

Records Management Policy and Procedure- VET

1. Purpose

- a. TrEd College recognises that preserving and managing records pertaining to the full range of institutional activities is critical to effective operations in business, transparency, accountability, and reporting requirements in relation to decisions taken at the College.
- b. The policy is a guide to the staff of the College about the creation, management, storage, retrieval, and disposal of records.
- c. This policy complies with relevant legislative and regulatory standards and good practice principles in business records management.

2. Scope

This Policy applies to

- a. All staff of the College, whether full-time, part-time, casual, or contract.
- b. Members of the TrEd Governance
- c. Individuals engaged in providing services to the College or receiving services from the College, such as students, contractors, or consultants.
- d. All records generated within the College, including paper-based and electronic records, including all other types of data.

3. Definitions

- a. **Business Records** means records in a paper-based or electronic format that capture the everyday activities of the college.
- b. **Data** means any facts and statistics college together for reference or for analysis.
- c. **Electronic records** mean any records captured by any technological means secured daily and through backups.
- d. **Marketing records** are any paper or electronic format that promotes the college and the courses offered. This includes the website, handbook, and marketing brochures.
- e. **Non-Essential records** are any records that have expired their legislated preservation period and are not deemed essential to the ongoing operation of the College.
- f. **Privacy Act 1988** is an Australian law regulating individuals' personal information handling.
- g. **Australian privacy principles**, the APPs set out standards, rights, and obligations for the handling, holding, use, assessment, and correction of personal information

- (including sensitive information)
- h. **Records** are any information captured by hard copy, technological or electronic means that pertains to the College and its community.
 - i. **Staff Records** are any records relating to anyone recruited at the College in any staff capacity.
 - j. **Student Records** are paper-based or electronic records that capture data on the student journey, including records of application, enrolment, academic progress, departmental interactions, graduation, and employment outcomes.
 - k. **TC** refers to TrEd College. For this Policy, any reference to ‘TC’ should be considered a reference to TrEd College.
 - l. **RTO Manager** – Student Management System (National)
 - m. **PRISMS** - Provider Registration and International Student Management System (National)
 - n. **LMS Canvas** – Learning Management System (National)
 - o. **LMS Cookery Courses** – DIDASKO (National)
 - p. **Xero** – Accounting System (National)
 - q. **Moodle** – Blockchain courses (National)
 - r. **HITS** – VET Student Loan reporting system (National)
 - s. **STS** – Smart and Skilled Reporting System (NSW Only)

4. Policy

- a. The College recognises that it generates important and extensive records related to teaching, scholarship, students, staff, finances, business administration, and other activities and is committed to good practice in creating, managing, retrieving, securing, and disposing of such records by this Policy.
- b. Personal privacy and risk mitigation are fundamental considerations in the management of all corporate and personal records.
- c. Access to all records is restricted to authorised staff with a business process requirement.
- d. Record management training will be undertaken as part of all staff induction. Different departments and roles will receive respective training pertaining to their responsibility in the college.
- e. Data is collected to support the college in operational activities and to inform quality improvement, risk management, and strategic planning. It is also used to meet internal and external reporting requirements.

- f. The collection of accurate and complete data is the responsibility of all staff. All data is held responsibly and backed up regularly.
- g. Data is always protected with various levels of accessibility that are dependent on the roles of data input.
- h. Data is only made available to third parties by legal and regulatory requirements.

5. Procedure

General requirements

5.1. All staff must create and capture accurate records of all activities for which the College may be held accountable and integrate these records within the various management systems.

