

<b>Department</b> Retail Institute – RTO (ID 4049)		
<b>Title</b> Records Management – Policy and Procedure <i>ASQA Standards for RTOs 2025 – Quality Area 4.2</i>		<b>Effective</b> Feb 2026
<b>Version ID</b> No.3	<b>Superseding Version</b> Version 2	<b>Effective</b> Feb 2025
<b>Approved by</b> Head the Retail Institute	<b>Next Review</b> July 2028	Once printed, this document is not controlled.
<b>Reason for change</b>	General review and RTO name change.	

## 1. Policy objective

- 1.1. The objective of this policy and procedure is to ensure that the Australian Retail Council (ARC), via its training division, the Australian Retail Council Retail Institute (ARC RI), complies with the responsibilities set by law as a nationally recognised Registered Training Organisation (RTO).
- 1.2. This policy ensures compliance with record-keeping standards practiced internationally, the Privacy Act 1988 (Cth), and follows the Standards for RTOs 2025.
- 1.3. This Policy also acknowledges the Australian Privacy Principles (APP) and state and territorial legislation relating to public records. Via these principles and the application of responsible management, the ARC RI shall fulfil the minimum requirements with regards to responsible management of student records.
- 1.4. The ARC RI Policy and Procedure on Privacy and Student Information Handling are maintained and updated on the ARC RI Policy and Procedures page on the ARC Website.
- 1.5. The ARC RI, through the application of this Policy, will:
  - 1.5.1. Outline how student records are managed and maintained.
  - 1.5.2. Specify the process, roles, and responsibilities of ARC RI staff related to the completion, access, correction and maintenance, storage and destruction of a student's information.
  - 1.5.3. Ensure accurate student course progression and the prompt issuance of records (issuance of a Certificate or Statement of Attainment (SoA) for one or more individual competencies).
  - 1.5.4. Ensure that a student's records are maintained to the minimum standards required under relevant laws and that management is accountable for the responsible management of records.

## 2. Scope

- 2.1. This policy applies to all individuals who must ensure the ARC RI complies with the Standards for RTOs and other laws and conforms to its conditional arrangements with other interested parties critical to the operations of the ARC RI. These include:
  - any student enrolled and participating in a nationally recognised training program within ARC's Scope of Registration,

- all ARC RI staff and or other persons ("other" individuals engaged by the ARC) who facilitate student enrolment,
- all ARC Partners ("Partners", Third Party Arrangements/Agents and staff), and
- all ARC RI Directors and the ARC CEO.

Out of scope: This Policy and Procedure exclude records for any non-nationally recognised or non-accredited courses offered by the ARC RI.

### **3. Related Documents**

Unique Student Identifier – Policy and Procedure

Privacy and Student Information Handling – Policy and Procedure

ARC Retail Institute Participant Handbook

Privacy Notice

### **4. Other interested parties to this Policy**

Australian Government – Office of the Australian Information Commissioner

### **5. Policy**

5.1. The ARC RI employs the following principles when implementing a record-keeping management system:

- 5.1.1. The ARC RI will ensure that its record-keeping procedures are maintained, implemented, and reviewed in service of delivering consistent, efficient, effective, accurate and accountable conduct.
- 5.1.2. The ARC RI will ensure that ARC RI staff and others engaged by the ARC RI to deliver services will implement the record-keeping practices expected by the ARC RI.
- 5.1.3. The ARC RI will encourage students to keep their details up to date within the ARC RI Learning and Student Management Systems (LMS and SMS).
- 5.1.4. The ARC RI will ensure that there are processes in place to ensure that records are maintained to a minimum standard and contain accurate and complete information. This includes marked assessments and other student documents related to enrolment and assessment. Each shall be maintained according to the Policies and Procedures below.
- 5.1.5. The ARC RI will ensure that the ARC RI securely retains certificate documentation issued by the ARC RI.
- 5.1.6. The ARC RI will ensure that significant communications, for example, documents related to complaints and appeals, are securely retained by the ARC RI
- 5.1.7. The ARC RI will ensure that effective record management facilities shall allow students to transition into future studies at other educational organisations.

