator/IMO
<p>D. Archive student files</p> <ul style="list-style-type: none"> • Once a student has completed or withdrawn from their course, the file can be archived. Each calendar year the previous calendar year completed files are moved to the compactors in the store room. • Files must be retained in archives as outlined below: 	Coordinator



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Procedure	Responsibility
<ul style="list-style-type: none"> – Evidence of assessment decisions for fee-for-service students are kept for a minimum of 6 months past the date of course completion or withdrawal. – For Skills First students, all records, no matter what type of record, will be kept for at least 3 years from the completion of their studies • Evidence of the issuance of units of competency, AQF certification and statements of attainment will be stored electronically on the student management system for at least 30 years. 	
<p>E. 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 destroying documents, as applicable. • We use the following company for document destruction <p style="text-align: center;">Australian Waste Management Pty Ltd Phone: 1300 AWASTE (292783) Fax: 1300 ZWASTE (992783) P.O. Box 4134, Hoppers Crossing, Vic, 3029 Incorporating A2Z Recycling ABN: 80 158 370 515</p> 	Finance Manager

5. Results, attendance and other progress

Refer

- SRTOs: Clause 7.5, 8.1
- Contract: Schedule 1: Clause 11 and 12

Procedure	Responsibility
<p>A. Record results</p> <ul style="list-style-type: none"> • As training and assessment activities are completed on Moodle the system saves the student assessments. Attendance is recorded through VETtrak trainer portal. Placement manuals are hard copy and stored in student hardcopy file. These must be recorded appropriately in VETtrak as relevant. • Where the VETtrak trainer portal is used, the IMO approves the submission into VETtrak. • For evidence of participation for training and assessment activities, ensure: <ul style="list-style-type: none"> – Evidence of student work has the student's name, unit/s of competency code, date of activity and student's signature on the document as a minimum. – Trainer notes have detailed comments about what was discussed, the student's name, trainer's signature, unit of competency code, and date on the record as a minimum. – Where assessment tasks are submitted electronically via Moodle, the Coordinator checks Moodle at least three times a week to see if any new tasks have been assessed and finalised by the assessor. 	Coordinators/ IMO



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Procedure	Responsibility																								
<ul style="list-style-type: none"> • Accurately record all assessment outcomes in VETtrak within 5 working days of receipt to ensure fortnightly submission to SVTS is accurate and up to date. • When updating SMS, check following: <ul style="list-style-type: none"> – Date noted on the document corresponds with the date on the training plan – Correct student has been selected in the SMS to update – Correct unit of competency is being updated – If unit was assessed as RPL, ensure it is noted accordingly to ensure correct hours are claimed – DO NOT change course commencement date once it has been recorded and the student has been claimed – DO NOT change a unit of competency commencement date if the training on the unit of competency has already been started • Discuss with manager if data for course and unit commencement is incorrect in VETtrak. • Ensure following codes are used when recording results in VETtrak <table border="1" data-bbox="236 887 1074 1272" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Outcome</th> <th style="text-align: left;">Code</th> </tr> </thead> <tbody> <tr><td>Competent</td><td>20</td></tr> <tr><td>Not yet competent</td><td>30</td></tr> <tr><td>Withdrawn - official</td><td>40</td></tr> <tr><td>Withdrawn – apparent</td><td>41</td></tr> <tr><td>Withdrawn deferred</td><td>42</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> <tr><td>Commenced and due to finish in same calendar year</td><td>90</td></tr> </tbody> </table> • Keep a copy of the documents in the student’s file. • Prior to upload the IMO runs the missing outcome report from SVTS and provides this to the coordinator for follow up • If any units require end date extension, the coordinator signs the missing outcome report as confirmation and an additional 1 month is added to the unit 	Outcome	Code	Competent	20	Not yet competent	30	Withdrawn - official	40	Withdrawn – apparent	41	Withdrawn deferred	42	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	Commenced and due to finish in same calendar year	90	
Outcome	Code																								
Competent	20																								
Not yet competent	30																								
Withdrawn - official	40																								
Withdrawn – apparent	41																								
Withdrawn deferred	42																								
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																								
Commenced and due to finish in same calendar year	90																								
<p>B. Record attendance</p> <ul style="list-style-type: none"> – Attendance is recorded through VETtrak Trainer portal. • On the relevant occurrence in the SMS, mark whether each student in the class was present or absent. • 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. • For trainees notify the Apprenticeship Administration Unit of the VRQA within 2 weeks of any absences that have the potential to affect completion of the Training Contact. 	IMO/Coordinator/Trainer																								
<p>C. Traineeship paperwork</p>	Coordinator																								



