P026 Records Management Policy (VET)

1. Purpose

This policy sets out how Collarts creates, stores, protects, gives access to, keeps and disposes of VET records, so that it can show compliance with the Standards for RTOs 2025 and the VET Funding Contract and protect students' information.

2. Scope

It applies to all records about VET students, training and assessment, certification, workforce, third-party and school arrangements, and Skills First activity, in any format, held by Collarts or by a third party or school on Collarts' behalf.

This policy applies to all three delivery models: direct delivery by Collarts staff, third-party delivery on Collarts' behalf, and auspice (VETDSS) arrangements with secondary schools. Where a requirement differs by model or funding source, the policy says so.

3. Definition of Key Terms

Term	Definition
Record	Any information created or received in the course of VET activity, in hard copy or electronic form, that provides evidence of a decision, action or transaction.
Student file	All records about one student: enrolment, eligibility, pre-training review, Training Plan, fees, participation, assessment, results, support, complaints and certification.
Retention period	The minimum time a record must be kept before it may be disposed of.
Disposal hold	A direction that a record must not be disposed of, for example because of an audit, investigation, complaint, legal claim or Department direction.
Disposal Register	The record of what was disposed of, when, how and who approved it.

4. Principles

- Records are accurate, complete and made at the time of the activity.
- Records are kept securely, in approved systems, and only people who need them can access them.
- Each record is kept for the longest period that applies to it under any law, standard or contract.
- Records are never altered to misrepresent what happened. Every amendment shows who made it, when and why (2026 Standard VET Funding Contract – Skills First Program, cl 10.10).
- Records are disposed of securely when no retention requirement applies.

5. Where records are kept

System	Records
VETtrak	Student enrolments, eligibility and concession evidence, USI status, fees, attendance (Trainer Portal), results, the certification register and certification templates; AVETMISS/SSR data.

System	Records
Canvas	Learning activity, submitted assessment evidence, assessor feedback and judgements, and participation records.
SharePoint	TASs and change logs, validation records, industry engagement records, registers, teacher files, third-party and school agreements and monitoring records, policies and procedures [CONFIRM: SharePoint locations and permissions].
SVTS	Skills First submissions, certifications and Department notices.
Finance system (Xero)	Invoices, receipts, refunds and payments to third parties.

Hard-copy records are scanned into the right system within 5 working days, checked for legibility, and the original is kept securely or destroyed under this policy. Records are not kept on personal devices or in personal email.

6. Retention schedule

If more than one period applies, the longest applies. Periods for Skills First records run from the date the student completes or withdraws from the program (2026 Standard VET Funding Contract – Skills First Program, cl 10.3).

Record	Minimum retention	Source
AQF certification records and the certification register	30 years from issue	Compliance Standards (records of AQF certification documentation)
Completed assessment evidence submitted by students (to Collarts or a third party)	2 years after the student completes the training product; Skills First Students: until 3 years after completion or withdrawal	Compliance Standards; VET Funding Contract cl 10.3
Results and enrolment data (AVETMISS)	30 years (needed to reissue certification and confirm identity)	Compliance Standards
Skills First records: eligibility and concession evidence, pre-training review, Training Plan, Statement of Fees, Evidence of Participation, SSR files and certifications	Until 3 years after the student completes or withdraws	VET Funding Contract cl 10.3; Schedule 1, cl 9
Other student file records (non-Skills First)	[DECISION: e.g. 7 years after completion or withdrawal]	Collarts decision
Financial records (fees, refunds, third-party payments)	7 years after the transaction	VET Funding Contract cl 10.11
Teacher files and the VET Workforce Register	While the person is approved, then 3 years after their last Skills First delivery	VET Funding Contract cl 4.4–4.5, 10.3, 10.12(f)
TASs, change logs, validation and industry engagement records	Until 3 years after the last student enrolled under that version completes or withdraws; validation records at least for the 5-year validation cycle	Outcome Standards 1.2, 1.5; VET Funding Contract cl 10.3
Third-party and school agreements, approvals and monitoring records	While the agreement is in force, then until 3 years after its last student completes or withdraws	VET Funding Contract cl 10.3; P010 Third Party Arrangements Policy (VET)
Complaints, appeals and academic integrity records	7 years after closure	Collarts decision
Child safety incident and reportable conduct records	at least 45 years, per Royal Commission recommendation and PROV guidance	Child Safe Standards (Vic)

7. Security and access

- Access to each system is limited by role and reviewed each semester. Third parties and schools see only their own students' records.
- IT maintains backups, access logs and security controls, and protects records from unauthorised access, use or amendment for as long as they must be kept (cl 10.9(a)).
- Students may access their own records and correct their personal information under the P012 Privacy and Data Breach Policy (VET). Current and former students can get copies of their certification for 30 years.
- Collarts gives ASQA, NCVER and the Department access to records and data as the law and the contract require, including prompt copies or inspection of Skills First records on request (cl 10.12). A record not provided when requested is treated as not existing (cl 10.13).
- Electronic signatures are accepted where the contract and the law allow (cl 10.14–10.15).

