Student Document Retention and Credentials Policy and Procedure

1   Purpose and Scope

The purpose of this policy is to provide information to AIE staff about learner record keeping and **document retention**. It ensures that documents and records are kept as per the regulations and requirements defined by any governing body AIE must adhere to, including standards required by the state (if any state funding is issued). This policy also covers how AIE disposes of learners' **personal information**.

The scope of this policy includes trainers, Accounts, Administration, Compliance and IT staff.

2   The Policy

AIE is responsible for storing learner information in a secure, readily accessible and long term method that is protected from **environmental hazards**, including fire, flooding and pests. AIE must present any of this information in full at audit if requested.

Learner data and documents include, but are not limited to:

a.   Personal identification
b.   Enrolment forms
c.   Payment information
d.   **Assessment** data and learner work
e.   Attendance records
f.   Any learner correspondence (such as complaints and appeals, as per the information provided in the *Learner Handbook*)
g.   Information around their credentials or Statement of Attainments (SOA) and withdrawal (if applicable).

The abovementioned information should be stored in the **Student Management System (SMS)** and in the **Learning Management System (LMS)** in a soft copy format.

Documents collected in hard copy format must be scanned and uploaded to the relevant location. Once verified that the document is uploaded, any remaining hard copies should be returned to the learner (when relevant) or detroyed securely.

All existing hard copies from historical documents pre-2020 have been **archived** and are available in soft copy – please see 4.4 Archives for more information.

3   Implementation

The CEO is responsible for the approval of this policy after it has been drafted or reviewed by the National Compliance Officer.

The policy is to be implemented via induction and training of Administration staff and distribution via the AIE intranet and other publications as required.

4   Procedure/s

4.1   Documents and Storage Locations

Document	Location	Storage
Enrolment Documents Forms Passport/Citizenship/Proof of Identity Tax File Number (TFN) Unique Student Identifier (USI)	**Current:** aXcelerate (aX) **Previous:** WiseNET (2010 to 2020), eMinerva (end 2009)	Course Duration to 5 years
Payment Information Invoices (X) Payment Plans (T) VSL (aX) State Funding (aX) Refunds (X) Credit Notes (X)	As per individual key, please see below: aXcelerate (aX) Xero (X) Teams (T)	5 Years
Assessment and Student Feedback Extensions (aX) Cause for concern and/or Student at risk (aX) Assessment Tool – Context/conditions of assessment (C and register) Evidence of assessment (C) RPL (aX, Evidence in O) Marking guide	aXcelerate (aX) Teams (T) Canvas (C) OneDrive (O) Register - Reasonable Adjustment	6 months from the date a judgement on compentency is made
Attendance Rolls (aX) Medical (aX) Leave/Evidence (aX) Participation (C)	aXcelerate (aX) Canvas (C)	Course Duration
Correspondence Email (aX) Phone (aX) Complaints (aX and register)	aXcelerate (aX) Register – Complaints	Course Duration Register is ongoing
Student Work Storage (C and Assessments Drive) Accessibility (IP agreements, Marketing Drive)	Canvas (C) Assessments Drive Marketing Drive	Course Duration (Marketing indefinitely)
Completion/Withdrawal Personal Information (aX) Withdrawal form/email and reasons (aX and Register)	aXcelerate (aX) Register - Withdrawal	Course DurationRegister is ongoing
Qualifications and Statement of Attainments Academic Transcript (aX) Certficate (aX) Statement of Attainment (aX)	**Current:** aXcelerate (aX) **Previous:** WiseNET (2010 to 2020), S Drive SEE FLOWCHART AT 4.5	30 Years

Each state may have specified time frames stipulating that AIE must retain all information on any learner receiving government funding as noted in our contracts. In these cases, AIE must adhere to the following agreed upon terms:

a. **Skills First Program** (Victoria) – 3 years after the learner has completed/withdrawn.