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Procedure	Responsibility
<p>Structured Training Log</p> <ul style="list-style-type: none"> • Trainees must complete their Structured Training Withdrawal Log for every month – ensure this is received on a monthly basis. The Log must show the Structured Training Withdrawal that the trainee/apprentice has completed. Ensure log demonstrates meeting the following requirements: <ul style="list-style-type: none"> – For Cert III and above, the employer must provide a minimum of three hours per week, averaged over a four-week cycle (pro rata for part time trainees). – For Certificates I and II, a minimum of one and half hours per week, averaged over an eight-week cycle (pro rata for part time trainees). – A maximum of 40 hours of the annual withdrawal time may be delivered as block training within the first three months of training for all qualifications. <p>Monthly Contact Log</p> <ul style="list-style-type: none"> • Trainers and assessors must make contact with the student and the workplace each month. Their discussions must be documented on the Monthly Contact Log. Ensure there is contact each month. Log contact on student management system. 	
<p>D. Record other progress as relevant</p> <ul style="list-style-type: none"> • Any catchup classes or one on one sessions undertaken by the trainer are recorded through the Trainer portal in VETtrak. 	Trainers

6. Claiming – government funding

Refer

- Contract: Clause 7 and Schedule 1: Clause 12

Procedure	Responsibility
<p>A. Ensure all results for the month are entered</p> <ul style="list-style-type: none"> • At least two weeks prior to the last day of the month, ensure that all results and completions for the month prior have been entered. • Run appropriate reports in VETtrak to review recent enrolments – start and end dates and unit dates to identify any anomalies. • Run checks to ensure that any classes held have been processed – attendance roll has been received and any relevant commencements have been recorded in VETtrak. • Check that any qualifications that are due to be issued have been issued and this has been appropriately recorded in VETtrak. 	Coordinator /Vet Manager
<p>B. Run data exports and submit data</p> <ul style="list-style-type: none"> • At least one week prior to the final working day of the month, run a trial upload of the AVETMISS NAT files. • Check any errors identified in VETtrak. Fix/ follow up accordingly. 	IMO



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Procedure	Responsibility
<ul style="list-style-type: none"> Upload NAT files into SVTS. Follow up on any validation errors. Repeat process until there are minimal amount of warnings, and no errors. This must be completed prior to the dates published by the Department each month. After payment, the payment reports are downloaded and analysed to ensure correct allocation of student funds. Any abnormalities are brought to the attention of the Centre Manager and appropriate manager for further investigation. If required, corrections are made, or enquiries submitted via SVTS Any abnormalities or errors are investigated by the IMO and the relevant manager. If required, corrections are made, or enquiries submitted via SVTS. 	<p>Finance Manager/General manager</p> <p>Coordinator/VET Manager</p>
<p>C. Review reject codes</p> <ul style="list-style-type: none"> Review any reject codes or negative claims that have been produced as a result of the claim. Check the meaning of Rejects against the Department document published in SVTS. The rejects may identify issues with data entry or other problems. Fix/ amend accordingly where possible. Identify if there are any systemic issues to be improved. Ensure all rejects and errors are resolved as far as possible by first day of the month. Run another upload to see whether rejects have been fixed. 	IMO
<p>D. End of year reporting</p> <ul style="list-style-type: none"> Commence end of year reporting in November. Follow the Department's guidance on end of year reporting to ensure all checks and balances are completed. By 5pm on 15 January report all data for the previous year accurately and correctly via SVTS. 	IMO/ VET Manager

7. Withdrawals

Refer

- SRTOs: Clauses 7.5, 8.1
- Contract: Schedule 1: Clause 12.4, 12.12, 12.13 and Guidelines about Apprenticeship/Traineeship Training Delivery

Procedure	Responsibility
<p>A. Process withdrawals - formal</p> <ul style="list-style-type: none"> To withdraw from a course, a student must fill in and return a <i>Withdrawal Form</i>. Upon receipt of the withdrawal form, email or phone call from the student, conduct a Student File Audit using <i>Student File Audit Checklist</i> and follow up 	Coordinator / LMO



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Procedure	Responsibility
<p>any issues identified or make recommendations for improvement if systemic issues have been identified.</p> <ul style="list-style-type: none"> • Ensure VETtrak has all completed units of competency recorded. • For Skills First funded students: <ul style="list-style-type: none"> – Confirm all completed units of competency and ensure Evidence of Participation is held. – For units that have been commenced but not completed, review the Evidence of Participation and the amount of training provided by a trainer to the student. Using this evidence to calculate the number of hours that has taken place and adjust claimable hours to the amount of hours to be claimed. – Where Evidence of Participation is not available, adjust Attended hours to zero '0'. – All withdrawals and adjustments must be reported in SVTS via fortnightly uploads for claims within 60 days from the date of the withdrawal. • Withdraw the student from the course on VETtrak. 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. <p>For Skills First students:</p> <ul style="list-style-type: none"> – Updating the Program Supervised Teaching Activity Completion Date. <ul style="list-style-type: none"> • For students enrolled in a Foundation Skills qualification, insert the individuals' skill level translated into the Australian Core Skills Framework or equivalent at the withdrawal of training, in format required by Department. • Update Epsilon within 2 weeks of any trainee withdrawal. • 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>. • 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>B. Process withdrawals – Apparent</p>	<p>Coordinator / IMO</p>



