

## What you need to know – key take outs

ITeC Academy maintains and retains accurate records, including student records and implements reporting meeting national VET regulatory and legislative requirements.

**Always read this policy in conjunction with the related procedures identified below.**

<b>Policy principles</b>	ITeC Academy recognises our obligation to retain certain records from our delivery of training and assessment services to students. The maintenance of a well-structured records retention system supports the continuous improvement of our operation and provides a basis for compliance with legal and quality assurance requirements. We are committed to ensuring the accuracy and integrity of all ITeC Academy records.
<b>Purpose</b>	The purpose of this policy is to ensure that ITeC Academy is maintaining records that meet its' legislative and regulatory obligations.
<b>Risk statement</b>	IRT and ITeC Academy have a low risk appetite for failing to meet our legislative obligations.
<b>Scope</b>	The scope of this policy covers all ITeC Academy students, employees and/or third parties acting on behalf of ITeC Academy.
<b>Related procedure</b>	Full procedures are outlined in the ITeC Academy Procedure Manual Section/s; <ul style="list-style-type: none"> <li>- Record keeping and retention</li> </ul>
<b>Related documents</b>	<ul style="list-style-type: none"> <li>• 1.10 Records and Information Management Policy</li> <li>• 5.35 IRT Records Disposal Policy</li> <li>• 2.81 Privacy Compliance Policy – ITeC Academy</li> <li>• 1.03.807 Student Access to Records</li> <li>• 1.03.810 Continuous Improvement Policy</li> <li>• Student Handbook</li> <li>• Administration Process Handbook</li> <li>• Procedure Manual</li> </ul>
<b>Compliance requirements</b>	<ul style="list-style-type: none"> <li>• National Vocational Education and Training Regulator Act 2011</li> <li>• Standards for RTOs 2015; <ul style="list-style-type: none"> <li>○ Standard 2. The operations of the RTO are quality assured.</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ Standard 7. The RTO has effective governance and administration arrangements on place</li> <li>○ Standard 8. The RTO cooperates with the VET regulator and is legally compliant at all times.</li> </ul>
<b>Policy owner</b>	General Manager ITeC Academy
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## 1 Regulatory Standards and relevant legislation

This policy has been written to align with the Standards for RTOs 2015 and other relevant legislation and regulations. The following table explains the link between this policy and the relevant external requirements.

Standard / legislation	What this means
National Vocational Education and Training Regulator Act 2011	<p>The National Vocational Education and Training Regulator Act 2011 is legislation that establishes the Australian Skills Quality Authority (ASQA) as the national regulator for the vocational education and training (VET) sector.</p> <p>ASQA is tasked with ensuring the quality and consistency of VET services across Australia.</p> <p>ASQA has powers to investigate complaints, conduct audits of providers, impose sanctions for non-compliance, and revoke registrations or accreditations where necessary to protect the integrity and quality of the VET sector.</p>
Standards for RTOs 2015	<ul style="list-style-type: none"> <li>○ Standard 2. The operations of the RTO are quality assured.</li> <li>○ Standard 7. The RTO has effective governance and administration arrangements on place</li> <li>○ Standard 8. The RTO cooperates with the VET regulator and is legally compliant at all times.</li> </ul>

## 2 Record keeping and retention

### 2.1 Student Results

Training results includes records of the student's details, date of enrolment and results of training and assessment. This should include what units of competency (including unit codes) and the result the student achieved.

The record of results may include the following results;

- Competency Achieved
- Competency Not Achieved
- Withdrawn
- Recognition of Prior Learning (RPL) or
- Credit Transfer (CT)

### **2.1.1 Qualifications/Statements of Attainment**

Qualifications and Statements of Attainment are documents that recognise the outcomes of assessment. Qualifications and Statements of Attainment are formatted and prepared in accordance with the Australian Qualification Framework (AQF).

### **2.1.2 Completed Assessment Resources**

Completed assessment resources include documents or other media where assessment evidence has been recorded by students and assessment decisions are recorded by assessors. It may be a combination of templates, questionnaires, checklists, summary sheets, RPL tools, or records of feedback from assessors to students. Assessment resources include all those items which substantiate the assessment decision made by an assessor.