4.2 Lifecycle of Assessment Data and Grading Metadata

The lifecycle of assessment data will be staged over a period of 36 months:

Lifecycle	Notes
Zero to 6 months after submission of the assessment	The learner's original submission; the data and **metadata** will remain as is within the LMS and/or **assessment drives** available for **grading**.
7 months after grading of assessment	a. The **raw data** and metadata will remain as in the LMS. b. The raw data in assessment drives will be moved to a **hot storage service** and deleted from the learner's assessment drives.
12 months after grading of the assessment and learner completion in the SMS	The raw data and metadata will be moved to **cold storage service** and deleted from assessment drives and/or Canvas.
36 months after grading of the assessment and learner completion in the SMS	a. The raw data is deleted from all storage services. b. The metadata remains in cold storage service and retained for 30 years.
30 years after grading of the assessment	All data, including metadata, will be deleted from the cold storage service.

Data will be stored in both the hot storage service and cold storage service in the following specification:

a. In a compressed format e.g. 7-zip, Zip or other commonly accessible compression formats
b. With a file name format of {Student-ID}-{USI}.{filetype}, e.g. s167651-AOI0006YAG.7zip

4.2.1 Recovery of Data

Recovery of data will be dependent on how old the data is:

Lifecycle	Notes
Zero to 6 months after submission	The data will be readibly available in the learner's assessment drive and/or the LMS.
7 to 12 months after grading	The data will be easily available from hot storage by any faculty member, general staff member or IT staff member.
12 to 36 months after grading	A single learner's data will be recoverable from cold storage upon request via the IT Service Desk only and may take up to 7 business days to recover, with costs associated. Budgetary approval may be required from Operational Budgets.

Recovery of large volumes (5+) of multiple learners' data from cold storage will require justification, CEO approval and a longer recovery turnaround. AIE cannot guarantee a 7 business day recovery as cold storage is designed for long term (30+ years), infrequent use for discovery and regulatory recovery purposes only. AIE's cold storage service provider to physically ship us the data.

4.3   Disposal of Hard Copies

Any documents provided in a hard copy format must be converted into a soft copy format and **disposed** of according to the following process:

a. Document must be scanned and be a complete replica of the information provided (ensuring that document orientation has not cropped the document)
b. Document must be named according to *File and Folder Naming Conventions Policy and Procedure*
c. Document must be uploaded to the appropriate location for storage
d. Verify that the document has been successfully uploaded and is not in any way incomplete
e. Shred any remaining hard copies or, if applicable, return to the learner.

4.4   Archives

All hard copy documents prior to February 2020 are available in AIE's archives. Administration and Executive have read-only access to these files available at **\\ARCHIVE1\Student Records** on an AIE server. In the archive, documents are organised by the archive box number, the campus location, contents or surname/first name of learner. If further information on AIE's archive is required, contact the Chief Technology Officer (CTO).

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4.5   Issuing of Credentials (Historical and Current)

The following flowcharts detail the issuing of **historical** and current credentials:

1996–2002	2003–2011	2012–2021	2022–present
Refer learner to contact CIT +61 2 6207 3188 infoline@cit.edu.au ↓ CIT to issue qualification/SOA	Stored on S Drive **Qualification Register:** S:\Compliance\Historical Certificate Templates\Qualification Register ↓ If SOA only, you will need to search the Administration Archives Statements of Attainment: S:\Administration to find the list of Units If you cannot information cannot be found here then look in the Canberra Campus Archives ↓ Certificate Template Location (No Admin access – Executives can access) S:\Compliance\Historical Certificate Templates\Qualification Register ↓ Old certificate paper is located at each campus at the designated location ↓ **Certificate Courses:** Blue border with silver foil **Adv Diploma Courses:** Orange border with gold foil **GDML Courses:** Purple border with silver foil **Transcript Paper:** Pale blue with old logo in the top corner ↓ Attain signatures from Head of School and relevant Assessor (if assessor is no longer available, HoF can sign)	Wisenet - https://www.wisenet.co/ Note: 2012 cohort may be missing the completed Units of Competency as it is sorted by modules ↓ Check for the scanned credential in the relevant learner profile, if none recorded go to "Credentials" in their course enrolment ↓ Download PDF and print on AIE credential paper ↓ **Certificate Courses:** Parchment with silver foil **Adv Diploma Courses:** Parchment with gold foil **GDML Courses:** Parchment with silver foil **Transcript Paper:** Pale blue with current logo in the top corner ↓ Attain signatures from Head of School and relevant Assessor (if assessor is no longer available, HoF can sign) ↓ Scan signed Credential and save in learner's course logbook	aXcelerate - https://admin.axcelerate.com.au/management/ Issued in bulk from the Class Matrix page or to issue individually, to the learner profile and go directly to "Issue certificate" For video tutorial go to https://youtu.be/xgbWLdi5SF0 ↓ Hover over "Certficate" and click "Issue certificate" and select the "Certificate Type" ↓ Select the "Certficate Template" to send to the learner and set the "Issue Date" of the certificate ↓ Select the applicable "Enrolees" (if in bulk), click the "Preview" icon and check display, if happy, click "Issue Certificates" ↓ **Certificate Courses:** Parchment with silver foil **Adv Diploma Courses:** Parchment with gold foil **GDML Courses:** Parchment with silver foil **Transcript Paper:** Pale blue with current logo in the top corner ↓ Attain signatures from Head of School and relevant Assessor (if assessor is no longer available, HoF can sign)