- a. Pre-enrolment – Agent Portal via RTO Manager
- b. Marketing – Websites, MS Teams, RTO Manager
- c. Admissions – RTO Manager, PRISMS, HITS and STS
- d. Enrolment – RTO Manager, PRISMS, HITS and STS
- e. Student Admin records – RTO Manager, PRISMS, HITS and STS
- f. Student Learning – LMS Canvas, DIDASKO, MOODLE
- g. Survey Management – RTO Manager and LMS Canvas
- h. Staff Policies – MS Team and RTO Manager document repositories
- i. Student Policies – Website, RTO Manager and LMS
- j. Accounting records – RTO Manager and Xero
- k. CRICOS records – RTO Manager and PRISMS
- l. Staff Academic Documents, e.g., Validation – MS Teams
- m. Staff meeting Minutes – MS Teams
- n. Trainer notes on students – RTO Manager and Canvas
- o. Student Services Teams notes on the student – RTO Manager
- p. Smart and Skilled Records – STS and RTO Manager
- q. VET Student Loan – HITS and RTO Manager

5.2 All systems are integrated with RTO Manager except PRIMS, HITS and STS, which will ensure that all records are synced and accessible in one place when required to see the overall picture of student and staff records.

5.3. Assessments are on the LMS, and Student admin files are on RTO Manager. Accounting on XERO and all other relevant information is on MS teams.

5.4. All systems are backed up daily to ensure that data is not lost or destroyed.

5.5. Various Policies and Procedures at the college detail recording different types of data

and how records are managed. For example, the leave policy for students is a policy under student services that records leave on PRISMS and RTO manager and informs students and trainers of all approved leave during training sessions.

6. Record storage, archiving, and disposal

- a. In determining appropriate storage for current and non-current records, consideration must be given to the protection provided by any selected storage facility, the sensitivity of records, required retention periods, and access requirements and demands.
- b. Staff are responsible for applying adequate security measures for accessing and using records following legislative, regulatory, or business requirements. Records should be accessible on a 'need-to-know' basis, and security arrangements should provide reasonable protection and detection of breaches.
- c. Staff must not relinquish, amend, destroy, or damage records belonging to the College without approval from the Chief Executive Officer (CEO) per the Authority Delegation Policy.

7. Staff may destroy non-essential records after the relevant legislated retention periods below.

- a. business records must be kept for a minimum of seven (7) years.
- b. VET Student Loan-related documents a minimum of seven (7) years
- c. Smart and Skilled related documents a minimum of three (3) years
- d. CRICOS student assessment records must be kept for two (2) years after the student's graduation, except for records necessary to re-issue or authenticate students' academic transcripts or testamurs, which must be kept in perpetuity.
- e. staff records must be kept for a minimum of five (5) years after the staff member has ceased employment at the College.

8. Record Security and Data Protection

- a. The security of records is established through electronic back-up and/or secure storage on-site or off-site in an area where records are protected from damage and incursion but may be retrieved as required and authorised.
- b. Measures for the prevention of unauthorised access, disclosure, or alteration of personal, sensitive, or otherwise confidential information include the following controls:
- c. the Student Services Officer may only provide access to student and staff records, respectively, on a 'need-to-know' basis.
- d. Third-party access to personal information is limited to what is permitted under the College's Personal Information and Privacy *Policy*.
- e. The College has processes and controls in place for the protection of data. The College identifies critical data loss scenarios and implements controls accordingly.

- f. Security protocols implemented based on data classification include:
 - i. Access control.
 - ii. Separation of duties.
 - iii. least privilege.
 - iv. Wireless access restrictions.
 - v. Media protection.
 - vi. Software and hardware usage restrictions.

9. Responsibilities

- a. Records management is the overall responsibility of the CEO and National Training Manager.
- b. The Student Services Team is responsible for the management of student records.
- c. Managers are responsible for the records of management pertaining to their respective business areas and their reporting staff.

10. Document Control Rules

- a. Version labels to be read as follows:
 - i. *Version 3 or V3* is the third iteration of the main policy.
 - ii. Major changes to the policy will be documented as a consecutive version.
 - iii. *Version 3 (1)* is the policy's third iteration and the year's first version.
 - iv. Minor changes to the policy will be documented as an amended version of the same year.
 - v. *Version 3 (2)* is the policy's third iteration and the year's second version.
 - vi. *V3 (1)- 07.23* notes the month and year of the version released (July 2023).

11. Document Version History

Version	Release date	Description	Review date
1	Nutan Srivastava	V1.0	January 2021
2	Harmeen Kaur	V2	December 2022
3	July 2023	V3(1)- 07.23	Amended
4	July 2023	V3(2)- 07.23	March 2024

Document Review and Approval

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