

1.03.813 RECORD RETENTION AND REPORTING

This policy is applicable to: All IRT College employees and Third Parties acting on behalf of IRT College.

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DOCUMENT CONTROL

Policy Number: 1.03.813	Policy Owner: General Manager IRT College	Version: 3.0
Contact position: General Manager IRT College	Approved for circulation: Group Leadership Team	TRIM classification reference:
Date approved: February 2015	Review due to: Legislative change	Next review due: February 2016
Procedure Manual reference: Record Keeping and Retention	Compliance/Accreditation/ Standards reference: Standards for Registered Training Organisations 2015 Standard 3. The RTO issues, maintains and accepts AQF certification documentation in accordance with these Standards and provides access to learner records.	

REVISION RECORD

Date	Version	Revision description
April 12	1.0	IRT College major review of all policies and procedures against STANDARDS FOR NVR REGISTERED TRAINING ORGANISATIONS 2011- ESSENTIAL STANDARDS FOR CONTINUING REGISTRATION.
Jan 15	2.0	Previous Policy to be superseded.
April 13	2.1	Updated reference to Operations Coordinator (replacing Learning & Development Coordinator). Included references to electronic copies of records (TRIM) & that these records are only available from 2003 in case of RTO ceasing operations.
Jan 15	3.0	Updated to align to Standards for RTOs 2015

1. TITLE

1.03.813 RECORD RETENTION AND REPORTING

2. POLICY STATEMENT

At IRT College we recognise our obligation to retain certain records from our delivery of training and assessment services to clients. 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 IRT College records.

3. PURPOSE

To meet the requirements of;

- National Vocational Education and Training Regulator Act 2011; and
- Standards for Registered Training Organisations 2015

4. SCOPE

The scope of this policy covers all IRT College students, employees and/or third parties acting on behalf of IRT College.

5. OBJECTIVE

To ensure that IRT College records including student records are retained and reporting occurs that meets the national VET regulator and legislative requirements.

6. POLICY DETAILS

For the purpose of this policy, records include:

6.1 Student Results

Training results include a record 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)

6.1.1 Qualifications/Statements of Attainment

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

6.1.2 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.

6.1.3 Assessment Tools

Assessment tools refer to the various templates, checklists and assessment records that IRT College 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.

6.1.4 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.

6.1.5 Student File

The student file is simply 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, TRIM.

6.1.6 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.

6.2 Storage of Records

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

- i. Records must be kept securely to prevent them being accessed by any non-authorised personnel;
- ii. Records must be kept confidential to safeguard information and to protect the privacy of students and IRT College staff; and
- iii. Student results and Qualification / Statements of Attainment must be backed-up in an electronic format and must be available to be retrieved at any time via the TRIM system of electronic record storage implemented by IRT.

6.3 Period of Retention

IRT College must comply with a range of record retention requirements including:

- i. ATO requirements relating to financial records [Click Here](#),
- ii. State Funding Authority requirements relating to training and assessment records, and
- iii. ASQA General Direction: Retention requirements for completed student assessment items.

In determining our period of retention, IRT College 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 IRT College:

6.3.1 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.

6.3.2 Completed Assessment Resources

Completed assessment resources (100%) are to be retained for a minimum of two (2) years.

6.3.3 Assessment Tools

Assessment tools (100%) are to be retained for a minimum of five (5) years.

6.3.4 RTO Management Records

RTO management records are to be retained for a minimum of five (5) years. This requirement relates to the versions of these records.

6.3.5 Administrative Records

Administrative records are to be retained for a minimum of five (5) years. This requirement relates to the versions of these records and completed records.

6.4 Reporting to the National Regulator

6.4.1 AVETMISS Reporting

IRT College is required to maintain the capability to provide AVETMISS compliant data reports to ASQA on request. This requirement is specified in the Data Provision Requirements 2012. IRT College will meet this requirement by maintaining its activity data with the Axcelerate Student Management System. If IRT College enters into a contract to deliver funded training on behalf of the State, the Student Management System will be used to report training activity.

6.4.2 Quality Indicator Reporting

IRT College is required to report quality indicator data to ASQA in accordance with scheduled reporting dates. This requirement is specified in the Data Provision Requirements 2012.

The Data Provision Requirements, General Direction and further information can be accessed at: <http://www.asqa.gov.au/for-training-organisations/data-provision/quality-indicator-reporting.html>

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

IRT College 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 IRT College Administration.