### **2.1.3 Assessment Tools**

Assessment tools refer to the various templates, checklists and assessment records that ITeC Academy uses over the term of its operations. This specifically refers to the retention of the versions (master copy) of tools used as opposed to retention of completed resources. The aim of retaining a record of versions used over time is to allow an appropriate record for future review by regulatory bodies. This also provides for a return to previous versions to determine when decisions on content were made.

### **2.1.4 Administrative Records**

Administrative records are those documents which are used to facilitate the student's administration during their enrolment. Examples of administrative records are enrolment forms, consent/permission forms, requests for refund, etc.

### **2.1.5 Student File**

The student file is the file location where all student records, including student results, completed assessment resources and administrative records are retained. These records are stored electronically on the Electronic Records Management System; Content Manager.

### **2.1.6 RTO Management Records**

RTO management records are those files which assist management and staff to coordinate RTO services. These may include policies and procedures, data registers, enrolment registers, attendance records, financial records and records of complaints and appeals.

## 2.2 Storage of Records

To ensure records are maintained in a safe and suitable condition, the following is to apply:

- Records must be kept securely to prevent them being accessed by any non-authorised personnel;
- Records must be kept confidential to safeguard information and to protect the privacy of students and ITeC Academy staff; and
- Student results and Qualification / Statements of Attainment are stored and backed-up in an electronic format and available to be retrieved at any time through the RTO Learning and Student Management System.

## 2.3 Period of Retention

ITeC Academy must comply with a range of record retention requirements including:

- ATO requirements relating to financial records
- State Funding Authority requirements relating to training and assessment records, and
- ASQA General Direction: Retention requirements for completed student assessment items.

In determining our period of retention, ITeC Academy has selected retention periods beyond some requirements in order to simplify our approach and to ensure compliance with all requirements under the one approach. The following time periods are to apply to the retention of student electronic records at ITeC Academy:

- **Student Results / Qualifications / Statements of Attainment**

Student results / Qualifications and Statements of Attainment (100%) are to be retained for a minimum of thirty (30) years.

- **Completed Assessment Resources**

Completed assessment resources (100%) are to be retained for a minimum of seven (7) years.

## 2.4 Reporting to the National Regulator

### 2.4.1 AVETMISS Reporting

ITeC Academy is required to maintain the capability to provide AVETMISS compliant data reports to ASQA on request and as specified in the Data Provision Requirements outlined in Standard 7, Clause 7.5 and Standard 8, Clause 8.1–8.2. ITeC Academy will meet this requirement by maintaining its' activity data within the Axcelerate Student Management System. If ITeC Academy enters into a contract to deliver funded training on behalf of the State, the Student Management System will be used to report training activity.

### 2.4.2 Quality Indicator Reporting

ITeC Academy is required to report quality indicator data to ASQA in accordance with scheduled reporting dates. This requirement is specified in the Data Provision Requirements outlined in Standard 7, Clause 7.5 and Standard 8, Clause 8.1–8.2.

The RTO Operations Coordinator is responsible for collecting the Learner Engagement Questionnaires and the Employer Satisfaction Questionnaires from relevant stakeholders. These questionnaires are collated by the RTO Operations Coordinator, who then reports the data to relevant bodies.

ITeC Academy is also required to report Competency Completion data using the NCVER Competency Completion Online System. This is achieved via the reporting capability of the Student Management System and the procedure is performed by ITeC Academy Administration.

There are three Quality Indicators which are explained in the following:

- Learner Engagement and Employer Satisfaction
- After data is collated and analysed using the survey instruments, ITeC Academy Administration is to collate the results of the survey and produce a report in using the required report format
- The summary report must address the following information: numbers of surveys issued against numbers received (rates of response)
  - Trends in response statistics (for instance, which student/employer cohorts provided high/low response rates)
  - Commonalities or surprising/unexpected survey responses
  - Trends with previous year/s QI data findings
  - Information gained from analysis
  - Preventive and/or corrective actions implemented, and
  - How the effectiveness of such actions is or will be monitored.

