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.

Policy principles	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/management 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.
Purpose	The purpose of this policy is to ensure that ITeC Academy is maintaining records that meet its' legislative and regulatory obligations.
Risk statement	IRT and ITeC Academy have a low-risk appetite for failing to meet our legislative obligations.
Scope	The scope of this policy covers all ITeC Academy students, employees and/or third parties acting on behalf of ITeC Academy.
Related procedure	Full procedures are outlined in the ITeC Academy Procedure Manual Section/s; • Record Keeping and Retention
Related documents	• 1.10 Records and Information Management Policy • 5.35 IRT Records Disposal Policy • 2.81 Privacy Compliance Policy - ITeC Academy • 1.03.807 Student Access to Records • 1.03.810 Continuous Improvement Policy • Student Handbook • Administration Process Handbook • Procedure Manual
Compliance requirements	• National Vocational Education and Training Regulator Act 2011

	• Compliance Standards for NVR Registered Training Organisations and Fit and Proper Person Requirements
	o Division 2 Integrity of Nationally Recognised Training Products
	o Section 10 Records of AQF certification documentation and assessments
Diversity Statement	IRT and ITeC Academy are committed to respecting, valuing and celebrating diversity in all its forms in our customer, older people and workforce population and catering for diverse needs through respectful, inclusive and equitable practices.
Policy owner	General Manager ITeC Academy
Publish date	August 2025
Content Manager reference number	EDOC2025/0043515

1 Regulatory Standards and Relevant Legislation

This policy has been written to align with the Standards for RTOs 2025 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	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.
	ASQA is tasked with ensuring the quality and consistency of VET services across Australia.
	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.
Compliance Standards for NVR Registered Training Organisations and Fit and Proper Person Requirements	• Division 2 Integrity of Nationally Recognised Training Products • Section 10 Records of AQF certification documentation and assessments

2 Record Keeping and Retention

2.1 Student Results

Training results include records of the students' 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 the 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 students' 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 and operate 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. Evidence will be of sufficient quality, readability and useability to be considered a genuine and complete copy of the original.

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 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:

2.3.1   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.

2.3.2   Completed Assessment Resources

Completed assessment resources (100%) are to be retained for a minimum of three (3) years, with the exception of high-risk units of competency as determined by the RTO.

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 Compliance Standards for NVR Registered Training Organisations and Fit and Proper Person Requirements, Division 2 Integrity of Nationally Recognised Training Products, Section 10 Records of AQF certification documentation and assessments, subsection (e) upon request from the national VET Regulator, provide a report of all AQF qualifications and VET statements of attainment the RTO has issued during the specified in the Regulator's request. ITeC Academy will meet this requirement by maintaining its' activity data within the Axcelerate Student/learning Management System. If ITeC Academy enters into a contract to deliver funded training on behalf of the State/Territory, the Student Management System will be used to report training activity.

2.4.2 Quality Indicator Reporting

The ITeC Academy is required to report quality indicator data to ASQA in accordance with scheduled reporting dates. This requirement is specified in the National Vocational Education and Training Regulator (Data Provision Requirements) Instrument 2020. The RTO Operations Coordinator is responsible for collecting the AQTF Learner Questionnaires and the AQTF Employer Questionnaires from relevant stakeholders. These questionnaires are collated by the RTO Operations Coordinator, who then reports the data to the General Manager.

The General Manager prepares the annual summary report that details its performance during the previous calendar year against the quality indicators and submits this using the digital format as instructed/made available from the VET regulator.

ITeC Academy is also required to report Total VET activity data annually using the NCVER Competency Completion Online System (AVETMISS Validation Software (AVS) to validate and submit data. This is achieved via the reporting capability of the Student Management System, and the procedure is performed by ITeC Academy Administration.

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 relating to training and assessment services are 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 Operations

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 of 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.

In November 2017 Skills Ministers agreed to the National VET Data Policy (the Policy) which first took effect from 1 January 2018. 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 File
- NAT00020 Training Organization Delivery Location
- NAT00030 Program File
- NAT00060 Subject File

- NAT00080 Client File
- NAT00085 Client Contact Details File
- NAT00090 Disability File
- NAT00100 Client Prior Educational Achievement
- NAT00120 Training Activity File
- NAT00130 Program 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 of 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 2025. 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.

Role	Responsibility
	• 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.
Implementation- Trainer/Assessors	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: • Liaising with Administrative Staff to ensure that their practices are aiding the efficient retention of student records. • 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. • Record, in detail, the interpretation of assessment evidence with suitably detailed comments to support their assessment decision. • Use authorised ITeC Academy records only to record student progress and the outcomes of assessment activities.

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