

INFORMATION PROVISION & RECORDS MANAGEMENT POLICY & PROCEDURE

Maritime and General Programs – Career Start, Career Boost & Fee-for-Service

1. Applicable Standards, Contracts and Legislation

This Information Provision and Records Management Policy and Procedure supports compliance with the following:

- 2025 Standards for Registered Training Organisations – Outcome Standards relating to clear and accurate information for VET students (including 2.1) and records management (including 4.4)
- Compliance Requirements relating to retention of records, certification records and related obligations
- Vocational Education and Training Skills Assure Supplier Agreement (SAS Agreement) 2025–2028 and Skills Assure Supplier Policy 2025–2028 – including evidence retention requirements for funded students
- Career Start Program Policy 2025–28 and Career Boost Program Policy 2025–28
- Skills Assure Supplier Evidence Requirements
- ASQA General Direction – Retention requirements for completed student assessment items
- Privacy Act 1988 (Cth) and Australian Privacy Principles
- Student Identifiers Act 2014
- National Vocational Education and Training Regulator Act 2011

Personal information is also managed in accordance with TPA's Privacy Policy and Procedure.

2. Purpose

This policy sets out how Training & Personnel Australia (TPA) provides clear, accurate and timely information to students and prospective students, and how it creates, stores, secures, retains and disposes of records. Effective information provision and records management support informed student choice, regulatory compliance, SAS evidence obligations and sound governance.

3. Scope

This policy applies to all staff, contractors and third parties involved in providing information to students or managing records. It covers student, training, assessment, certification, funding, complaints, support and administrative records in all formats (digital and physical) for Career Start, Career Boost and Fee-for-Service programs.

4. Definitions

- Information provision – The provision of clear, accurate and sufficient information to prospective and current students so they can make informed decisions and understand their rights and obligations.

- Record – Information created, received or maintained as evidence of TPA’s activities, decisions or transactions (including student files, assessment evidence, certification registers and funding records).
- Retention period – The minimum period a record must be kept before secure disposal.

5. Information Provision

TPA ensures prospective and current students have access to clear and accurate information about the RTO, training products, fees, support services and any matters that may affect them.

Before enrolment (or commencement, whichever is earlier), students are provided with information that includes, as applicable:

- Training product code and title, duration, modes and locations of delivery
- Entry requirements, assessment requirements and any licensing outcomes
- Fees, charges, payment terms and the refund policy
- Government subsidies and co-contribution fee information (for Career Start and Career Boost)
- Support services available and how to access them
- Complaints and appeals processes
- Privacy Notice and USI requirements
- Any obligations on the student (e.g. materials, equipment, work placement if applicable)

Information is provided through the website, Student Handbook, pre-enrolment materials and enrolment discussions. Material changes that may affect enrolled students are communicated as soon as practicable.

Marketing and public information is accurate, not misleading, and consistent with TPA’s scope and SAS approval.

6. Records Management Principles

TPA manages records so that they are:

- Accurate and complete
- Secure and confidential
- Accessible to authorised users when needed
- Retained for the required periods
- Disposed of securely when no longer required

7. Types of Records

Records managed by TPA include (but are not limited to):

- Student enrolment and eligibility records (including PEA, AISS, LLND and entitlement evidence)
- Training participation and attendance records

- Assessment tools, completed assessment items, observation checklists and outcomes
- RPL and Credit Transfer evidence and decisions
- Qualifications, statements of attainment and certification registers
- Validation and continuous improvement records
- Trainer and assessor credentials and currency records
- Complaints and appeals records
- Student support, reasonable adjustment and Individual Support Plan records
- Funding, claims and SAS reporting records
- Employability outcomes and employer engagement records
- Policies, procedures and controlled documents

8. Creation, Storage and Security

Records are created promptly and accurately as activities occur. Student records are maintained in the student management system and/or individual student files (physical and/or electronic).

Records are stored securely with access limited to authorised staff. Physical records are held in secure locations; electronic records are protected by appropriate access controls and backups. Personal information is handled in accordance with the Privacy Policy and Procedure.