- 5.1.8. The ARC RI will ensure that its record management technologies provide state and Commonwealth mandatory information data such as data relating to AVETMISS (the Australian Vocational Education and Training Management Information Statistical Standard) and required reports to the National VET (Vocational Education and Training) Data Collector NCVER (National Centre for Vocational Education Research).
- 5.1.9. The ARC RI will ensure that this record management process makes information and data relating to students available as outlined in the ARC RI Privacy and Student Information Handling Policy and Procedure.
- 5.1.10. Student records of participation in VET are the property of the ARC RI, and it is the responsibility of the ARC RI Administrators and ARC RI Directors to establish and maintain this policy in the everyday duties of the ARC RI.
- 5.1.11. The ARC RI will only collect information from students required to conduct legitimate educational activities. The collected information primarily includes student enrolment details and academic records.
  - The only exception to this rule is for programs requiring the ARC RI to collect additional information such as government identifiers as record-keeping requirements of that agreement or contract.
  - For the purpose of this policy, the collection of additional information may be a requirement of education services delivering Nationally Recognised Training (accredited) or non-accredited training.
- 5.1.12. The ARC RI ensures that suitable arrangements for hard and soft copy information are managed securely by responsible individuals on its training sites.
  - This arrangement safeguards sensitive and personal information from misuse, loss, unauthorised access, modification, and disclosure.
  - Storage arrangements for archives also ensure that records are safeguarded against fires, floods, termites and other pests.
  - The Student and Learning Management Systems are the primary storage places for students' information and records. The SMS and LMS are both software as a service (SaaS) online-cloud-based systems for housing student academic records and assessment information. The ARC RI ensures that its vendors are ISO 27001 compliant (an internationally accepted set of information security standards) and backs up their data nightly to ensure that information records are retained and secure. In addition, all data is held in Australian data centres.
- 5.1.13. Access to the LMS allows students to correct their personal information. Any needed correction to records held on the SMS is to be performed by the ARC RI staff and shall impose no charge to a current or former student. This process follows the ARC RI Privacy and Student Information Handling Policy and Procedure.
  - Students have a right to access their personal information unless this access is prohibited by law.

- If a student wants to examine their information, they are to forward a request to the ARC RI Student Services Department.
- 5.1.14. Staff members of the ARC RI have access to relevant areas in the Student and Learning Management Systems that allow them to perform their functions and daily duties.
- 5.1.15. Automatic transfer of information for educational purposes, including verifying identification and granting access to government-subsidised funding, is enabled wherever existing technologies allow. The ARC RI's continuous improvement strategies relating to technology aim to support improvement where manual entry is the only means to input information for data collection.
- 5.1.16. Archival of information and storage durations are listed in the procedures below.
- 5.1.17. Destruction and disposal of student records will align with the Australian Privacy Principles and Public Records Act. The management of this process is part of the ARC RI operational activities undertaken to assure its governance and administration management responsibilities.

## **6. Responsibilities**

### **Students**

- 6.1 To ensure their details are up to date within Learning and Student Management Systems (LMS and SMS).
- 6.2. To keep copies of their study assessments, as the ARC RI retains all original documents.
- 6.3. To ensure they securely retain any record of competencies and certificates issued by the ARC RI.

### **Trainer/Assessors**

- 6.4. To encourage students to keep their details up to date within Learning and Student Management Systems.
- 6.5. To retain all marked documents as per implemented policies and procedures.
- 6.6. To note any significant communication with students and to forward this to the Student Services Administrators for storage in the student's file in the SMS.

### **The ARC RI Student Services Administrators**

- 6.7. To monitor record-keeping practices.
- 6.8. To ensure that any other individuals engaged by the ARC RI to provide services implement the same record-keeping practices.
- 6.9. To ensure that all record-keeping procedures are actively maintained, implemented, and reviewed.

