Records Management Policy and Procedure

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.

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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.

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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 *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

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.

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.

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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.

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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.

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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.

Records Management Procedures

Course Records and File

Course files are used to record, organise and manage a course event.

STEP 1 – Creating courses records		
No.	**Who**	**Actions**
1.1	**Admin**	**Create Course File :** a) Obtain a **'Course File Checklist'**, manila folder and course file tabs b) Place **'Course File Checklist'** on the inside cover of the manila folder. c) Complete **'Course File Checklist'** with all relevant information. d) Create a course file in accordance with the checklist. e) Create **Course Nomad File,** in preparation for Training Delivery. Store with **Course File.** f) Forms are filed in the course file progressively under the appropriate tab i. TAS – Training and assessment strategy ii. Course outline iii. Student enrolments list & attendance sheets iv. Course evaluations v. Trainer evaluations vi. Venue bookings vii. Course marketing viii. Miscellaneous g) Store course in filing cabinet
1.2	**Admin**	**Create Course in SMS :** a) Ensure course is created in SMS. If not, create a new course. b) Create a course occurrence (new date for the occurrence of the course) in SMS.
STEP 2 – Updating course details		
No.	**Who**	**Actions**
2.1	**Admin**	a) Upon receipt of information regarding the course: i. Retrieve the Course File. ii. Make note relevant detail in course file. iii. Make relevant notes in SMS. b) Upon receipt of documentation regarding the course:

		i. Process the relevant documentation in accordance with procedures; (e.g. See Evaluation procedures, See Training delivery procedure regarding 'Attendance records') ii. Make note of relevant information in course file. iii. Store documentation on course file. c) Store course file in filing cabinet.
Client Records and File Client files are used to record, organise and manage client enrolments, progression and completion.		
STEP 1 – Creating Client Records		
No.	**Who**	**Actions**
1.1	**Admin**	**Create Client File:** a) Obtain a '**Client File Checklist'**, manila folder and Client File tabs b) Place '**Client File Checklist'** on the inside cover of the manila folder. c) Complete '**Client File Checklist**' with all relevant information. d) Create a **Client File** in accordance with the checklist. e) Create **Client Nomad File** (if workplace based learner). f) Forms are filed in the file progressively under the appropriate tab i. Enrolment form/s ii. TPO – Training Plan Outline iii. Invoices & Payments iv. Correspondence v. Assessments vi. Certification vii. Induction viii. Training journal ix. Miscellaneous g) Store **Client File** in filing cabinet. h) Provide **Client Nomad File** to allocated Trainer / Assessor.
STEP 2 – Updating Client Details		
No.	**Who**	**Actions**
2.1	**Admin**	a) Upon receipt of <u>information</u> regarding the client: i. Retrieve the **Client File**. ii. Make note of relevant detail in **Client File**. iii. Make relevant notes in SMS. b) Upon receipt of <u>documentation</u> regarding the course: i. Process the relevant documentation in accordance with procedures; (e.g. See Evaluation procedures, See Training delivery procedure regarding 'Attendance records') ii. Make note of relevant information in **Client File**. iii. Store documentation on **Client File**. c) Store **Client File** in filing cabinet.
Corporate Client Records and File Corporate Client files are used to record, organise and manage Corporate client services.		
STEP 1 – Creating Corporate Client Records		
1.1	**Admin**	**Create Corporate Client File :** a) Obtain a **'Corporate Client File Checklist'**, manila folder and **Corporate**

		Client File tabs b) Place **'Corporate Client File Checklist'** on the inside cover of the manila folder. c) Complete **'Corporate Client File Checklist'** with all relevant information. d) Create a **Corporate Client File** in accordance with the checklist. e) Forms are filed in the file progressively under the appropriate tab i. Agreement / Contract ii. Discovery Notes iii. Financials iv. Correspondence v. Client feedback vi. Miscellaneous f) Store **Corporate Client File** in filing cabinet.
1.2	**Admin**	**Create Corporate Client record in SMS :** Ensure **Corporate Client** is created in SMS. If not, create a new **Corporate Client**.
STEP 2 – Updating Corporate Client Records		
No.	**Who**	**Actions**
		a) Upon receipt of information regarding the **Corporate Client**: i. Retrieve the **Corporate Client** File. ii. Make note of relevant detail in file. iii. Make relevant notes in SMS. b) Upon receipt of documentation regarding the **Corporate Client**: i. Make note of relevant information in file. ii. Store documentation on file. c) Store file in filing cabinet.
Staff Records and Files		
STEP 1 – Creating Staff Records		
No.	**Who**	**Actions**
1.1	**Admin**	**Create Staff File :** a) Obtain a **'Staff File Checklist'**, manila folder and **Staff File** tabs b) Place **'Staff File Checklist'** on the inside cover of the manila folder. c) Complete **'Staff File Checklist'** with all relevant information. d) Create a **Staff File** in accordance with the checklist. e) Forms are filed in the file progressively under the appropriate tab i. Employment offer / Contract ii. CV / Resume iii. Qualifications & checks iv. Profession development /training v. Performance management vi. Induction vii. Direct supervision viii. Payroll / Leave forms ix. Insurances x. Miscellaneous f) Create new staff member in SMS. g) Provide **Staff File** to CEO for processing and secure storage.
1.2	**CEO**	a) Ensure **Staff member** has been created in SMS.

		b) Add relevant confidential documentation to **Staff File.** c) Store **Staff File** securely**.**
Archiving Records		
STEP 1 – Archiving Records		
No.	**Who**	**Actions**
		a) Every three (3) months, identify the Clients that have either: i. completed their training / assessment more than twelve (12) months ago; or ii. whose enrolment has expired. b) Every three (3) months, identify Courses that have been completed within the last three (3) months. c) Obtain the **'Client Files'** and **'Course files'** from filing cabinets**.** d) Obtain Archive boxes and lids. e) Complete an **'Archive Register Form'** with all relevant information, listing all records to be archived within each Archive box. f) Obtain the next available Archive box number from the **'Archive Register'.** g) Complete the **'Archive Register'** accordingly. h) Ensure: i. Like records are stored with like records (ie all client records together, all course records together etc.) ii. Files/records are kept in alphabetical order. i) Scan the completed '**Archive Register Form'** and store electronically in the Archive Folder on the server. j) Place the completed '**Archive Register Form'** on the top of all records /files inside of the Archive box. k) Label the outside of the Archive box clearly, identifying VEG Education, and Archive box No. l) Forward Archive box to Secure Storage location.