9. Retention Periods

Minimum retention periods include:

- Records of AQF certification documentation issued – 30 years
- Completed student assessment items and related evidence – in accordance with ASQA's General Direction (minimum 2 years after the assessment decision; longer where required for funded programs or appeals)
- Career Start and Career Boost / SAS funded student participation, eligibility and training activity records – as required by the SAS Agreement and Evidence Requirements (typically 7 years from the end of the relevant period or as specified)
- Complaints and appeals records – retained for a period sufficient to support review and continuous improvement (minimum in line with organisational practice and any contractual requirement)
- Other business records – retained as required by law, contract or operational need

Where more than one retention period could apply, the longer period is observed.

10. Access to Records

Students may request access to the records TPA holds about them, subject to verification of identity and any lawful exceptions. Requests are handled in accordance with the Privacy Policy and Procedure. Records

are made available to ASQA, the Department and other authorised bodies on request for audit or regulatory purposes.

11. Disposal

Records are disposed of securely only after the applicable retention period has expired and any outstanding audit, appeal or legal hold has been cleared. Secure disposal methods are used (e.g. secure destruction of paper; permanent deletion or destruction of electronic media as appropriate). Certification registers and 30-year records are not disposed of within that period.

12. Version Control of Controlled Documents

Policies, procedures, forms and key operational documents are version controlled. Current versions are made available to staff; superseded versions are archived and not used for current delivery. Staff must use the current approved version of all controlled documents.

13. Procedures

13.1 Information Provision

1. Ensure website, Student Handbook and pre-enrolment materials contain current, accurate information on products, fees, support, complaints and student obligations.
2. Provide the pre-enrolment information pack / notice before enrolment is confirmed.
3. Notify enrolled students in writing of material changes that may affect them as soon as practicable.

13.2 Creating and Maintaining Student Records

- Create a student file (electronic and/or physical) on enrolment and maintain it throughout the student's engagement.
- Record enrolment, PEA, eligibility, participation, assessment outcomes, support and correspondence promptly and accurately.
- Ensure the student management system reflects current enrolment, results and certification status.

13.3 Retention and Disposal

- Apply the retention periods in Section 9.
- Do not dispose of records that are subject to audit, appeal, complaint or legal hold.
- Dispose of eligible records securely and record disposal where required by organisational practice.

13.4 Access Requests

- Verify the identity of the requester.

- Provide access to the student's own records in accordance with the Privacy Policy, or explain any lawful limitation.
- Respond to regulatory or Department requests for records within required timeframes.

13.5 Controlled Documents

- Use only current approved versions of policies, procedures and forms.
- Archive superseded versions when a new version is approved.

14. Roles and Responsibilities

- Director – Overall accountability for information provision accuracy and records management systems.
- Administration / Student Support – Maintain student files and SMS records; provide pre-enrolment and ongoing information; process access requests; apply retention and disposal rules.
- Trainers and Assessors – Create accurate participation and assessment records; use current tools and documents; contribute to student information as appropriate.
- All staff – Handle records securely and confidentially; use current controlled documents; report issues with information accuracy or records integrity.

15. Related Documents

- TPA Privacy Policy and Procedure
- TPA Student Recruitment and Enrolment Policy and Procedure
- TPA Assessment Policy and Procedure
- TPA Issuance of AQF Certification Policy and Procedure
- TPA Complaints and Appeals Policy and Procedure
- TPA SAS Key Performance Indicators Policy and Procedure
- Student Handbook
- ASQA General Direction – Retention requirements for completed student assessment items
- Skills Assure Supplier Evidence Requirements

16. Review

This Policy and Procedure is reviewed at least annually or earlier if there is a material change to the 2025 Standards, SAS Evidence Requirements, privacy law or TPA operations. Next scheduled review: August 2027.

Version	Date	Description	Author	Approved By
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TRAINING & PERSONNEL AUSTRALIA

ABN: 56 234 187 541

24/7 Ph: 1300 TOP JOB / RTO# 41096



1.0	08/2026	New combined Information Provision and Records Management Policy aligned to SRTOs 2025 and SAS evidence retention requirements	Jamie Whittle	Director
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