5   Definitions

Archives
Documents selected for long term storage. ^

Assessment
The formal task or piece of work submitted to Canvas's "Assignments". ^

Assessment Drives
The A:\ "Assessment drives" that is supported by IT. ^

Cold Storage Service
An off-site, IT maintained long term data archival service built on Amazon Web Services. ^

Disposal
Documents to be destroyed or removed from record keeping (whether by deletion or shredding of hardcopy files). ^

Document Retention
Documents that are chosen to be stored/archived/destroyed and time frames in which it is to be stored for. ^

Environmental Hazards
Unforseen circumtances, usually a subtance, state or event that threatens the storage of documents e.g. a flood, fire, earthquake, pests etc. ^

Grading
The act of marking an ssessment via the SMS. ^

Historical Credentials
Any credentials pre-dating AIE's current system (aX) used to issue qualifications, statement of attainments and transcripts. ^

Hot Storage Service
An in-house, IT supported data archival service built on Microsoft Windows file sharing. ^

Learner Completion
A learner marked "Completed" in the SMS for the Course that the Assessment is for. ^

Learning Management System (LMS)
An online system that presents training material to learners and hosts assessment activities. AIE uses Canvas as its LMS. ^

Metadata
The data attributes that describe the data that was submitted and how it was assessed. This includes, among others: file name(s), date/time of submission, file sizes, who assessed it, what the grade was, and comments. Metadata is generally less than a megabyte in size. ^

Personal Information

Information or an opinion (including information or an opinion forming part of a database), whether true or not, and whether recorded in a material form or not, about an individual whose identity is apparent, or can reasonably be ascertained, from the information or opinion. ^

Raw Data

The learner's originally submitted assessable data, such as a Word document or Unity project and its related data. This is generally several megabytes or gigabytes in size. ^

Skills First Program

The Victorian State Government scheme that subsidies training to eligible learners for approved courses. ^

Student Management System (SMS)

Software system that manages the administrative and data reporting functionality of RTO operations. ^

6   Related documents

The following documents are related to this policy:

a.   Information and Records Management Policy and Procedure
b.   Learner Handbook
c.   Printing Credentials Process.

The following legislation and standards are related to this policy:

d.   Standards for Registered Training Organisations (RTOs) 2015
e.   Standard VET Funding Contract.

7   Review

This policy will be reviewed annually by the Compliance team.

8 Revision History

Version No.	Version Description	Contributor(s)	Approval Authority	Date Revised/ Approved
1.0	Approved by Board and document published.	-	BOD	-
2.0	Major revision.	**Linda Burrows** (National Compliance Officer)	BOD	29 March 2021
2.1	Removal of staff member's name from 4.4; style and formatting update.	**Nick Markesinis** (Intranet Content Coordinator)	BOD	6 August 2021
3.0	Added 4.2 Lifecycle of Assessment Data and Grading Metadata; added extra definitions and links to and from definitions; added scope; replaced 'student' with 'learner' where appropriate; general copyedit and proofread.	**Michael Pasqualone** (Chief Technology Officer) **Nick Markesinis** (Intranet Content Coordinator)	COO	18 August 2021