

Record Management Policy

1. Purpose

The purpose of this policy is to establish a framework needed for effective records management at Institute of Culinary Education Pty Ltd t/a Blue Ridge College will establish and maintain effective security measures to safeguard the records from unauthorised access or use (including amendments of records that are inconsistent).

Blue Ridge College will ensure that full and accurate hard copy and/or electronic records for all training services provided by Blue Ridge College are maintained in sufficient detail to allow the department to determine Blue Ridge College's compliance with the standards and legislation.

This policy will set down rules regarding the control, storage, access, retention, and disposal of records for the organisation to ensure:

- Documents can be easily located by staff, auditors, and other stakeholders as appropriate to their needs.
- Official documentation is compliant with all relevant legislative and accreditation requirements.
- Changes to official documentation (including forms, policies, and processes) are tracked and authorised by staff with the appropriate authority level.
- Official documents are presented in a consistent manner.
- Documents are retained and disposed of as per the Retention and disposal schedule.

Record Control and Management policy has been drafted in accordance with the National Vocational Education and Training Regulator (Compliance Standards for NVR Registered Training Organisations and Fit and Proper Person Requirements) Instrument 2025, Division 2 – Integrity of Nationally Recognised Training Products, National Vocational Education and Training Regulator (Outcome Standards for Registered Training Organisations) Instrument 2025 Part 4 – Governance, Division 3 - Continuous improvement - Standard 4.4.

2. Scope

This policy applies to administration, records management, and record retention of all records and details collected and maintained for training and assessment services delivered by Blue Ridge College.

3. Responsibility

3.1. The CEO and Training Manager will be responsible for the implementation of this policy.

3.2. As per the ASQA guidelines, Blue Ridge College will securely retain and be able to produce in full at audit if requested to do so, all completed student assessment items for each student for a period of at 2 years after the student has completed the training product.

3.3. Blue Ridge College will provide access of the records to the regulatory bodies upon request in the following circumstances:

- a. In accordance with any applicable legislation.
- b. To National VET Regulator ASQA.
- c. To the PRISMS.
- d. to a government representative on request in writing; and
- e. To the Department of Education or an authorised representative of the Department.

f. Tuition Protection Service (TPS)

4. Policy Principles

4.1. The principles underpinning this policy statement are:

- Ease of access to stored documents.
- Consistency in quality, format, presentation and organisation.
- Compliance with legislative requirements

5. Procedure

5.1. Responsibility of Record Management

5.1.1. CEO will ensure that all business related, and finance records are maintained appropriately. This includes:

- Annual and financial reports
- Strategic Plans
- Meeting minutes related to Blue Ridge College's operations.

5.1.2. The Training Manager has the responsibility for ensuring that all records relating to the delivery of training and assessment services are maintained appropriately. This includes:

- All records of delivery and assessment arrangements
- Staff records
- All required records to ensure compliance against the 2025 Standards for Registered Training Organisations.

5.1.3. Blue Ridge College will confirm the following details in writing with each student, at least once every six months, for as long as the student remains an accepted student, in accordance with Section 21(2) and 21(2A) of the Education Services for Overseas Students (ESOS) Act 2000:

- The student's current residential address
- The student's mobile phone number
- The student's email address
- Emergency contact details

5.1.4. Student Administration has the responsibility for the storage, maintenance and archiving of all training and assessment records. This includes:

- Student records database
- Records and evidence of training and assessment services.
- All related administration paperwork and records relating to student enrolment, progress, and completion of any training and assessment services provided.

5.1.5. CEO will ensure that all responses to regulatory bodies, including ASQA, are provided with information in line with ASQA guidelines and only after thoroughly interpreting the request and verifying that the information is accurate, complete, and relevant.

To support compliance and prevent miscommunication, Blue Ridge College will conduct thorough internal reviews before responding to any regulatory requests. Refer to 5.2 section for further details.

5.2 Regulatory Compliance and Information Integrity

Blue Ridge College is committed to complying with the submission of accurate, complete, and timely data and reports as required by the Australian Skills Quality Authority (ASQA), including but not limited to:

- General Directions issued by ASQA (e.g., Annual Registration Renewal)
- Compliance Audit Reports
- Notifications of Critical Incidents
- ASQA compliance Calendar - RTO Obligation Checklist and CRICOS obligations checklist.

Blue Ridge College will fully cooperate with ASQA during scheduled audits, general direction assessments, and investigations, and will ensure access is provided to relevant personnel.

The CEO will update the Compliance Calendar and Compliance Monitoring Plan, marking it as a priority item with a set target date, in line with Blue Ridge College's Quality Management Policy and with the aim of continuously monitoring its operational practices.

To fulfil regulatory requirements and maintain high operational standards, Blue Ridge College must ensure that all data used for internal management and external reporting is accurate, consistent, and subject to rigorous internal quality checks. The following measures must be followed to support this commitment:

- Whenever a General Direction is issued by ASQA, upon receiving a regulatory request, or when fulfilling reporting obligations under the RTO and CRICOS Obligations Checklist, the CEO will convene a meeting and delegate responsibility to appropriate staff for compiling and verifying the required information. The request will be thoroughly reviewed, and each staff member will be made aware of their specific responsibilities.
- Regular internal audits and data reviews will be conducted to ensure the integrity of student, staff, and operational records is maintained at all times.
- All data must be verified before submission to regulatory bodies, including the National Centre for Vocational Education Research (NCVER), ASQA, and PRISMS, to ensure it is complete, accurate, and up to date.
- The CEO will ensure senior management remains informed and will coordinate follow-up meetings as necessary. Information for submission must be reviewed by key staff, including the Training Manager, Accounts Manager, and Administration Manager.
- Prior to submission, all data must be carefully assessed to identify any risks or inconsistencies. Any such issues must be addressed in detail to ensure alignment with regulatory expectations and applicable legislation.