8. Data provision

- Collarts reports training activity in AVETMISS format: Skills First and fee-for-service activity through SVTS at least monthly (Schedule 1, cl 10.1), which also meets its national Total VET Activity reporting to NCVER.
- Collarts gives ASQA a report of AQF certification issued when requested, and any other information ASQA requires.

9. Disposal

- Each year the VET Administrator lists records past their retention period. The Head of VET checks for any disposal hold (including any Department direction to keep records, cl 10.4) and approves disposal.
- Records are destroyed securely (cross-cut shredding or secure bins for paper; permanent deletion for electronic records) and recorded in the Disposal Register.
- Personal information is disposed of promptly once no requirement to keep it applies (cl 10.9(b)).

10. If an arrangement ends or Collarts stops delivering

- When a third-party or school arrangement ends, the partner gives Collarts all student records, results and assessment evidence it holds within 20 working days, or keeps them under the agreement for the required periods [DECISION: preferred option].
- Collarts keeps ownership and custody of its Skills First records after the contract ends (cl 10.7) and notifies the Department through SVTS of any intention to stop operating as an RTO in Victoria (cl 7.6(d)).
- If Collarts stops operating as an RTO, it notifies ASQA and gives ASQA its AQF certification records in the form and timeframe ASQA specifies, so former students can still get copies [CONFIRM: current ASQA requirements for records on ceasing registration].

11. Delivery models

Delivery model	Records arrangements
Direct delivery	Collarts staff create and keep records in Collarts systems.

Delivery model	Records arrangements
Third-party delivery	The third party records attendance, assessment and results in Canvas and VETtrak, keeps any other records for the periods in this policy, and makes them available to Collarts, ASQA and the Department on request. Collarts remains responsible for the records.
Auspice (VETDSS)	Schools enter results and assessment evidence in Canvas. Evidence held at the school is kept for at least the periods in this policy and given to Collarts on request. Child safety records are kept under both the school's and Collarts' obligations.

12. Appeals and complaints

Concerns about how records are kept or accessed can be raised with the Head of VET or through the P003 Complaints and Appeals Policy (VET). Privacy complaints may be taken to the OAIC or, for Skills First information, OVIC. Queries can be directed to 1300 818 777 or vet.support@collarts.edu.au.

13. References and Related Legislation

- Standards for RTOs 2025 – Compliance Standards for NVR Registered Training Organisations (records of AQF certification documentation; student identifiers; information to the Regulator); Outcome Standards 1.4, 1.5 and 4.1
- National Vocational Education and Training Regulator Act 2011 (Cth); National VET Data Policy
- 2026 Standard VET Funding Contract – Skills First Program, cl 4.4–4.5, 7.6, 10.1–10.15; Schedule 1, cl 9 and 10
- Privacy Act 1988 (Cth); Privacy and Data Protection Act 2014 (Vic); Student Identifiers Act 2014 (Cth); Corporations Act 2001 (Cth) s 286
- Child Wellbeing and Safety Act 2005 (Vic) – Child Safe Standards

14. Related Policies and Associated Documents

This policy should be read in conjunction with the following documents:

- SOP026 Records Management Procedure (VET)
- P012 Privacy and Data Breach Policy (VET)
- P005 Certification Issuance Policy (VET)
- P022 Evidence of Participation Policy (VET)
- P027 Skills First Data Reporting and Claims Policy
- P010 Third Party Arrangements Policy (VET)
- P015 VET Workforce Policy
- P019 Child Safe Policy (VET)
- Disposal Register; archive checklist

15. Policy Information

This policy is made available to:

- current staff via the Staff Intranet (login required)
- current students or other individuals, including prospective students, upon request
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Policy Name:	P026 Records Management Policy (VET)
Policy Category:	Corporate
Policy Owner:	Head of VET
Responsible Officer:	Head of VET
Endorsed by (date):	16th October 2026
Approved by (date):	16th October 2026
Review cycle	1 year, or earlier if the Standards for RTOs or the VET Funding Contract change
Next review:	Q4 2027

Document history

Version	Date	Summary of changes	Approved by
26.1	October 2026	New policy setting out VET record systems, a retention schedule (30-year certification records, assessment evidence, Skills First records until 3 years after completion or withdrawal, financial and workforce records), security and access, data provision, disposal holds and secure disposal, and records arrangements when a partnership ends or Collarts stops operating. Document code P026 assigned under the 2026 VET document numbering convention.	HoV