

Records Management Policy



1. Purpose

VEG Education is committed to providing high-quality training and assessment services in line with the *Standards for RTOs 2025*. This Policy establishes a systematic and compliant approach to the creation, storage, access, retention, transfer, and disposal of records to meet organisational, student and regulatory requirements.

2. Policy Statement

VEG Education will ensure that all training, assessment, compliance, business, and governance records are accurate, secure, accessible, and retained in accordance with the *Standards for RTOs 2025*, the *Student Identifiers Act 2014*, relevant data privacy and workplace law, and any other applicable Commonwealth or state/territory legislation.

3. Definitions

- **Record:** Any written, printed, or electronic document providing evidence that an activity, training or assessment outcome, or business transaction has occurred.
 - **Student Identifier (USI):** As defined in the *Student Identifiers Act 2014*, a unique code assigned to each student in the Australian vocational education and training sector.
 - **Retention Period:** The regulatory timeframe during which a record must be kept before disposal or secure destruction.
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4. Policy Principles

4.1 Training and Assessment Records

VEG Education must retain accurate and complete records including:

- a) Student enrolments and personal information,
- b) Records of training participation and assessment outcomes,
- c) Recognition of Prior Learning (RPL) and Credit Transfer applications and outcomes,
- d) Program completion details and issuance of qualifications/statements of attainment,
- e) Complaints and appeals outcomes,
- f) Evidence required for compliance submissions, including Total VET Activity (TVA) reporting.

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Retention Requirement (Standards for RTOs 2025):

- Copies of all AQF certification documentation (qualifications and statements of attainment) must be retained for 30 years.
- Assessment evidence contributing to outcomes is retained for a minimum of six (6) months from the date of decision.
- Enrolment and participation data must be retained in accordance with VET Data Policy reporting obligations.

4.2 Compliance Records

The RTO will maintain the following compliance-related records:

- a) Training and Assessment Strategies (TAS) and supporting documents,
- b) Validation and moderation activities, schedules, and outcomes,
- c) Continuous improvement records and actions taken,
- d) Industry consultation evidence,
- e) Assessment tools and training materials used (version-controlled),
- f) Audit reports and rectification evidence,
- g) Quality indicators and survey data.

4.3 Business and Governance Records

These include:

- a) Business planning and strategic documents,
- b) Financial management and reporting records,
- c) Staff employment records including recruitment, induction, professional development, and performance reviews,
- d) Workplace Health and Safety (WHS) compliance evidence,
- e) Marketing and recruitment materials, including version control for compliance with Standards,
- f) Third-party agreements and monitoring records.

4.4 Electronic Records

- a) The Student Management System (SMS) is securely backed up at least daily, with copies stored externally and encrypted.
- b) All email and digital records are stored on secure servers subject to regular cyber-security protocols in line with data privacy legislation.
- c) Compliance data is uploaded to AVETMISS and other reporting databases as required.
- d) Learning and assessment resources are maintained with version control to ensure validity and compliance.

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4.5 Paper-based Records

- a) Physical records are stored in secure, access-controlled cabinets for no less than 12 months.
- b) Where not digitised, they are archived off-site in secure facilities for the required retention period.
- c) Secure destruction (e.g., shredding or certified disposal) is undertaken following expiry of mandated retention periods.

5. Responsibilities

- The CEO holds ultimate accountability for compliance with this Policy.
- The RTO Compliance Manager/Administrator is responsible for maintaining data accuracy, reporting, and secure storage.
- All staff must adhere to privacy, confidentiality, and record-handling protocols, including non-disclosure of passwords or unauthorised system access.
- Trainers and Assessors are responsible for timely submission of completed assessment records for storage in line with retention requirements.

6. Student Access to Records

- Students are entitled to reasonable access to their personal records under the *Standards for RTOs 2025* and the Privacy Act.
- Requests must be submitted in writing and will be responded to within 10 business days.
- Records provided will include enrolment, training progress, outcomes, and copies of certification.

7. Monitoring and Continuous Improvement

- Records management systems and practices are formally monitored at least annually by the CEO and/or Compliance Manager.
- Identified risks, non-compliance, or improvement opportunities are documented and acted upon in accordance with the Continuous Improvement Policy.
- This Policy will be reviewed biennially, or earlier if legislative or regulatory requirements change.