## **7. Procedures**

### **Students**

- 7.1. Students are to contact the ARC RI Student Services Department via email to update their personal information. Please contact via [training@retail.org.au](mailto:training@retail.org.au).

## ARC RI Administrators

7.1.1. The ARC RI Administrators are responsible for creating, updating and closing student records via the SMS and LMS. Student information is to be as accurate and complete as possible, with care given to updating these records accurately and efficiently at each stage of the student's enrolment. This encompasses:

- Initial enrolment (SMS and LMS).
- Unit progress throughout the course (SMS).
- Any updates to student details (SMS).
- Completion and finalisation of student enrolments/records (SMS and LMS).

7.1.2. The table below outlines the types of records and processes for record storage relating to students enrolled in a training course listed on the ARC Scope of Registration as a Registered Training Organisation.

7.1.3. The ARC Student Service Administrator responsible for managing access to information systems must maintain the Register for controlling access.

- Any Systems Administrator must report new access to the Administrator responsible for managing the Register.
- The Administrator must ensure that new employees are inducted into new systems and understand the responsibilities of their access.
- The Administrator must ensure that terminated staff and individuals engaged by the ARC RI to provide services have their access removed for any information system holding sensitive and personal information about students, the ARC and the ARC RI's intellectual property.

7.1.4. Though ARC RI has moved to keeping predominantly paperless and digital records, the ARC RI Administrators are responsible for the security of any records maintained on-site and off-site.

- Archiving includes the safe transport of files to and from ARC RI offices and the recording of storage boxes in the ARC RI's Archive Register.
- The ARC RI must arrange for transporting archives to the storage facility yearly.
- The ARC RI must identify (annually) records due for safe destruction and record this information within the ARC's Archive Register.
- The management of this process is part of the ARC RI's operational activities, undertaken as self-assurance of its governance and administration responsibilities.
- As a minimum for all students, all academic records indicating enrolment details, units of competency started and completed, and any Certificates or Statements of Attainment issued will be retained for thirty (30) years. These will be maintained in a format that can be transferred to the Australian Skills Quality Authority (ASQA).

Record Type	Record Description	Storage Location	Storage Period
Pre-enrolment information	Marketing and advertising material such as course catalogues, proposals, fee schedules, web information and information session PowerPoints.	ARC Microsoft Office 365 / SharePoint  Each document version is to be recorded	Min. 5 years
USI Information	Personal identification data required to verify USI	'Enrolment' section of SMS	Min. 30 years
Confirmation of enrolment	Training Confirmation Email	<a href="mailto:students@retail.org.au">students@retail.org.au</a>  'Enrolment' section of SMS	Min. 5 years
Fees and refunds	Invoices and Receipts	ARC Finance Department	As per ARC's Finance record keeping timeframes
Course progress	Notes regarding assessment results and other course progression activities	'Notes' section of SMS 'Documents' section of SMS  'Grades' and 'Assessments' sections of LMS	Min. 30 years
Students' interactions	Significant activities in a student's lifecycle include annotating and resolving complaints, appeals, incidents and injuries	'Notes' sections of SMS 'Documents' section of SMS	Min. 30 years
Assessment activities	Assessment items created for a training course include identification evidence, workbooks, practical assessments, Language, Literacy, Numeracy and Digital (LLND) testing and Credit Transfers.	ARC RI Training Drive  'Enrolment' section of SMS  'Grades' and 'Assessments' sections of LMS  SnapForms	Min. 5 years

Assessment judgements	The assessment activity results are whether a learner is deemed 'Satisfactory' or 'Not Yet Satisfactory.'	'Enrolment' section of SMS  'Grades' and 'Assessments' sections of LMS	Min. 30 years  Min. 5 years
Unit of competency results	The grade given to a Unit of Competency that is 'Competent,' 'Not Yet Competent,' or 'Credit Transfer'.	'Enrolment' section of SMS  'Grades' section of LMS	Min. 30 years  Min. 5 years