1.03.813 RECORD RETENTION & REPORTING

> **WHAT YOU NEED TO KNOW – KEY TAKE OUTS**
>
> - IRT 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	IRT 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 IRT Academy records.
Purpose	To meet the requirements of: • National Vocational Education and Training Regulator Act 2011; and • Standards for Registered Training Organisations 2015
Risk Statement	IRT has zero appetite for risk of failing to comply with legislation.
Scope	Covers all IRT Academy students, employees and/or third parties acting on behalf of IRT Academy.
Related Procedure	• IRT Academy Procedure Manual • Quality Indicator Data reporting instructions located at; www.asqa.gov.au
Related Documents	• Policy 1.03.825 Version Control • Policy 1.03.807 Student Access to Records • Student Handbook • Administration Process Handbook
Compliance Requirements	• National Vocational Education and Training Regulator Act 2011 • Standards for RTOs - Standard 3
Policy Owner	Group Head IRT Academy
Effective Date	April 2021
Review Date	April 2024
Content Manager Reference Number	EDOC2021/0023966

1   AGED CARE QUALITY STANDARDS & RELEVANT LEGISLATION

This policy has been written to align with the Aged Care Quality Standards and other relevant legislation and regulation. The following table explains the link between this policy and the relevant external requirements.

Standard / Legislation	What this Means
Standards for RTOs 2015	To ensure the RTO meets the regulatory standards for RTO operation and related legislation (see above).

2   POLICY DETAILS

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- Withdrawn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 IRT 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.

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 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; 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 IRT Academy staff; and

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 Content Manager system of electronic record storage implemented by IRT.

2.3 Period of Retention

IRT 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, IRT 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 IRT 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.

- **Assessment Tools**

  Assessment tools (100%) are to be retained for a minimum of seven (7) years.

- **RTO Management Records**

  RTO management records are to be retained for a minimum of seven (7) years. This requirement relates to the versions of these records.

- **Administrative Records**

  Administrative records are to be retained for a minimum of seven (7) years. This requirement relates to the versions of these records and completed records.

2.4   Reporting to the National Regulator

2.4.1   AVETMISS Reporting

IRT 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. IRT Academy will meet this requirement by maintaining its' activity data within the Axcelerate Student Management System. If IRT 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

IRT 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 Learning Solutions Team Manager is responsible for collecting the Learner Engagement Questionnaires and the Employer Satisfaction Questionnaires from relevant stakeholders. These questionnaires are collated by the RTO Learning Solutions Team Manager, who then reports the data to relevant bodies.

IRT 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 IRT 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, IRT 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)

  o   Trends in response statistics (for instance, which student/employer cohorts provided high/low response rates)

  o   Commonalities or surprising/unexpected survey responses

  o   Trends with previous year/s QI data findings

  o   Information gained from analysis

  o   Preventive and/or corrective actions implemented, and

  o   How the effectiveness of such actions is or will be monitored.

2.5 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 NCVER website.

Further information is available at the Australian Council for Educational Research (ACER) https://www.acer.org/au/

2.6 Treatment of Records on Ceasing Operation

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

From May 2013, IRT 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
- NAT00020Training 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 IRT Academy student records are to be destroyed once electronically filed in Content Manager. These records are to be disposed in an IRT approved security bin for shredding before recycling.

2.8 Responsibilities

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

- The General Manager is to ensure that IRT 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.

- 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 Learning and Development Manager and Trainers and Assessors to ensure that approaches to records handling are consistent throughout the IRT Academy 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 Academy records only to record student progress and the outcomes of assessment activities.

2.9 Email Records and Correspondence

In many cases, information relating to IRT Academy 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 Academy is to be sent to IRT Academy Solutions Team with the subject line: "To be recorded on student file" to instruct the storage requirements of the communication. The Content Manager system of electronic record storage is to be used for this purpose and a record also added to the student record in aXcelerate.

> **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 Academy Solutions Team with the subject header "To be recorded on student file". The email from the student is stored in Content Manager and added to the student record in aXcelerate.

3 ROLES AND RESPONSIBILITIES

Role	Responsibility
Policy Owner – Group Head IRT Academy	• Ensuring the currency and appropriateness of the policy to meet regulatory and legislative requirements.
Policy Monitor – Learning Solutions Team Manager	• Ensure day to day implementation and compliance with policy.
Policy Implementation - Learning Solutions Team Manager, Learning Solutions Team Members, Trainer/Assessors.	• Implement procedure as per IRT Academy Procedure Manual and Administration Process Manual

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
VET	Vocational Education and Training