

SP2 Record Management

Version: 1

Policy Owner: Administration and Funding Claims Manager

Approved by: Head of Quality and Curriculum

Original Approval Date: June 2025

Current Approval Date: June 2025

Next review Date: June 2026

1.0 Purpose

This policy outlines the RTOs systematic approach to record keeping of learner details, evidence of participation, learner results, learner certification and financial ledgers. The policy addresses the creation, management, security, retention and disposal of records.

In line with the Outcome Standards for Registered Training Organisations (RTOs) 2025 and State Funding contract requirements, the RTO ensures that its administration practices are systematic and correct and in accordance with the *Data Provisions Requirements 2020*, *Student Identifiers Act 2014*, *Privacy Act 1988*, *Privacy and Data Protection Act 2014 (Vic)* and all other applicable legislation and guidelines.

2.0 Scope

This policy applies to all employee, partners and associates of the RTO in relation to record keeping and archiving student files, documentation and certificates as well as financial records and ledgers. This policy includes all regulatory requirements that fall under the RTOs obligations as a registered training organisation.

3.0 Definitions

Term	Definition
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard)
AQF	Australian Qualification Framework
Document	A piece of written, printed, or electronic matter that provides information or evidence or that serves as an official record
DocuSign	An electronic signature program
LLN	Language, Literacy and Numeracy
LMS	Means Learning Management System used as the online portal for the virtual classroom delivery mode.
Records	Means any document created by the RTO or is in possession of the RTO during the time of operation
RTO	Means Selmar Institute of Education (121531)
SVTS	Skills Victoria Training System
The Regulator	Australian Skills Quality Authority
USI	Unique Student Identifier

4.0 Policy

4.1 Collection and Retention of Information

- Selmar Institute of Education collects personal information from learners as required for AVETMISS compliance through the Student Application Form. Additional information may be collected from learners and potential students to determine eligibility for government or other funding requirements, concession status and marketing purposes.
- Student files contain:
 - Application forms (Pre-Training Review, LLN, Student Application Form)
 - Evidence of eligibility (if applicable)
 - Evidence of Concession (if applicable)
 - Evidence of Credit Transfers granted (if applicable)
 - Invoices of fees charged
 - Training Plans
 - Enrolment Variation forms
 - Submitted Assessments (with Declarations of authenticity)
 - Attendance Records (classroom based only)
 - Student Contact Record Forms
 - Any other document related to the student's enrolment, training and assessment
- Electronic Records contain:
 - Student personal information (in Student management system)
 - Course enrolment and units of competency results (in Student management system)
 - Contact notes (in Student management system)
 - Progression notes (in Student management system)
 - Fees and charges and funding source (in Student management system)
 - Financial records in the RTOs accounting system Xero
 - Completed learning activities (in LMS)
 - Completed assessments (in LMS)
- The RTO ensures that all electronic student records are stored in the SMS and LMS, which is only accessible by authorised staff.
- Upon expiration of State funding contracts, the RTO will retain ownership of all records and documents. Including: Student details, student results, certification and statements of attainment, policies, procedures, forms, and marketing collateral and financial ledgers.
- The RTO will allow for electronic signatures obtained through DocuSign or where it can be attributed that the signature/approval/declaration has come from the learner for example email or scanned copies.

4.2 Certification

- The RTO retains copies of certificates, statements of attainment and testamurs awarded.
- In accordance with the OSTROs, the RTO maintains a register of all AQF certification and statements of attainment issued to students. The register is kept on Student management system with a unique parchment number per document.
- The AQF certificate and statement of attainment is retained on Student management system for 30 years and can be re-printed if requested. A report of all certificates and statements of attainment can be generate from Student Management System listing the document details.
- The RTO ensures that the students USI is not recorded and printed on the student AQF certificate or statement of attainment.