Blue Ridge College maintains compliance with all applicable frameworks, including the 2025 Standards for RTOs, the ESOS Act 2000, and the National Code 2018.

For each regulatory submission, the CEO will ensure that all requirements outlined in the General Direction are met. Supporting evidence will either be submitted to ASQA or retained for future reference, depending on the nature of the request.

This structured approach reflects Blue Ridge College's ongoing commitment to regulatory compliance, accountability, and continuous improvement.

5.3 Storage of Documents

The institute must store all the hard copy records of current students as well as other records in a secured space at Blue Ridge College. The soft copy will be stored in the students' management systems. All electronic records will be kept on a secure server that is backed up regularly.

Blue Ridge College will retain records in a manner that safeguards them against unauthorised access, fire, flood, termites, or any other pests, and ensure that copies of records can be produced if the originals are destroyed or inaccessible. Records may be kept in hard copy or electronic format.

5.3.1 Retention of Student Training and Resources and Assessments Instruments: Blue Ridge College will maintain master copies of all training resources and assessment instruments for all staff to access as required. These training resources and assessment instruments will be maintained for a period of one (1) year from the date the materials cease to be used within Blue Ridge College. As per the Education Services for Overseas Students (ESOS) Act, Blue Ridge College will keep student assessment records for a minimum of two years.

5.3.2 Retention of Student Assessments: Blue Ridge College will retain all completed student assessment records, including those of existing students, for a minimum of 2 years after the student has completed the training product. To ensure that records are maintained, the administrative department will take appropriate measures and retain the records as indicated in the schedule below:

Hard Copy Student files:

- Currently enrolled students, these records include but is not limited to:
 - Enrolment form
 - The assessment schedule for each unit included in the enrolment (Training Plan)
 - Pre training review (Including LLND testing, and any CT/RPL applications)
- Completed/Cancelled students.
- Completed student assessment files including those of existing students will be retained for a minimum of 2 years after the student has completed the training product.
- Hard copy student administration files including written agreements, receipts of payments made by students, student records such as current residential address, mobile phone number/email address and any other details will be retained for at least 2 years after the person ceases to be an accepted student.

Note: The records will not be kept up-to-date after the cessation.
- Each individual student academic file includes the following:
 - Enrolment form
 - The assessment schedule for each unit included in the enrolment.
 - Copy of all assessment tasks, including tests, assignments, role plays, projects etc. for all units undertaken in the course (all assessments must be marked).
 - A copy of the assessment outcome record sheet for each unit.
 - A copy of the statement of Attainment or qualifications issued.

Note: A certification register will be maintained which will have all the records of students. It is to be noted that issuing and recording certificates will be maintained as per the issuance of certificate policy which also involves checking that the Unique Student Identifier is not displayed on the Certificates.

Electronic Records

Full electronic student records (records indicating enrolment details, units of competency started and completed, and the Qualification/ Statement of Attainment issued) for all students will be retained for a period of thirty (30) years. This will be maintained in a format that is able to be transferred to the ASQA as required.

Provision of student records to regulator

Transfer of records will be consistent with contractual and legal requirements and the requirements of the National VET Regulator (Australian Skills Quality Authority- ASQA). This may include regular reporting of various data (i.e., Quality Indicators) relating to the training and assessment services provided by the RTO.

5.3.3 Document Retention and Disposal

Student Records:

All student records are stored securely at Blue Ridge College premises. The manner of disposal after the retention period will be the responsibility of the student Administration. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal.

All other Documents

The document retention for all other documents (like staff records) relating to Blue Ridge College's operations, if not contractually or legally required, shall be Seven (7) years.

The manner of disposal after the retention period will be the responsibility of the CEO. To ensure confidentiality, documents containing personal details or other sensitive information will be destroyed before disposal. It is important to always maintain confidentiality.

6 Privacy and Student Access

Blue Ridge College will ensure that all records are handled in line with the Privacy Policy. Please refer to Privacy Policy for detailed information.

- Except as required under the Standards for Registered Training Organisations 2025, government contracts or by law, information about a student will not be disclosed to a third party without the written consent of the student.
- Access by students to their personal records is available upon request to the Student Administration Department. Students may contact Student Administration to discuss a suitable time to view their file and, access will only be granted once a student can confirm their identification.
- Student access to the file will be granted only once written notification is received and student administration has validated the student's identification.
- Access shall be provided within 2 days of confirming the student's identification.
- Information that may be accessed includes course progress, personal details, and any relevant details of the student's enrolment that Blue Ridge College has collected.

Note: It is to be noted that only authorised persons will be given access to the records.

7 Monitoring and review of records.

On an annual basis, Blue Ridge College will conduct an internal audit against the Standards for Registered Training Organisation 2025, and this will include reviewing all Blue Ridge College records to ensure compliance is being maintained. Student files will also undertake regular reviews to ensure information is included as r2025equired.