## 2.5 Email Records and Correspondence

In many cases, information relating to ITeC Academy operation will be transmitted using electronic communication. It is important that this information is also retained and archived.

Email records and/or correspondence which relates to training and assessment services is administered directly through the RTO's Learning and Student Management System (LMS). Other email communication should be entered as a contact note into the LMS.

## 2.6 Treatment of Records on Ceasing Operation

ITeC Academy acknowledges that it has a responsibility to retain accurate copies of records to enable these to be transferred to ASQA should ITeC Academy cease to operate. It is a requirement that RTOs who cease to operate must provide ASQA with records of all students in the format required by ASQA.

This requirement does not include hard copy student files and relates specifically to records in either written, printed or electronic documents providing evidence of activities the student has performed. For the purposes of this policy, ITeC Academy will interpret “activities” to mean records providing information on the outcomes achieved by students. This will include records of qualifications and units of competence which have been issued by ITeC Academy during the entirety of its registration period.

From May 2013, ITeC Academy will retain these records electronically and will provide this information in the form of the following AVETMISS reports in consultation with ASQA:

- NAT00010 Training Organisation
- NAT00020 Training Organization Delivery Location
- NAT00030 Course File
- NAT00060 Module/Unit of Competency File
- NAT00080 Client File
- NAT00085 Client Postal Details File
- NAT00090 Client Disability File
- NAT00100 Client Prior Educational Achievement
- NAT00120 Enrolment File
- NAT00030 Qualification Completed File

Note: These reports should be generated by year and supplied to ASQA in a suitable file structure and format to enable it to be navigated and used.

## 2.7 Destruction of Records

All ITeC Academy student records are to be destroyed once electronically filed in Content Manager/RTO LMS. Physical records are to be disposed in an IRT approved security bin in accordance with the IRT Records Disposal Policy.

**In practice example:**

Student Y has emailed their trainer/assessor of their intent to withdraw from their course. The trainer/assessor forwards the correspondence to the ITeC Academy Administration Team for action. The email from the student is included as a contact note on the student file in the LMS. The student is issued the withdrawal form for completion and once received is electronically attached to the student file in the LMS and the student is withdrawn from the course.

**3 Roles and responsibilities**

Role	Responsibility
Policy Owner – General Manager ITeC Academy	Ensures that ITeC Academy implements suitable arrangements to comply with the requirements of this policy and the requirements of the Standards for RTOs 2015. This is to include the acquisition and installation of records and data storage facilities and the application of records retention procedures.
Policy Monitor – Compliance Manager	Review operational compliance with policy. Prepare draft policy improvements. Lead record destruction activities as per organisational policies and procedures. Monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required.
Policy Monitor – RTO Manager	Ensure day to day implementation and compliance with policy. Monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required.
Implementation – Administration employees	Ensure that procedures for the archiving and storage of records are applied including the backing up of electronic records into the LMS and other organisation approved electronic data record storage. Communicate with colleagues to ensure that approaches to records handling are consistent throughout the ITeC Academy operation.



Role	Responsibility
Implementation-Trainer/Assessors	<p>Ensure that student records are appropriately gathered during and at the completion of a training program and electronically stored in accordance with record management procedures, including:</p> <ul style="list-style-type: none"> <li>• Liaising with Administrative Staff to ensure that their practices are aiding the efficient retention of student records.</li> <li>• Ensure student records are fully completed with sufficient information recorded by Assessors to allow an independent review of the assessment decision by a third party.</li> <li>• Record, in detail, the interpretation of assessment evidence with suitably detailed comments to support their assessment decision.</li> <li>• Use authorised ITeC Academy records only to record student progress and the outcomes of assessment activities.</li> </ul>

#### 4 Definitions

In this Policy, words have the following meaning:

Term	Definition
ACER	Australian Council for Educational Research
ASQA	Australia Skills Quality Authority
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard
NCVER	National Centre for Vocational Education Research
RTO	Registered Training Organisation
LMS	Learning and Student Management System