4.3 Accessibility and Archiving

- The RTO makes available all student records, evidence of participation, results and certification to the Regulator for audit purposes and/or investigation.
- All electronic student and financial records are accessible to authorised staff only with unique log-in details for the SMS, LMS, accounting system, and financial institutions online banking.
- The RTO's Administration Team, Trainer/Assessor and the Quality and Curriculum Department may access student information without prior approval. All other staff may only access student information with the permission of one of the above staff members.
- Student training and assessment records are retained for a minimum of 2 years after completion or withdrawal unless otherwise specified in a funding agreement contract. All other enrolment and competency records are retained electronically in Student management system for 30 years.
- The RTO keeps records of the following in the form of a Register:
 - Continuous Improvement Register
 - Scope of Registration Register
 - Trainer and Assessor Register
 - Training and Assessment Strategy Register
 - Feedback and Complaints Register
- The RTO's employee files (including Trainers and Assessors) are stored in the HRM system and managed by the People and Culture Manager.
- The RTO acts under the guidance of the Australian Privacy Principles outlined in the Privacy Act 1988 when retaining, maintaining and disclosing information about students. Students may request in writing a copy of the information that the RTO holds regarding them and their course. Where a student has requested a copy of their information in writing, this requested is referred to the Administration and Funding Claims Manager for approval of release.
- The RTO provides all records for audit purposes and upon request by the Department in relation to the Funding Contracts, legislative requirements or Federal Government request. The RTO also allows any representative from the Department or government bodies to take copies of any document relevant for audit or investigation. No record is amended, adjusted or tampered with where it is unclear as to the need for the amendment to be made.

4.4 Online Records

- The RTOs online learning management system can retain record of learner participation. This is done by tracking the learner's unique login times and the completion of learning activities and assessments.
- All email and phone contacts are recorded against the learners' profile on Student management system. These records can be provided to the Department upon request and verified with the trainer/assessor and the learner.

4.5 VET Student Loans (VSL)

- The RTO is an approved provider to offer VET Student Loans (VSL). For the list of approved courses, please refer to the *RTO Funding Models Matrix*.
- In the instance that a student is funded under a VET Student Loan and there has been a review regarding their funds, HELP debt and enrolment into a course (or particular units of study) the review procedure and the related documents must be retained for 7 years.
- The below records are retained for 5 years for all other students:
 - Pre enrolment information i.e. Student Handbook, Course Guide
 - Pre-Training Review and LLN assessment
 - Student Application Form and course start date

- Evidence of Eligibility – Residency status and Academic Suitability
- Acknowledgement Letter and Statement of Covered Fees
- Confirmation of Enrolment Letter
- Commonwealth Assistance Notices provided to the student throughout the course
- VET Student Loans Fee Notice provided to the student throughout the course
- Records of any complaint or appeal made in relation to the course or services
- Census dates and fees charged
- All versions of procedures relevant to VET Student Loans
- All marketing material relevant to VSL approved courses

4.6 Skills First Program (VIC)

- The RTO is an approved provider to offer funding via the Skills First Program to eligible students for select courses on their scope of registration and on the Skills First Funded Courses Report. For the list of approved courses, please refer to the *RTO Funding Models Matrix*.
- Financial records of funds claimed from the Department for training activity is retained via the SVTS and financial institution statements for relevant company accounts.
- The RTO retains all student records for eligible student including student details, results, evidence of participation, fees and charges and funds received and certification/statements of attainment for three (3) years after the student has completed or withdrawn.
- The RTO retains all financial records in relation to the Skills First Funding Contract for a minimum of seven (7) years, which includes invoices, receipts and statements. These records are made available to the Department during business hours at our Head Office in Melbourne, Victoria in the presence of a member from the Senior Leadership Team (SLT).
- The RTO retains and makes available to the Department for audit purposes the following:
 - Evidence of Eligibility (Declarations, student ID, evidence of concession, Statement of Fees via an acknowledgement Letter)
 - Pre-Training Review for each eligible student
 - Evidence of Participation (for training and assessment to justify funds received)
 - Training Plan
- The RTO will provide the above items upon request by the Department in the requested time frame.

4.7 Smart and Skills Program (NSW)

- The RTO is an approved provider to offer funding via the Smart and Skilled Program to eligible students for select courses on their scope of registration. For the list of approved courses, please refer to the *RTO Funding Models Matrix*.
- The records for NSW funded learners will be retained by the RTO for 3 years.
- All financial records will be provided to the Department in the requested time frame.

5.0 Legislative Context

Name	Section
Outcome Standards for RTOs 2025	Quality Area 1
Compliance Standards for NVR Registered Training Organisations and Fit and Proper Person Requirements.	Compliance Requirements
VET Student Loans	Clause 4.11

Skills First Program (VIC)	Standard VET Funding Contract
Smart and Skilled Program (NSW)	Smart and Skilled Terms and Conditions Smart and Skilled Operating Guidelines

6.0 Related Documents

Name	Document Type
Continuous Improvement Register	Register
Scope of Registration Register	Register
Trainer and Assessor Register	Register
Training and Assessment Strategy Register	Register
Archive Boxes spreadsheet	Register

7.0 Version Control and Revision Information

The RTO reserves the right to vary, replace or terminate this policy from time to time.

Version #	Approval Date	Approved By	Details
1	June 2025	HQC	Document creation to align with OSRTOS 2025