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

i. Learner Engagement and Employer Satisfaction

After data is collated and analysed using the survey instruments, IRT College Administration is to collate the results of the survey and produce a report in using the [NVR Quality Indicator Summary Report](#) . A summary report is to be emailed to ASQA between the period of 1 Jan – 30 June each year and will relate to the learner engagement and employer satisfaction QI survey response rates and improvement

Actions identified for the previous calendar year – i.e. 1 Jan – 31 Dec. The report is to be emailed to the following email address: qidata@asqa.gov.au

- 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.

Further information on the reporting of Quality Indicator Data reporting is available at the ASQA website: www.asqa.gov.au

Competency Completions

The Competency Completion report shows the number of enrolments and qualifications completed and units of competency awarded in the previous calendar year. The report is to be produced using RTO Data “Competency Completion Report” located within the Reporting Centre. The reports are to be entered or uploaded to the NCVET site:

[Competency Completion Online System](#)

The report is to be submitted during the period 01 Jan – 30 June each year and will relate to the competency completion data for the previous calendar year – i.e. 01 Jan – 31 Dec.

There is a user guide to the Competency Completion Online System available from the ACER website: [ClickHere](#)

6.5 Treatment of Records on Ceasing Operation

IRT College acknowledges that it has a responsibility to retain accurate copies of records to enable these to be transferred to ASQA should IRT College 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, IRT College 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 IRT College during the entirety of its registration period. From

May 2013, IRT College 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.

6.6 Destruction of Records

All IRT College student records are to be destructed once electronically filed on TRIM. These records are to be disposed in an IRT approved security bin for shredding before recycling.

6.7 Responsibilities

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

- The **General Manager** is to ensure that IRT College 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.
- **Administrative Staff** are to ensure that procedures for the archiving and storage of records are applied including the backing up of electronic data via TRIM system of electronic data record storage.

Administrative Staff are to monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required.

Administrative Staff are also to liaise with the Operations Coordinator and Trainers and Assessors to ensure that approaches to records handling are consistent throughout the IRT College operation.

- **Trainers / Assessors** are to ensure that student records are appropriately gathered during and at the completion of a training program and are suitably bundled and packaged in accordance with records 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.
 - Monitor the sufficiency of records storage and handling procedures and propose opportunities for improvement in accordance with the continuous improvement policy as required.
 - Use authorised IRT College records only to record student progress and the outcomes of assessment activities

6.6 Email Records and Correspondence

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



Any email record or correspondence which relates to training and assessment services provided by IRT College is to be sent to IRT Administration with the subject line: "To be TRIMMED" to instruct the storage requirements of the communication. The TRIM system of electronic record storage is to be used for this purpose.

7. ROLES AND RESPONSIBILITIES

All employees are required to comply with this Policy. There are no specific roles or responsibilities other than those outlined in the table below.

Specific roles and responsibilities of employees and management are outlined in Section 6 of this policy.

Specific roles and responsibilities of areas/departments/functions are outlined in the table below.

Role	Responsibility
Policy Owner – General Manager IRT College	Ensuring the currency and appropriateness of the policy to meet regulatory and legislative requirements.
Policy Monitor – Operations Coordinator	Ensure day to day implementation and compliance with policy.
Policy Implementation- Administration Coordinator, Student Administration Officer, Administration Support personnel	Implement procedure as per IRT College Procedure Manual

8. EDUCATION AND STAFF DEVELOPMENT

This is a Standard Policy.

Education and Staff development relevant to this policy will occur via:

- Via IRT College On-Boarding procedure
- Via IRT College quarterly meetings

This is a standard policy – specific education is not required, employees are expected to be familiar with this policy.

9. MONITORING, EVALUATION AND REVIEW

Feedback regarding this policy can be referred to:

- Operations Coordinator
- Administration Coordinator
- General Manager

The policy will be reviewed every 2 years by the General Manager of IRT College or delegate. Triggers for review outside of the usual cycle include:

- Changes to the business activity relating to this policy.
- New business activities impacting on this policy.
- Changes to internal controls relating to this policy.
- Changes to legislative and/or regulatory requirements.

10. DEFINITIONS AND ABBREVIATIONS

Term	Meaning
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
VET	Vocational Education and Training

11. ASSOCIATED PROCEDURES AND FORMS

Name and number of document
Student Handbook
IRT College Procedure Manual
Administration Process Handbook

12. REFERENCES – COMPLIANCE AND BEST PRACTICE

Legislative references
National Vocational Education and Training Regulator Act 2011
Best Practice references
Standards for RTOs 2015 Standard 3

If a business unit's compliance plan makes reference to this policy as a control for a particular compliance risk, the relevant compliance plan should be referred to here.

Compliance Plan reference: Not applicable

13. LINKS TO OTHER POLICIES

1.03.825 Version Control
1.03.807 Student Access to Records