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Procedure	Responsibility
<ul style="list-style-type: none"> • When a student has not been engaged in training for 30 days and no contact through email/text/phone call has been returned the student is assumed to have withdrawn. • Ensure VETtrak has all completed units of competency recorded. • For Skills First funded students: <ul style="list-style-type: none"> – Confirm all completed units of competency and ensure Evidence of Participation is held. – For units that have been commenced but not completed, review the Evidence of Participation and the amount of training provided by a trainer to the student. Using this evidence calculate the number of hours that has taken place and adjust claimable hours to the amount of hours to be claimed. – Where Evidence of Participation is not available, adjust Attended hours to zero '0'. – All withdrawals and adjustments must be reported in SVTS via monthly claims within 60 days from the last date of engagement. • Withdraw the student from the course on VETtrak. 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 41 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. For Skills First students: <ul style="list-style-type: none"> – Updating the Program Supervised Teaching Activity Completion Date. • For students enrolled in a Foundation Skills qualification, insert the individuals' skill level translated into the Australian Core Skills Framework or equivalent at the withdrawal of training, in format required by Department. • Update Epsilon within 2 weeks of any trainee withdrawal. • 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>. • 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. <p>Archive student file as per section above.</p>	



VET - Student Administration Policy & Procedures

Procedure	Responsibility
<p>C. Process withdrawals - deferred</p> <ul style="list-style-type: none"> • The student has requested to defer. The Coordinator will discuss a return date with the student – this must be within 8-12 weeks and occur in the calendar year. • Ensure VETtrak has all completed units of competency recorded. • For Skills First funded students: <ul style="list-style-type: none"> – Confirm all completed units of competency and ensure Evidence of Participation is held. – For units that have been commenced but not completed, review the Evidence of Participation and the amount of training provided by a trainer to the student. Using this evidence calculate the number of hours that has taken place and adjust claimable hours to the amount of hours to be claimed. – Where Evidence of Participation is not available, adjust Attended hours to zero '0'. – All withdrawals and adjustments must be reported in SVTS via monthly claims within one month of the deferral being agreed to. • Withdraw the student from the course on VETtrak..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 42 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. <p>For Skills First students:</p> <ul style="list-style-type: none"> – Updating the Program Supervised Teaching Activity Completion Date. <ul style="list-style-type: none"> • For students enrolled in a Foundation Skills qualification, insert the individuals' skill level translated into the Australian Core Skills Framework or equivalent at the withdrawal of training, in format required by Department. • Complete a training contract suspension with the AASN and update Epsilon • 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>. • 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. 	<p>Coordinator / LMO</p>



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Procedure	Responsibility
<ul style="list-style-type: none"> • 2 weeks prior to agreed recommencement date, contact the student to confirm. • If the student does not return, a withdrawal official or apparent is then undertaken as above in A & B with the date being either the date withdrawal confirmed with the student, or the date of agreed return that did not occur. • The student CANNOT extend the deferment past the 12 weeks. 	

8. Completions

Refer

- SRTOs: Clauses 3.3, 3.4, 7.5
- Contract: Schedule 1: Clause 12.4, 12.12, 12.13, 16 and Guidelines about Apprenticeship and Traineeship Delivery

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 VETtrak. • For trainees or workplace based courses – ensure <i>Completion of 'On –the-job Training' Form</i> has been signed by employer and returned. • Check whether all fees have been paid by the student to give an indication of timeframes required. Follow up outstanding fees if applicable. • 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 VETtrak 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>. <p>For Skills First students:</p> <ul style="list-style-type: none"> – Updating the Program Supervised Teaching Activity Completion Date. <ul style="list-style-type: none"> • Ensure the student has 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. • Ensure the student's Training Plan has been completed and signed off appropriately. 	IMO /VET Manager



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Procedure	Responsibility
<ul style="list-style-type: none"> For trainees, within 2 weeks of completion update the Epsilon database with “Successful completion/POL complete” and change status to “Complete” and enter completion date. 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

Version	Date	Reason for change	Prepared By	Approved By
V3.2	June 2020	review	Quality & Compliance Manager	General -Manager
V3.3	July 2022	Updating to meet Skills First Contract Combined: <ul style="list-style-type: none"> Accurate data entry funded courses procedure, course admin for traineeships procedure, ensuring accurate attendance record procedure, funding contract administration procedure – VET and VCAL, student progress and record keeping procedure 	Marie Vassallo Consulting Australia	